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Mentoring Pre- and in-Service School Leaders Through a Combined Principal Mentoring Model: A Case Study of the University of Illinois at Chicago

Alicia Haller
Loyola University Chicago

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LOYOLA UNIVERSITY CHICAGO

MENTORING PRE- AND IN-SERVICE SCHOOL LEADERS THROUGH
A COMBINED PRINCIPAL MENTORING MODEL:
A CASE STUDY OF THE UNIVERSITY OF ILLINOIS AT CHICAGO

A DISSERTATION SUBMITTED TO
THE FACULTY OF THE GRADUATE SCHOOL
IN CANDIDACY FOR THE DEGREE OF
DOCTOR OF PHILOSOPHY

PROGRAM IN CULTURAL AND EDUCATIONAL POLICY STUDIES

BY

ALICIA HALLER

CHICAGO, ILLINOIS

AUGUST 2016

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“Long is the way and hard, that out of Hell leads up to light.” — John Milton

As with any challenge in life, one never succeeds alone. While this research study was not quite the Hell that Milton envisioned, the process was certainly long and hard. Fortunately, I had a wonderful support system to lead me up to the light. There are many people, without whom this dissertation would not have been possible.

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There is no one Truth. There is only one truth at a time.

—Gina Frangello

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ABSTRACT

Scholars have demonstrated that school leadership is second only to instruction in terms of school-level impact on student learning. Additionally, researchers and policy makers have argued that in order to ensure aspiring and novice principals develop the leadership and instructional competencies necessary to improve schools, they need to be provided with authentic learning experiences and supported by knowledgeable mentors. This case study explored a unique combined principal mentoring model, developed by the University of Illinois at Chicago (UIC) that spans from the pre-service phase into the early in-service phase. In order to provide a rich description of the model, the study applied a mentoring model framework that included 16 key elements drawn from literature on mentoring and four characteristics of knowledge transmission theory. The study was grounded by two Illinois statutes that mandated principal mentoring for candidates completing preparation programs and for all those serving for the first time as school principals. The study relies heavily on the state statutes and regulations, UIC program documents, and semi-structured interviews with program designers and mentors. In the final phase of the study, a survey was conducted with UIC students to further data triangulation.

The analysis builds upon previous mentoring research and increases understanding of how a combined principal mentoring model can be constructed to provide a continuum of support for school leaders. The analysis conducted by this study

highlights the key elements and characteristics of the UIC mentoring model and describes the extent of similarities and differences found in the design and delivery of the pre-service and the in-service phase of development. The data lead us to consider how partnerships between universities and districts could be structured to provide ongoing support for school leaders throughout their careers. The research offers insight into how one program chose to bridge an artificial divide found in research and policy, between pre- and in-service phases, to create a cohesive approach that eases transition for educators advancing from the classroom to the principal's office.

CHAPTER ONE

INTRODUCTION TO PRINCIPAL MENTORING

Introduction

This case study provides a rich description of how one university responded to two Illinois statutes mandating principal mentoring at different phases of development by creating a single comprehensive mentoring model. In an effort to bridge support from the aspiring to the early novice career phase, one university designed an innovative principal mentoring model that addresses the interconnectedness of the two phases and the gap commonly found between them. Traditional principal preparation programs focus on the pre-service/university phase and do not include the in-service/district development phase. This artificial separation ignores the relationship between the two career phases and inhibits the development of a continuum of support for school leaders.

Purpose of the Study

This case study will explore the combined mentoring model delivered by the University of Illinois-Chicago (UIC), which was developed to include both pre-service and in-service components. The combined mentoring model for both aspiring and novice principals responds to two relatively new Illinois statutes. The first statute established mentoring requirements for all new principals during the first year of their first principal contract. The Illinois New Principal Mentoring Act specifically targets school district efforts aimed at developing novice principals. The second statute mandates that principal

preparation programs provide mentoring support to candidates during their internship. These two statutes reflect a long-standing established divide between pre- and in-service phases of development. The separation of pre- and in-service support for school leaders is not only reflected in policy and practice, but is also evident by its positioning within the larger body of research on educational administration. Research on strategies to increase school leader effectiveness has largely been segregated between principal preparation (pre-service phase) and principal development (in-service phase). Principal preparation and principal development currently represent two distinct bodies of literature. The current segregation of principal preparation from principal development represents a flaw in the current structure that creates an artificial disconnect to a developmental continuum that recognizes the crucial transition between phases. By positioning principal mentoring research under either pre-service or in-service, researchers have ignored the interconnectedness of these two phases and therefore have been unable to provide important insight on supporting a continuum of development for school leaders.

This case study transcends the long-standing established divide in the literature by exploring how one university has innovatively bridged two state mandates, and the research-base that informed those policies, by creating a cohesive combined mentoring component that spans from the aspiring to the early novice phase of principal development. The case study did not attempt to examine the effectiveness of the strategy, but rather richly describes the extent of similarities and differences found in the approach at different phases of development. In addition, the study explores the implications of these findings for university and district mentoring programs.

Statement of the Problem

The traditional approach to principal mentoring separates the pre-service phase, involving university preparation programs, from the in-service phase, involving school district development strategies. This approach is problematic because it creates an artificial divide that ignores the interconnection between the two crucial development phases and inhibits the creation and implementation of a seamless continuum of support for school leaders. While neither Illinois statute involving principal mentoring explicitly prohibits districts and/or universities from developing a comprehensive principal mentoring model aimed at providing a continuum of support, there are no provisions that promote a combined model either. Following a long held custom of dividing preparation from development, the statutes reflect the separation found in the research base.

The problem created by an artificial divide that confounds innovative approaches to school leader preparation and development is not unique to Illinois. In fact, inhabited institutionalist scholars who have explored the phenomenon of isomorphism in public policy caution against the common practice of policy borrowing. They argue that policy makers often establish barriers to creative approaches to improvement through their policy diffusion efforts (Hallett, 2010; Larabee, 2010; Scott, 1999). Through actions such as disseminating policy briefs, and sharing research, standards or specific legislative language, policy makers seek to lend credibility and legitimacy to their approach to problem solving (Meyer & Ramirez, 2000). In doing so, however, policy makers often suppress the development of alternative approaches to problem solving. “State policy makers copy the work of their colleagues across states to create a sense of legitimacy, certainty, and professionalization rather than developing policy based on metrics of

efficiency and/or effectiveness. It stifles innovation” (Roach, Smith & Boutin, 2010, p. 71). Not only does this common practice perpetuate the status quo, it ignores a growing body of research on effective strategies for supporting school leaders across the career continuum.

Researchers in educational administration have a long history of interest in examining aspects of principal effectiveness (Cuban, 1988; Cubberley, 1923; Murphy 1992; Pierce, 1935). Within the large body of research, there exists a divide between pre-service preparation programs delivered by universities, and in-service professional development provided by districts. Researchers have routinely criticized districts for not providing principals with high-quality induction training, on-going professional development, and differentiated support (Byrne-Jiménez & Orr, 2007; McLane, 2007; Sanzo, 2014; Whitehead, 2013). In addition, criticism has more recently been directed at universities for ineffective and inauthentic practices in programs designed to prepare school leaders (Davis & Darling-Hammond, 2012; Levine 2005). Scholars have found that traditional methods, employed by districts and universities across the country, have failed miserably to adequately prepare or develop principals to address the challenges of today’s schools (Davis & Darling-Hammond, 2012; Levine 2005; Hess & Kelly 2005; Kelly & Peterson 2002; Cotton 2003; Johnson, Arumi & Ott 2006). In fact, a survey of 925 principals found that nearly 96% considered their colleagues to have had a greater impact in their instructional leadership practices than their preparation program (Farkas, Johnson & Duffet 2003). However, few districts have formal processes to facilitate sharing of practices and knowledge among principals and principals have routinely reported that their district’s effort with professional development has been inadequate or

non-existent (Grissom & Harrington 2010; Loeb, Kalogrides & Horng, 2010; Miller, 2013)

The problem of ineffective school leadership does not rest solely with either poorly designed preparation programs or ineffective district strategies for professional development. The challenge is further complicated by the job itself. District officials from around the country claim that they are currently facing a leadership crisis that can be traced to the changing nature and increasing demands of the job (MetLife, 2013; Sciarappa & Mason, 2013). Roughly 20% of principals leave a new position after only two years, and a large majority of schools in the U.S. are led by principals with less than 10 years of experience as a school leader (Miller, 2013). Additionally, the U.S. Department of Education National Center for Education Statistics Districts reported in 2013 that each year 12 percent of the nation's principals leave the profession all together. This current trend has created an environment where candidates fresh out of preparation programs are filling more and more principal positions. "Both the National Association of Elementary School Principals and the National Association of Secondary School Principals report shortages of 'qualified' principal candidates" (Sciarappa & Mason, 2013). Districts struggle to recruit and retain a pool of effective school leaders and often find that despite proper credentials and experience, many principals have a limited ability to actually improve student outcomes (Davis & Darling-Hammond, 2012; Davis, Darling-Hammond, LaPointe & Meyerson 2005; Miller, 2013; Mitgang & Gill, 2012; Samuels, 2012). A recent report by Mitgang and Gill (2012) highlights the current challenge: "Getting pre-service principal training right is essential. But equally important is the training and support school leaders receive after they're hired" (p. 24). The

solution to the leadership crisis facing schools isn't better principal preparation *or* induction support and training, it requires a combination of both. The gap created by separating the two phases of development is exacerbating the difficult transition educators make into school leadership.

Further obscuring a clear understanding of the issue is the way in which research involving principal preparation and development has been artificially segmented. Currently, under the umbrella of educational administration, principal preparation and principal development have been conceptualized as separate endeavors that have been delivered by different providers, focused on different outcomes, and therefore evaluated separately. Key word searches involving “mentoring” and “principal” or “school leader”; “coaching” and “principal” or “school leader”; or “development” and “principal” or “school leader” nearly exclusively result in a list of studies involving strategies employed by school districts, or to a lesser extent programs designed by state agencies. Alternately, key word searches involving “mentoring” and “aspiring principal” or “principal preparation”; or “coaching” and “aspiring principal” or “principal preparation”; or “development” and “aspiring principal” or “principal preparation” result in a list of studies involving university or alternative preparation program providers. This long-standing practice in research and policy has resulted in a bifurcated system that fails to capture and/or support the important transition from the classroom to the principal's office.

The artificial separation between the topic areas creates a gap in knowledge involving potential structures and processes that could provide a continuum of support for school leaders. The underlying assumption of this study is that the current practice of

separating principal preparation from principal development in research and policies inhibits a clear understanding of the development needs of school leaders and creates a barrier to the development of innovative designs.

Primary Research Questions

This case study transcends the traditional divide between principal preparation and principal development by exploring a single combined mentoring model that spans from the pre-service through the early in-service career phase of school leaders. It addresses the following research questions, which have been informed by the review of the literature:

1. How are the key elements and characteristics of mentoring operationalized into a combined principal mentoring model that spans pre- and in-service phases of development?
2. To what extent can similarities be identified between the pre- and in-service components of a combined principal mentoring model?
3. To what extent can differences be identified between the pre- and in-service components of a combined principal mentoring model?

By clearly defining how the characteristics and elements of a combined principal mentoring model are operationalized, this study presents a significant re-thinking of mentoring theory as it pertains to principal preparation and development. This study contributes to the field by providing a well-defined framework that can be used to produce greater conceptual clarity for principal mentoring research and transcend the artificial divide between preparation and development. Further, this study explores inferences for programs that can be drawn from the finding of the similarities and

differences in the pre- and in-service components of the mentoring model.

Significance of the Study

Universities and districts across Illinois have recently begun to implement new principal preparation and development programs in response to statutes enacted by the Illinois General Assembly and regulated by the Illinois State Board of Education (ISBE) and the Illinois Board of Higher Education (IBHE). In fact, the Illinois State Educator Preparation and Licensure Board, which regulates the approval of principal preparation programs, began accepting applications under the new regulations in the spring of 2012 (ISBE, 2012). Many of the principal preparation programs, approved by the Licensure Board under the new requirements, began implementing their newly redesigned programs in the fall of 2013 (Baron & Haller, 2014). All approved programs in Illinois are a minimum of two years in duration (Klostermann, Pareja, Hart, White & Huynh, 2015). Therefore, the first cohorts are just now beginning to complete redesigned preparation programs and begin their careers as principals. While the State mandates mentoring support be offered in both the pre- and in-service phases of principal development, how universities and districts develop mentoring components is largely left to the individual institutions to determine for themselves. The underlying assumption in the statutes is that universities are responsible for designing and delivering the mentoring component in the pre-service phase and districts are responsible for the in-service phase. However, there is no language that prohibits the creation of a combined mentoring model that spans from the pre-service to in-service phase. Exploration at this stage of policy implementation can provide the field with a better understanding of how a comprehensive combined principal mentoring model can help bridge the transition from preparation program into one's early

principal career phase. It is important that the counter narrative be explored before the established and artificial divide between pre- and in- service mentoring becomes an entrenched organizational norm throughout the state. Bridging the gap between phases is crucial, because the transition from the classroom to school leader is an extremely challenging endeavor (Armstrong, 2012; Daresh & Playko, 1992). This study demonstrates how a comprehensive mentoring component succeeded in bridging the transition and provided comprehensive support across the two career phases.

Scholars have established that aspiring and new principals need a formalized method of support that encourages reflection and builds capacity (Sciarappa & Mason, 2013; Silver, Lochmiller, Copland, & Tripps, 2009). Further, Browne-Ferrigno and Muth (2004) assert, “role socialization involves the often unsystematic acculturation of people to new normative and performance expectations through socially constructed activities” (p. 469). In other words, the transition process from the classroom to the principal’s office requires something more than the traditional model of transmitting technical knowledge and developing skills through induction training. In two related experimental studies, researchers found that mentoring significantly improved principals’ ability to collaborate with teachers on improvement efforts and provided them with an opportunity to demonstrate competency in leadership practices linked to improved student learning (Bickman, Goldring, DeAndrade, Breda, & Goff, 2012; Goff, Guthrie, Goldring & Bickman, 2014). Additionally, there are numerous studies citing a variety of evidence on the positive impact of mentoring, all of which suggests principals greatly value the practice in various phases of their careers (Anderson & Anderson, 2005; Bloom & Krovetz, 2009; Barnett & O’Mahony, 2008; Browne-Ferrigno & Muth, 2004; Daresh,

2004; Fletcher & Mullens, 2012; Goff, Guthrie, Goldring & Blickman, 2014; Mitgang, 2007; O'Mahony & Barnett, 2008; Rhodes, 2012; Sciarappa & Mason, 2012; Silver, Lochmiller, Copland, & Tripps, 2009, Shoho, Barnett & Martinez, 2012; Weingartner, 2009; Young, Sheets & Knight, 2005).

The literature review in Chapter Two is broken down into two focus areas; one that provides context and the other demonstrates the need for this case study. The literature review begins by providing an overview of current research on the role of the school principal. It provides an outline of where research on principal mentoring is positioned within a larger body of literature on educational administration; as a subcategory of principal preparation and development. The exploration and positioning of the literature illustrates a current gap involving both the role of the principal and principal mentoring. Secondly, the literature review will describe how scholars have conceptualized the principalship, over time. That body of literature will be used to establish how the principal position has become more complex, responds to ever-increasing expectations, and requires a wide range of knowledge, skills, and abilities to navigate the conflicting pressure to be both “maintainer of stability and agents of change” (Cuban, 1988, p. 61). The complexity of the position has led many policy-makers to the conclusion that mentoring programs are needed to support the development of school leaders (Bottoms & O'Neill, 2001; Brown & White, 2010; ICPEA Special Task Force, 2007; Illinois PA 094-1039; Illinois PA 096-0903; Illinois School Leader Advisory Council, 2015; Illinois School Leader Task Force, 2008; Levine, 2005).

Scope of the Study

This case study explores the mentoring component of the Urban Education Leadership program at the University of Illinois-Chicago (UIC). The university is a public research institution located in the heart of the City of Chicago. The College of Education, where the Urban Education Leaders program is housed, offers bachelors, masters and doctoral degree programs. Its mission clearly states that the college “strives to prepare the next generation of educators, educational leaders, and educational researchers to establish equity in Chicago Public Schools” (UIC, 2014). To that end, UIC highlights the following statistics: one in 11 CPS schools is led by a UIC-trained principal and one in seven CPS students are taught by UIC teachers (UIC, 2014). Therefore, it is not an overstatement to argue that UIC is a major contributor to the pipeline of qualified educators for public schools in Chicago. CPS is the third largest district in the U.S., with 664 schools and nearly 400,000 students (Chicago Public Schools, 2015).

The Urban Education Leaders (UIC-UEL) program, which prepares aspiring principals for CPS and other school systems, is a multi-year program leading to an Ed.D. degree. Aspiring principals in the UIC-UEL program complete an intensive full-time/full year internship during their 18 months of their program. Candidates then secure school leadership positions within the Chicago Public Schools and continue with their Ed.D. course of study. The UIC-UEL program provides mentoring support during the internship phase (year one of the program) and then for an additional three years (beyond the initial pre-service phase) as candidates work in schools in administrative positions (UIC, 2012).

The mentoring component of the UIC principal preparation program has been in existence for over a decade, and many of the recommendations made by the Illinois School Leader Taskforce were mirrored after the UIC program structure, including the mentoring component (Baron & Haller, 2014). Despite the fact that UIC's previous principal preparation program was somewhat tightly coupled to the new State regulations, UIC faculty still made significant modifications to their original program design. Those changes were highlighted in the application for approval submitted to the Illinois State Educator Preparation and Licensure Board (UIC, 2012).

This study examines the pre-service mentoring separately from the in-service mentoring component. The rationale for segmenting the two mentoring components is that each is mandated through different statutes, and concern different career stages. While the UIC-UEL mentoring component is a single program that spans the developmental continuum from the aspiring principal (pre-service) phase through the novice principal phase (years one through three in-service), the proposed study will examine mentoring in each phase separately to better explore the extent of similarities and differences in structure and the delivery of mentoring support at the different phases. Findings from the separate lines of inquiry will be used to clearly define the combined mentoring model and determine the extent of inferences that can be drawn for programs that deliver principal mentoring. The UIC program provides a unique case to study because it is one of only two programs in Illinois that provide a combined mentoring model that attempts to bridge pre- and in-service career stages. Exploring the implications of similarities and differences during these two phases of development

further informs the field and provides an example of an innovative approach that bridges the current divide found in the literature on principal mentoring.

Limitations and Delimitations of the Study Design

This study specifically addresses a gap in the literature: the dearth of research on programs that bridge the pre- and in-service phases of development for school leaders. The study provides a rich description of a combined mentoring model that transcends the current divide between principal preparation and principal development.

One selection criterion established by the researcher greatly limited the existing pool of 26 approved principal preparation programs in Illinois. That single criterion required programs to provide mentoring support to both pre-service and in-service principals. That requirement narrowed the pool of potential programs from 26 to two. The requirement that in-service mentoring be included was central to the purpose of the study, which involves exploration of a combined mentoring model that spans from pre-service to in-service. The two potential programs were further narrowed to a single case because one included processes and tools they consider to be proprietary in nature and therefore they were unwilling to disclose enough information to adequately explore their mentoring model.

Therefore, the biggest limitation of this study is the sample size of one. The single case study design somewhat reduces the generalizability of the findings. However, Stake (1995) argues, “the real business of case study is *particularization*, not generalization. We take a particular case and come to know it well... There is emphasis on uniqueness” (p 8). Merriam (2009) echoes Stake, stating that generalizability, in a statistical sense, is never the goal of qualitative research (p 77). In this case, the ultimate

goal is to provide a greater understanding of how one university has responded to new state mandates by designing a combined mentoring model. Willis (2007) maintains that “meaning resides in the context, and it cannot be completely removed from it. Therefore, any conclusions must be made with the context fully in mind” (p 222). Put plainly, it is up to the reader to determine the transferability of the study and to decide if the context is similar enough for one to assume applicability to another specific situation. While a sample size of one does limit the generalizability, it also adds value by minimizing variability that could otherwise be attributed to difference based on organizational culture or structure if multiple providers were involved.

The data sources involved in the study could also be viewed as a limitation. While a great deal of analysis was completed using program documents, the study also relies heavily on data from interviews and a survey. The nature of self-reporting can somewhat diminish the reliability of the data. However, the process of data analysis included in the study involves triangulation of three data sources, mitigating threats to validity to the extent possible.

It is also important for the reader to understand the delimitations of this study. The qualitative examination of a single combined principal mentoring model does not attempt to shed light on the efficacy of the practice. Also, there are no comparisons made to other programs that may or may not provide similar mentoring support to principals, and no recommendations are made involving the scalability of the combined principal mentoring model. Further research may shed light in these areas. However, they are outside the boundaries of this study.

CHAPTER TWO

LITERATURE REVIEW AND CONCEPTUAL FRAMEWORK

Review of the Literature

*Principal observations are like trying to catch lightning in a bottle.
Non-observable aspects that are the essence of the job are often where
complexity lies. They are also the hardest to tease out in research.*

—Matthew Clifford

Research on Principals

Currently there exists a rather stark dearth of empirical research on the school principal in peer-reviewed journals. Despite growing awareness of the pivotal role played by the principal in school improvement, research on teacher preparation, induction, support and development is disproportionately represented in the literature. There are several reasons for this, not the least of which is that teachers are ubiquitous in school and therefore allow for greater access. However, that is not the sole reason that researchers largely overlook the principalship as a unit of study. Current structures evident in professional associations, publications, policies and practices perpetuate the lack of attention paid to principals by researchers (Haller, 2015).

The American Education Research Association (AERA) is the largest professional association dedicated to educational research in the United States. With more than 25,000 members, representing more than 85 countries around the world, AERA is organized around various research areas, represented by 12 Divisions and over

150 Special Interest Groups (SIG).¹ Divisions within AERA are purposefully broad, while corresponding SIGs allow members to focus on more specific research topics within each Division. Research involving school principals is currently located in AERA Division A, which encompasses a wide variety of district and school leadership positions, structures, programs, policies, processes, and practices. It involves explorations of a variety of roles, from school board members, superintendents, district administrators, principals, assistant principals, deans, department chairs, curriculum specialists, coaches, teachers, paraprofessionals, ancillary staff, etc. Unlike Division K, which focuses exclusively on the role of teacher, there currently exists no Division exclusively dedicated to the pivotal role of principal.

In addition to the omission of an exclusive area of focus on principals in the AERA Division structure, no SIG exists that is dedicated to research on principals or even the more general area of school leadership. There is a “Teaching and Learning in School Leadership” SIG that focuses on preparation of teacher leaders and principals, and also the higher education organizational structure and practices of programs that prepare candidates for those roles. There also exists a “Leadership for Social Justice” SIG group. However, in that case the term “leadership” is not used to signify a role, but rather the broad base of advocacy positions and actions that can be taken to support a social justice focused approach to education. Despite the mention of principal and leadership in the title of those two SIG groups and other SIG topic areas that might touch on the role of the principals, there currently exists no SIG group specifically focuses on the role of the principal, or explicitly on best practices in supporting the development of principals

¹ <http://www.aera.net/AboutAERA/WhoWeAre/tabid/10089/Default.aspx> accessed on 9/9/15.

throughout their career.

The absence of an explicit focus on the principalship is also evident nationally in terms of state policies. In a recent report by Paul Manna (2015), he argues that despite growing recognition of principal impact on school and student outcomes, policy makers also tend to overlook the needs of the specific role. “The principal’s role has received consistently less attention relative to other topics on state education policy agendas. State policymakers give much more attention to teachers and teacher-related issues than principals” (p. 3).

Exacerbating the problem is the tendency of policy makers to either combine strategies aimed at teacher and principals, or included principals in strategies aimed at a multitude of roles that constitute the broader term *leader*. “The impulse to broaden the scope of ‘school leadership,’ although done for understandable reasons, has had the unintended consequence of obscuring the unique and specific role that principals play” (Manna, 2015, p. 3). By combining teacher and principals or school leaders into a single focus area, policy makers minimize the unique role of the principal and obfuscate outcomes involving effort to support their development. In other words, because of the disproportionate number of teachers targeted by this kind of policy or program, only those that produce positive outcomes for teachers are likely to be deemed successful and/or those that produce positive outcomes for principals may be unrecognizable from the larger impact on teachers.

The absence of a specific research agenda aimed at supporting the role of the school principal is also mirrored in federal policy and programs. The Institute of Education Science has a research area for *Effective Teachers and Effective Teaching*, but

the area that includes research on principals falls into the more broadly conceptualized topic of *Improving Education Systems: Policies, Organizations, Management, and Leadership*.² Thus research on strategies to improve principal effectiveness must compete within a single funding category with studies on: federal, state, local and building level policies; state education agencies, local education agencies, teachers unions, professional associations, and other education organizations; state, school or other management structures; and a whole host of roles that could fall under the broad category of leadership (e.g. school boards, superintendents, district administrators, school leadership teams, teacher leaders, etc.). The U.S. Department of Education has one small discretionary grant program dedicated specifically to principals: the *School Leadership Program* in the Office of Innovation and Improvement. However, that program does not accept grant applications on an annual basis and is subject to federal legislative appropriation. More typically, the department allocated program and research funds aimed at supporting principals under a broader topic area of *Teacher and Leader Effectiveness* (e.g. Title 1, Supporting Effective Educators Development program, included in the Elementary and Secondary Education Act, etc.)³

The current AERA focus areas, along with state and federal policies and programs, reflect the serious dearth of research on principals. Basic keyword searches of educational research databases reflect the lack of attention paid to principals in general and principal mentoring in particular. Table 1 below outlines keyword searches, using Boolean language, performed in three large databases: WorldCAT, Academic Search

² <http://ies.ed.gov/funding/> accessed on 9/15/15.

³ <http://www2.ed.gov/admins/tchrqual/learn/tpr/index.html> accessed on 9/8/15.

Complete, and ERIC. The initial search was designed to compare all publications available that focus on school principals vs. teachers. Data indicate that studies focused on the role of principals are a small fraction compared to research on teachers, and more specifically there is a dearth of articles more narrowly focused on principal mentoring.

Table 1. Database Keyword Search Results for Principal vs. Teacher

Database	Teacher	Principal	Teacher & Mentoring	Principal & Mentoring	Principal & Mentoring & Exclude Teacher
WorldCAT	870,739	55,710	4,668	608	348
Academic Search	357,055	14,174	3,334	288	165
ERIC	328,881	12,635	3,342	262	135

Keywords searches involving terms school principal and mentoring were further pared down by excluding the keyword teacher. This removed studies that explored the principal's role in mentoring new or struggling teachers (see far right column in Table 1 above). Of the 348 publications cited by WorldCAT as focused on principal mentoring, only 242 involved principals working in schools and only 202 of those were published in English. Of the 202 English publications on principal mentoring, 136 focused exclusively on mentoring principals in the in-service phase, while 22 focused exclusively on mentoring aspiring principals in preparation programs. Only 12 presented research on principal mentoring in both the pre- and in-service phases.⁴ However, none of the 12 explored a combined principal mentoring model that spanned from the pre-service into the in-service phase. In fact, ten of the studies that explored both phases of principal

⁴ These totals do not add up to 202 because some of the publications cited did not focus exclusively on principal mentoring in principal preparation or development, but rather mentoring involving a wide variety of roles (e.g. superintendents, district administrators, assistant principals, teachers or students), or included mentoring aimed at efforts to implement a specific program or curriculum.

mentoring intentionally separated the pre-service component from the in-service component. This separation was reflected in a variety of ways, including: book chapters by different authors studying different mentoring programs; disconnected sections of reports with recommendations aimed at different audiences (universities or districts); or use of data collected from participants in the in-service phase regarding their perceptions of pre-service support. Furthermore, most studies failed to provide enough detail to define a mentoring model, and none of the 12 studies that explored both pre-service and in-service phases were published in peer reviewed journals. Therefore, this study found no evidence of existing research on a combined principal mentoring model that provides a continuum of support across the pre-service and in-service phases of development.

Why should the lack of attention paid to principals by researchers and policy makers be of concern? Because a principal can act as a multiplier of effective practices in areas shown to improve school and student outcomes (Manna, 2015).

Principal Impact on Student Achievement

Over the past few decades, scholars have produced a growing body of research that indicates the powerful impact effective principals have on school improvement and student learning (Bryk, Sebring, Allensworth, Luppescu, & Easton, 2010; Grissom, Kalogrides, & Loeb, 2015; Khademian, 2002; Leithwood, Seashore Louis, Anderson, & Wahlstrom, 2004; Lewis, Leithwood, Wahlstrom, & Anderson, 2010; Moore 1995; Spillane, 2006; Waters, Marzano, & McNulty, 2003). In their 2003 study, Waters, Marzano, and McNulty identified several leadership practices that were shown to significantly increase student achievement. Additionally, they demonstrated how an ineffective principal could negatively impact student achievement. Research by

Leithwood, Louis, Anderson, and Wahlstrom (2004) found that the actions of the principal are second only to teacher quality in terms of impact on student achievement and six years later in another research study, they again demonstrate the importance of effective leadership on student outcomes (Louis, Leithwood, Wahlstrom, Anderson, Michlin, & Mascall, 2010). Further, scholars have found that quality instruction throughout an entire school building, rather than isolated pockets of excellence, is virtually impossible without the leadership of a well-trained, effective principal (Hallinger & Heck, 1996; Institute for Educational Leadership, 2000; Leithwood, Anderson, & Wahlstrom, 2004; Waters, Marzano, & McNulty, 2003; Witziers, Bosker, & Kruger, 2003).

In their 2004 study, Leithwood, Anderson and Wahlstrom found that effective principals were able to identify priorities areas and implement strategies within the individual school context that increase student learning. The school principal is vital to the recruitment, development, and retention of effective teachers; creating a school-wide culture of learning; and implementing a continuous improvement plan aimed at increasing student achievement (Clifford, et al., 2012; Darling-Hammond, et al., 2007; Hallinger & Heck, 1998; Institute for Educational Leadership, 2000; Leithwood & Duke, 1999; Leithwood et al., 2004; Marzano, Waters, & McNulty, 2005; Murphy, et al., 2006; Pounder, Ogawa, & Adams, 1995). Further highlighting the importance of the principal, research by Bryk, Sebring, Allensworth, Luppescu, and Easton (2010) argue that school leadership is an essential part of a comprehensive set of school practices and conditions that when combined positively contribute to school improvement. While it has been widely accepted that instructional quality is the single most important school-based factor

leading to student achievement (Darling-Hammond, 2000), it is through effective school leadership that quality instruction can be scaled school-wide (Bryke, et al. 2010). In other words, “principals, through their actions, can be powerful multipliers of effective teaching” (Manna, 2015, p. 15).

Principal Mentoring

To support the growing interest in mentoring by policy makers, scholars have produced a large and growing body of research on mentoring in educational settings (Fletcher & Mullen, 2012). In fact, researchers have focused attention on a multitude of aspects of principal mentoring: benefits of principal mentoring (Elmore, 2003; Lovely, 2004; Stein & Gerwirtzman, 2003; Young, Crow, Murphy, & Ogawa, 2009); qualifications and characteristics of principal mentors (Allen, 2008; Bloom, Castagna, Moir, & Warren, 2005); how to mentor (Bloom, et al., 2005; Gray & Lewis, 2011; Dubin, 2006); how to receive mentoring (Cunningham, 2007); and the impact of mentoring (Huang, Beachum, White, Kaimal, Fitzgerald, & Reed, 2012; Jiang, Patterson, Chandler, & Chan, 2009). However, there is currently an absence of research that explores principal mentoring through the transition from the aspiring to the novice phase of principal development. The reason for that gap is in part due to the positioning of principal mentoring research as a subcategory of educational administration, and the fact that from there it is a distinct divide between literature on pre-service mentoring and in-service mentoring. Over the past decade, numerous scholars, such as Allen and Eby (2007), Daresh (2004), and Sanzo (2014), have published studies that explore principal mentoring in different developmental phases. However, their approach retains the separation of pre- and in-service by exploring the different phases separately, without any

comparative analysis between the two. Their approach ignores the interconnection between the two phases of development and the crucial transition between them.

From the larger body of research on educational administration, principal mentoring is situated as a component within the areas of pre-service preparation *or* in-service development of school leaders. In addition to ignoring any possible interconnection by separating principal preparation from principal development, the positioning of principal mentoring as a subcategory of principal preparation further limits the number of studies focused exclusively on the mentoring component.⁵ Many studies involving pre-service principal mentoring are focused more broadly on the entire principal preparation program (e.g. candidate selection, coursework, internship, mentoring, assessment, certification, etc.) Figure 1 has been created to illustrate how principal preparation and principal development are currently segmented one from the other, within the categorization structure emerging from the current literature. It also illustrates specifically where this study is positioned in the current body of research and how it bridges three areas. Researchers that study public policy often warn of the dangerous isomorphic tendencies perpetuated by traditional practices that ignore or stifle alternative or innovative solutions (Roach, Smith, & Boutin, 2010). This study breaks with tradition by transcending the somewhat arbitrary divisions found within the current literature.

⁵ Scholars Shoho, Barnett & Martinez (2012) and Anast-May, Buckner & Greer (2011) have begun to explore the role of mentoring as a separate component from preparation program. However, their analysis focuses solely on the pre-service phase and is limited by subjective assessments of impact and satisfaction by only those that received mentoring support.

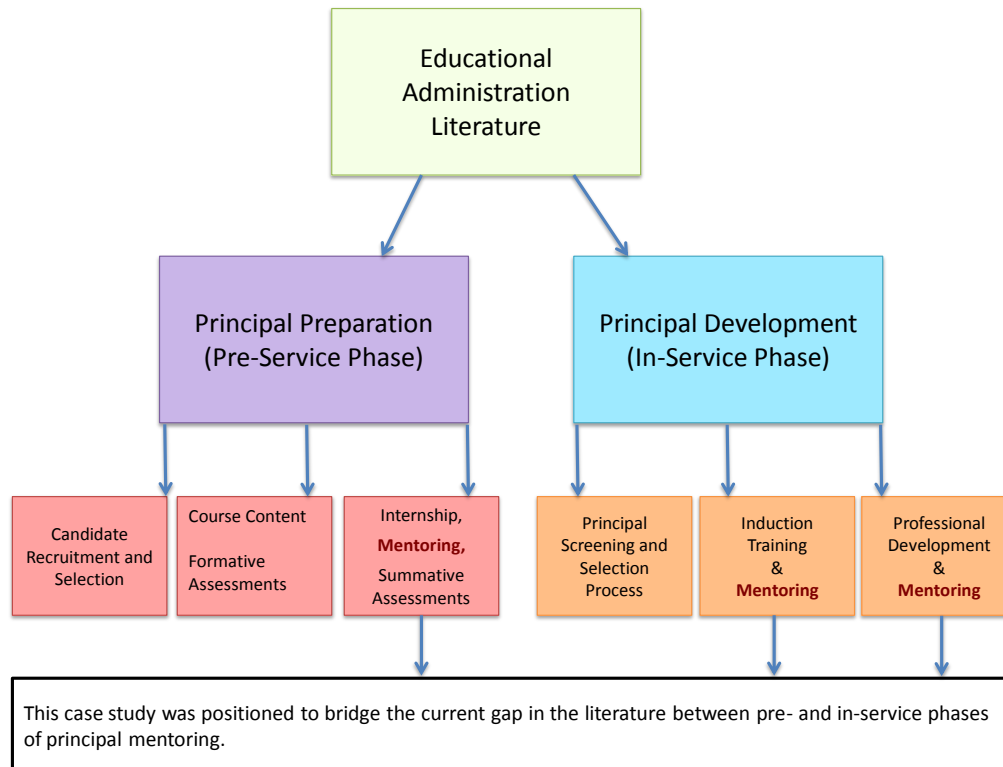


Figure 1. Positioning of the Case Study Within Educational Administration Literature.

The positioning of principal mentoring results in a gap in the literature, where principal preparation (the pre-service phase) is separated from principal development (the in-service phase). Studies involving principal mentoring for novice principals are positioned as a subcategory of principal development and are focused on the induction of principals into the profession by the school district. Studies involving principal mentoring for aspiring principals, on the other hand, are primarily positioned within the larger research area of principal preparation and are focused on certification programs delivered by universities. In large part, research studies that fall under categories on the left side of Figure 1 focus primarily on how universities have approached these areas, while research

studies that fall under categories on the right side focus on districts approaches to developing their school leaders. It is the viewpoint of this study, that this artificial divide limits understanding of principal mentoring by ignoring the interconnection between the two phases of development and further, it discourages the exploration of a comprehensive mentoring approach that spans the developmental continuum.

While it could be argued that the larger body of literature on educational administration bridges the gap between the pre-service and in-service phases of development, a thorough exploration of research produced no evidence that any study in educational administration has focused exclusively on the mentoring component of one program that spanned the continuum in an attempt to bridge the pre-service and early in-service phases of principal development.⁶ The reason for this appears to be the positioning of principal mentoring as a secondary subcategory of educational administration that is further divided between principal preparation and principal development.

Adding to the bifurcated approach of research on principal mentoring is the difference in target audiences that further exacerbates the divide. Common platforms for studies involving novice principals are journals aimed at assisting district administrators in their efforts to design and/or implement induction training and support systems. Empirical studies of principal mentoring do exist, but are scant (Lashway, 2003; Murphy, 2006), or are narrowly focused on exploring the impact of district-level efforts aimed at leadership development in general (Peterson, 2002). These studies routinely ignore the

⁶ Studies found in educational administration research that have involved mentoring for school leaders consist primarily of anecdotal stories or basic descriptions of programs that include mentoring as one of the components within the larger preparation program (Hess & Kelly 2005).

connection between novice principals and their principal preparation program. Similarly, studies of pre-service principal mentoring typically explore the effectiveness of graduate-level principal preparation in isolation from the in-service phase, or explore principal preparation as a whole and not exclusively the mentoring component (Darling-Hammond, et al., 2007; Glassman, Cibulka, & Ashby, 2002; Murphy & Vriesenga, 2004; Orr 2003).

Given the interest and recent policy mandates focused on principal mentoring, it is essential at this time for scholars to attempt to transcend the current structure and explore the topic in a cohesive and connected manner. This case study bridges the void that divides the two areas, as illustrated in Figure 1. Currently missing from the body of literature on principal mentoring are studies that explore whether or not mentoring is different at different career stages as well as those that examine efforts to bridge the transition between distinct developmental stages through an intentionally constructed combined mentoring model. Therefore, two primary factors drive the need for this research: (1) to address the gap in literature on principal mentoring involving multiple career stages and (2) to further understanding on how a program can be constructed in such a way as to bridge the gap between pre-service and in-service principal mentoring.

The Illinois policy context provides a unique opportunity to explore in-depth how one program has responded to mandates by creating a mentoring component that spans the developmental continuum from the aspiring phase through the novice principal phase.⁷ This study examines the process of principal mentoring in pre- and in-service

⁷ IL PA 96-0903 mandates principal preparation programs include a mentoring component and IL PA 94-1039 mandates mentoring for all new principals in the State.

phases separately, but also explores how the two phases are linked through a combined mentoring component, whereby each phase influences and is influenced by the other.

Mentoring as Part of Principal Preparation and Development

Why focus on principal preparation and development? Scholars have long criticized principal preparation programs for providing programs that do not adequately prepare school leaders for the realities of today's schools. Critics have argued that traditional preparation programs that rely on coursework alone often fail to link theory with practice, do not reflect the complexities and demands of today's schools, and largely ignore research on leadership development (AACTE, 2001; Copland, 1999; Elmore, 2000; IEL, 2000; Lumsden, 1992; McCarthy, 1999; Murphy & Vriesenga, 2004; Trapani, 1994). In a national survey, 67% of principals surveyed claimed, "typical leadership programs in graduate schools of education are out of touch with the realities of what it takes to run today's school" (Frakas et al., 2003, p. 39).

A scathing report in 2005 by former President of Teachers College at Columbia University, Art Levine, proved to be a catalyst for increased attention nationally to the preparation of school leaders. The Levine Report (2005), as it became known, scrutinized university-based principal preparation programs based on a four-year study of leadership programs at schools of education across the country. The study found that the majority of principal preparation programs suffer from curricular disarray, low admissions and graduation standards, weak faculty with no experience in schools, inadequate clinical instruction, inappropriate degree structures, and lacked a clear research-base. In fact, Levine described the work of education leadership programs as "a race to the bottom," that existed as "a competition among school leadership programs to produce more

degrees faster, easier, and more cheaply” (p. 24). Of the over 500 schools and departments of education offering degree-granting graduate programs for school administrators at the time of the study, Levine reported that he could locate only a small number of strong programs in the United States, although none were considered exemplary.

The release of the Levine report depicting the dismal condition of principal preparation across the country increased the sense of urgency for educators across the country to improve their training programs. Universities, school districts, state departments of education, and the U.S. Department of Education all turned their attention to improving the ways in which school leaders were prepared. As a result, expanded pre-service internship requirements designed to provide intensive and relevant experiences for aspiring principals have become a new orthodoxy in school reform. Since then, empirical research on education leadership preparation has identified specific university practices that have been found to improve student achievement (Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007). According to that study, one of the most effective principal preparation features includes providing support to students in cohorts by expert mentors with successful experience as a school principal.

Attention paid to principal mentoring has increased as research has established that knowledge transmission and learning is not isolated to traditional structures of coursework, training or even internship experiences (Gheradi & Nicolini, 2000; Farlane, 2006). Scholars argue that the traditional conceptualization of the process of knowledge transmission - that of a wise teacher lecturing an empty vessel of a student - does not fully capture the full exchange that occurs in the interaction between two individuals

(Bruner & Weinreich-Haste, 1987). Gheradi and Nicolini argue that knowledge transmission is a relational process that is situated within a context of practice. Further, Farlane (2006) echoes that knowledge “is always rooted in a context of interaction and acquired through some form of participation in a community of practice; and it is continually reproduced and negotiated, hence always dynamic and provisional” (p. 293). This research indicates that traditional preparation programs, including coursework and practica, do not alone ensure adequate preparation for principals. In addition, Bozeman and Feeney (2007) assert that principal mentoring is a knowledge transmission process that assists individuals in understanding how they apply technical knowledge and skills attained through formal training programs into demonstrated competencies designed to advance career development.

Armed with an a growing body of research indicating the impact leadership has on school quality, universities, school districts, state policy-makers, and the U.S. Department of Education recently began to focus attention on improving the manner in which programs prepare and develop school leaders (Darling-Hammond, et al., 2007; Illinois Council of Professors of Educational Administration, 2007; Illinois School Leader Taskforce, 2008; Murphy, 2006; U.S. Department of Education, 2002). Research indicates, in order to ensure aspiring principals develop the competencies necessary to positively impact student learning, they need to be provided with authentic learning experiences where they can learn to lead individuals and groups of teacher to improve instructional practices, effectively build and utilize leadership teams, and create a culture of student success. (Illinois Council of Professors of Educational Administration, 2007; Young, et al., 2007; Murphy, et al., 2008). Daresh (1992) goes further by asserting that

exposure to these types of learning experiences is necessary, but supervision that includes a mentoring component is critical to the development process.

Along with federal, state and local efforts aimed at developing rigorous certification requirements, mentoring support for school principals in the United States has become a new orthodoxy in leadership development. The process of *mentoring* in this context is understood as an experienced school leader providing professional support to an aspiring or novice principal. In spite of all the recent focus on the process of mentoring, it is not a particularly innovative strategy in the field of education. In fact, mentoring in education has been widely implemented and well documented as an effective practice for supporting the development of teachers (Aguilar, 2013; Guarino, Santibanez, & Daley, 2006; Hawkey, 1997; Ingersoll & Strong, 2011; Smith & Ingersoll, 2004). In those studies, scholars explored the role of mentoring as a mechanism to both professionalize new teachers and improve instructional practice. It is not surprising then that there has been a real push to apply similar methods to the preparation and development of school leaders (Barnett & O'Mahony, 2008; Daresh, 2004; Murphy, 2006; Rich & Jackson, 2005).

Policy Context for Principal Mentoring

The rise in popularity of mentoring as a strategy for developing aspiring and novice principals can be traced back to several recent state and federal initiatives, such as the U.S. Department of Education's School Leadership Program and Title II of the 2001 No Child Left Behind Act (NCLB). The School Leadership Program is a competitive grant program that has awarded funds to Local Education Agencies (LEAs) and Institutions of Higher Ed (IHEs) since 2003. One of the strategies recommended by the

grant is that organizations incorporate formal mentoring programs that assist high need districts in “training, and retaining principals and assistant principals” (U.S. Department of Education, 2012). The School Leadership Program was instituted in 2002 with an initial budget of \$10 million and has grown to a current budget of \$30 million annually, despite sweeping budget cuts to other education programs.

Title II, also provides incentives for mentoring programs. According to §2101 of NCLB, an explicit priority is to “provide grants to state education agencies (SEAs), local education agencies (LEAs), and state agencies for higher education ...in order to increase student academic achievement through strategies such as improving teacher and principal quality” (NCLB, 2001). Mentoring is an explicitly recommended strategy for improving teacher and principal quality under Title II. The investment made in these types of federal programs indicates both a priority to increase the number of mentoring programs across the country and the federal government’s perceived value of mentoring in preparing, developing, and retaining effective principals.

In addition to the aforementioned federal programs, a growing number of school districts and state education agencies have implemented one-on-one mentoring programs to support the preparation and development of new principals (Murphy, 2006; O’Mahony & Barnett, 2008). More than 32 states have taken steps to enact statutes or policies that mandate mentoring for school administrators⁸ (Daresh, 2004). Encouraged by the success of teacher mentoring programs (Ingersoll & Strong, 2011; Smith & Ingersoll, 2004;

⁸ In 2007, the Wallace Foundation with assistance from the National Association of State Boards of Education identified 26 states that have enacted mandates for mentoring of new principals. A freedom of information act request to the U.S. Department of Education for current data has not been responded to at this point. States applying for DOE Race to the Top Funds would include any enacted statutes requiring mentoring in their applications.

Guarino, Santibanez, & Daley, 2006; Hawkey, 1997), policy makers selected mentoring as a strategy they believed would have similar positive impacts on principals (IL PA 94-1039; Murphy, 2006; O'Mahony & Barnett, 2008). Policy initiatives involving mentoring for school leaders are premised on the underlying assumption that mentoring can be relied upon to assist principals in their development in the same way that mentors have assisted teacher in the practice of teaching (Barnett, 1995; Cohn & Sweeney, 1992; Daresh, 2004; Murphy, 1992). Despite the fact that principal practice is often not observable, the reflective nature of principal mentoring holds promise.

For more than a decade, stakeholders throughout Illinois have engaged in an effort to strengthen principal preparation and development strategies (Baron & Haller, 2014). As indicated earlier, in 2006, the General Assembly enacted Illinois Public Act 94-1039 (IL PA 94-1039), the New Principal Mentor Program. It requires that all new public school principals be provided with the services of a highly trained and qualified mentor.⁹ The statute establishes that the mentoring services shall be provided by qualified “statewide organizations, regional offices of education, higher education institutions, school districts, and others ...[that] meet the standards and criteria of the new principal mentoring program” (IL PA 94-1039). The mandated mentoring component was universally regarded by members of the Illinois School Leader Taskforce as essential to the process of transitioning new school leaders into the complex role of the principal (Illinois School Leader Taskforce, 2008).

Recognizing that induction support was only one part of the process of developing

⁹ The state statute establishes minimum qualification and training requirements for principal mentors.

a highly qualified pipeline of school leaders to fill vacancies expected in the coming years, the regulatory agencies increased their attention on the preparation phase of principals. Following the successful implementation of the New Principal Mentor Program, the Illinois State Board of Education (ISBE) and the Illinois Board of Higher Education (IBHE) adopted the recommendations of the Illinois School Leader Taskforce and urged sweeping changes to principal preparation and certification requirements to the Illinois General Assembly. Within the larger recommendation that programs preparing principals in Illinois be required to reapply under strict new regulations, was a mandate that these newly redesigned programs include a well-defined mentoring component during the year-long internship. The comprehensive recommendations made by ISBE and IBHE resulted in the enactment of Illinois Public Act 096-0903 (IL PA 96-0903) in 2010. Universities, K-12 districts, teachers' unions, professional organizations, and the business community worked diligently to come to consensus on increasing the rigor and relevance of principal training programs so that preparation programs routinely produce highly effective, transformational school leaders (Illinois School Leader Taskforce, 2008). IL PA 96-0903 represents the collective efforts of those stakeholders. Combined, IL PA 94-1039 and IL PA 96-0903 ensure that school leaders are provided with mentoring support in both the pre-service and early in-service stages of development.

Recent attention being paid to promising strategies for effectively preparing and developing principals can be attributed to the evolving role of the principal and the ever-increasing performance expectations placed on those in the position. Mentoring, borrowed from the fields of business and medicine, is viewed as a strategy that provides intensive one-on-one professional support aimed at preparing and acclimating aspiring

and novice principals to the ever-increasing demands of the job (Ehrich, Hansford, & Tennent, 2004). What follows is a summary of scholarship on the evolution of the role of the principal. It is included to provide an understanding of the complexity of the position and helps to establish the interest in principal mentoring across the developmental continuum.

Complexity of the Principal Role

The principal is frequently perceived by students, teachers and parents as the emotional trauma looming behind the door. —Kate Rousmaniere

As the quote above suggests, the role of the principal impacts, for better or worse, everyone involved in the school. The principalship represents authority, but it also represents responsibility. Over the years the principalship has grown more complex, with an ever-increasing list of responsibilities. Contemporary scholars of educational administration cite the role of the principal as having a major influence on instructional practice and the overall operation of schools (Beck & Murphy 1993; Brown 2005; Cuban 1988; Goodwin et al., 2005; Rousmaniere 2007). The role has evolved from building manager to a leader expected to direct school efforts toward addressing numerous entrenched social problems. Scholars have developed an understanding of the expectations for role of the principal by situating them within the broader context of public education in general. Contemporary education historian, Diane Ravitch, enumerates these expectations:

Americans have argued for more schooling on the grounds that it would preserve democracy, eliminate poverty, lower the crime rate, enrich the common culture, reduce unemployment, ease the assimilation of immigrants to the nation, overcome differences between ethnic groups, advance scientific and technological progress, prevent traffic accidents, raise health standards, refine moral character, and guide young people into useful occupations (quoted in

Brown, 2005, p. 82).

The quote above illustrates both the extremely high expectations and the complexity involved in managing multiple and often conflicting priorities based on the many expressed purposes of education. Within that complex environment, the principal is charged with managing the day-to-day functions of the school while at the same time ameliorating society's ills (Cuban, 1988). The principal, therefore, is required to simultaneously be a maintainer of the status quo as well as an agent of change (Goodwin et al., 2005; Kafka 2009; Pierce 1935; Rousmaniere 2007). The delicate balance between consistency and change is influenced by a wide variety of variables, the most pressing of these being the political and social context within which schools operate (Beck & Murphy 1993; Bogotch 2005; Brown 2005; Glass, Mason, Eaton, Parker, & Carver, 2004).

With very little research providing clarity in terms of how effective principals manage the many sources of influence, it is not difficult to understand why policy makers are interested in strategies such as mentoring that are believed to support school leaders in navigating the wide variety of expectations placed on schools. Because research has demonstrated that the principal can be a "powerful multiplier of effective practice" (Manna, 2015, p 15) and that school performance is positively correlated with the quality of the leadership (Leithwood, et al., 2004, Sebastian & Allensworth, 2010; Seashore Louis, et al., 2010; Tshannen-Moran, 2004), educational systems should adequately attend to the transition of educators from the classroom to the principal's office. Policy makers have begun relying more heavily on pre-service and induction programs to ensure that principals are well prepared for the pivotal leadership role in schooling, and

mentoring has been viewed as an essential component in both preparation and development. As indicated earlier, a critical component of the new requirements for preparing and developing principals in Illinois is the inclusion of a mentoring component. Policy makers believed that principal mentoring provides an opportunity for school leaders to reflect on the many conflicting priorities and factors of influence on their work and assists them in making sense of it all (Illinois School Leader Taskforce, 2008).

The tension between change and consistency is also found in scholarly critiques involving principal mentoring. For example, Grogan & Crow (2004) argue that the type of transformational learning expected of the mentoring process can be gained, but it is a challenge. They assert that universities alone cannot provide effective mentoring unless it is structured around opportunities for authentic learning in innovative environments that can only be gained through hands-on work in schools. Further, they argue that districts cannot be solely responsible for principal mentoring either, because districts are likely to reinforce the status quo. The assertion, made by Grogan & Crow (2004), highlights the tension between consistency and change. Mentors experience the same duality as the principals, in that they are expected to reinforce tradition and professional norms, while also promoting innovation and change, when necessary.

As previously noted, researchers have established that aspiring and new principals need a formalized method of support that encourages reflection and builds capacity (Sciarappa & Mason, 2013; Silver, Lochmiller, Copland, & Tripps, 2009), and that socialization into school leadership roles often involves formal and informal interactions with those involved in similar work (Browne-Ferrigno & Muth, 2004). In order to successfully transition from the classroom to the principal's office, a combined mentoring

model could provide a continuum of support for school leaders.

Conceptual Framework

It is unfortunate that at a time when educational reform efforts increasingly call for mandated mentoring for principals, there remains a lack of conceptual clarity around what exactly is meant by the term mentoring. In fact, the practice has become so ubiquitous that scholars argue, “mentoring is everywhere, everyone thinks they know what mentoring is, and there is an intuitive belief that mentoring works” (Eby, Rhodes, & Allen, 2007, p. 7). Further, Allen and Eby (2010) assert that an extensive review of mentoring literature indicated that mentoring research “exists in a state of developmental adolescence” where there is a rush to explore outcomes of mentoring absent a well-defined understanding of the phenomenon. Many scholars express similar concerns about the troubling lack of consensus in terms of a definition for mentoring, and it is important to note that these criticisms span several decades (Bozeman & Feeney, 2007; Crisp & Cruz, 2009; Dawson, 2014; Ehrich, Hansford, & Tennent, 2004; Grogan & Crow, 2004; Jacobi, 1991; Merriam, 1983; Shute, Webb, & Thomas, 1989; Wrightsman, 1981). Recently, Bozeman and Feeney (2007) argued, “mentoring research adds up to less than the sum of its parts; although there is incremental progress in a variety of new and relevant subject domains, there has been too little attention to core concepts and theory... Findings are abundant but explanations are not.” (p. 719-720).

Mentoring Theory

Mentoring has a long history as an educational process. In fact, it has been around since the time of Homer in ancient Greece and has continued throughout history in one

form or another (Allen & Eby, 2007; Daresh, 1995). Mentoring is not a new or particularly innovative approach to development. In current literature, there exists an abundance of research on mentoring that includes descriptions from a wide variety of settings, such as: (1) business (Anderson & Anderson, 2005; DeHaan & Burger, 2005; DuBrin, 2001; Goldsmith, Lyons, & Freas, 2000), (2) medical (Lear, 2003), (3) non-profits (Wilson & Gislason, 2010), (4) higher education (Nakamura, Shernoff, & Hooker, 2009), and (5) human resource (Valerio & Lee, 2005).

Many scholars have adopted a basic definition of mentoring established by Kathy Kram in 1983. According to Bozeman and Feeney (2007), Kram's article "is still the most frequently cited journal article on the topic of mentoring" (p. 721). In her seminal study, Kram (1983) establishes that mentoring involves a one-on-one developmental relationship between a more experienced individual (mentor) and a less experienced individual (protégé). Kram's work is so influential to this area of study that even now the vast majority of mentoring research involves this dyadic structure (Bozeman & Feeney, 2007). For better or worse, over time numerous scholars have applied Kram's (1983) basic conceptualization that mentoring involves a trusting relationship between someone with more experience guiding and developing someone with less experience (Barnett, 1995; Cohn & Sweeney, 1992; Daresh, 2004; Daresh & Playko, 1992; Johnson & Ridley, 2008; Kram, 1985; Metgang, 2007; Murphy, 1992; Young, Sheets, & Knight, 2005). Further, Bozeman and Feeney (2007) argue that while there have been some revisions and adaptations made to Kram's original definition, an extensive examination of the body of research reveals that "most of the branches connect to the same conceptual taproot" and that the application of an "imprecise concept" has resulted in both "conceptual

stunting” and “fragmentation of the literature” (p. 722).

It is unfortunate that after more than three decades and hundreds of research studies, mentoring theory remains in an emergent state. While Kram’s influence remains, the imprecise and under-developed nature of her conceptualization of mentoring has led to its application to a wide variety of settings and includes great variation in structures and practices. This has created great ambiguity in terms of how scholars have approached a definition of mentoring in academic literature. A comprehensive exploration of the existing body of research by Crisp and Cruz (2009) indicated that there were more than 50 distinct definitions of the process of mentoring. This is important because, as Merriam (1983) asserts, “how mentoring is defined determines the extent of mentoring found” (p. 165). Findings from studies utilizing such a wide variety of definitions for what is the core phenomenon explored makes meta-analysis virtually impossible.

Despite its wide application, Kram’s conceptualization of mentoring is so broad that it has been applied to countless practices and created a precedent that nearly any process of professional support could be justified as being described as mentoring. To find evidence of just how broadly Kram’s original conceptualization of mentoring has been applied, one needs look no further than the following examples. Studies that cite Kram (1983, 1985) include those that assert mentoring is not exclusively defined as a one-on-one relationship (Dansky, 1996; Eby, 1997), or that it must involve differential knowledge or experience between mentor and protégé (Chao, Walz, & Gardner, 1992; Ragins, 1997). Mentoring can be face-to-face or on-line (Bozeman & Feeney, 2007; Allen & Eby, 2007); it can involve mentors who are peers (Bozionelos, 2004; Kram & Isabella, 1985) or supervisors (Burke, McKenna, & McKeen, 1991; Eby, 1997; Tepper &

Taylor, 2003); it can demonstrate positive or negative outcomes (Ehrich, Hansford, & Tennent, 2004; Grogan & Crow, 2004) and it can be structured formally (Chao, Walz, & Gardner, 1992) or occur informally (Ragins, 1997). Further, while most scholars agree that the mentoring relationship is not a stagnant condition, but rather a dynamic process that moves through various stages, there is no consensus as to the number or identifying characteristics of the phases of mentoring (Barnett, 1995; Daresh & Playko, 1992; and Kram, 1985).

Defining Principal Mentoring

As previously mentioned, *mentoring* as a development strategy has been evident since ancient times. However, formal professional mentoring programs are a fairly recent phenomenon in education (Ehrich, Hansford, & Tennent, 2004). There currently exist at least two types of formal principal mentoring programs in education: those designed by universities for aspiring principals and those typically developed by districts aimed at supporting novice principals (Daresh, 1995)¹⁰. Aspiring principals are educators enrolled in principal preparation programs who will seek a principal position upon completion of their formal training. Novice principals are typically defined as educators completing their first year or two in the role of principal (Daresh, 1995). While scholars differ in their descriptions of the stages of mentoring, most agree that mentoring relationships evolve or progress along a continuum of development from “dependent, novice problem-solvers to autonomous, expert problem-solvers” (Barnett, 1995, p. 46). This concept is based on Leithwood and Steinbach’s (1992) framework that focuses on the cognitive development

¹⁰ An additional area includes mentoring as an approach to remediation for struggling principals. However, remediation is not a focus of this study and will therefore not be covered here.

of education leaders and explores how they make decisions and solve problems.

While supporting principal mentoring and acknowledging it as an effective strategy in supporting principals through the problem-solving and decision making process, Daresh (2004) cautions that mentoring has been viewed by policy makers “as a kind of panacea for dealing with many of the limitations often felt to exist in education as well as in many other fields” (p. 498). Other scholars, however, argue that mentoring may very well benefit participants in a wide variety of ways, including: (1) feedback on practice (Cohn & Sweeney, 1992); (2) career advancement (Kram, 1985); (3) self-confidence in management skills and communication (Barnett, 1990); (4) sharing ideas and problem-solving (Ehrich, Hansford, & Tennent, 2004); and (5) providing emotional support in the transition to a more challenging role (Kram, 1985).

Studies lacking a clear conceptual framework for principal mentoring are plentiful and therefore bring into question the popular belief in the positive impact of mentoring as a development process (Bozeman & Feeney, 2007). There remains a need for a clearly articulated conceptualization of mentoring that outlines the express purpose of the process and the specific design elements (Dawson, 2014). Further, Allen and Eby (2010) recommend that in addition to defining the term and its elements, researchers should attempt to differentiate mentoring from other common roles or processes of knowledge transmission. To that end, the following describes the framework that was utilized to conceptualize differences between mentoring, training and socialization, and provided a structure for clearly defining the combined mentoring model that was studied.

Mentoring Model Framework

Bozeman and Feeney (2007) assert “the term, mentoring shares ‘concept space’ with closely related phenomena...at its most elemental, mentoring is about the transmission of knowledge” (p. 724). Therefore, in order to begin to define what is meant by the term mentoring, it is important to first differentiate it from other common processes involved in the transmission of knowledge, such as training or socialization. In their review of mentoring literature, Bozeman and Feeney identify five specific characteristics that help to establish a unique definition for mentoring that sets it apart from other processes of knowledge transmission. The categories of training, professionalization, and mentoring are outlined in Table 2 below to indicate areas of divergence. This table can be expanded to include other processes that share “concept space” with mentoring, such as advising, counseling, coaching, or apprenticeship. But for the purpose of this study, it is limited to the most closely related roles associated with the combined mentoring model. The characteristics of processes for transmitting work-related knowledge were used in this case study as a framework to organize data. Table 2 below identifies the characteristics outlined by Bozeman & Feeney (2007) and the corresponding data sources used to provide a detailed description of the structure involved in the combined principal mentoring model in this study.

Table 2. Characteristics of Processes for Transmitting Work-Related Knowledge

	Formal Training (coursework, internship, professional development)	Professionalization/ Socialization (advising, peer groups, networks, professional associations, etc.)	Principal Mentoring (pre-service and in-service involving mentor and protégé/mentee) ¹¹ Sources of data used in this case study
Number of Participants	Infinite	Dependent upon specific group size and/or organization or industry	Program documents (program application, internal database report), semi-structured interviews with mentors and survey responses from students
Relationship	Authority mediated	Informal, typically involving unequal knowledge and experience	Program documents (program application, internal program database report), semi-structured interviews, survey
Recognition	All involved recognize their role	Does not require participant to recognize aspects of socialization	Semi-structured interviews with mentors and survey responses from students
Needs Fulfillment	Multiple, but must include organization or authority-derived objectives	Multiple, but must include group needs	Semi-structured interviews with mentors and survey responses from students
Knowledge Utility	Includes knowledge presumed relevant to attaining organization mission, goals or meeting formal job requirements	May or may not serve sanctioned work objectives, knowledge develops or reinforces group norms	Program application, internal database report, semi-structured interviews with mentors and survey responses from students

Adapted from Bozeman & Feeney (2007)

¹¹ The terms protégé and mentee are used interchangeably throughout mentoring literature. For example, Dawson (2007) uses the term mentee, while Bozeman & Feeney (2007) use protégé, however they both conceptualize the role as the primary target of the mentoring process.

While Table 2, establishes how mentoring differs from other processes of knowledge transmission, it is not a fully articulated definition of a mentoring model. Kram (1983) delineates the purpose of mentoring into two focus areas: career development (preparation for a specific role) and psychosocial (supporting the emotional transition to a more challenging role). Tenenbaum, Crosby and Gliner (2001) added another purpose to Kram's original framework: networking (the purposeful connection of professional contacts). Scholars researching mentoring have applied these focus areas extensively. While they can be effectively utilized in the initial analysis of mentoring data, they have been shown to be insufficient in developing an overall understanding of a well-defined mentoring model that establishes boundaries for a research study (Allen & Eby, 2007; Bozeman & Feeney, 2007; Dawson, 2014).

In an effort to address the previously referenced definitional concern, a study by Phillip Dawson (2014) sought to establish a set of key elements that helped define a specific mentoring model. Drawing on the growing body of research on mentoring, Dawson found sixteen key elements that indicate either implicit or explicit decisions made by program developers in the creation of a mentoring model. (See Appendix D for the research base for each of the key elements identified in Dawson's mentoring model framework.) The sixteen key elements include:

1. Objectives: The aim or intention of mentoring
2. Roles: Who is involved and what is their function in the mentoring relationship
3. Cardinality: The number of each sort of role involved
4. Strength: Intended closeness of the mentoring relationship

5. Relative Seniority: The comparative experience, expertise, or status of those involved
6. Time: Length of mentoring process and the regularity and quantity of contact
7. Selection: How mentors and mentees are chosen
8. Matching: How mentor relationships are composed
9. Activities: Actions of mentors and mentees in the mentoring process
10. Resources and Tools: Technological or other artifacts available to assist mentors and mentees
11. Role of Technology: The relative importance of technology in the relationship
12. Training: How the necessary understanding and skills for mentoring are developed in participants
13. Rewards: What participants will receive to compensate for their efforts
14. Policy: Set of rules and/or guidelines governing the mentoring process
15. Monitoring: What oversight is performed
16. Termination: How the mentoring relationship is ended

Dawson (2014) argued that researchers should move beyond trying to arrive at a uniform definition of mentoring and instead focus more on clearly defining each of the key elements that define a specific mentoring model. Dawson explored more than 30 research studies on mentoring that spanned nearly three decades. (See Appendix D for a list of sources corresponding to each element.) His study illustrated the wide variety in conceptual understanding by scholars of what constitutes mentoring and what elements

are essential to explore. Of the more than 30 research studies Dawson used to identify the sixteen key elements of mentoring, only three studies described more than one element, and none described more than two elements. The sixteen key elements of a mentoring model Dawson identified formed the foundation of a mentor model framework created for this case study. The analytic framework developed for this study combined Dawson's key elements of mentoring with Bozeman and Feeney's (2007) characteristics of knowledge transmission. The new framework provided an organizational system for data collection and analysis. Table 3 below identifies the key elements and characteristics of the mentoring model framework applied to this case study, along with the corresponding data sources used to provide a detailed description of the structure involved in the UIC-UEL combined principal mentoring model.¹² The combination of the key elements of mentoring and the characteristics of knowledge transmission provided structure for the detailed description of the UIC-UEL combined principal mentoring model.

Table 3. Mentoring Model Framework

Defining Key Element and Characteristic	Data Source(s)
<i>Objectives:</i> The aim or intention of mentoring	State statutes and rules, program documents (program application, internal database reports and documents, etc.) and semi-structured interviews
<i>Roles:</i> Who is involved and what is their function	State statutes and rules, program documents (program application, program roles and responsibilities, etc.) semi-structured interviews, and survey responses
<i>Cardinality:</i> The number of each sort of role involved	State statutes and rules, program documents, semi-structured interviews and survey responses

¹² In Chapter Four, data findings for each element are provided.

<i>Tie Strength:</i> The intended closeness of the mentoring relationship	State statutes and rules, semi-structured interviews and survey responses
<i>Relative Seniority:</i> The comparative experience, expertise, or status of those involved	State statutes and rules, program documents (data on candidate positions within the district, leadership coaches backgrounds, leadership coach job description, etc.), semi-structured interviews and survey responses.
<i>Time:</i> Length of mentoring process and the regularity and quantity of contact	State statutes and rules, program documents (program application, memo of understanding program timeline, etc.), semi-structured interviews and survey responses
<i>Selection:</i> How mentors and mentees are chosen	State statutes and rules, program documents (program application, student application form, interview protocols, scoring rubrics, etc.), semi-structured interviews, and survey responses.
<i>Matching:</i> How mentor relationship are composed	State statutes and rules, program documents (tools used to identify mentor and mentee strengths and weaknesses, internal database reports etc.), semi-structured interviews and survey responses
<i>Activities:</i> Actions of mentors and mentees in the mentoring process	State statutes and rules, program documents (program scope and sequence, internship plan, etc.), semi-structured interviews and survey responses
<i>Resources and Tools:</i> technological or other artifacts available to assist mentors and mentees	State statutes and rules, program documents, semi-structured interviews and survey responses
<i>Role of Technology:</i> The relative importance of technology in the relationship	State statutes and rules, semi-structured interviews and survey responses
<i>Training:</i> How the necessary understanding and skills for mentoring will be developed in participants	State statutes and rules, program application, and semi-structured interviews
<i>Rewards:</i> What participants will receive to compensate for their efforts	State statutes and rules, program documents and semi-structured interviews
<i>Policy:</i> Set of rules and guidelines governing the mentoring process	Illinois statutes governing - Principal Preparation and New Principal Mentoring; university program requirements, and Chicago Public School Principal Eligibility requirements

<i>Monitoring:</i> What oversight is performed	State statutes and rules, program documents, semi-structured interviews, and survey responses
<i>Termination:</i> How the mentoring relationship is ended	State statutes and rules, program documents, semi-structured interviews and survey responses
<i>Relationship:</i> The extent to which the relationship is authority mediated (formal or informal)	Program documents (program application, internal program database report), semi-structured interviews, survey
<i>Recognition:</i> The extent to which the parties involved understand their explicit role in the relationship	Semi-structured interviews with mentors and survey responses from students
<i>Needs Fulfillment:</i> The degree to which needs are fulfilled and the identification of whose objectives are met	Semi-structured interviews with mentors and survey responses from students
<i>Knowledge Utility:</i> The specific aim of increasing knowledge: personal growth, professional advancement, organizational improvement, etc.	Program application, internal database report, semi-structured interviews with mentors and survey responses from students

This case study is designed to provide a rich description of a combined principal mentoring model. The study presents a clear mentoring model framework that combines the characteristics of knowledge transmission (Bozeman & Feeney, 2007) with the key elements of mentoring (Dawson, 2014) to provide a clear picture of the specific combined mentoring model that spans from pre-service through early in-service. This approach provided the study with a well-defined framework for examining a mentoring model and establishes boundaries for the research.

Operational Definition of Principal Mentoring

The two Illinois regulations that mandate mentoring support for pre-service and novice in-service principals both apply similar definitions to the term *mentoring*:

“coaching, observing, and providing feedback to the participating principal on aspects of organizational management and guidance on improving their skills as an instructional leader” (§35.30 b3 and similarly in §30.40 a3 of the Illinois School Code).¹³ Clutterbuck and Megginson (1999) echo the definition set forth in the statutes and argue that mentoring is an essential strategy for preparing novice principals. They describe a view of mentoring as a combination of technical support and personal development through self-reflection. Though the specific terminology is different the conceptualization of those characteristics align well to what Kram (1983) had originally envisioned in a one-to-one mentoring process. Additionally, by applying an understanding of the characteristics identified by Bozeman and Feeney (2007) and the key elements defined by Dawson (2014), the following operational definition of *principal mentoring* is used in this case study:

A process for the formal transmission of knowledge, psychosocial support, and social capital acknowledged by both the mentor and mentee to be relevant to their careers as school leaders. Mentoring entails frequent, formal and informal communication, meetings primarily conducted face-to-face, over a sustained period of time, between two individuals with a pronounced differential in knowledge of and experience as a school principal.

Concepts drawn from Dawson (2014) and Bozeman and Feeney (2007) provide a framework from which this study describes the specific characteristics and organizational elements of the combined principal mentoring model. The broader conceptual framework is used to guide the development of a rich description of how those involved in the combined mentoring model have conceptualized their work and operationalized it

¹³ While mentoring is just one aspect of the larger preparation program requirements in Illinois PA 96-0903, this research study focuses exclusively on the mentoring component.

within the program.

A Note on Key Terms

As previously mentioned, the Illinois statutes that mandate mentoring support for pre-service and novice in-service principals utilize a similar definition of the term *mentoring*: “coaching, observing, and providing feedback to the participating principal on aspects of organizational management and guidance on improving their skills as an instructional leader” (§ Sections 30.10, 30.30(b)3 and 35.30(b)) in the Illinois School Code¹⁴ echoes the definition set forth in the statute and claims that mentoring is an essential strategy for preparing novice principals. The combined statutes and rules describe a view of mentoring as a combination of technical training (coaching) and personalized professional development and guided self-reflection.

While both Illinois statutes and previous research by Clutterbuck and Megginson (1999) and others place *coaching* as a subcategory of *mentoring*, much of the literature on leadership development applies the terms *mentoring* and *coaching* synonymously (Allen, 2008; Bloom, Castagna, Moir, & Warren, 2005; Bloom & Krovetz, 2009; Gross et al., 2009; Johnson & Ridley, 2008; Young, Sheets, & Knight, 2009). Other scholars purposefully separate the two terms (Barnett, Copland, & Shoho, 2009; Metgang, 2007). In the case of Metgang (2007), the term *coaching* is identified as different in terms of the qualifications of the person providing the support. For example, in coaching the person providing the service to an aspiring or novice principal is an experienced retired principal

¹⁴ While mentoring is just one aspect of the larger preparation program requirements in Illinois PA 96-0903, for the purpose of this case study, the mentoring component will be the exclusive focus of the research.

as opposed to mentoring, where the person providing the support is usually described as a peer that is currently serving as a principal in another school. A further definition of mentoring is found in DeHann and Burger (2005) and Lear (2003) who view *mentoring* as a therapeutic approach to behavioral management. Others come closer to a common understanding of *mentoring* as an individualized approach to professional development aimed at increasing the skills, knowledge and abilities needed to be an effective principal (Jiang, Patterson, Chandler, & Chan, 2009).

While the current focus on strategies designed to support the professional development of principals is clear, the issue of how to label the effort remains: *mentoring* vs. *coaching*? The etymology of the term *coaching* involves the field of sports with an emphasis on action or transformation. Coaching in sports has been conceptualized as training and direction aimed at improving performance (Valerio & Lee, 2005). In this sense, *coaching* does not capture the full extent of the purpose of *mentoring*. Therefore, for the purpose of this study, the term *mentoring* should be understood as a broader knowledge transmission process than *coaching*, in that it is not narrowly focused on activities but also includes knowledge development and an intentional focus on reflective practice. While this study utilizes the terms mentor/mentoring, it is important to note that UIC applies the terms coach/coaching to its model. Because the mentoring component is focused on specific behavioral indicators of effective school leadership and the measurable outcomes of the principal's actions, the UIC-UEL program prefers the term coaching over mentoring. However, since the Illinois statutes that regulate principal preparation and development use the term mentoring and define the term broadly enough to include aspects of coaching, and because the UIC mentoring component also involves

a broader set of characteristics of knowledge transmission than does coaching, this study chose to adopt the terminology utilized by the Illinois State Board of Education:

mentor/mentoring.

An additional complication to terminology in this paper arose from the language and definitions used by policy makers in state statutes and rules. Because the state regulations provide a foundation for examining the UIC-UEL program, citations from the statutes are found throughout the paper. For that reason, what follows is a brief description of terms that were used frequently and at times interchangeably throughout this case study. Consistency in terminology was not possible given the misalignment between the terms used in the governing regulations and the terms chosen and in common use by CPS and the UIC-UEL program.¹⁵

Definitions

Faculty Supervisor: (Synonymous with mentor or leadership coach) The state statute and rules governing principal preparation used this term to describe the role of the UIC-UEL mentor. This term was only used in this paper when citing regulations. At all other times, this role was termed UIC-UEL mentor or just mentor.

Internship/Intern: (Synonymous with residency/resident) The state statute and rules governing principal preparation used this term to describe the period of time in which an aspiring principal accomplishes a series of leadership activities required to complete the program. An intern is one who completes the internship.

Leadership Coach: (Synonymous with mentor) The UIC-UEL program applied

¹⁵ It should be noted that every effort was made to ensure clarity and consistency with use of terms involved in interview protocols and the survey instrument. Appendix B and C include copies of those instruments.

this term to the individual that meets the requirements for both faculty supervisor in a principal preparation program and a principal mentor involved in new principal mentoring.

Mentor: (Synonymous with leadership coach, faculty supervisor, or principal mentor) Aligned with the definition found in the Illinois statutes and with the research base for this study, the role of mentor is to provide development support to candidates in the UIC-UEL program.

Mentor Principal: (Synonymous with host principal) The state statute and rules governing principal preparation define this term as a qualified principal that hosts an aspiring principal during the internship phase of a principal preparation program.

Principal Mentor: (Synonymous with mentor or UIC-UEL mentor) The state statute and rules governing new principal mentoring use this term to define the role of the qualified person that provides support and guidance to principals during their first year in the position.

Resident/Residency: (Synonymous with internship/intern) UIC-UEL used this term to describe the period of time in which an aspiring principal accomplishes a series of leadership activities required to complete the program. A resident is one who completes the internship.

CHAPTER THREE
RESEARCH METHODOLOGY

Case Study Design

To explore a combined principal mentoring model, a descriptive case study methodology was employed (Yin, 2009). This methodology has also been described as an intrinsic case study by Stake (1995). Johnson and Christensen (2008) provide a concise definition of a case study of this sort, “research that provides a detailed account and analysis of one or more cases” (p. 406). The purpose of a descriptive or intrinsic case study is to further understanding of the distinctiveness of the case. In this type of study, the researcher does not attempt to control variables found in a specific context, but rather describe and understand the particulars of the case within its specific context.

The descriptive case study methodology was chosen as an approach to fully explore the complexity faced by an organization in its attempt to combine pre- and in-service principal mentoring into a single component aimed at bridging the transition between the two career stages. Without an existing body of research that examines this combined approach to principal mentoring, a descriptive case study was necessary at this point to provide a rich description and further understanding through a comprehensive analysis of the mentoring component. The purpose of this case study was to better understand the “shared experience” of the enacted State mandates and the response of one university by combining pre- and in-service mentoring into a single component

aimed at bridging preparation with early career development. This included exploring administrators' perceptions, beliefs, and judgments about how principal mentoring was understood in different phases of development (Schwandt, 2007). Yin (2009) suggests that a descriptive case study is an appropriate methodology for this type of research because it assists in furthering understanding of "phenomenon in depth" and encompasses "contextual conditions" (p. 18). Rich description is necessary in order to attempt to shed light on how individuals charged with designing and delivering the mentoring component actively reconstructs existing knowledge with new knowledge as they develop a new program. "Inundated with signals from their environment, people notice some and ignore most others, as they use the lenses they have developed through experience to filter their awareness" (Spillane, 2004, p. 7). To be clear, this study was not a program evaluation. However, findings from the study could be used to inform the program's continuous improvement process. The aim of the study was to identify, describe and explore the extent of similarities and differences in the design and delivery of the mentoring component at different career stages. This case study explored the underlying assumption that the combination of pre- and in-service principal mentoring into a single model, delivered by one organization, assisted the transition of the mentees from the aspiring to the early novice phase of development and increased principal effectiveness.

Because this study provided a comprehensive description of a single case, both qualitative and quantitative data (i.e. program documents, semi-structured interviews and survey instruments) were used to explore the organizational structure of the mentoring component and to understand how various similarities and differences were understood

by those involved in the process to bridge the transition from prep-program to novice principal. From an organizational perspective, this study explored the structures and processes that provided the rational organizing framework for the mentoring component in pre- and in-service mentoring. Comparative analyses of those frameworks were used to identify the extent of similarities and differences in the structure of mentoring in different phases.

In addition to examining the organizational structure of the mentoring component, the study explored how individuals charged with the design of the principal mentoring component interpreted policy mandates and other contextual factors and constructed meaning through the way they have approached the work in different phases of development. Individual, semi-structured interviews were used to determine how those charged with the design and delivery of the mentoring component understood implicit and explicit similarities and differences found in the different phases of development. By exploring the mentoring component from an organizational perspective as well as from the variety of perspectives of those involved, a better understanding of the phenomenon could be found (Willis, 2007).

According to Kvale (1996), researchers employ a phenomenological paradigm when trying to understand “social phenomena from the actor’s own perspectives, describe the world as experienced by the subjects and with the assumption that the important reality is what people perceive it to be” (p. 52). For that reason, a phenomenological approach was utilized in the analysis of the semi-structured interviews with the program designers and mentors.

The descriptive case study methodology allowed the researcher to answer the research questions, address a gap in the literature, and contribute to the field by richly describing the combined pre- and in-service programmatic approach one university is taking in response to State regulations. Given the recent enactment of the new regulations regarding principal preparation, the field is in need of a deep investigation into the numerous considerations programs must take into account in order to design and deliver programs that both meet the State mandates and respond to the local context.

Methods and Data Sources

The unit of analysis for the proposed case study was the combined principal mentoring component developed by a university to bridge the transition from the aspiring principal stage to the early novice stage of career development. While the descriptive case study was classified as a qualitative research design, both qualitative and quantitative data were used. The case study methodology allows for greater weight to be given to the qualitative analysis with the goal being a greater understanding of the similarities and differences in the combined principal mentoring component and the implications of those similarities and differences in the program's attempt to bridge the different phases of development.

Research methodology scholars argue that qualitative research is by its very nature, exploratory and emergent (Merriam, 2009; Stake 1995). As such, data in this study were collected and analyzed sequentially (Cresswell, 2009). The research design included three phases of data collection. Baxter and Jacks (2008) assert that "the researcher must ensure that the data are converged in an attempt to understand the overall case, not the various parts of the case, or the contributing factors that influence the case."

For that reason, data analysis was on-going and the evolutionary nature of the exploration required data from each phase to be used in a cohesive manner in determining findings.

The three sources of primary data involved in this study included: (1) policy and program documents; (2) semi-structured interviews of program designers and mentors; and (3) a survey of students participating in either pre-service or in-service mentoring.

The study combines qualitative and quantitative data in the exploration of the design and delivery of the combined mentoring component. Table 4 below outlines the specific data sources included in the study, the target participants and the phase of data collection.

Table 4. Description of Data Sources and Collection Sequence

Data Source	Description of Data Source	Participants	Collection
Illinois PA 094-1039 & School Code, § 35.10-35.70	Statute and corresponding rules that mandate mentoring for new principals	N/A	Phase I
Illinois PA 096-0903 & School Code, § 30.10-30.80	Statute and corresponding rules that mandate mentoring for aspiring principals	N/A	Phase I
ISBE Analysis of Public Comments on Proposed Changes to the Illinois School Code	Describes the opposition and support for specific proposed changes and sheds light on policy-makers' intent and rationale for action	N/A	Phase I
Application for Program Approval including the Memo of Understanding	UIC application submitted to ISBE & IBHE for program approval and the formal agreement between UIC and CPS outlining the roles and responsibilities of each partners	N/A	Phase I

Various UIC-UEL internal documents	Provided demographic data on participants, scope and sequence of the program, and used to verify other data and interpretations	N/A	Phase I
IES Proposal	UIC-UEL grant proposal that outlines pre- and in-service mentoring component	N/A	Phase I
Semi-Structured Interviews	Individual, face-to-face semi-structured interviews conducted at UIC	Faculty, administrators and mentors	Phase II
Participant Survey	On-line survey that contains multiple choice, Likert scale and open-ended response items.	mentors & mentees	Phase III

Data Collection

Data for this study were collected and analyzed sequentially, and included three phases. The first phase of data collection and analysis involved an exploration of regulatory and program documents. Illinois state statutes were downloaded from the Illinois General Assembly's website and the corresponding rules and regulations were downloaded from ISBE's website. Internal UIC program documents were provided by the UEL Director, including: the program application for approval by ISBE; an Institute of Education Sciences grant proposal; a draft of the UIC-UEL course of study timeline; power point presentations prepared for the national School Leadership Preparation and Development Network conference and another from a presentation to the Illinois School Leader Advisory Council; demographic data for all UIC-UEL students enrolled in the fall of 2015; demographic data for all of the UIC-UEL faculty and staff involved in the program design; and demographic data for all UIC-UEL leadership coaches.

The second phase of data collection included conducting semi-structured interviews with UIC faculty, administrators, and mentors. Criteria for inclusion in the survey sample of program designers: (1) currently or previously employed as a UIC-UEL faculty member, administrator or researcher; and (2) involved in the development of the UIC-UEL principal preparation program application to the Illinois State Board of Education and the Illinois Board of Higher Education. Semi-structured interviews were conducted with 80% of UIC-UEL faculty and administrators involved in the design of the combined mentoring program (n=4).¹ Additionally, semi-structured interviews were conducted with 83% of the UIC-UEL mentors (n=5).² All UIC-UEL faculty and administrators involved in the redesign of the principal preparation program, and all UIC-UEL mentors were invited to participate in interviews for the study.³ While the overall sample size for the interviews appears small, the total population of eligible participants included only five program designers and six mentors.

The final phase of data collection included an on-line survey of UIC-UEL students/mentees. The UIC-UEL director provided access to mentees for the survey to be conducted. Participants were recruited via e-mail and a link to the survey was embedded in the recruitment message. Recruitment letters made clear that participation in the study was not a requirement of the UIC-UEL program and ensured that individual response

¹ The UIC-UEL Director of Coaching retired just prior to the data collection phase of this study. Because his involvement was described by other members of the design team as instrumental to the process, he was invited to participate in the study. However, he did not respond to the request for an interview.

² One UIC-UEL coach retired prior to the data collection phase of this study. She declined to participate in the study.

³ While two UIC-UEL mentors have joint appointments that include clinical faculty designations, they were identified by their primary role as mentor for the purpose of this study.

data would be kept confidential. To that end, no identifying information was collected and the Institutional Review Board approved a waiver of documentation of informed consent for participants in the survey. The on-line survey was open for two weeks and a reminder invitation was sent to encourage participation. Criteria for inclusion in the survey sample: (1) currently enrolled as UIC-UEL student; (2) successfully completed coursework leading to the internship phase of the program; and (3) either currently serving as a principal intern or successfully completed an internship (regardless of whether or not the participant was currently serving as a principal receiving mentoring support). The statistical population that met the sample criteria included 115 UIC-UEL students.

Interviews were primarily conducted at the University of Illinois-Chicago campus. Surveys were administered through SurveyMonkey, using a distribution list composed of university e-mail addresses for mentors and students. Finally, Institutional Review Board approval from Loyola University-Chicago and the University of Illinois-Chicago's allowed the researcher to conduct human subject research.

Researcher Positionality

The goal of interpretive qualitative research is not to seek a universal truth, but rather to gain greater "situational or contextual understanding" (Willis, 2007, p. 188). Additionally, qualitative studies require the researcher to act as the "primary tool for data collection and analysis" (p. 203). In other words, the researcher is the instrument or "bricoleur" that assemble findings (Guba & Lincoln, 1994). Therefore, qualitative research methodologists insist it is essential for "researchers to situate themselves in the research" (Dwyer & Buckle, 2009, p. 56) and attend to "situational identities and the

perception of relative power” (Angrosino, 2005, p. 734). To that end, the following section is meant to clarify the positionality of the researcher in this case study.

Insider Versus Outsider

Traditionally, qualitative researchers have been encouraged to identify themselves as either an *insider* or an *outsider* to the research study. Researchers are considered insiders when they are members of the population being studied (Kanuha, 2000). In other words, “the researcher shares an identity, language, and experiential base with the study participants” (Dwyer & Buckle, 2009, p. 58, citing Asselin, 2003). Conversely, researchers are considered outsiders when they are not a member of the group being studied, or in cases where they do not share commonalities such as demographics, qualifications, experience, etc. of the research population (Dwyer & Buckle, 2009).

Outsider

Outsider research has long been considered by methodologists as being more objective and therefore more valid. The belief was grounded in the technical-rational approach to research that viewed outsiders as unencumbered by membership in a specific culture and therefore were believed less bias (Anderson & Herr, 1999). While qualitative research seeks to study the particulars of a case, “one does not have to be a member of the group being studied to appreciate and adequately represent the experience of the participants” (Dwyer & Buckle, 2009, p. 59).

As a student in a Ph.D. program in Cultural and Educational Policy Studies at Loyola University Chicago studying the mentoring component of an Ed.D. program in Urban Education Leadership at the University of Illinois at Chicago, in many respects, I was considered an outsider to the research subject in this case study. In addition to

outsider status with the program and university, I was also an outsider when it came to the positions involved in the study. I interviewed faculty members and university mentors, and surveyed Ed.D. students. I was not a member of any of those groups. In fact, the UIC Institutional Review Board application required the researcher to disclose if any UIC personnel or students were involved in the design or conduct of the research activity. I declared my outsider status by stating that no UIC personnel or students were involved in research design or data collection activities.

As is required of qualitative research, I utilized a multitude of methods in the recursive process of checking for bias during the completion of this study. I triangulated data from three sources, conducted member checks, adequately engaged in data collection, routinely participated in critical self reflection, discussed emerging themes and findings with peers, created an audit trail, and ultimately provided a thick description through the application of an expanded framework (Merriam, 2009). Rigorous as the process was, it made me question whether the outsider label was an accurate and/or adequate description of my connection to the research topic.

Racial and gender dynamics in qualitative research are a concern from many researchers, not just critical theorists (Willis, 2007). In studying a leadership program in urban education, I was cognizant of my status as a white female. The program explored in this case study included a diverse participant group in terms of race and gender of students and mentors. The participant group of program designers were primarily white males. Race and gender were not areas included as lines of analysis for this study. However, no reference to race or gender was found in any interview or survey responses. That is not to say that race and gender did not matter to this topic or that the dynamics of

those factors were not in play within this program. It is referenced here only to acknowledge that the impact of race and gender were beyond the bounds of this study, however they are certainly worth exploring in further research on a combined principal mentoring model.

Researcher's Connection to Principal Mentoring

During the mid-1990s, when I served as a principal in Milwaukee, there was no formal principal mentoring program. Not only were there no mentors, there was virtually no induction training or support of any kind. My introduction to the position consisted of a four-hour meeting with officials from central office that described important logistical issues like moving money, enrolling students, and staffing positions. The afternoon culminated with a lecture from the law department involving the multitude of violations that would result in a lawsuit and a stern caution not to do those things. Armed with that scant knowledge, and the phone number to the law department in case I chose not to heed their warning, I was sent off to lead the school.

As one of the youngest principals in the city, I was incredibly aware of all the things I did not know that I needed to learn, and learn fast. Fortunately, my father had recently retired as a school superintendent from a district in Illinois. While he could not answer questions about specific policies covered under the Wisconsin School Code, most of the time he could answer my questions or point me in the direction of where I would find what I needed. I was also blessed to have worked in a school that had established partnerships with the University of Wisconsin-Milwaukee's School of Social Welfare and College of Nursing, and with the University of Wisconsin-Madison's School of Medicine and Public Health. I routinely tapped into those resources in an effort to harness their

collective knowledge for the good of our students, but also to increase my knowledge and understanding. My time as a principal was an amazing, yet humbling experience. While I was not afforded a mentor, I was able to patch together an incredible group of people that were committed to our students, our school, and my professional growth. Without that, I cannot imagine how I would have survived the experience. More importantly, our students would have suffered from mistakes I would surely have made, if not for veteran experts in the field providing guidance and acting as a sounding board. That formative experience led me to spend the last 18 years advocating for and providing professional development and support to school administrators. It also made me question the binary classification of insider or outsider as it pertained to this study. I questioned whether my status as a former principal that believed strongly in the efficacy of mentoring might actually have confounded that classification system. I began to think about other aspects of my background that also imply a connection to the subject of mentoring, and in some ways a connection to the UIC-UEL program specifically.

From Outsider to Insider

In addition to my connection to the topic through my experience as a former principal, there are three other areas through which an argument could be made that I am an insider to this topic. I have previously worked for the Chicago Public Schools (CPS) and was involved while there in the partnership with UIC-UEL. I was also previously hired by ISBE and IBHE to complete work involving principal preparation for the state. Lastly, I have continued to work on various projects with CPS, ISBE, and IBHE, which require me to collaborate with UIC-UEL faculty. Details regarding those three connections are provided below.

Likely the most important connection to this study involves my previous role as the head of the CPS Office of Principal Preparation and Development (OPPD). At the time, OPPD was responsible for administering the contracts and overseeing the scope of work involved with partner principal preparation programs, including the UIC program. In addition, OPPD also implemented the principal eligibility process and assisted Local School Councils when hiring new principals. While working for CPS, I represented the district on the Illinois School Leader Taskforce⁴ and was selected by ISBE and IBHE to serve on the School Leader Redesign Team – Internship. Recommendations from the redesign teams informed the 2010 state statute and later the regulations for principal preparation in Illinois.

When I resigned from CPS in 2009, I began working as a consultant for ISBE and IBHE. The scope of work I was charged with involved disseminating information to preparation programs and districts regarding changes to principal preparation, developing the scoring rubric for principal preparation program applications, and developing a training for the licensure board on how to review principal preparation program applications aligned to the new regulations.

During the time I spent at CPS and with ISBE and IBHE, my work intersected regularly with UIC-UEL. More recently, two specific projects have led to regular collaboration with faculty and staff from the UIC-UEL program, and another has implications for their program. Therefore, I have included a brief description of those projects.

⁴ I assumed the seat vacated by Gail Ward when she retired in 2008. Additionally, UIC-UEL Director Steve Tozer was the Chair of the Illinois School Leader Taskforce.

In 2015, I was contracted by CPS, along with two colleagues, to conduct a face and content validity study of the district's principal eligibility process. The study involved a review of alignment of the CPS Principal Competencies with the Illinois Performance Standards for School Leaders and the Interstate School Leaders Licensure Consortium 2008 standards. In addition, we reviewed every document, dataset, video and rubric used by the district to conduct the principal eligibility process. We also met twice with a group of subject matter experts to solicit feedback from them on the proposed revisions. Revisions to the CPS principal eligibility process went into effect in November 2015. Those changes impacted all students from principal preparation programs, including UIC-UEL.

Also in 2015, I was hired, along with one of my colleagues, as a consultant on a Wallace Foundation-funded film project. The project was designed to highlight the impact of innovative preparation program-district partnerships in developing a pipeline of school leaders uniquely prepared to take on the challenges of urban schools. UIC-UEL was one of two programs chosen to participate in the film project.⁵ My role involved interviewing UIC-UEL students, a mentor, and the Program Director. Additionally, I interviewed the CPS Chief Education Officer and the CPS Director of Principal Quality Initiatives. That project will be completed in May 2016.

During the film project, I was also involved in a project that began in 2014. At that time, ISBE and IBHE convened a group of stakeholders in an effort to develop a five-year strategic plan for supporting principal preparation throughout the state. The new group was named the Illinois School Leader Advisory Council (ISLAC). I was

⁵ The other program included in the film project was New Leaders – Chicago.

contracted to support ISLAC and the Program Director from UIC-UEL was selected as a co-chair of the group. ISLAC recommendations aligned to revisions made to the federal Every Student Succeeds Act of 2015. The ISLAC final report is due to be released in March 2016 and is expected to impact principal preparation programs throughout Illinois.

Other evidence that could suggest I was considered an insider by those that participated in the study were provided by interview subjects during this study. For example, comments such as “Well, you remember how it used to work...” or “When you were at OPPD...” indicated that program designers and mentors were aware of my connection to the topic and to their work. Those comments also provided markers that heightened my awareness for the potential of shared bias with those I interviewed. Because of the somewhat ambiguous nature of my insider/outsider status, I made sure to allow time for those being interviewed to ask me questions at both the beginning and the end of the interview. The purpose was to establish trust and provide them with the information they needed to ensure their comments were placed in the context of their understanding of the study and my position as the researcher.

It should be noted that I did not disclose my prior experience formally in the informed-consent document. I did, however, answer questions posed by interview subjects regarding my prior or current work.⁶ Nearly all interview subjects either acknowledged my previous and/or current work, or inquired about it. I suspect that not all subjects remembered me or were aware of the full extent of my connection to their work. However, I answered any questions they had honestly and with as much detail as

⁶ Some interviews for this study were conducted while I was working on the CPS principal eligibility process validation study. I did not disclose that I was working on that project, as I had not yet signed a confidentiality agreement with CPS and was unsure of the specific terms it would include. Therefore, I remained silent on that subject.

time afforded us. As one mentor stated, “I knew I knew your name, but couldn’t quite place it.” By allowing time to answer questions about my background, the somewhat ambiguous nature of my membership status did not seem to adversely affect the interviews. As Dwyer and Buckle (2009) argued, insider/outsider positioning was somewhat irrelevant. They claimed that what really mattered was a researcher’s “ability to be open, authentic, honest, deeply interested in the experience of one’s research participants, and committed to accurately and adequately representing their experience” (p. 59).

Both Outsider and Insider

Having grappled with the binary insider versus outsider classification, I determined that I was neither insider nor outsider, but rather both, dependent upon the definition applied. I recognized that both insider and outsider status provided benefits and drawbacks. For example, insiders generally have an easier time with access to researcher subjects, but can be blind to cultural norms within a system (Kanuha, 2000). Correspondingly, outsiders may miss subtle nuances or misinterpret contextual elements of a study (Dwyer & Buckle, 2009). In the case of this study, my position as a researcher included indications of overlapping insider and outsider status. The challenge was to capitalize on the positive aspects of insider and outsider membership, while minimizing the impact of the negative aspects of both. Maykut and Morehouse (1994) claimed “the qualitative researcher’s perspective is perhaps a paradoxical one: it is to be acutely tuned-in to the experiences and meaning systems of others—to indwell—and at the same time to be aware of how one’s own biases and preconceptions may be influencing what one is trying to understand. (p. 123).

Identifying my own biases as they relate to this research was essential to the validity and reliability of the study. As Rose (1985) stated, “There is no neutrality. There is only greater or less awareness of one’s biases. And if you do not appreciate the force of what you’re leaving out, you are not fully in command of what you’re doing” (p. 77). In an effort to address potential bias I endeavored to gain a broader perspective on principal preparation and mentoring by engaging faculty members, district officials, and education researchers from organizations outside of Chicago. At the time of this study, I served as the Co-Director of the Illinois Partnerships Advancing Rigorous Training (IL-PART) project, at the Center for the Study of Education Policy at Illinois State University. IL-PART was funded by a \$4.6M U.S. Department of Education School Leadership Program grant, which spans five years (2013-2018). The goal of IL-PART was to assist three high need districts in developing a pipeline of highly trained principals for their challenging schools.⁷ Quarterly IL-PART meetings were held throughout the life of the grant and included all partners involved, along with the external evaluation team from the American Institutes for Research (AIR). At those meetings, university and district partners discussed their joint efforts around principal preparation and the discussion often included the topic of principal mentoring. Through my relationship with the IL-PART partners I had an opportunity to speak with faculty members and district administrators outside of Chicago. I discussed emerging themes and teased out understanding on the potential impact of formal and informal practices or structures for the program and participants with IL-PART partners and AIR evaluators. The IL-PART partners were

⁷ IL-PART partners included Bloomington Dist. #87 and Illinois State University; East Aurora Dist. #131 and North Central College; Quincy Dist. #172 and Western Illinois University. Additionally, Loyola University-Chicago coordinated efforts with Catholic schools in those three areas.

able to assist me in understanding the topic of principal mentoring outside the context of Chicago. Our lead evaluator from AIR also provided policy insights from other states he was working with on principal effectiveness projects.

Additionally, my work with ISLAC allowed me to discuss preliminary findings with a researcher from the Illinois Education Research Council (IERC). In 2014, IERC began a multi-year study exploring how the changes to principal preparation regulations have impacted programs and districts throughout the state. The researcher I discussed this study with had a unique perspective given his in-depth knowledge of all Illinois principal preparation programs operating at that time and within the same policy context as UIC-UEL. Having worked with the IERC researcher in the past, he appeared comfortable pushing my thinking and challenging me when I presented an opinion rather than evidence.

Lastly, I discussed some of the challenges to defining the principal mentoring model with various faculty and district administrators involved in the School Leadership Preparation and Development Network (SLPDN). At a SLPDN conference held in Chicago in September 2015, I discussed principal mentoring with faculty members from Old Dominion University and they were particularly helpful in provided examples of on-going principal preparation and development models outside of Illinois. Additionally, a professor from the College of William and Mary provided insight into the state policy aspect of this research study.

There were numerous methods that were applied to this study to mitigate the risk of researcher bias, which are outlined in an upcoming section of this chapter. However, in terms of researcher positionality, it was important to highlight how I leveraged my

position at the Center for the Study of Education Policy and as a consultant, in an appropriate and effective manner that enhanced the recursive process of data analysis through the engagement of faculty, district administrators, and researchers that had a great deal of expertise in the area of principal preparation and development and who approached the topic from a perspective external to the CPS/UIC-UEL context.

In terms of researcher positionality, my status as both outsider and insider to this study gave me a truly unique technical advantage. The dual positioning allowed me to tap into insights from both insider and outsider perspectives and proved to be a great advantage in data analysis.

Data Analysis

Table 5 below outlines the research design for this case study, including: the guiding research questions, the sources of data that were collected, and the data analysis strategy.

Table 5. Alignment of Research Questions, Data Sources, and Methods of Analysis

Research Questions	Data Sources	Analysis
1. How are the key elements and characteristics of mentoring operationalized into a combined principal mentoring model that spans pre- and in- service phases of development?	Illinois statutes requiring principal mentoring; rules and regulations governing principal mentoring; program documents, semi-structured interviews with program faculty and mentors, and surveys of mentees enrolled in the program.	Mentoring program elements from the pre- and in-service mentoring component were identified through data analysis and were aligned to the key constructs of mentoring theory, to create a framework that provides a clear definition of a combined principal mentoring model. (See Appendix E for an example of the data organizers used by the researcher.)

<p>2. To what extent can similarities be identified between the pre- and in-service components of a combined principal mentoring model</p>	<p>Illinois statutes requiring principal mentoring; rules and regulations governing principal mentoring; program documents, semi-structured interviews with program faculty and mentors, and surveys of mentees enrolled in the program.</p>	<p>Required aspects that address the characteristics and key elements of mentoring were identified through a review of the two statutes and the corresponding rules. Specific responses to the regulations in the form of characteristics and key elements were identified through a review of the UIC-UEL program documents. Non-mandated program goals, structures, processes for each phase were identified through program documents and semi-structured interviews with program faculty and mentors. Data collected from surveys were used to triangulate data with the document and interview data to identify aspects that were similar in both phases of development.</p>
<p>3. To what extent can differences be identified between the pre- and in-service components of a combined principal mentoring model</p>	<p>Illinois statutes requiring principal mentoring; rules and regulations governing principal mentoring; program documents, semi-structured interviews with program faculty and mentors, and surveys of mentees enrolled in the program.</p>	<p>Required aspects that address the characteristics and key elements of mentoring were identified through a review of the two statutes and the corresponding rules. Specific responses to the regulations in the form of characteristics and key elements were identified through a review of the UIC-UEL program documents. Non-mandated program goals, structures, processes for each phase were identified through program documents and semi-structured interviews with program faculty and mentors. Data collected from surveys were used to triangulate data with the document and interview data to identify aspects that were different between the phases of development.</p>

The initial document analysis was conducted using primary data sources in the form of the Illinois statutes that pertain to mandated mentoring for principals; corresponding rules and regulations outlined in the Illinois School Code; the UIC-UEL approved principal preparation program application to the Illinois State Educator Preparation and Licensure Board; the formal Memo of Understanding between UIC-UEL and CPS; the UIC-UEL program descriptions; and an Institute of Education Sciences grant proposal submitted by UIC-UEL. Documents were collected and analyzed to identify the mandated and non-mandated characteristics and key elements of the mentoring components and determine the extent of similarities and differences in the design and delivery of the combined mentoring model. This initial data collection and analysis phase led to the development of an organizational system for capturing specific program data aligned to the requirements, and supported an understanding of emerging themes and missing elements (purposeful or not) that could allow for mentoring differentiation in the two phases (See Appendix E for details). The initial analysis of the documents was guided by the conceptual framework and key concepts borrowed from the mentoring literature. First, the study explored the characteristics of knowledge transmission and key elements of pre- and in-service mentoring (e.g. programmatic goals, structures, processes, activities, etc.) that were either implicitly or explicitly defined to support those three key constructs. Then, applying the conceptual framework drawn from mentoring theory, data were aligned to specific aspects such as career development, psychosocial support, and increasing networking/social capital. This analysis allowed for the identification of specific instances of similarities and differences between pre- and in-service mentoring.

The second phase of data analysis also included semi-structured interviews that allowed a greater depth of understanding with regard to program developer's intentionality in designing a cohesive and comprehensive pre- and in-service mentoring component. Additionally, these interviews demonstrated the extent to which emerging themes discovered through the initial document analysis were an accurate reflection of their understanding of the mentoring component requirements. One of the indicators of a quality interview according to Kvale (2009) is the "extent of spontaneous rich, specific and relevant answers from the interviewee" (p. 164). The purpose of semi-structured interviews was to include multiple perspectives, gain understanding through detailed responses, allow for organic follow up questions to provide clarity, and to provide a greater richness in the description of the mentoring process and program. For that reason, semi-structured interviews were conducted with all mentors involved in the program, whether or not they provided principal mentoring support in one or both of the career stages. Interviews were recorded and member checks were conducted to ensure reliability of data (Denzin & Lincoln, 2005; Merriam, 2009; Stake, 1995). A copy of the semi-structured interview protocol can be found in Appendix B and a copy of the survey protocol is in Appendix C.

Hesse-Biber and Leavy (2006) identify a process by which emerging themes can be identified and established into domains of inquiry. These domains were used to guide the collection of data from the semi-structured interviews. Based on what was learned from the document analysis, this phase of inquiry allowed the study to go beyond basic categorization of mentoring purpose found in Kram (1985) and Tenenbaum, Crosby and Gliner. (2001). Semi-structured interviews allowed the researcher to explore "why" and

“how” a specific design element was included and through probing dialogue attempted to understand the thought process of those involved in the mentoring component’s creation and delivery. One of the key fundamentals of qualitative research is the evolutionary nature of the design. Information gleaned from the initial data collection process, was used to finalize the interview protocols.

The final phase of data analysis included the use of an on-line survey with pre- and in-service principals that were receiving mentoring support through the UIC-UEL combined mentoring model. The ultimate purpose of the survey was to triangulate the data and determine to what extent interpretations previously gathered aligned to survey data. This is the only phase in which participants who were receiving mentoring support were involved.

Surveying the participants, regarding information gained from the semi-structured interviews and analysis of primary documents allowed for triangulation of data and increased the validity of the design (Cresswell, 2009; Merriam, 2009). The survey instrument used in this phase was purposefully developed based on the conceptual framework and information gleaned from the document analysis and the semi-structured interviews with program developers and mentors. By applying a standardized framework that included the characteristics of knowledge transmission (Bozeman & Feeney, 2007) and key elements of mentoring (Dawson, 2014), the study mitigated the extent to which bias selection of data could occur.

The orientation of the methodology for this case study aligns with the conceptual framework and the emergent nature of qualitative research. By first exploring the extent to which the mentoring model elements align with the statute, rules and regulations in

each phase (pre- and in-service), any additional elements were identified that were unique to the combined mentoring model. Through semi-structured interviews, further understanding was gained by exploring the characteristics of knowledge transmission and the key elements of the mentoring model that are unique to the case and probing further into why those involved in the design believe they were important to include. In other words, the interviews were used to tease out the extent of intentionality in terms of why the program designers chose to develop the mentoring model in that specific manner and the extent to which formal and informal aspects of the program existed that could impact attempts at replication. In the third phase, survey data were used to validate the rich description emerging from the preliminary analysis of data from the primary documents and interviews aligned with the experiences of those that participated in the mentoring process.

Controlling for Bias

Merriam (2009) maintains it is very important for those conducting a case study to engage in critical self-reflection and disclose to prospective readers any potential biases, dispositions, and assumptions held before or during the research study that may affect the conclusions (Merriam 2009, p. 219). The process, known as reflexivity, is an essential part of this study. To that end, this study avoids potential bias by “bracketing” personal bias, viewpoints, and assumptions (Kvale, 1996). Given the researcher’s previous roles with CPS, ISBE, IBHE, ISLAC, etc. it was important to reflect upon personal experience and potential for bias through regular discussions with faculty

members from four universities⁸ and education policy analysts from two organizations⁹. Employing reflexivity in a collaborative environment allowed the data collection and analysis process to be conducted in such a way that ensured potential bias was mitigated to the extent possible (Merriam, 2009; Schwandt, 2007).

Validity

In addition, Willis (2007) contends, “triangulation is a conservative way to deal with the issue of validity” (p. 219). Three types of triangulation were used to promote validity in this study: the use of *data source*, *data methodological*, and *investigator triangulation* strategies (Stake, 2009). A description of each strategy is included below, along with a summary of the study’s approach to ensuring data reliability.

First, data source triangulation was used to engage a variety of stakeholders at various levels of policy implementation to understand the phenomenon, such as program designers, program mentors, and aspiring and novice principals being mentored. Including multiple data sources involving input from multiple levels (e.g. representing the state, program, and individual levels) allowed for an exploration of the extent of *coupling* found between policy, program design, and program implementation. The term *coupling* is used in organizational theory to describe the connection between interdependent elements that respond to one another but are also distinct from each other (Weick, 1976). Simply put, coupling focuses on the relationship between the elements

⁸ As the co-director of IL-PART, a U.S. Department of Education funded school leadership program, the researcher had the opportunity to discuss this case study with partner faculty from Illinois State University, Loyola University-Chicago, North Central College, and Western Illinois University.

⁹ Discussion with policy analysts from the Illinois Education Research Council and Illinois State University provided some insight on my interpretation of legislation and the rules and regulations. Policy analysts also provided data and verified some of the data provided by UIC or ISBE.

and their interaction. Elements can be actors, policies, formal organizational structure, informal information flows, etc. (Orton & Weick, 1990). The adjectives *loose* or *tight* are often added to *coupling* to indicate the degree to which elements are connected and/or aligned. Therefore, in this case the concept of coupling indicates the relationship between the state policies, program design response and the actual practices of those charged with implementation (Meyer & Rowan, 1977). In other words, loose or tight coupling can be an expression of the relationship between regulatory agencies that make policy and the institutions that put policies into action. If practice mirrors policy and/or the program designers' intentions, then it demonstrates tight coupling. If practice does not align well with the expressed policy, then it would be described as loosely coupled. Policy and practice that are loosely coupled do not necessarily indicate ineffective practice. Hallett (2010) argues that evidence of loose coupling is often found in public documents or discourse and is used to establish "organizational legitimacy by alleviating structural inconsistencies thereby reducing conflict" (p. 52). That type of loose coupling allows organizations to appear as if they are compliant with certain expectations or policies while buffering those in the field from directives that may be misaligned to the local context or priorities. Loose coupling could also represent a clear resistance from practitioners to the change or improvement process. Therefore, it was important for this case study, in terms of validity, to transcend the superficial level of document analysis and explore the extent of policy or program adaptation and/or resistance expressed by those charged with implementing the policy. This case study explored triangulated data to determine the level of coupling, in order to get to the heart of the policy and/or program's ability to reach into the field and affect the practice of mentors and mentees.

Second, the case study employed the use of multiple standard methods for exploring data collection. In order to mitigate the risk of bias data selection, triangulated data were applied to a research-based framework that combined characteristics of knowledge transmission with the key elements of mentoring. The extensive and detailed characteristics and key elements were used to organize multiple sources of data and promoted a reliable structure for determining alignment. In addition to applying data to the framework, the researcher explored emerging themes with a wide variety of subject matter experts, including members of the dissertation committee, researchers involved in policy impact studies, an administrator with ISBE, and faculty members from several Illinois universities involved with principal preparation and/or development.¹⁰ This minimized the extent to which bias selection of data could undermine the validity and reliability of the findings. Further, it allowed the researcher to challenge closely held assumptions and explore aspects that could support or undermine understanding of the combined mentoring model for replication purposes.¹¹

Third, investigator triangulation included the utilization of perspectives of the dissertation committee to ensure the analysis was evidence-based and not personally biased. The research study design also included the use of member checks to ensure that participants' perspectives were accurately captured in data collection and reported

¹⁰ No confidential program or individual data were shared, only emerging themes were discussed to gauge the extent to which these aligned to preliminary finding of studies being conducted by two other research organizations.

¹¹ For example, any discourse around the basic concept of delivering a combined principal mentoring model that spans from pre-service through early in-service involved concerns about how it would be funded. Funding is not an element found anywhere in the literature and therefore was not represented in the study's conceptual framework. However, replication efforts would benefit from a clear description of that aspect. This is just one example of the discourse the researcher participated in with external subject matter experts.

appropriately in the case study. It is important to note that the purpose of triangulation in qualitative research is not necessarily to arrive at a single understanding of the phenomenon, but rather a variety of interpretations by those that directly experience it (Denzin & Lincoln, 2005). For that reason, slightly greater emphasis was placed on feedback from those involved in the program than from input from external subject matter experts that were engaged in discourse involving out of context considerations of high level emerging themes.

Reliability

In addition, to data triangulation, there were many integrated safeguards to ensure data reliability for this research project. First, the participants were asked to read and sign an informed consent document prior to the interview to ensure they knew the purpose of the study, the methodology that was employed during the investigation, and their ability to remove consent to participate at any time. The informed consent and the introduction used to begin the interview and survey process made clear that participation was voluntary, data collected would not include identifiers and therefore would not be attributed to any individual, and that participants had the right to rescind their consent to participate at any time. This increased the likelihood that participants were honest in their responses without risk of negative consequence or opportunity for reward.

The second indicator of data reliability for this study is that the research design relied on policy and program documents from the initial phase of analysis to guide subsequent phases involving semi-structured interviews and a survey. The reliance on primary documents to establish boundaries and structure for initial data analysis mitigated the influence of any individual or personal relationship in the interpretation of

the first phase of discovery. Data from the first phase of collection was triangulated with interview and survey data to increase validity. Questions in the interview protocol and survey instrument were purposefully designed to explore the extent of coupling between policy and program design and the experiences of those that participate in the mentoring model.

Third, the semi-structured interview process allowed the participants to contribute all of the verbal data collected. Further, the anonymous on-line survey included 29 items in which participants were asked to respond. Of those 29 items, 19 (66%) provided a space for participants to provide open-ended comments designed to elicit further detail from their response. 63% of items that allowed the participant to enter comments resulted in multiple participants providing extended clarifying responses. The additional comments were used to increase the reliability of the data. For example, one item on the survey asked participants to indicate the position in which they were currently employed. One participant responded “Other” and filled in the comment section that they were “currently completing a residency as a principal intern.” Although the list of choices for that item included “Principal Intern (currently completing a full-time residency),” the candidate selected “Other.” Without the comment section, data from that participant would have been disaggregated by role as “other than principal intern, assistant principal, or principal.” Given the small sample size of participants, it was essential that participant responses be classified accurately. This example provides evidence of how data collection tools for this study were purposely designed to increase reliability of data.

Fourth, the data collection process included audio recordings, field notes, and select transcripts as documentation to substantiate findings. These primary data were

collected independently and then organized and triangulated through the study's conceptual framework. In this way, the researcher served primarily as an interpreter. To increase validity and reliability of the researcher's interpretation, member checks were completed to provide the participants with an opportunity to revise or clarify their statements within the context of the case study. Additionally, exchanges with dissertation committee members provided an opportunity for on-going feedback regarding data analysis. Lastly, the outline of the report was designed to communicate the (1) conceptual framework from which the research design was established, (2) a presentation of data, and (3) findings that reference primary data and indicators of evidence as justification for any conclusion (Wolcott, 1990).

The research design employed a variety of measures to establish rigor and protect the integrity of the study. This study endeavored to institute trustworthiness by utilizing Krefting's Strategies: credibility, dependability, and confirmability. The greatest threat to validity in a study of this type is the sample size of one program (Krefting, 1991).

Sample Selection

This case study involved an exploration of a combined pre- and in-service mentoring component of a university principal preparation and development program. The University of Illinois – Chicago's Urban Education Leadership (UIC-UEL) program was chosen as the research site because it met the following criteria: (1) the principal preparation program application was approved by the Illinois Educator Preparation and Licensure Board, (2) the newly redesigned principal preparation program had begun implementation; (3) the program had at least two cohorts of students that have begun receiving mentoring services that comply with the new State regulations; and 4) the

program provided mentoring support services in both the pre- and in-service phases of principal development.¹² As of January, 2015, 26 principal preparation programs met criteria 1-3 (CSEP, 2015). Only two programs had met all 5 criteria. One of the programs that met all 5 criteria is a non-traditional program not affiliated with a university. Because their mentoring component is considered by the organization to be proprietary in nature, they were excluded from consideration¹³. Due to a lack of institutions that meet the basic criteria for selection, this study included an exploration of a single program.

Description of the Sample

This case study explored the Urban Education Leadership program at The University of Illinois at Chicago (UIC). The university is a public research institution located in the heart of the City of Chicago. The College of Education, where the Urban Education Leaders program is housed, offers bachelors, masters and doctoral degree programs. Its mission clearly states that the college “strives to prepare the next generation of educators, educational leaders, and educational researchers to establish equity in Chicago Public Schools” (University of Illinois at Chicago, 2014). To that end, UIC highlights the following statistics: 1 in 11 CPS schools is led by a UIC-trained principal and 1 in 7 CPS students are taught by UIC teachers. Therefore, it isn’t an overstatement to argue that UIC is a major contributor to the pipeline of qualified educators for public schools in Chicago (University of Illinois at Chicago, 2014). CPS is the third largest

¹² While mentoring for new principals is mandated by Illinois statute, in most areas of the state the public school districts provide in-service training and support for new principals, including mentoring.

¹³ Any research detailing the process or structure of their mentoring component would not be publishable due to the proprietary nature of the information.

district in the U.S., with over 680 schools and over 400,000 students (Chicago Public Schools, 2013).

The Urban Education Leaders (UIC-UEL) program, which prepares aspiring principals for CPS and other school systems, is a multi-year program leading to an Ed.D. degree. Aspiring principals in the UIC-UEL program complete an intensive full-time/full year internship during their first year of their program. Candidates then secure school leadership positions within the Chicago Public Schools and continue with their Ed.D. course of study. The UIC-UEL program provides mentoring support during the internship phase (year one of the program) and then for an additional three years (beyond the initial pre-service phase) as candidates work in schools in leadership positions.

The mentoring component of the UIC principal preparation program has been in existence for nearly a decade. In fact, many of the recommendations made by the Illinois School Leader Taskforce were mirrored after the UIC program structure, including the mentoring component. Despite the fact that UIC's previous principal preparation program was somewhat tightly coupled to the new State regulations, UIC faculty still made significant modifications to their original program design. Those changes were highlighted in the application for approval submitted to the Illinois State Educator Preparation and Licensure Board.

As mentioned previously, this study examined the pre-service mentoring separately from the in-service mentoring component. The reason for segmenting the two mentoring components is because each are mandated through different statutes, and concern different career stages. While the UIC-UEL mentoring component is a single program that spans the developmental continuum from the aspiring principal (pre-

service) phase through the novice principal phase (years one through three in-service), the study examined mentoring in each phase separately to better explore similarities and differences in structure and the delivery of mentoring support. The UIC program provided a unique case to study because it was one of only two programs in Illinois that currently combined requirements from the two State statutes into a single mentoring program that attempts to bridge pre- and in-service career stages. Exploring the implications of these similarities and differences at two phases of development will further inform the field and will provide an innovative approach that bridges the current divide in principal preparation and development literature as well.

Research Limitations

Although measures were taken to ensure the researcher and interview or survey participant had a shared understanding of definitions for specific terms, certain challenges still arose. First, as noted earlier, different individuals have different conceptual understanding of the terms coach and mentor. Adding to the difficulty was the introduction of the term “mentor principal” involved in the pre-service component of the model by the state statute. This study sought to explore the role of the university mentor that provided the continuum of support. The inconsistent use of the term mentor used by both university personnel and district personnel made analysis difficult and required follow up with participants to ensure accurate interpretations were drawn.

Figure 2 below provides a graphic organizer of the three sources of support provided to aspiring principals during their internship phase. The thick blue arrows indicate the target of support, and the thin orange arrows represent two-way communication flows.

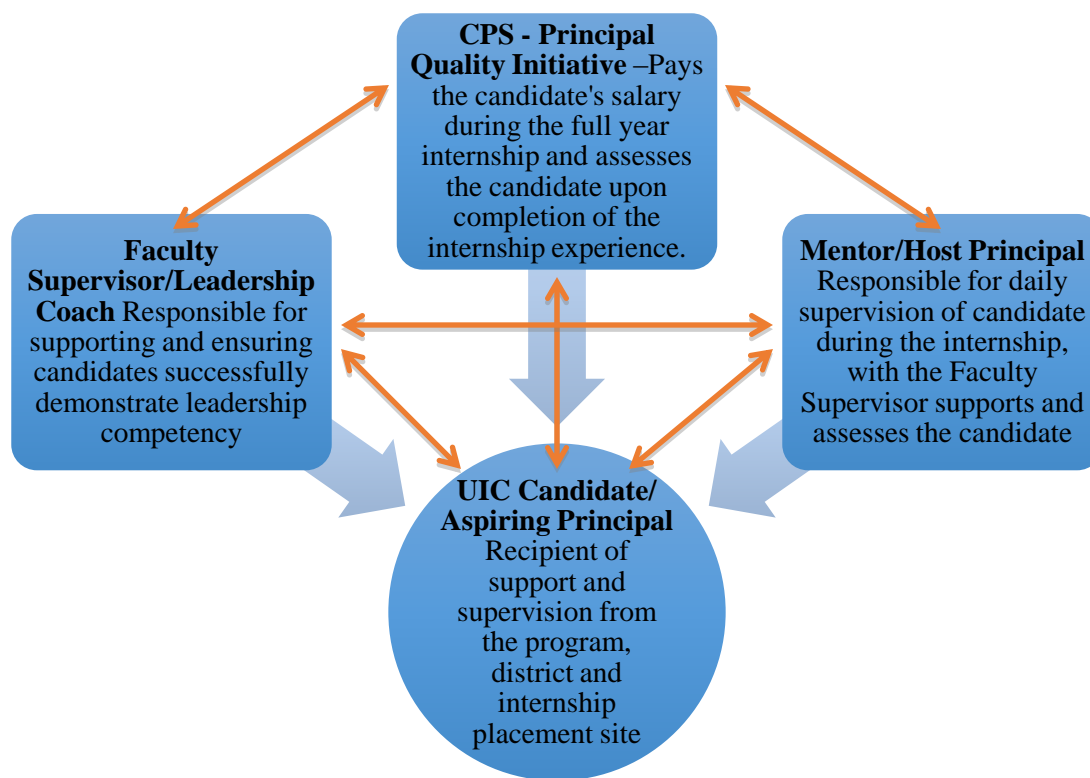


Figure 2. Representation of Support for Aspiring Principals in the UIC-UEL Program

In the state regulation, the role of the mentor assigned by the university to support the principal candidate is called a “faculty supervisor,” however the role is also described as “leadership coach” or “coach.” Additionally, the term applied to the veteran principal in the leadership role at the internship placement site is the “mentor principal,” also known as the “host principal.” Both the faculty supervisor and the mentor principal positions are responsible for candidate mentoring, providing on-going feedback on performance, and assessment of the candidate’s performance in four competency areas.

This system of support changes dramatically once the UIC-UEL student completes their internship phase. Figure 3 below provides a graphic organizer of the sources of support provided to UIC-UEL candidates in their post-internship phase of

development. Once again, the thick blue arrows represent the direction of support provided, and the orange arrows represent two-way communication flows.

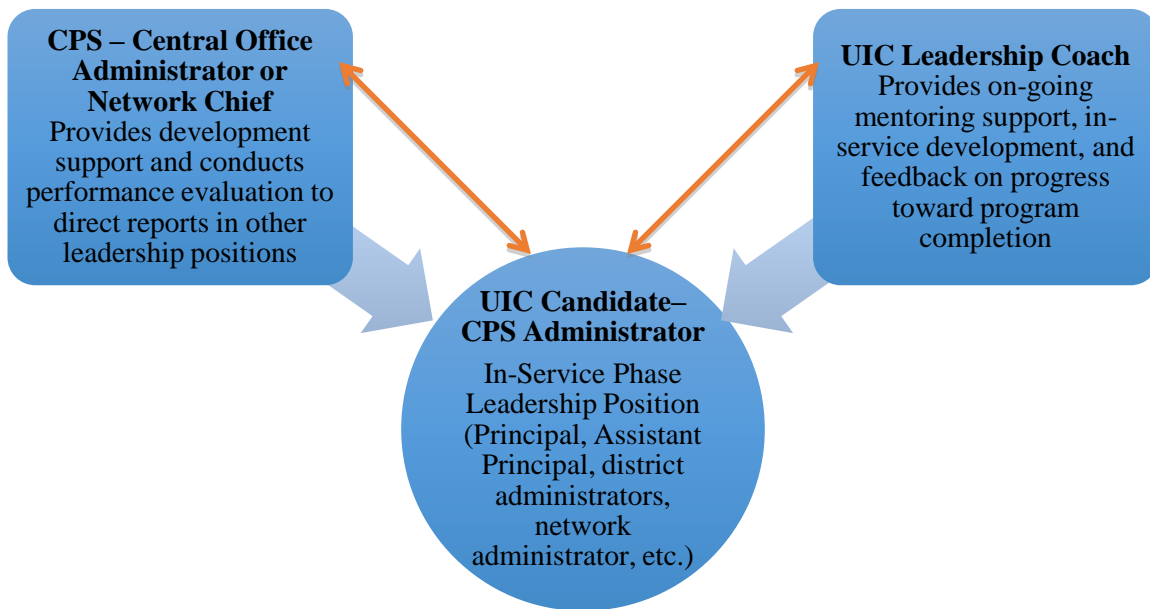


Figure 3. Representation of Support for UIC-UEL Candidates in the Post-Internship Phase

Because Illinois statutes for principal preparation do not extend beyond the phase at which the candidate completes certification requirements, there are no official terms for the positions that support the students during their post-internship phase of development. The UIC program drops the term faculty supervisor at this point and refers exclusively to Leadership Coach as the sole source of mentoring for the candidate.

The second challenge to consistent use of terms was the result of procedures and practices not always being neatly codified under the same regulations or not defined in exactly the same way across the Illinois School Code. For example, professional development policies were sometimes found in licensure renewal codes, sometimes in district accreditation procedures, and sometimes in assessment policies. Furthermore,

some of the mentoring model elements were simply not addressed in the program application for state approval, in the general program operating descriptions, or in other program-developed documents, but were routinely cited by program personnel and students. This was particularly true of the in-service component of the mentoring model.

Further, some participants in the program had differing interpretations of how to respond to specific elements when the statute and rules were silent. Some viewed policy silence as permission while other viewed it as prohibition. That understanding was somewhat difficult to tease out in a consistent fashion with the methodology employed by this study. As a result, there may be some elements described within that could be interpreted differently by a different research team. Nevertheless, the goal was to provide a rich description of a combined mentoring model, and in this area the study adequately captures both the variable and invariable aspects of the model.

CHAPTER FOUR
RESEARCH FINDINGS

Introduction

This case study set out to provide a rich description of how one university responded to two Illinois statutes mandating principal mentoring at different phases of development by creating a single comprehensive mentoring model that spans from pre-service preparation into in-service development. In an effort to bridge support from the aspiring to the early novice career phase, UIC designed an innovative principal mentoring model that addresses the interconnectedness of the two phases and the gap commonly found between them. Primary research questions that guided the study included:

1. How are key elements and characteristics of mentoring operationalized into a combined principal mentoring model that spans pre- and in-service phases of development?
2. To what extent can similarities be identified between the pre- and in-service components of a combined principal mentoring model?
3. To what extent can differences be identified between the pre- and in-service components of a combined principal mentoring model?

This chapter begins by providing a description of the policy context and program context within which the UIC-UEL combined mentoring model was designed. Data reported in this chapter were aligned to the primary research questions. Descriptions of

each of the key elements (Dawson, 2014) and characteristics (Bozeman & Feeney, 2007) of mentoring are reported, followed by findings of the extent to which similarities and differences were identified between the pre-service and in-service phases of development.

Previous studies, lacking a clear conceptual understand for what constitutes a mentoring model, are plentiful (Bozeman & Feeney, 2007). Mentoring has been a hot topic of research for years, despite the lack of consensus on how the phenomenon is defined (Crisp & Cruz, 2009). Unfortunately, rather than providing clarity, the large body of research that includes such poorly defined mentoring models bring into question any claims of positive impact produced by the strategy. As Merriam (1983) so succinctly asserted, “how mentoring is defined determines the extent of mentoring found” (p. 165). Therefore, this chapter focuses on the first part of Merriam’s equation: how mentoring is defined. Data described in this chapter provide clarification of the key elements and characteristics found in the UIC-UEL combined mentoring model, and the extent of similarities and differences found between the pre-service phase and the in-service phases of development. In Chapter Five, analysis of key elements and characteristics are aligned to the study’s conceptual framework, previously detailed in Chapter Two.

Summary of Data

Primary data in the form of written state policies included: the state statutes and regulations involving principal mentoring in preparation programs and new principal mentoring, and the public comment analysis regarding proposed changes to Part 30 of the Illinois School Code. Primary documents provided by the program included: the UIC-

UEL application for principal preparation program approval submitted to the Illinois State Educator Preparation and Licensure Board at ISBE; the formal Memo of Understanding between UIC-UEL and CPS; the UIC-UEL program scope and sequence; a draft of the UIC-UEL course of study timeline; power point presentations for the national School Leadership Preparation and Development Network conference and another presented to the Illinois School Leader Advisory Council; demographic data for all UIC-UEL students enrolled in the fall of 2015; demographic data for all of the UIC-UEL faculty and staff involved in the program design; and demographic data for all UIC-UEL mentors. Additionally, publicly accessible information from the UIC website was also collected.

Five UIC-UEL program designers were invited to participate in semi-structured interviews based on their involvement as part of the design committee for the UIC-UEL program, within which the combined mentoring model is situated. With an N=5, the total UIC-UEL program designer population invited to participate in interviews for this study included the following demographic breakdown: 80% male/20% female; 80% Caucasian/20% Latino; and 60% tenured/40% non-tenured. A sample of four UIC-UEL program designers participated in semi-structured interviews, representing 80% of the total potential population based on the sole criterion that they were involved in the design and development of the UIC-UEL state application for program approval. Only one member of the design committee did not respond to requests to participate in this study.¹

¹ In the interest of masking the identities of the participants and due to the small number involved in the total population of program designers, demographic data on the sample has been purposely excluded from this report.

Additionally, six UIC-UEL mentors were invited to participate in semi-structured interviews based on the sole criteria that they had been involved in the delivery of the combined principal mentoring model since the program was approved by the state, in 2010. With an N=6, the total UIC-UEL mentor population invited to participate in interviews for this study included the following demographic breakdown: 83% female and 17% male; 50% Caucasian and 50% African-American; and 50% serving as clinical faculty and 50% serving solely as mentors. A sample of five UIC-UEL mentors participated in semi-structured interviews, representing 83% of the total potential population based on the sole criterion that they were involved in the delivery of mentoring services supporting UIC-UEL students. Only one mentor did not respond to requests to participate in this study.²

Finally, 115 UIC-UEL students were invited to participate in an on-line survey for this study. The total population invited were selected based on the following criteria: (1) they had either begun or completed the internship phase of the program; (2) they were participating in or had previously received mentoring through the UIC-UEL program, and (3) were enrolled UIC-UEL students in the fall of 2015. Table 6 below represents demographic data on the total potential population of UIC-UEL students invited to participate in a survey for this study (N=115).

² In the interest of masking the identities of the participants and due to the small number involved in the total population of program designers, demographic data on the sample has been purposely excluded from this report.

Table 6. Total Population of UIC-UEL Students/Mentees Surveyed

Current Role	Program Phase	Gender	Race	% of total by role	# of total by role
Resident Principal in Internship	Pre-service	F: 11 M: 6	Black: 4 Hispanic: 5 White: 8	15	17
Principals and Assist. Principals	In-Service	F: 50 M: 35	Black: 29 Hispanic: 11 White: 42 Asian: 1 Multi: 2	74	85
Other Leadership Positions	In-Service	F: 8 M: 5	Black: 5 Hispanic: 3 White: 4 Multi: 1	11	13

As Table 6 demonstrates, the total population for the mentee survey include 115 enrolled students from the UIC-UEL program. That total was broken down by the student's role at the time of the survey, what phase of the program they were in, their gender, and their race. In total, the group demographics included: 15% in the pre-service phase, 74% that were serving as principals or assistant principals, and 11% serving in other roles.

Additionally, 60% were female, 40% were male, and the racial breakdown included 47% Caucasian, 33% African-American, 17% Hispanic, 3% multi-racial, and less than 1% Asian.

A link to the on-line survey was sent via e-mail to 115 UIC-UEL students representing the total population of eligible candidates. The survey was open for two weeks, before a reminder was sent in an effort to increase participation. The survey remained open for an additional month after the reminder was sent. The response rate on the survey was somewhat low, at only 20% (N=23). However, exploration of

disaggregated data of strata defined by role, indicated that the sample included a representative sample of the total population. Evidence of the representative sample has been outlined in Table 7 below.

Table 7. Evidence of a Representative Student Sample from the Total Population

Role when completed surveyed	Percent of Total Population (N=115)	Percent of Sample that Responded (N=23)
Principal Intern	15	14
Principals and Assist. Principals	74	73
Other Leadership Positions	11	14

Similarities between the total potential population and survey respondents constitute a representative sample with respect to an identified variable.³ In this case, the representative sample reflects a “miniature of the population” (Kruskal & Mosteller, 1979). In other words, the sample represents a close approximation of the percentage breakdown of the total population with respect to their role in the school district.

Validity

The study included two focus areas for validation: data collection tools and the samples included. The interview protocols and survey instrument were intentionally developed to address two types of validity: face validity, and content validity. Face validity examines whether the measure “on its face” is a reflection of the concept it seeks to measure. Content validity examines whether the measures in a given instrument

³ Concerns expressed by UIC representatives regarding respondent anonymity led to the decision not to collect data on race, gender or school to which a student was assigned or employed. Therefore, the representative sample could only be determined based on one main variable.

provide a comprehensive representation of the multiple constructs within the domain of interest. In order for a measure to have demonstrable content validity, it must first demonstrate face validity. To demonstrate the relationship between face and content validity, Hardesty & Bearden (2004) use an analogy of a dartboard. Face validity is represented by whether the dart lands on the dartboard. Content validity is represented by whether the spectrum of darts thrown cover a representative portion of the different sectors on the dartboard.

Face validity of the interview protocols and survey instrument was established by designed questions to ensure alignment with the conceptual framework. Another important aspect impacting validity of interview protocols and survey instruments involves the structure of each question included. In order to increase validity of the measures each element and characteristic of mentoring was explored independently, mitigating the risk of misrepresentation of comingled responses.

Reliability

In addition to establishing the validity of the measures, two additional factors indicate that data from the survey are reliable, despite a low overall response rate. First, data from the survey were collected from a representative sample of students involved in the program. The representativeness of the sample was determined by disaggregating data based on one variable. This is a valid approach and supports the reliability of the data, as it provides insight into two important factors represented in the total potential population: the specific job responsibilities of the respondents as well as the duration of mentoring experienced by the sample and population. This one variable provides multiple

indicators. For example, due to the state mandated qualifications required to be employed as a principal, assistant principal, or district level leader, an inference can be made that 87% of respondents to this survey have received more than one year of mentoring support from UIC-UEL. The percentage of the sample of respondents that identified their current role as principal, assistant principal or district administrator had to include those that had previously completed requirements leading to a principal credential which is completed in the first 18 months of the UIC-UEL program. Therefore, the sample percentage (87%) of principals, assistant principals and other district administrators nearly mirrors the percentage of total potential population (85%) that would have also been involved in mentoring for more than one year.

The second indicator of data reliability involves the triangulation of interview and survey data with data collected from policy and program documents. Data reliability was increased because much of the data gathered from the interviews and survey align with findings from the program documents. Data convergence and any divergence found between documents, interviews and/or survey responses have been highlighted in the following sections of this chapter.

Policy Context

A recent study by Anderson and Reynolds (2015) indicates that “the effectiveness of principal preparation is in part dictated by state policies for principal preparation program approval and candidate licensure (p. 19).” To that end, it was important for this case study to consider the policy context within which the UIC-UEL combined mentoring model was designed. Although the UIC-UEL application submitted to the state education

agency for program approval was focused primarily on the preparation elements leading to candidate entitlement for a Principal Endorsement, the combined mentoring component was designed within a policy context in Illinois that focused on improving both principal preparation and development. For that reason, it was important to analyze the requirements of state level policies to explore the impact on program design. Data demonstrated that the UIC-UEL mentoring model both evolved due to the impact of state policy, but as an exemplar program it also influenced the formation of the policy. In the dual role of influencer and subordinate, the combined mentoring model and the program evolved. The following section will provide a brief description of the key requirements for principal preparation and development found in two state policies.

The first policy outlines the requirements set forth by the statute governing principal preparation in Illinois. The second policy includes requirements set forth by the statute establishing the Illinois New Principal Mentoring Program. The changes represented in Public Act 96-0903 and Public Act 94-1039 respectively, established the conditions under which the UIC-UEL principal mentoring model evolved into a continuum of support that spans from the pre-service into the in-service phase of development. While there is no evidence that the intent of the policies was to disrupt the long-established practice of separating pre-service support from in-service support, the UIC-UEL program design team recognized the opportunity to institutionalize some of their formal and informal practices into a combined model that provides on-going development support to principals. According to one UIC-UEL program developer, the combined mentoring model is an example of the type of innovation that is greatly needed

in principal preparation and development in order to provide a continuum of support to school leaders in real time.

We know from research and practice that you cannot regularly develop transformational school leaders in a program that only spans a year or two. The reason we created the program around a doctoral degree was so we could work with aspiring principals and continue to support them as they transition into the hard work of actually being a principal.

Aligned with an emerging body of research on effective principal preparation practices (Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007; Murphy, 2006; Murphy, et al., 2008; Young, et al., 2007), Illinois Public Act 96-0903 sought to ensure that all candidates throughout the state were provided with high quality training and support. Table 8 below outlines key requirements found in the new regulations.

Table 8. Key Requirements for Principal Preparation in Illinois

New License Structure and Program Approval
Established a new PK-12 Principal Endorsement license
Terminated all Type 75/General Administration Programs
Established rigorous program application and approval process by the State Board
Established a new 8-hour Principal Endorsement Exam administered by the State Board
Programs Requirements
Evidence of a formal university/district partnership, involved in the design, delivery, and improvement of the preparation program
Selective admissions criteria including demonstration of prior leadership experience
Required leadership experience across the PK-12 grade span
Established a year-long, performance-based internship, with experience working with a variety of subgroups
Competency based assessments with standardized scoring rubrics
Course work aligned to the ISLLC Standards

Mentoring and Supervision Requirements
Established qualifications for faculty supervisor and host principal
Established requirement for faculty supervisor and host principal to complete mentor training
Required collaboration between the faculty supervisor and host principal in the support and supervision of the candidate during the internship

(Summarized from IL PA 96-0903, 2010)

Through new rules and regulations, programs and districts were mandated to work together to provide mentoring support for aspiring principals. The analysis of public comments conducted by the Illinois State Board of Education (2010), made clear the intent of the policy makers to establish a powerful lever designed to force district and university personnel to work together to prepare principals. Policy-makers intentionally forced the issue by including a requirement that the faculty supervisor and host principal be formally trained in mentoring, and work in collaboration to support and assess the performance of candidates during the completion of the year-long internship.

The statute that requires in-service mentoring did not establish the same shared-responsibility between districts and universities aimed at supporting the development of new principals. However, it did not prohibit universities from being involved in the program. In fact, some of the requirements found in the principal preparation program regulations mirror the requirements in the statute governing in-service principal mentoring.

The Illinois New Principal Mentoring Program established a mandate that all individuals serving in their first year as a principal must participate in a mentoring program aimed at assisting “the new principal in the development of his or her professional growth and to provide guidance during the new principal's first year of

service” (IL PA 94-1039). Table 9 below provides detailed requirements outlined in the statute, including: principal mentor qualifications; required criteria for assigning a mentor; and assessment areas for developing a principal growth plan.

Table 9. Key Requirements for New Principal Mentoring in Illinois

Qualifications of Principal Mentors
Experience as a principal in an Illinois school for 3 or more years;
Demonstrated success as an instructional leader, as determined by the State Board;
Successfully completed mentoring training by an entity approved by the State Board;
Meet all other requirements set forth by the State Board and the school district.
Criteria for Assignment as a Principal Mentor
Experience in a similar grade level or type of school;
Experience aligned to the learning needs of the new principal;
Geographical proximity of the mentor to the new principal.
Required Assessment Areas for the Professional Growth Plan
Analyzing data and applying it to practice;
Aligning professional development and instructional programs;
Building a professional learning community;
Observing classroom practices and providing feedback;
Facilitating effective meetings;
Developing distributive leadership practices.

(Summarized from IL PA 94-1039, 2006)

The state statute establishing the New Principal Mentoring Program did not explicitly exclude university personnel from serving as principal mentors. In fact, there was no mention of higher education in any part of the statute. It can be assumed that the policy makers intended this statute to conform to convention by assigning the responsibility for principal mentoring to the district, as is demonstrated by the inclusion of a requirement that qualified mentors meet all of the qualification criteria established by the State Board and the district. However, UIC-UEL program designers recognized the similarities in the requirements for the qualifications of the principal mentors in the New

Principal Mentoring Program and those found in the regulations governing principal preparation. Since the qualifications were nearly identical and there was no language excluding university personnel from serving in that role, UIC-UEL representatives worked with CPS administrators to build a combined mentoring model that meets the requirements of both statutes and provides a continuum of support from pre-service to in-service. In doing so, funding provided under the New Principal Mentoring Program could and was used to support the UIC-UEL combined mentoring model.⁴

The federal policy context within which a preparation program operates can also influence program design and delivery (Cross, 2014). However, as we have seen with the UIC-UEL program, recognized exemplars can both be *influenced by* and *influencers of* policies related to their work. Another example of exemplars as being influenced by and acting as influencers of policy can be evidenced through an exploration of the impact of the Illinois state statutes involving principal preparation and development at the federal level. As this report was being drafted, efforts by the U.S. Congress aimed at reauthorization of the Elementary and Secondary Education Act (recently entitled No Child Left Behind), resulted in the passage of the Every Student Succeeds Act (ESSA) of 2015. Many of the revised elements found in Title II of ESSA correspond to specific requirements found in the Illinois statutes and rules pertaining to principal preparation and development (Haller, Hunt, & Pacha, 2016). An examination of the similarities

⁴ IL PA 94-1039 is subject to annual appropriations by the IL General Assembly. As such, no funding has been provided by the state since 2012. However, changes to ESEA under ESSA suggest that funding for this type of leadership development could be reinstated and even increased under the new Title II provisions.

between the requirements in ESSA-Title II and the Illinois policies governing principal preparation and development demonstrates the state's role as a policy exemplar that influenced the direction of the federal regulations. (See Appendix F for a detailed crosswalk of alignment between ESSA, Title II, and Illinois Public Act 096-0903.)

The passage of ESSA also provides a policy lever that could create new opportunities for innovation and improvement in the area of principal preparation and development. As such, Illinois will likely be influenced by the new policy as well. The new revisions made to Title II reflect current research and emerging best practices and were designed to address many of the barriers and challenges found in NCLB (Dynarski, 2015). While the enacted revisions to Title II included many regulations that mirror the 2010 Illinois legislation that radically reformed the way principals were recruited, prepared and credentialed, the broader focus of the entire act suggests that there may be an impact not just at the state level, but within districts and preparation programs as well. The revisions allow state education agencies (i.e. ISBE) and local education agencies (i.e. public school districts) to increase activities aimed at principal effectiveness, citing mentoring as a specific strategy. The following is a brief summary of state and district strategies for supporting principal preparation and development. Refinements to regulations in ESSA (20 U.S.C.A. § 6301) provided strategies for state-level activities involving principals and/or mentors including:

1. Establishing School Leader Residency Programs which include support from an experienced mentor⁵;

⁵ ESSA – Title II Section 2002 – 1

2. Training for principals and mentors⁶; and
3. Provide induction training and mentoring for new principals.⁷

Additionally, refinements to regulations in ESSA (20 U.S.C.A. §6301) provided strategies for district-level activities involving principals and/or mentors including:

1. Providing induction programs and/or mentoring that support the professional growth of new principals;⁸
2. Developing and providing training for school leaders and mentors on how accurately to differentiate performance, provide useful feedback, and use evaluation results to inform decision-making about professional development, improvement strategies, and personnel decisions;⁹ and
3. Providing principals with high-quality, personalized professional development that is evidence-based.¹⁰

The level of specificity and focus on principal preparation and development indicate that ESSA was informed by over a decade of practice and research. ESSA provides much needed support and guidance to states, districts and partners that seek to improve principal effectiveness and reflects the impact that the dramatic reform efforts in Illinois have had on policy formation at the federal level.

⁶ ESSA – Title II Section 2101 – c (4) B, ii, II

⁷ ESSA – Title II Section 2101 - c (4) B, vii, III

⁸ ESSA – Title II - Section 2103 b, 3, B, iv

⁹ ESSA – Title II - Section 2103 b, 3, B, v

¹⁰ ESSA – Title II – Section 2103 b, 3, E

The passage of ESSA provides a policy lever that has the potential to create new opportunities for innovation and improvement in the area of principal preparation and development. With the enactment of ESSA, ISBE is able to receive up to 5% of the total annual Title II allocation to Illinois.¹¹ This represents a 2.5% increase compared to the funding formula established for Title II under NCLB.¹² ESSA also includes a provision that allows an additional 3% of the amount reserved for sub-grants to be allocated by the SEA for allowable state activities involving principals and other school leaders.¹³ These changes result in a net increase in funding to support principal preparation and development. Assuming level funding in FY17 for Illinois¹⁴, that translates to an additional \$8.56 million Title II funds that could be allocated by ISBE to support improvements to leadership preparation and development.¹⁵

In Illinois, where the groundwork has been laid to support on-going improvements to already strong principal preparation and development policies and

¹¹ ESSA – Title II - Section 2101 – c (1)

¹² NCLB – Title II – Section 2113 – a (3)

¹³ ESSA – Title II - Section 2101 – c (3)

¹⁴ The new regulations will gradually increase the poverty factor and decrease the population factor for state funding from the current 65/35 ratio to 80/20 beginning with FY20. ESSA phases in the new formula for Title II gradually, so there aren't any sudden or drastic shifts. While some have anticipated that the proportional share to Illinois will ultimately decrease over time with the new funding formula, that will be determined by population and poverty rates beginning after FY20. According to calculations to a report from the Congressional Research Service, downloaded from:
<https://assets.documentcloud.org/documents/2644885/ESEA-Title-II-a-State-Grants-Under-Pre.pdf>

¹⁵ ISBE FY16 budget downloaded from <http://www.isbe.net/budget/fy16/FY16-budget-book.pdf>. Additional funding calculations based on the following assumptions: FY16 Title II allocation to ISBE = \$160M. An increase of 2.5% of the total = \$4M and 3% set aside from the 95% of the total allocated to LEAs = \$4.56M. Assuming that both the additional 2.5% SEA allocation and the 3% set aside for leadership were both allocated to support leadership preparation and development efforts, the increase would be \$8.56M.

programs, the timing of the enactment of ESSA was ideal. In September 2014, ISBE and IBHE convened a group of stakeholders from across the state for the express purpose of exploring the impact of the 2010 policy change to principal preparation and to gain a better understanding of the challenges and opportunities the new programs were facing. Through funding from the McCormick Foundation and The Wallace Foundation, the Center for the Study of Education Policy at Illinois State University organized the ISBE and IBHE convened group, the Illinois School Leader Advisory Council (ISLAC), which was charged with developing a 5-year strategic plan to support and sustain a high-quality school leader pipeline throughout the entire state (ISLAC, 2016). ISLAC hosted six statewide meetings between September 2014 and June 2015. ISLAC efforts culminated in a final report released in February, 2016. ISLAC recommendations outlined in the final report fortuitously align to the new requirements found in ESSA – Title II. (See Appendix G for details on the alignment between the ISLAC recommendations and the revisions made to Title II as it pertains to principal preparation and development.)

The increased attention to leadership preparation and development in ESSA suggests the state may direct resources to the development and replication of programs involving principal mentoring. Therefore, in addition to providing a rich description of the UIC-UEL combined mentoring model, this study also explored the variable and invariable aspects of the model that can be used to inform replication efforts. Those findings are discussed in Chapter 5.

Program Context

Programs such as UIC-UCL operate within larger organizations, and as such interact with multiple sources of internal and external influences found at various levels of the environment. Power dynamics, both internal and external, play an important role in shaping the perceptions and actions of those who work in programs as well as impact how organizational activities are prioritized to meet identified goals (Bryk, Sebring, Kerbow, Rollow, & Easton, 1998; Courpasson, Golsorkhi, & Sallaz (2012); French & Raven, 1959; Ingersoll, 2003; Moe, 2002). In addition to the broader state and federal policy context outlined above, the UIC-UCL program also exists and operates within both a local and organizational context. The following section will describe the local context and the UIC-UCL partnership with the Chicago Public School. Additionally, the local context section will include a description of how the combined principal mentoring model is nested within a principal preparation and development program.

Partnership with the Chicago Public Schools

Developing transformational leaders is no small task, considering the UIC-UCL program is partnered exclusively with the Chicago Public Schools (CPS). CPS is the third largest school district in the country, serving a largely high-need student population of 397,833 students (ISBE, 2015). In FY15, CPS operated 681 schools, supervised 508¹⁶ principals, and employed 22,529 teachers (CPS, 2015). With a poverty index of 86.9%, the student demographics included nearly 40% African American, 46% Hispanic, 9% Caucasian, 4% Asian, and 2% other. Additionally, 14% of the CPS student population

¹⁶ The number does not include an additional 130 principals serving in Chicago charter schools.

received special education services and nearly 18% were categorized as English Language Learners. In comparison to the rest of the state, CPS schools made up nearly 63% of Illinois' lowest performing schools, despite serving only 19.3% of its students (ISBE, 2015).

It is not surprising that, like many other large urban districts, CPS has faced more than its share of challenges. Unlike most large urban districts, however, the unrelenting barrage, variety, and scale of the challenges and scandals CPS has faced in recent years seem to create a very unique and unstable environment. National, state, and local mainstream news outlets, industry publications, and city news agencies regularly produce articles suggesting dysfunctional and/or corruption practices by CPS leadership. Some of the more recent challenges faced by CPS include: constant leadership turnover at all levels of the organization (Sanchez & Belsha, 2016); on-going fiscal crisis (Martiere, Otter, & Kass, 2014); unprecedented number of school closures; teachers strike in 2012 (Lipman, 2013); successful strike vote by teachers in 2015 which may result in another teachers strike in 2016 (Chicago Teachers Union, 2015); inability to meet escalating pension obligations (Williams, 2015); and an FY16 budget that requires an unlikely \$480 million allocation from the Illinois General Assembly in order to balance (Williams, 2015).

The difficult, if not impossible, organizational conditions district employees and partners operate within, has been exacerbated in recent years by the destabilizing effect created by repeated leadership turnover at the highest levels of CPS. In the six years since former CPS Chief Executive Officer (CEO), Arne Duncan, left the district to

become the U.S. Secretary of Education, the district has been “led” by six different CEOs (Catalyst-Chicago, 2015).¹⁷ Additionally, there has been a high rate of turn over by members of the Chicago Board of Education over the past several years. This came to a head during the 2015-2016 school year, when four out of the five members of the Board were replaced (Chicago Board of Education, 2015).

It is important to note that turnover in administration within CPS cannot be blamed directly on the electoral process. Unlike all other school districts in the state of Illinois, members of the Chicago Board of Education are not elected by the voters. Further, and again like no other district in the state, the head of the school district is not selected by the school board. The Mayor of the City of Chicago has appointed all members of the Chicago Board of Education and the district’s CEO. In 1995, revisions were made to the Illinois School Code that provided “mayoral control” of CPS. Specifically, Article 34, section 34-3a codifies “the mayor shall appoint, without consent or approval of the City Council, a 5 member Chicago School Board of Trustees” (Illinois Compiled Statutes, 2015).¹⁸ The same section of the revised code also enabled the mayor to appoint the district’s CEO. “The Mayor shall appoint a chief executive officer who shall be a person of recognized administrative ability and management experience, who shall be responsible for the management of the system, and who shall have all other

¹⁷ Previous CEOs in chronological order: Arne Duncan, 2001-2009; Ron Huberman 2009-2010; Terry Mazany, interim 2010; Jean-Claude Brizard, 2011-2012; Barbara Byrd-Bennett, 2012-2015; Jesse Ruiz, interim 2015; Forrest Claypool, 2015-present)

¹⁸ In July 1999, the Amendatory Act restored the original title of the Board of Education of the City of Chicago, and expanded the Board to up to seven members, including the CPS CEO (<http://www.cpsboe.org/about>)

powers and duties of the general superintendent” (Illinois Compiled Statutes, 2015)

In the six years since former CPS CEO, Arne Duncan, left the district to become the U.S. Secretary of Education, the district has been “led” by six different CEOs (Catalyst-Chicago, 2015).¹⁹ The mayor’s actions in 2015 resulted in the appointment of a new CPS CEO that had no prior experience in education and 80% of the member of the Chicago Board of Education were newly appointed to their oversight positions.

The catalyst for the dramatic change in leadership in 2015 appeared to have been the arrest of then CPS CEO, Barbara Byrd-Bennett. Facing a 23- count federal indictment, Byrd-Bennett plead guilty to her involvement in the award of an \$20 million no-bid contract for which she received illegal compensation from the vendor (United States v. Barbara Byrd-Bennett, 2015). The massive no-bid contract at the center of the federal investigation was approved by the Chicago Board of Education. The scope of work involved in the contract included a comprehensive professional development plan for CPS principals and district leaders. Given the nature of the charges, the on-going investigation, the alleged attempts by CPS officials to obscure activity and communications from federal investigators, and the fact that the contract was focused on leadership development, additional district partners had been questioned by authorities²⁰

¹⁹ Previous CEOs in chronological order: Arne Duncan, 2001-2009; Ron Huberman, 2009-2010; Terry Mazany, interim 2010; Jean-Claude Brizard, 2011-2012; Barbara Byrd-Bennett, 2012-2015; Jesse Ruiz, interim 2015; Forrest Claypool, 2015-present)

²⁰ Chicago Tribune and Chicago Sun Times articles cite several organizations (e.g., Chicago Public Education Fund, Northwestern University’s Center for Nonprofit Management, ISBE, etc.) and individuals (e.g. Mayor Emanuel’s Deputy Chief of Staff, various CPS administrators, etc.) that have been given statements and/or been deposed in the case and federal investigators confirmed Byrd-Bennett is cooperating in the on-going investigation.

(Chase, Coen, & Heinzmann, 2015; Dardick & Perez, 2015; Fitzpatrick, Seidel, & Mihalopoulos, 2015). Therefore, the full impact of this incident on programs like UIC-UEL had yet to be determined while this study was conducted.

Despite the ever-growing list of challenges faced by CPS and its partners, some of the innovative initiatives undertaken by the district have garnered national attention (Ravitch, 2010). CPS's effort at improving principal preparation and development has been an area in which the district has excelled. According to a recent report by the CPS Principal Quality Working Group,²¹ the district holds a core "beliefs that principals are the key to improving all Chicago schools over time and that no school improves without a great leader" (CPS, 2016, p. 1) Throughout the district's tumultuous recent history its commitment to effective school leadership has not waived. Conceptualizing the principal as a vital agent of change, the district has made leadership preparation and development one of the district's top priorities. For well over a decade, CPS has invested heavily in leadership development.²² Core elements of the district's efforts in this area include:

1. Preparing a pipeline of highly-trained effective school leaders through partnerships with selected principal preparation programs;
2. Rigorous screening of aspiring principals and support to the local school councils in the hiring process;

²¹ The CPS Principal Quality Working Group, convened by the CPS CEO and CEo, is a group of stakeholders from education, business and philanthropy charged with providing CPS with input on improving its leadership recruitment, preparation, development, and retention efforts.

²² The district supports the leadership development focus area through a sizable allocation of its annual budget. The total annual budget for FY15 was \$5.756 billion. A rough estimate of the annual budget for the work of the Chicago Leadership Collaborative and the Chicago Executive Leadership Academy for FY15 was \$14.7M.

3. Principal mentoring (including pre- and in-service support);
4. Professional development for principals and maintaining a professional learning community throughout the city (Center for the Study of Education Policy, 2015).

Chicago has been working at the forefront of innovation and improvement in principal quality for quite some time. In fact, many of the program requirements outlined in Illinois PA 096-0903 regarding principal preparation and mentoring were modeled after CPS partnerships that demonstrated innovation and impact, specifically those with the UIC and New Leaders (Baron & Haller, 2014).²³ In fact, the UIC-UEL program was honored with the 2012 Urban Education Impact Award from the Council of the Great City Colleges of Education for developing an outstanding partnership between a university and an urban school district that has had a positive and significant impact on student learning, and was also selected as the recipient of the 2013 Exemplary Educational Leadership Preparation Program Award from the University Council for Education Administration (Baron & Haller, 2014; UIC, 2015). Contributions by demonstration models, such as the UIC/CPS partnership, have pushed Illinois into the national spotlight. Nominated by the National Conference of State Legislators, Illinois was selected by the Education Commission of the States as the recipient of the 2014 Newman Award for State Innovation for its “groundbreaking” policy work involving principal preparation (Education Commission of the States, 2014).

²³ A down-state demonstration site was also recognized by ISBE and IBHE as an exemplar that informed P.A. 096-0903: Springfield School District #186 in collaboration with Illinois State University.

District partnerships with principal preparation programs have been an essential strategy for CPS, due to the unique regulations it must comply with in terms of hiring school principals. Unlike any other school district in Illinois, CPS officials do not have the authority to hire principals for the more than 600 public schools in Chicago (CPS, 2015; ILCS, 2015). As part of the Chicago School Reform Act, passed by the Illinois General Assembly in 1985, the authority to hire the school principal and approve the school budget is placed in the hands of the elected Local School Council (LSC). Every one of the CPS schools has an LSC.

An outgrowth of the Chicago School Reform Act resulted in the creation of the CPS Principal Eligibility Process. A rigorous multi-step screening process requiring candidates to provide evidence of previous leadership experience and demonstrate competencies and dispositions that research suggests correspond to effective school leadership. In order for an applicant to be qualified to interview for a principal position with an LSC, they must first pass the eligibility process and become part of the principal eligibility pool of candidates. No LSC can offer a principal contract to an applicant that has not passed the eligibility process (CPS, 2015).

In order to increase the pipeline of high-qualified principal candidates, the district has invested tremendous resources into a few select principal preparation programs through formal partnerships. Over the last decade those programs have produced a significant number of well-prepared and highly-skilled leaders. Two programs with the longest formal partnerships with CPS, UIC and New Leaders, have produced a significant number of transformational principals that have demonstrated positive impact on teaching

and learning in Chicago schools. Although UIC and New Leaders - Chicago both included relatively small enrollments in their principal preparation programs, collectively they have supplied the district with over 270 of Chicago's principals, directly impacting over 130,000 students (Tozer, 2015). According to a recent report by the Chicago Public Education Fund (2015), UIC is the third top producer of principals in CPS, despite the small size of their program. Indirectly, the UIC leadership footprint within CPS is larger than represented by the number of currently serving principals. The leadership impact of UIC goes beyond the school level, as several alumni have been promoted from principal to district-level leadership positions. For example, the CPS CEEdO, is a graduate of the UIC-UEL program. Further, UIC-UEL students and alumni are demonstrating positive measurable impact on school improvement in Chicago. Impact data include the following positive indicators (UIC, 2014):

- 99% of UIC-UEL candidates that completed the pre-service portion of the program have passed the CPS principal eligibility process;
- 148 students have completed the pre-service portion of the program and secured state leadership credentials;²⁴
- Since the inception of the UIC partnership with CPS in 2001, over 100 UIC-UEL candidates became principals in urban schools within three years of completing the pre-service portion of the program;
- 20 UIC-UEL candidates have served as system-level leaders; and

²⁴ Candidates prior to 2012 earned a Type 75 General Administrative certificate, while those after 2012 were issued Principal Endorsements. This difference reflects changes made by the state to the educator licensure system.

- UIC boasts an 85% principal retention rate, not included as being retained are those that leave the principalship due to promotion to system-level leadership positions.

UIC-Urban Education Leadership Program

The first research question for this study involves determining how specific key elements (Dawson, 2014) and characteristics (Bozeman & Feeney, 2007) of mentoring are operationalized into a single combined principal mentoring model. Before exploring specific key elements, it is important to provide a brief description of the UIC-UEL Ed.D. program, within which the combined mentoring model is situated. The UIC-UEL program is a doctoral program leading to both the IL Principal Endorsement credential and an Ed.D. It is described as an “intensive, highly-selective cohort model that combines coursework with supervised practicum experiences and an emphasis on collaborative data collection and analysis at the school level” (UIC, 2015). It is designed to develop “transformational leaders capable of building school capacity to produce dramatic improvements in student learning in the schools and systems they serve” (UIC, 2015). According to an internal memo on program impact, the UIC-UEL program is defined as,

...a university-based school leader preparation program conducted in close partnership with Chicago Public Schools. The program was designed in response to research findings showing that failing schools can dramatically improve under the leadership of visionary, skilled principals. Through a careful balance of coursework, a year-long supervised residency, and extended on-site coaching across three full years of leadership practice, the Ed.D Program in Urban Education Leadership targets the skills and dispositions that leaders need most to transform the cultures of underperforming urban schools. ...Because

leaders learn best by leading, early leadership preparation and state licensure takes place in the first 18 months. We then support more advanced learning in the heat and challenge of high-stakes leadership. (UIC, 2014)

Unlike every other principal preparation program approved by ISBE to entitle candidates for principal endorsements, the UIC-UEL doctoral program is purposefully designed to span from the pre-service phase into the early in-service phase of development for school leaders.

Compelled by the revised state statute governing principal preparation in Illinois, and in partnership with CPS, the UIC-UEL program went through an intensive redesign process in 2010. Despite the fact that the UIC principal preparation program had served as a model for the state in redefining program requirements, the UIC program design team recognized the new program approval process as an opportunity for them to push the envelope even further in terms of incorporating research-based program improvements and innovations. “Despite the common myth that we didn’t have to do anything but document what we were already doing, we had to make a significant number of changes to the program... We used the state approval process as an opportunity to operationalize and improve in many areas.” Program designers from UIC started the redesign process by identifying all the program policies, structures and practices that were deemed as essential to program success. They then identified areas in need of improvement or further development. From that analysis, a basic outline for mentoring emerged. Informed by program documents and interviews, a summary of the UIC-UEL basic mentoring outline is provided in Table 10 below.

Table 10. UIC-UEL Ed.D. Program Phases and Timeline

Phase/ Duration	Candidate Position	Coursework	Formal Mentoring - High Touch	Informal Mentoring - Low Touch
Pre- Residency (spring and summer)	Same position as when they applied	2 course spring; 3 courses summer	None	Candidates are matched with their mentors in the summer
Residency (1 year)	Candidates work in paid administrative positions, either as assistant principals or principal interns	3 course in fall; 3 in spring; and 1 in the summer. Successful completion of this phase leads to entitlement for the Principal Endorsement	Weekly on- site mentoring sessions; Additional triad meetings with UIC mentor, principal at placement site, and candidate; support with the CPS Principal Eligibility Process	Provide networking support to candidates with CPS leaders; Private mentoring sessions to prepare candidates for job search; Emergency phone support as needed

Pre-Capstone (1 or more years)	Candidates all serve in administrative positions (Principal, assistant principal, or system-level leaders)	4 course in the fall; 1 in the spring; and 2 in the summer. Candidates that successfully complete all coursework through the pre-capstone phase may elect to exit the program with an earned CAS (Certificate of Advanced Study)	Principals guaranteed formal mentoring during their first three years as a new principal, in the form of weekly on-site mentoring sessions.	Candidates not serving as principals (or those beyond their first three years as a principal) are provided with informal/low-touch mentoring. Mentors provide networking support to candidates with CPS leaders (for example, APs trying to secure Principal positions); mentoring sessions to prepare candidates for specific job searches as needed; and emergency phone support as needed
Capstone (1 or more years)	Candidates all serve in administrative positions (Principal, assistant principal, or system-level leaders)	Capstone Supervision - Fall, Spring, Summer Ed.D. awarded upon successful completion of the Capstone project and defense	Principals guaranteed formal mentoring during their first three years as a new principal, in the form of weekly on-site mentoring sessions	Support for Capstone Defense; candidates not serving as principals (or those beyond their first year as a principal) are provided with informal/low-touch mentoring. Mentors provide networking support to candidates with CPS leaders (for example, APs trying to secure Principal positions); mentoring sessions to prepare candidates for specific job searches as needed; and emergency phone support as needed

Post-Program Completion (Not defined)	Alumni serving in administrative positions	None	None	Emergency and other types of mentoring support provided as needed
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(Adapted from an internal draft document created by UIC-UEL program staff.)

As Table 10 above demonstrates, the UIC-UEL program is designed to culminate in the award of an Ed.D. degree, and required a minimum of three and a half years to complete. Formal mentoring was provided in the pre-service phase during the candidate's full-time yearlong internship, and in the in-service phase when the candidate serves in their first through third years as a new principal. Varied approaches to informal mentoring were also included in the UIC-UEL combined principal mentoring model, however informal mentoring occurred mostly in the in-service phase of development.

The UIC-UEL Ed.D. program has been nationally recognized for its innovation and quality. The program recently received the inaugural University Council for Education Administration Exemplary Educational Leadership Preparation Program Award, and was identified as a "model" program by the Illinois Board of Higher Education Commission on School Leader Preparation (Tozer, 2015).

The following sections represent data findings aligned to each of the three guiding research questions. Under Research Question #1, data are presented that demonstrate the key elements and characteristics found in the UIC-UEL combined principal mentoring model and the following sections describe the extent of similarities and differences found between the pre- and in-services phases of the mentoring model. Additionally, data that demonstrate instances where specific key elements were designed in response to state

statutes, local context, or individual needs are also included.

Research Question #1

The first research question for this case study explored how key elements and characteristics of mentoring were operationalized in a single combined principal mentoring model that spans pre- and in-service phases of development.

Key Element: Objective

The first key element of Dawson's (2014) framework for defining a mentoring model involved the clear articulation of what the program seeks to accomplish through the process of mentoring. The table below indicates the data sources used to identify the main objective of the UIC-UEL mentoring model.

Table 11. Mentoring Model Key Element 1: Objective

Data Source	Data Found
IL Statutes & Rules	None clearly articulated or measurable, but both include a description of the purpose of mentoring
UIC-UEL Documents	Consistent with state regulations in terms of identifying a purpose for mentoring
Interviews of UIC-UEL Program Designers	Consistent with state regulations and program documents
Interviews with UIC-UEL Mentors	Consistent with state regulations, program documents and program designer interviews
Survey of UIC-UEL Students	Somewhat consistent with state regulations, program documents, program designer and mentor interviews

Data triangulation revealed strong alignment among state regulations, program documents, and perceptions expressed by the program designers, mentors and mentees in terms of the objective for the UIC-UEL mentoring model.

Illinois state statutes explicitly require principal mentoring, for both pre-service candidates and new principals in their first year in the position. However, the statutes are

silent as to a clear objective or any measurements of effective mentoring. The rules covering principal preparation describe the role of the mentor: to ensure candidates are provided with leadership opportunities and feedback on progress, and to assess performance in four leadership competency areas (IL PA 096-0903). The rules governing mentoring support for first year principals describe the structure and focus of mentoring: the mentor must work with the new principal to identify areas of professional growth and to provide guidance (IL PA 094-1039). But, neither the statutes nor the corresponding rules clearly articulate an objective or goal for principal mentoring.

Exploration of the UIC-UEL Principal Preparation Program Application (2012) provided the following description of the *purpose* of principal mentoring in the pre-service phase, “to accelerate the development of leadership expertise by engaging interns in progressive problem-solving, at the edge of their competence” (p. 173). While the UIC-UEL document uses the term purpose, the content of the description does not merely describing the rationale for the approach, but rather provides a clearly measurable objective for the process. Therefore, the UIC-UEL program has objectives for mentoring pre-service principals: provide a system of tools and protocols to support reflection and learning; provide regular actionable feedback on candidate’s performance; grow expertise in the use of structured cycles of inquiry; and create an individualized evidence trail to evaluate progress. The UIC-UEL application for program approval dedicates 102 pages to the roles, structure, and processes involved in the pre-service mentoring component of the program. In comparison, only 27 pages were devoted to describing the program’s coursework. The level of detail provided on the mentoring component suggests its

importance as a foundational element of the program.

The conceptualization of the UIC-UEL mentor as one who guides or shapes the learning and experiences of the candidates was also evidence in the formal Memo of Understanding (MOU) between UIC-UEL and CPS. The MOU outlined the expectation for the collaborative effort between UIC and CPS to improve principal quality, including the use of mentoring as a specific strategy. The MOU affirmed that UIC-UEL mentors “provide the guidance and support necessary for candidates to succeed” (UIC-UEL, 2012, Exhibit A). In the pre-service phase this system also involved a veteran principal that hosts the candidate during their internship. The MOU included a provision that “UIC will develop a system or procedure for ensuring regular quarterly check-in meetings and action items with leadership coach, mentor principal, and intern” (UIC-UEL, 2015, Exhibit B).

Objectives for mentoring during the in-service phase were outlined on the program’s public website, which also provided the only reference found regarding the objective for in-service mentoring of new principals: UIC-UEL mentors provided “immediate feedback on performance and ongoing guidance to accelerate learning and leadership development” (UIC-UEL, 2015).

UIC-UEL program designer and mentors were all asked in semi-structured interviews to describe what they believed to be the primary aim or objective of mentoring for principals. There responses varied with respect to specific language, however, there were consistent themes found in what they reported. Capturing the major themes, one program designer summarized the objective best: “The primary function of mentoring is

to create the context and conditions that precipitate acceleration of growth in leadership competencies and dispositions, but also in impact on school improvement.” Whether in pre-or in-service phases, mentoring was viewed by the program designers as a crucial mechanism to support the learning environment for the UIC-UEL student. Two program designers pointed out that the UIC-UEL program incorporated an extended mentoring component into the preparation program long before it was a state mandated requirement because they viewed mentoring as an essential strategy for individualized development. One of the mentors commented that the mentoring component was purposefully designed “to accelerate development by providing input and guidance on a wide variety of leadership experiences that are focused on the specific needs of the individual candidate.” Another mentor reported that once a candidate becomes a principal, the mentoring approach can become even more focused on the individual needs of the candidate within the context of a specific school.

In addition to sharing a common understanding of the purpose of mentoring, all of the program designers and two mentors pointed out that UIC chose to hire full time mentors, rather than veteran principals still serving in that role, because they did not believe their candidates would receive the same level of support from school leaders that would be rightfully distracted by the priorities of leading their own school. As one program designer claimed, “it isn’t enough to place a student in an internship and assume that they will learn what they need to,” or that they will be adequately supervised to ensure they gain crucial leadership experiences required by the regulations. “Our underlying belief is that practice doesn’t always make perfect, particularly if the practice

is flawed... Guided, reflective practice, under the supervision of a leadership coach with a proven track record of success as a principal is a more targeted and successful design.” All program designers expressed the belief that leadership learning could not be left to chance. Systematic and standardized mechanisms of guidance and reflection were intentionally built into the UIC-UEL program and the mentoring model was considered an essential component of principal preparation and development.

UIC-UEL students were asked a similar question about the purpose of mentoring in an on-line survey. Their responses were aligned to the program designers and mentors. Nearly 80% of respondents indicated that the purpose of mentoring was to increase their leadership competencies through authentic learning experiences and reflection. In addition, approximately 14% also referenced program completion as a goal of mentoring. All of the respondents that referenced program completion as a goal of mentoring had been enrolled in the UIC-UEL program for five or more years. Finally, roughly 9% of respondents referenced securing a position as a principal as specific goals of mentoring. Those candidates were serving as a principal intern or assistant principal at the time.

Key Elements 2 and 3: Roles and Cardinality

The second key element of Dawson’s (2014) framework for defining a mentoring model explored the roles involved in mentoring. The term roles is used to define the number of individuals involved in the mentoring relationship and each person’s responsibility within the process. The third element of the framework explores cardinality of those involved in the mentoring relationship. Cardinality involves the number of each sort of role involved in mentoring. Because roles and cardinality are so closely linked,

they are described together in this section. The table below indicates the data sources used to identify the roles and cardinality involved in the UIC-UEL mentoring model.

Table 12. Mentoring Model Key Elements 2 & 3: Roles & Cardinality

Data Source	Data Found
IL Statutes & Rules	Establishes a triad mentoring structure in pre-service and dyadic structure in early in-service
UIC-UEL Documents	Consistent with state regulations
Interviews of UIC-UEL Program Designers	Consistent with state regulations and program documents
Interviews with UIC-UEL Mentors	Mostly consistent with state regulations, program documents, and program designer interviews
Survey of UIC-UEL Students	Consistent with state regulations, program documents, program designer and mentor interviews

Data triangulation revealed strong alignment among state regulations, program documents, and perception of practice expressed by the program designers, mentors and mentees regarding the roles and responsibilities of those involved in the UIC-UEL mentoring model.

Illinois statutes explicitly require principal mentoring and also clearly establish the roles involved in the mentoring process at both the pre- and in-service phases. The statute mandating mentoring as part of principal preparation establishes a triad system of support involving a coordination of efforts by the university mentor, the host principal, and the intern. According to regulations, a university mentor is named the “faculty supervisor” and their role is defined as “a faculty member employed on a full-time or part time basis in a principal preparation program who supervises candidates during the internship period” (Illinois School Code §30.10). Additionally, a mentor/host principal is defined as “the principal of the public or nonpublic school in which a candidate is

placed who works directly with the candidate on the day-to-day activities associated with the principal's role as the school leader” (Illinois School Code §30.10). The rules further stipulate “no mentor [host principal] shall have more than five candidates assigned to him or her at any period during the internship. ...Faculty supervisors [university mentors] may have up to 36 candidates during any one 12-month period” (Illinois School Code §30.60).

Similar to the corresponding statute and rules, UIC-UEL documents provide a great deal of detail on the specific roles and responsibilities of the university mentors and host principal mentors in the preparation phase. In their program application for approval, UIC-UEL defines the role of the university mentor as an “individual employed (or affiliated with) and managed by UIC, who provides site-based supervision and feedback” (UIC, 2012). The UIC-UEL application for program approval further elaborates on the triad approach to mentoring in the pre-service phase, which involved the UIC mentor, the host principal, and the principal intern. The application describes the role of the UIC mentor and the host principal as focused on supervising, supporting and assessing the principal intern’s performance and providing feedback on progress toward meeting a specific set of leadership competencies. In summary, the program application indicates that the role of the university mentor and host principal are identical, in that they are both responsible for “developing the knowledge and competencies of the resident [principal intern]” (UIC, 2012). However, the way in which the university mentor and host principal go about that work differentiates the two roles. For example, the following are the main activities the host principal is

responsible for:

1. Daily supervision of the principal intern,
2. Introducing the intern to teachers, staff, and other stakeholders,
3. Providing access to classrooms and crucial leadership experiences,
4. Including the principal intern in important meetings with school and district leaders,
5. Participate in weekly reflective feedback sessions with the principal intern,
6. Meeting regularly with the university mentor and principal intern

The main activities for which the university mentor is responsible include:

1. Supporting the development of the principal intern's leadership skills, knowledge and abilities;
2. Establishing a formal meeting schedule between the university mentor, the host principal, and the principal intern and establish specific goals and activities for the internship,
3. Working with the host principal to ensure the principal intern is provided access to classrooms and leadership opportunities necessary to complete the internship requirements,
4. Conducting weekly 2-hour site visits that include observing and/or meeting with the principal intern to provide feedback on their performance and progress toward goals,
5. Meeting with the host principal on a monthly basis, and other district officials regularly,

6. Arranging other required leadership experiences outside of the main internship site to ensure the candidate completes internship experiences across the PK-12 grade span and with subgroup populations, such as English Language Learners, special education, gifted, and early childhood,
7. Supporting the principal intern's successful completion of the CPS hiring process for principals.

Additionally, both the university mentor and the host principal are responsible for assessing the candidate on the four competencies required by state regulations (§Illinois School Code 0.45 a. 1-4).²⁵

Responses by UIC-UEL mentors that participated in interviews all confirmed the triad mentoring relationship in the pre-service phase. Additionally, UIC-UEL mentors reported case-loads for pre-service mentoring well below the state maximum in a 12-month period. UIC-UEL program documents reflected a rigorous selection process that anticipated accepting roughly 25 students per year (UIC, 2012). During interviews, UIC mentors indicated that the state regulations involving maximum caseloads are somewhat misaligned to the UIC-UEL model. The rules presume that the mentors provide services only to pre-service candidates. All UIC-UEL mentors provide services to candidates in both the pre- and in-service phases of development. They described a common practice

²⁵ The four leadership competencies required by the rules include having a comprehensive understanding of and performance with: 1) data analysis, school improvement, and conducting the School Improvement Plan process; 2) conducting teacher hiring, faculty evaluation, and professional development; 3) conducting school-wide management of personnel, resources, and systems for adequacy and equity; 4) requirements for, and development of, individualized education programs, individualized family service plans, and plans under Section 504 of the Rehabilitation Act of 1973.

of being matched with a mentee during the pre-service phase and remaining matched with that candidate until they graduated or beyond. While none of the UIC-UEL mentors described caseloads that exceeded the maximum of 36 candidates in one 12-month period, 80% of the mentors expressed concern about being stretched too thin. One of the UIC-UEL program designers indicated that an unofficial policy within their program is that no mentor would be assigned more than five candidates in their internship phase and five candidates in their first year as a principal. The program designer described the intensity of the support needed in those two phases of the program, stating that “principal interns and first year principals require a significantly greater amount of time and attention than more experienced principals or those in A.P. [assistant principal] or other leadership positions.” When asked if the policy was routinely followed, one mentor indicated that while the policy is technically followed, “it is the unofficial mentoring that occurs that really increases my workload.” The mentor elaborated that “unofficial mentoring” occurs in a wide variety of situation. Some of the examples the UIC-UEL mentors gave of when “unofficial mentoring” occurred included: when UIC-UEL places a principal intern in a school and the host principal required support for a change process they were trying to implement; when a candidate completed the internship but had not secured a position as a principal and wanted assistance networking; when the candidate had completed the internship but failed the CPS principal eligibility process and needed assistance preparing for the assessment again; when the candidate completed the internship and wanted assistance negotiating with their supervisor to gain additional experience in a specific leadership

area; when the candidate had completed the internship and wanted support with their capstone project; or even when the candidate has completed the program and is facing a crisis situation. In many cases, none of those additional responsibilities would be included when reporting the UIC-UEL mentor caseload.

Despite the complicated process of determining formal and informal activities involved in the mentoring process, when asked in interviews, the UIC-UEL mentors reiterated the roles and responsibilities as outlined in the regulations and in program documents. In addition, the mentors expressed that they felt an obligation to provide on-going professional and academic support for their candidates beyond the phase at which the aspiring principal successfully completed the internship, secured a principal endorsement, and passed the CPS principal eligibility process. As one UIC program designer stated, “Barring any unforeseen circumstance, from the time they are match until the student graduates, the coach provides regular and on-going support.”

Data from the UIC-UEL mentee survey support the mentoring role structure described in the regulations, program documents and responses from the UIC-UEL mentors. 17.39% of respondents to the mentee survey indicated that two individuals served in mentoring roles aimed at supporting their leadership development. That percentage directly corresponds to the 17.39% of respondents that indicated they were completing the principal internship at the time the survey was completed.

The statute and rules involving new principal mentoring were not nearly as detailed as those involving the preparation of principals. The rules for in-service mentoring of principals established that the program was designed to “match an

experience principal ...with each new principal in his or her first year in that position” (105 ILCS §2-3.53a). Therefore, the regulations established a dyadic structure for the mentoring process for new principals. Unlike the regulations governing in-service mentoring for aspiring principals, the statute and rules mandating mentoring for new principals were silent in terms of the maximum allowable caseload.

Much like the statutes and rules, the UIC-UEL documents outlining the mentoring of new principals provide only a brief description of the role and responsibility of the mentor during the in-service phase. Aside from indicating that all first through third year principals receive one-on-one mentoring support from UIC-UEL, the program documents reflect a similar lack of detail on the role of the mentor during the in-service phase found in the state regulations.

UIC-UEL program designers and mentors consistently described the dyadic structure of the mentoring relationship after completion of the principal internship. All UIC-UEL mentors reported that upon completion of the internship, they had no other formal requirement that they collaborate with any CPS official in the assessment or evaluation of the mentees with whom they were matched. Because very little detail had been documented by the program regarding mentoring during the in-service phase, this case study relied heavily on interview and survey responses from program mentors and mentees regarding the responsibilities of the mentor during that phase.

The UIC-UEL mentors described their responsibility during the in-service phase as a continuation of support aimed at increasing leadership competencies over time. Two mentors suggested that the role and responsibility of the mentor did not change, but

rather the perception of the mentee shifts between the pre- service and in-service phases. As one mentor stated, “Stuff they learned in their courses or during their residency takes on new meaning. They are much more vulnerable as a new principal. They are exposed at all levels. All of a sudden, tools we gave them before become much more important.” However, one program designer acknowledged that unlike the pre-service phase, which he described as “driven by the CPS eligibility process,” there was “no established curriculum for in-service coaching.” One mentor acknowledged the lack of standardization with mentoring in the in-service phase and indicated that program improvement efforts in that area were underway. That mentor claimed that with new principals, UIC-UEL mentors were still responsible for supporting the development of leadership competencies, but they also had the added responsibility of preparing the student for the program’s capstone project.²⁶ Another mentor stated that during the in-service phase, it is not uncommon for a mentor to shift quickly from a facilitative approach to a directive approach, because “students absolutely deserve for their schools to be in compliance and function properly.” Unlike the pre-service phase where the UIC-UEL mentor and the host principal can provide a safety net for an aspiring principal to fail and learn from the mistake, mentors of new principals have an obligation to the students to ensure they have a safe and adequate learning environment. However, another mentor stressed that their role primarily involves acting in a facilitative manner in order to continue to develop the novice school leader. “You

²⁶ As a summative assessment of learning and performance, the UIC-UEL program requires students to complete and successfully defend a capstone project in order to earn an Ed.D. degree. The capstone project involves developing, implementing, documenting and reflecting on a specific school-based change process.

cannot enable them, because it won't benefit them in the long run...pushing someone out of their comfort zone is essential for their growth." UIC-UEL mentors frequently used the term "thought partner" to describe their responsibility to mentees in the in-service phase of development.

Similar to responses from UIC-UEL mentors, 100% of mentees that had completed the principal internship phase prior to completing the survey reported only one person was assigned to support their development. Mentees also echoed the notion of the mentor's role as a facilitative thought partner. When asked what, if anything, was the greatest benefit to participating in UIC-UEL mentoring process, mentees responded with similar comments to those received by the mentors. Mentees reported the greatest benefit was:

"My coach's expertise and willingness to be a thought partner"

"Having a sounding board"

"Someone to talk to that understands the real world of leadership"

"A trusted thought partner in all aspects of leadership"

"Her objective, yet supportive experienced insight"

Mentee respondents also reiterated the notion of the mentor as someone responsible for supporting their continued growth. They reported that their mentor:

"Is constantly pushing me to my growth edges"

"Monitors and accelerates my leadership development"

"Reinforces learning and differentiates support"

"Push my thinking in areas where I am stuck"

“Pushes me to keep current with emerging literature on best practices”

Key Element 4: Strength of Mentoring Relationship

The fourth element of Dawson’s (2014) framework of a mentoring model explored the intended closeness of the mentoring relationship. In other words, the extent of trust and openness found in the relationship between the mentor and mentee involved in the mentoring process. The table below indicates the data sources used to identify the strength of relationship found within in the UIC-UEL mentoring model.

Table 13. Mentoring Model Key Element 4: Tie Strength

Data Source	Data Found
IL Statutes & Rules	Little found - bars mentors from being required to evaluate performance of mentee. No indication of intended strength in pre-service regulations.
UIC-UEL Documents	Little found – brief reference to mentees perception of trust in the mentor
Interviews of UIC-UEL Program Designers	Somewhat consistent responses among program designers regarding the strength of the mentoring relationship and an indication that trust and openness are essential in mentoring
Interviews with UIC-UEL Mentors	Somewhat consistent responses with each other and program designers regarding the strength of the mentoring relationship and an indication that trust and openness are essential in mentoring
Survey of UIC-UEL Students	Somewhat consistent responses with each other and with mentors and program designers regarding the strength of the mentoring relationship and an indication that trust and openness are essential in mentoring

The Illinois statutes and rules governing principal mentoring in both the pre- and in-service phase of development are silent when it comes to describing the intended strength of the mentoring relationship. The only inference that mentoring requires a trusting relationship can be found in the regulations for new principal mentoring. That

statute includes the stipulation that mentors “shall not be required to provide an evaluation of the new principal on the basis of the mentoring relationship” (105 ILCS §2-3.53a.d). That prohibition could be interpreted as policy makers intentionally protecting the development process for new school leaders and/or intending to promote trust within the relationship. No other references are made in any other section of the statutes or rules for principal mentoring that indicates the intended strength of the mentoring relationship.

The element of strength was not well addressed by the UIC-UEL documents. In the 484-page application for program approval, UIC-UEL program designers use the term “trust” 43 times (UIC, 2012). In that document, the concept of a trusting relationship is applied to a wide variety of relationships, include between the principal and school staff, between UIC and CPS, within organizations, among school faculty, and between new principals and their school communities. But, there is just one reference involving the term trust as it relates to the mentor/mentee relationship. That reference is found in a survey conducted annually by UIC-UEL to explore student satisfaction with the mentoring relationship. Specifically, it explores the degree of rapport and trust established by the mentor (UIC, 2012, p. 159). There is no reference in any other context within UIC-UEL documents as to how the program will foster trust within each mentoring relationship, what indications of trust they explore beyond the survey, or how the program would address a situation in which trust or openness were found to be lacking. In addition, there is no evidence that perceptions of trust or openness are collected from mentors involved in the process. Perception data on trust and openness were only collected from the mentees. The absence detail regarding this element may

indicate a lack of attention by the program to the strength of the mentoring relationship. Interview questions of program designers did not yield adequate feedback regarding the intended strength of the mentoring relationship in either pre- or in-service phases. Program designers' responses tended to focus on frequency, duration, or on the content covered in the mentoring sessions. None of the program designers' comments specifically reference strength in terms of the level of trust or openness found within the mentoring relationship. Therefore, exploration of the element of strength relied heavily on responses to interview questions from mentors and survey responses from mentees.

Mentors were asked to describe the strength of their relationship with mentees in various stages of the UIC-UEL program (e.g. pre-service during the internship, in-service in a role other than principal, and with novice principals). All UIC-UEL mentors interviewed for this study reported that they were matched with students during the internship (pre-service) phase and remain matched with those students throughout the duration of the program. An examination of response data on the strength of the mentoring relationship found in the pre-service phase, 80% of mentors interviewed indicated they believed they had very strong relationships with students they mentored. The other 20% replied that their relationship in the pre-service phase was strong. There was greater variance in responses from mentors when asked the degree of strength in mentoring relationships with students in the in-service phase. In that case, 60% of mentors reported very strong relationships, and 40% strong. Two of the three mentors that responded their relationships were strong, reported that the question was difficult to answer because some of their relationships were very strong, some strong, and a small

few neither strong nor weak. They felt the question required a more nuanced response than a Likert rating scale afforded.

The complicated nature of attempting to tease out the degree of strength in the mentoring relationship between pre- and –in-service phases ignored the developmental continuum and could have skewed the findings were it not for the nuanced responses provided by the mentors. For example, 40% of mentors interviewed indicated that the strength of the mentoring relationship remained constant throughout the time they were matched with mentees. 60% of mentor respondents indicated that the strength of the relationship fluctuated over time and was influenced by the mentee’s program phase and the type of leadership position they held within CPS. One of the mentors that indicated that the strength of the relationship fluctuated explained that in addition to the mentee’s position and program phase, the variance in relationship strength was also largely dependent upon “the degree to which they believe the program is continuing to contribute to their professional growth in their new position. If we are unsuccessful in helping them see that connection, they are more resistant to coaching.” The mentor indicated that relationship strength was also as varied as the students they mentor. In some instances, the “unrelenting pace” of a new principal’s workload contributed to a decline in their commitment to the program, for others it increased their commitment and connection to the mentor. Another mentor agreed that a student’s leadership role influenced the strength of the relationship. But she argued that in some instances it is not the student’s program phase or position, but their mindset that influenced the strength of the relationship. The mentor gave an example of a student that decided “they just didn’t need

me anymore – until something went wrong and then they did, and then the relationship became extremely strong again.” She went on to describe the “personal and professional investment” she had made in the students she mentored over nine years: “the journey can be an emotional roller-coaster. ...Some moments make you inhale [in shock], some moments make you exhale [in frustration], but if you are really lucky there are moments so perfect that it takes your breath away.” The on-going nature of the UIC-UEL principal mentoring model allows for an ebb and flow in terms of the degree of strength in the mentoring relationship.

For the most part, survey responses from UIC-UEL mentees support the interview responses from their mentors. 86.96% of respondents rated their mentoring relationships as very strong or strong. However, 8.7% of respondents reported their mentoring relationship as weak, while none of the mentors reported any weak relationships. Of the three respondents that reported weak mentoring relationships, one was in the pre-service phase and two were serving in leadership roles other than a principal.

Key Element 5: Relative Seniority

The fifth element of Dawson’s (2014) framework of a mentoring model explored the comparative experience, expertise, or status of the mentor vs. the mentee. The table below indicates the data sources used to identify the relative seniority of the mentor found within in the UIC-UEL mentoring model.

Table 14. Mentoring Model Key Element 5: Relative Seniority

Data Source	Data Found
IL Statutes & Rules	Seniority of mentor required in both pre- and in-service, and minimum qualifications and training are also required
UIC-UEL Documents	Consistent with state regulations. Indicated the program included additional qualifications
Interviews of UIC-UEL Program Designers	Consistent with state regulations and program documents
Interviews with UIC-UEL Mentors	Consistent with state regulations, program documents, and program designer interviews
Survey of UIC-UEL Students	Consistent with state regulations, program documents, program designer and mentor interviews

The Illinois statute governing mentoring for new principals was enacted prior to the changes made to regulations for principal preparation programs. As such, the statute that applies to new principal mentoring included minimum qualifications for the mentor and mentee. Building upon regulatory language from the new principal mentoring statute, the revisions made to principal preparation regulations capitalized on knowledge gained through prior implementation of the principal mentoring programs and included greater detail regarding minimum qualifications for the mentor and mentee, as well as more specific information on the type of training required for the mentor and the host principal. In regulations governing principal mentoring in both pre- and in-service, a mentor is not considered “qualified” until they have completed approved mentoring training. The regulations involving new principal mentoring only states that the mentor shall complete training, but is silent in terms of specific content covered by the training. The rules regarding principal preparation, however, are explicit in that they require university mentors and host principals to complete training and assessments on effectively

conducting teacher performance evaluations and also training designed to support their development as mentors to school leaders. Therefore, the type of training that was statutorily required has been included under the key element of qualifications.

Information on additional program or district training is included under key element #12.

According to state statute, qualifications required to serve as a mentor to a new principal included that the educator: (1) have served as a principal in Illinois school for minimum of three years; (2) provided evidence of success as an instructional leader; and (3) “completed mentoring training by entities approved by the State Board and meet any requirements set forth by the State Board and by the school district employing the mentor” (105 ILCS §2-3.53a. b). The statute required the State Board to determine what constituted a demonstration of success as an instructional leader. The sole qualification to meet the definition of a “new principal” under this statute was to be serving in the first year as a principal in an Illinois school, having never served in that role previously. The corresponding rules for new principal mentoring allow for second year principals to choose to participate in the mentoring program (Illinois School Code §35.30 a).

Building on the mentor qualifications and training requirements outlined for new principal mentoring, revised regulations governing principal preparation extended similar and more detailed requirements for faculty supervisors (i.e. UIC-UEL mentors) and mentor principals (i.e. CPS principals that host the principal intern). In this case, the UIC-UEL mentor/faculty supervisor is defined as “a faculty member employed on a full-time or part-time basis in a principal preparation program who supervises candidates during the internship period” and the CPS host principal/mentor principal is defined as

“the principal of the public or nonpublic school in which a candidate is placed who works directly with the candidate on the day-to-day activities associated with the principal’s role as the school leader” (Illinois School Code §30.10). In order to meet the minimum state qualification to serve as a UIC-UEL mentor, the faculty supervisor had to possess “a valid and current professional educator license endorsed for general administrative or principal,” a minimum of “two years of successful experience as a building principal as evidenced by relevant data...” and “letters of recommendation from current or former supervisors” (Illinois School Code §30.40). The minimum qualifications for the host/mentor principal mirrored those of the university mentor/faculty supervisor, with one substantive difference: host/mentor principals must have provided “relevant data, including data supporting student growth in two of the principal’s previous five years” (Illinois School Code §30.60).²⁷ Additionally, the state required all university mentors/faculty supervisors to “successfully complete the training and pass the assessment required for evaluation of licensed personnel” (Illinois School Code §30.60).

Because all UIC-UEL mentors provide both pre- and in-service mentoring support, the program did not differentiate mentor qualifications or level of seniority between the two phases. The program documents did, however, reveal that in addition to ensuring adherence to state mandated requirements for university mentors, UIC-UEL and CPS added two qualifications to the role of the mentor/faculty supervisor. The additional qualifications required that all UIC-UEL mentors/faculty supervisors hired by the

²⁷ The qualifications for the host/mentor principal also include those serving as both the district superintendent and a school principal, and the allowance for a principal holding a valid out of state license comparable to the Illinois general administrative or principal endorsement, or a non-public school principal holding a valid and exempt general administrative or principal endorsement.

university be former CPS administrators and that they possessed a minimum of ten years of experience serving as a successful CPS principal. In fact, the UIC-UEL program application reported that all mentors in their program at that time had “at least 15 years of experience as a school principal... [and] a track record of having led a high poverty, high minority, urban school and substantially improved test scores” (UIC, 2012, p. 21). UIC-UEL in collaboration with CPS, also added the following qualifications to the state requirements for principals that were selected to host pre-service aspiring candidates during their principal internship. The added qualifications for host/mentor principals included:

1. Have a minimum of three years of experience as a successful principal;
2. Have successfully passed the CPS principal eligibility process;
3. Demonstrated student achievement score gains that exceed the CPS average;
4. Demonstrated ability to develop leadership in their school (UIC, 2012).

The additional requirements outlined above far exceed the mandated state qualifications. Program designers reported that the UIC-UEL mentoring model was intentionally designed to promote seniority between the mentor and the mentee. As one program designer highlighted, “it’s not a coincidence that all of our leadership coaches have extensive experience as CPS principals with strong records of successfully transforming high-need urban schools.”

Program designers and mentors indicated the importance of the mentor being staffed in a full-time position as vital to the mentoring model. Although the state required principal preparation programs to engage the services of both a university mentor/faculty

supervisor and a host/mentor principal, neither position is required by statute or rules to be full-time positions. However, the intentionality indicated by the UIC-UEL program design ensured seniority and a full-time focus on developing students. Several program designers provided evidence of that intentionality. One asserted, “we simply could not get the same level of guided practice from a sitting principal that you can get from a full-time coach.” Another program designer tied the notion of seniority and full time devotion to mentoring to the program’s use of the term “leadership coach” rather than mentor. That program designer reported that the team conceptualized the term “mentor” as a veteran serving in a similar position that supports a colleague’s development while simultaneously attending to their own school’s responsibilities. In contrast, a “leadership coach” was viewed as a full-time employee whose entire responsibility is to support the on-going development needs of the UIC-UEL candidate. Another program designer reiterated that concept by claiming, “full time coaches are completely focused on supporting candidate development through guided reflection that results in change over time. A current principal would not spend the same kind of time, nor would they have such a targeted sense of purpose.”

In addition to adding qualifications that resulted in increasing seniority and ensuring adequate time devoted to the responsibilities of mentoring, the UIC-UEL mentor requirements also ensure context specific knowledge transferable from mentor to mentee. Stressing the importance of that requirement, the program designer explained “their previous experience with CPS allows them to navigate the district’s idiosyncratic aspects in ways that someone coming in from another district could never do.”

UIC-UEL concentrated on two aspects that contribute to seniority: time and experience. By establishing additional qualifications including CPS experience and a minimum of 10 years as a successful principal, the program was able to operationalize seniority in the mentoring model. One program designer argued that the UIC-UEL approach of focusing on both time and experience could have both positive and negative consequences for a program.

A direct benefit of the qualifications that focused on mentor background that UIC-UEL established was that the program immediately benefited from the knowledge and experience the mentors brought to the program from their employment with CPS. Because of their prior experience, the mentors had virtually no learning curve in terms of understanding the policies, structures, processes and people within the partner district. Additionally, because the coaches had previously worked together, they had received similar training and experienced a variety of district and network support systems. This was a direct benefit to the UIC-UEL program and to the students they mentored. Not only did this practice create the condition that afforded the mentors to transfer context specific knowledge to the mentees, to a certain extent it also promoted common practices. As one program designer stated, “some standardization to coaching occurred organically due to the fact that we only hire former CPS administrators... They have all been professionalized within that system and have a tendency to operate accordingly.” Being able to “hit the ground running” as one mentor described the transition from CPS to UIC, was certainly viewed as an asset. However, the program designers also recognized that there was an inherent risk in the approach as well. “Because they have similar

backgrounds, and they all worked for years in CPS, and they now derive the majority of their professional learning from one another, there is a real danger in ‘group-think’ occurring.” Group-think is a construct from psychology that has been applied to organizational theory. It tends to occur within homogenous groups that lack alternative viewpoints. Group-think stifles creativity and innovation, and is marked by conformity (Turner & Pratkanis, 1998). Several program designers and three of the mentors interviewed expressed a desire for regular external development and a broader community of practice that would support the mentors’ professional learning. Expressing a desire for a professional development plan for UIC-UEL mentors, one emphasized, “we’re in the growth business in every sense of the word. That means me too.”

Another aspect of seniority that was viewed as a blessing and a curse was that of time. UIC-UEL mentor qualifications require applicants to have served many years in field of education. In addition to spending 10 years as a CPS principal, 60% of the UIC-UEL mentors interviewed reported that they had served in district level administrative positions where they trained and supported principals. An exploration of the mentors’ backgrounds not only indicated a wealth of experience, it also signified a very significant number of years spent working in the K-12 environment. 100% of mentors interviewed reported that they had officially retired from a district position before taking on the role of UIC-UEL mentor. Because UIC-UEL mentors are all retired CPS administrators, it would have been reasonable to expect that the program experienced turnover on a regular basis. However, that has not been the case. The most recently hired UIC-UEL mentor had been with the program for six years and the longest had been employed at UIC for

eleven years. One program designer was quick to suggest, “our luck has run out. I suspect we will be hiring three new coaches in the coming year.” Suggesting that UIC-UEL needed to focus on a succession plan, one mentor asserted, “I’m not going to be able to do this forever. I’m 70 for goodness sakes.”

As indicated earlier, UIC-UEL mentees were consistent in reporting the value they placed on the mentor’s prior experience with CPS and in leadership roles. Additionally, only one mentee surveyed reported that they were unsure of their mentor’s background. 92% of mentee respondents indicated they knew their coach was a previous CPS principal and that they had demonstrated success in increasing student achievement in their schools. 75% of respondents also acknowledged that their mentor exhibited a clear understanding of adult learning principles and possessed strong coaching skills.

Key Element 6: Time

The sixth element of Dawson’s (2014) framework of a mentoring model explored the length of time spent involved in mentoring and the regularity of mentoring sessions. The table below indicates the data sources used to identify the amount of time involved with the UIC-UEL mentoring model.

Table 15. Mentoring Model Key Element 6: Time

Data Source	Data Found
IL Statutes & Rules	The timeframe for mentoring defined in both pre- and in-service regulations; frequency of mentoring sessions defined for pre-service, but silent for in-service; regulations for duration of mentoring identified for in-service, but silent for pre-service.
UIC-UEL Documents	Timeline for program clearly defined, but somewhat less clear for mentoring specifically. Expectations for frequency and duration clearly defined for pre-service mentoring, but less detailed for in-service mentoring.
Interviews of UIC-UEL Program Designers	Consistent with the descriptions found in the program documents
Interviews with UIC-UEL Mentors	Consistent with the descriptions found in the program documents
Survey of UIC-UEL Students	Somewhat inconsistent with descriptions found in the program documents and comments from the mentors and program designers. Consistent with the state requirements

There are three areas of exploration involved in defining the key element of time:

(1) length of time to complete the program and length of time spent in mentoring, (2) frequency of meetings between mentors and mentees, and (3) duration of mentoring sessions. The section of the Illinois School Code that outlined the requirements for all principal preparation programs mandated that mentoring support be provided to candidates only during the year-long internship phase of the program (Illinois School Code §30.40). The state statute governing in-service principal mentoring support required that an educator “participate in a new principal mentoring program for the duration of his or her first years as a principal” (105 ILCS 5 §2-3. 53a (a))²⁸, and the corresponding rules

²⁸ The rules governing new principal mentoring also allow for second year principals to be identified by the superintendent for continued mentoring (Illinois School Code §35.30 a).

highlight that first year principals spend “no fewer than 50 contact hours in activities demonstrably involved in the mentoring process (Illinois School Code §35.30 c).

The UIC-UEL combined principal mentoring model articulated in the program’s application for approval met the requirements for program length in the pre-service phase. Additionally, while not required to do so, the program exceeded the timeframe outlined in the new principal mentor legislation.²⁹ Program documents and responses from program designers and mentors all supported the finding that the UIC-UEL program met or exceeded the state requirements. There were some inconsistencies in terms of the number of credit hours and years required for completion of the Ed.D. program, as well as how many years of mentoring candidates in the program were “guaranteed” vs. how many they were “afforded.”

A main determinant of the amount of time required to complete a degree program involves the number of credits/courses required. According to the UIC-UEL application for program approval the course sequence for the Ed.D. program required the completion of a minimum of 80 semester hours (UIC, 2012, p. 14). Yet, there were inconsistencies found within the primary documents used for analysis of this element. For example, on page 193 of the UIC-UEL application for program approval, it states that candidates must complete “eighty-four credit hours of academic coursework, usually completed within a three year period” in order to earn an Ed.D. degree (UIC, 2012, p. 193). Potentially aligned to that statement, the UIC-UEL application for program approval also stated that

²⁹ The statute stipulated “school districts created by Article 34 are not subject to the requirements of subsection b, c, d, e, f or g of this section.” Chicago was the only district in the state that qualifies as a district created by Article 34.

candidates must fulfill the requirements of “80 hours of coursework and successful completion of their capstone thesis” in order to complete the doctoral program (UIC, 2012, pp. 14, 33, 117). It was unclear whether or not the capstone project accounted for the additional four hours of credit that was referenced elsewhere in the application, or whether the capstone thesis was added additional credit hours to the total coursework requirement. Tables outlining the course sequence for the Ed.D. program that were found in multiple program documents, as well as the public UIC-UEL website, state the program requirement of 80 credit hours (UIC, 2012, pp. 33, 36, 265, 267, 277; UIC, 2016). The interview protocols used with program designers and mentors and items on the survey for mentees did not provide any clarifying data for this discrepancy.

The length of time to complete a degree program was dictated by the number of credit hours required, but also by the expected number of courses to taken each semester. Data was somewhat inconsistent involving the number of years it took for UIC-UEL students to complete the Ed.D. program. Despite one reference in the program application that suggested candidates completed the program in three years, all other references suggested the program would take most candidates roughly 5 years. Additionally, the application for program approval addressed the ambiguous nature of the length of time to completion: “This [course] sequence could be shortened or lengthened, for example, by using summers strategically or by adding Superintendent Endorsement courses” (UIC, 2012, p. 279). Responses from program designers when asked about the length of time to program completion represented similarly slight variation as found in the program documents. While one program designer asserted that candidates in

continuous enrollment took five years to complete the program, two other program designers reported the time to completion as “about four or five years.” The final program designer interviewed broke the timeline into two specific phases: “18 months in pre-service and 36 months in in-service, for a total of 54 months or four and a half years.” While the UIC-UEL program application indicated expected variance around time to completion, program designers’ comments suggested a typical program length requiring four and a half to five years to complete.

Time to completion data from documents and program designers’ interviews appeared to be somewhat inconsistent with mentee response data from the survey. UIC-UEL student survey response data indicated that over 37% had been enrolled in the program for more than five years. An additional 13% had been enrolled for more than four years. However, the survey instrument did not ask mentees if they were concurrently pursuing a Superintendent Endorsement while completing their Ed.D. program. The Superintendent Endorsement requirements added an additional 16 semester credit hours to the program’s course sequence. Therefore, it is unclear as to whether or not the program was delivered as intended and designed in terms of time to completion.

Another area of exploration around the key element of time involved the length of time candidates were provided mentoring support within the Ed.D. program. State regulations required a full year of mentoring for pre-service candidates during the internship phase, and one year during the first year serving as a new principal (Illinois School Code §30.40 a3 and §35.30). The UIC-UEL application for program approval

(2012) consistently indicated that the program far exceeds the state requirements in the preparation phase in terms of frequency and duration. It also consistently indicated that the program exceeded state requirements by extending new principal mentoring beyond the candidate's first year serving in that role. What was less clear was exactly how far beyond the first year new principals received mentoring support from the program. The Memo of Understanding between UIC and CPS was silent in terms of addressing in-service mentoring for new principals, as were other program documents. Only the lengthy application for program approval addressed this issue, albeit with conflicting passages (UIC, 2012) For example, the document stated clearly that mentoring was provided "for a one-year residency and for the first three years of their principalship" (p. 193). That suggested the total number of four years of mentoring support. Yet, in other passages the program indicated it provided "three years of site-based leadership coaching" (p. 149), or "3 to 4 years of coaching" (pp. 158 and 201). The difficulty in arriving at an exact number of years candidates are provide with mentoring support is likely linked to the amount of time it took a candidate to complete the program. One program designer claimed, "A candidate is assigned a mentor from the time they enter the internship through completion of the program." Therefore, the length of time a candidate was provided mentoring support was likely correlated with the length of time it took them to complete the program. However, another program designer asserted, "the intensity of support is dictated by the candidate's needs." Thus, indicating that there were other variables involved:

Another area of variation was found in terms of what program designers, mentors and mentees perceived as mentoring support. According to program designers, formal and informal aspects of mentoring occurred throughout the program, contributing to an apparent inability to specifically pinpoint the exact number of years candidates were provided with mentoring support. One program designer described this formal and informal structure as follows, “a candidate is guaranteed three years of coaching: one in the residency year and two years post-residency when they begin a principal position. Coaching support is provided throughout the program, but of a lesser priority than the three guaranteed years.” Another program designer explained that it wasn’t a matter of candidates being provided with mentoring or not, but rather a difference in the amount of time a mentor would devote to mentoring candidates in different phases of the program. Several program designers and mentors referred to a classification of “high-touch” and “low-touch” mentoring determined by what position the candidate was serving in at the time. Candidates that were completing their internship or were in their first year of the principalship were considered “high touch” while nearly all other positions were considered “low touch.”

Regardless of high touch or low touch, according to documents and program designer responses, the high end of the reported number of years candidates were provided with mentoring was four. Notwithstanding, data from the mentee survey revealed that 39.3% of respondents indicated they had received more than four years of mentoring support. 17.39% claimed they had received more than five years, and 21.74% reported they had received more than four but less than five years of mentoring support.

This suggests that there may have been a lack of consensus regarding exactly what constituted mentoring or a lack of clarity between the formal mentoring activities intentionally included in the program design, and the informal mentoring practice that was taking place but was not documented.

Attempting to increase understanding of both the formal and informal aspects of mentoring, the next area of exploration under the key element of time focused on frequency and duration of mentoring in various phases of the program. State statutes and rules provide little guidance in this area. For example, regulations governing new principal mentoring were silent in terms of frequency and duration of mentoring session. The rules established for preparation program mentoring involved only the internship phase, and included the requirements that the university mentors:

1. “Conduct at least four face-to-face meetings with the mentor [host] principal at this internship site...;
2. Observe, evaluate and provide feedback at least four times a year to each candidate...;
3. Host three seminars each year for candidates to discuss issues related to student learning and school improvement arising from the internship” (Illinois School Code §30.40).

While the rules provide mandates for frequency, they established no expectation in terms of duration of any mentoring sessions, meetings or seminars.

UIC-UEL documents contained consistent descriptions of expectations that exceed the state requirements for mentoring during the pre-service internship phase. The Memo of Understanding between UIC and CPS only requires mentors to meet on-site with host principals and candidates six times though out the year-long internship and

“maintain regular communication with the [host] mentor principal and provide monthly feedback to the [intern] resident principal” (UIC, 2012, p. 84).

The UIC-UEL application for program approval (UIC, 2012) and an IES grant proposal (UIC, 2013) describe the program expectations for frequency and duration of meetings between mentors and mentees. Frequency and duration were defined within the context of required mentor activities, including meeting weekly with principal interns for a minimum of two hours; meeting monthly with the principal intern and host principal; and meeting monthly with the cohort of principal interns (UIC, 2012; UIC, 2013). During the internship phase, mentors reported that they spent approximately two hours per week meeting in person with candidates in schools. One program designer reported that according to internal reporting data, “our coaches put in a minimum of 120 face to face hours with residents during the residency [internship phase].”³⁰ Less clear is the amount of time spent mentoring candidates during the in-service phase.

Table 16 below provides the breakdown of data regarding frequency of mentoring sessions for three subgroups: interns, those that served in non-principal positions, and those that served as principals.

³⁰ This statistic was also cited in the UIC-UEL application for program approval (UIC, 2012, p. 159).

Table 16. Frequency of UIC-UEL Mentoring Sessions

Pre-Service Internship	Never	1-2 Times Per Sem.	Monthly	Twice Monthly	Weekly
Documents	0%	0%	0%	0%	100%
Designers	0%	0%	0%	0%	100%
Mentors	0%	0%	0%	0%	100%
Mentees	0%	0%	0%	0%	100%
In-Service Non-Principal	Never	1-2 Times Per Sem.	Monthly	Twice Monthly	Weekly
Documents	Frequency not referenced for this phase				
Designers	Frequency not referenced for this phase				
Mentors	0%	0%	0%	0%	100%
Mentees	8%	25%	8%	33%	25%
In-Service Principals	Never	1-2 Times Per Sem.	Monthly	Twice Monthly	Weekly
Documents	0%	0%	0%	0%	100%
Designers	0%	0%	0%	0%	100%
Mentors	0%	0%	0%	20%	80%
Mentees	0%	25%	13%	50%	13%

In terms of frequency, data from program documents, designers, mentors and mentees were consistent regarding the internship phase, somewhat inconsistent for those in-service working in non-principal positions, and largely inconsistent when it came to how often they met with those in principal positions. Not only were perceptions of the frequency of mentoring most inconsistent for those that served in non-principal positions, no evidence could be found in either program documents or in interview data from program designers to suggest that UIC-UEL had an established expectation for how often mentoring should take place with that population. Further, there appears to be loose coupling between the expressed design of the program and implementation in terms of frequency for principals in the program. However, because the survey did not differentiate between first year principals and those serving in subsequent years in that

role, the discrepancy could represent a difference in need as principals settle into their new role in the years following their initial transition.

A somewhat similar pattern emerges from data collected regarding the duration of mentoring sessions. Table 17 below provides the breakdown of data regarding the average duration of mentoring sessions for three subgroups: interns, those that served in non-principal positions, and those that served as principals.

Table 17. Duration of Average UIC-UEL Mentoring Sessions

Pre-Service Internship	As Needed	1-30 Min.	30-60 Min.	1 -2 Hours	> 2 Hours
Documents	0%	0%	0%	100%	0%
Designers	0%	0%	0%	100%	0%
Mentors	0%	0%	0%	100%	0%
Mentees	0%	0%	0%	100%	0%
In-Service Non-Principals	As Needed	1-30 Min.	30-60 Min.	1 -2 Hours	> 2 Hours
Documents	Duration not references for this phase				
Designers	Duration not references for this phase				
Mentors	40%	20%	0%	40%	0%
Mentees	0%	0%	45%	55%	0%
In-Service Principals	As Needed	1-30 Min.	30-60 Min.	1 -2 Hours	> 2 Hours
Documents	Duration not references for this phase				
Designers	0%	0%	0%	100%	0%
Mentors	0%	0%	0%	100%	0%
Mentees	0%	0%	38%	50%	13%

Similar to data involving frequency, there was consistent expectations and experience in the pre-service phase of development. And once again, program documents and interviews with program designers revealed no evidence of standard expectation for the duration of mentoring sessions for those in the post-internship phase serving in non-

principal roles. Additionally, there appears to be loose coupling between the expressed design of the program and implementation in terms of the expected duration of the mentoring sessions for principals in the program. However, once again, because the survey did not differentiate between first year principals and those serving in subsequent years in that role, it is unclear what may have contributed to this disconnect.

Key Element 7: Selection Process

The seventh element of Dawson's (2014) framework of a mentoring model explored the process involved in determining the qualification and criteria for inclusion in the program as mentors and mentees. The table below indicates the data sources used to identify the selection process involved with the UIC-UEL mentoring model.

Table 18. Mentoring Model Key Element 7: Selection Process

Data Source	Data Found
IL Statutes & Rules	Qualifications outlined in regulations for both the pre- and in-service principal mentoring
UIC-UEL Documents	Consistent with state regulations and indicate that the program exceeded the state requirements
Interviews of UIC-UEL Program Designers	Consistent with state regulations and program documents
Interviews with UIC-UEL Mentors	No evidence found
Survey of UIC-UEL Students	Consistent with state requirements regarding years of teaching also indicated that program exceeded minimum requirement

State regulations and program documents both indicated that great attention was paid to qualifications and selection criteria for mentors. Because the key elements of selection and level of seniority are intimately linked, significant details were previously provided regarding criteria for mentor selection found in the section describing seniority.

This section briefly summarizes mentor selection and provides greater detail on mentee selection.

State regulations governing principal mentoring in both the pre- and early in-service phase apply similar criteria for mentor selection. Mentors for first year principals must meet the following criteria:

1. Experience as a principal for three or more years
2. Demonstrated success as an instructional leader (105 ILCS 5/2-3.53a b)

Building upon the basic selection criteria outline in statute governing new principal mentoring, mentors involved in principal preparation program must meet the following:

1. Possess a valid and current professional educator license endorsed for general administrative or principals;
2. Demonstrate two years of successful experience as a building principals as evidenced by relevant data; and
3. Provide formal evaluations or letters of recommendations from current or former supervisors (Illinois School Code §30.40 c 1 a-b)

UIC-UEL documents added to the qualifications above the requirements that mentors have experience as a CPS school leader, that they possess a minimum of ten years of experience as a principal, and that they demonstrate significant student gains from the time they served as a principal in CPS (UIC, 201). Interviews with program designers revealed additional preferred criteria, such as an ability to identify and support high quality instruction. As one program designer asserted, “We do not select folks without really strong instructional skills.” Another program designer pointed out that the

UIC-UEL selection criteria for mentors provided an informal mechanism for ensuring common practice. The program designer claimed, “Coaches in this program have a high degree of autonomy. However, the tight selection criteria for those that serve as leadership coaches ensures a certain level of standardized practices and approaches.

In addition to the selection criteria for mentors, a wide variety of data was found regarding the selection criteria for students/mentees as well. State mandated selection criteria required for students/mentees to principal preparation program were similar in structure to the requirements for the mentor, with respect to the fact that they focused on number of years in a specific role and evidence of positively impacting student growth. Despite similarities in terms of the focus of the criteria for mentors and mentees, the regulations for student/mentee selection were much more prescriptive in terms of the evidence required to demonstrate success as an educator. In order to minimally qualify as a principal preparation program candidate, the student had to possess: a valid and current Illinois professional educator license endorsed in a teaching field; two years of full time teaching experience³¹; a passing score on a test of basic skills; and “a portfolio that presents evidence of a candidate’s achievements during his or her teacher experience” (Illinois School Code §30.70). The list of evidence required to demonstrate achievement was extensive, including:

1. Evaluations of the candidate’s teaching ability from supervisors that attest to student’s academic growth;

³¹ Illinois School Code §30.70 c 1 b indicates that a candidate must demonstrate two years of student growth and learning, which means the candidate would need to have completed two full years of teaching, but in practice is likely to require three full years due to the lag in time it takes for schools to receive confirmed test score data.

2. Evidence of leadership roles held and descriptions of the impact the candidate had on the classroom, school or district;
3. An analysis of classroom data (student scores) that describes how the data were used to inform instructional planning and implementation, including an explanation of what standards were addressed, the instructional outcomes, and steps taken when expected outcomes did not occur;
4. Information on the candidate's work with families and/or community groups and a description of how this work affected instruction or class activities;
5. Examples of the candidate's analytical abilities as evidenced by a description of how he or she used the results from student assessment to improve student learning; and
6. Evidence of curriculum development, student assessments, or other initiatives that resulted from the candidate's involvement on school committees (Illinois School code §30.70).

The UIC-UEL program not only set high standards for the selection of their mentors, they also exceeded the state requirements for the selection of their students/mentees. Exploration of UIC program documents reveal that in addition to the state qualification requirement, the UIC-UEL program added additional criteria for mentees. Because the UIC-UEL program was structured as a doctoral program, the entrance qualifications were set accordingly higher. Evidence of this was found on the program's public website, a federal grant proposal, and within the UIC-UEL application for program approval. The UIC-UEL website indicated the minimum qualifications for

applicants to the program include “an earned master’s degree, substantial teaching experience, experience as a teacher-leader or school/district leader, and a demonstrated commitment to leading the improvement of high needs urban schools” (UIC, 2016). The UIC-UEL application for program approval went further in detailing the minimum qualifications for applicants, which included possessing a master’s degree; earning a grade point average in the master’s degree program of at least 3.5; scoring high on the Graduate Record Exam (e.g. average 1000 for math and verbal subtests combined); and securing compelling letters of recommendation (UIC, 2012).

Survey data from UIC-UEL students confirmed that the program met and exceeded the state requirements regarding years of teaching. Survey respondents indicated “substantial teaching experience” aligned to criteria outlined in the program documents. While the state required that all principal preparation candidates possess a minimum of two years of teaching experience, UIC-UEL students reported on average more than ten years of teaching experience and no UIC-UEL candidate reported having had less than two years of teaching experience. Further, 21.74% of respondents indicated they had more than ten years of teaching experience and 86.96% reported having more than five years of teaching experience. The survey did not explore other aspects of the selection process.

Key Element 8: Matching Process

The eighth element of Dawson’s (2014) framework of a mentoring model explored the process involved in developing relationships between individual mentors with mentees. The table below indicates the data sources used to identify the matching

process involved with the UIC-UEL mentoring model.

Table 19. Mentoring Model Key Element 8: Matching Process

Data Source	Data Found
IL Statutes & Rules	Matching criteria defined for in-service mentoring only
UIC-UEL Documents	Clearly defines a matching process that begins in pre-service and indicated that the matches continued into the in-service phase
Interviews of UIC-UEL Program Designers	Consistent with program documents, but provide numerous exceptions to practice
Interviews with UIC-UEL Mentors	Somewhat inconsistent with program documents, but closely reflect the exceptions outline by the program designers.
Survey of UIC-UEL Students	The matching process was unclear to most of the UIC-UEL students

The state statute governing new principal mentoring includes the following matching requirements of mentors and mentees, based on, “(i) similarity of grade level or type of school, (ii) learning needs of the new principal, and (iii) geographical proximity of the mentor to the new principal” (105 ILCS 5/2-3.53a d). The corresponding rules provide no further guidance in this area. In addition, the statute and rules governing pre-service mentoring provide no guidance what-so-ever in terms of matching. Therefore, this section relies heavily on program documents, interview and survey data.

The UIC- UEL application for program approval provides details on the process for matching candidates with internship sites:

Incoming residents develop a profile of their developmental needs and indicate the conditions that they would like to see in a [internship] site. That information, along with a resume, is sent to all approved [host] principals. Approved [host] principals compile a list of the things that they are looking for in a resident and a list of the potential [internship] projects that could be undertaken at their school that would give the resident the experience needed to develop their instructional leadership skills and pass the rigorous CPS principal qualification process. That, in addition to the

report card on their school, is mailed to all residents. Shortly after completion of these information exchanges, a matching session is arranged to allow all parties to meet each other individually and indicate their 1st through 4th preference. This forms a baseline for matching residents and [host] principals. (UIC, 2012, p. 156)

That process was consistently described in UIC-UEL documents and the program's website (UIC, 2012; UIC, 2015), and for the most part was reiterated in interviews with the program designers.³² However, that process only described how candidates were matched with placement sites, but provided no information as to how UIC-UEL mentors and mentees were matched. The only reference to matching UIC-UEL mentors and mentees found in program documents indicated that "during the second week [of the internships] the UIC assigned coach meets with the resident and [host] principal to begin the discussion of goal and action plan development" (UIC, 2012). Program designers were asked to explain the matching process between UIC-UEL mentors and mentees. "[Host] principals select residents, and then [UIC-UEL] coaches are matched based on whether or not they have any connection to the school – currently or previously coaching someone else at the school, or the distance they have to travel to be on site. Their ability to "get along" is an important factor as well," explained one program designer. When pressed for details on the matching process, the program designer responded that matching does not follow a consistent process. Other program designers reiterated the notion that prior connection to the school was a driving factor in matching UIC-UEL mentors and mentees. For instance, if a UIC-UEL mentor was mentoring an assistant

³² In the past, UIC-UEL preferred to match their mentees with host principals that had completed the UIC-UEL program. More recently, CPS has attempted to facilitate the distribution of best-practices by intentionally placing principal candidates in internship sites where the principal did not complete the same training program as the intern.

principal or the principal in the building, the program would match the new mentee to the existing mentor. In most cases that system has been beneficial to all involved. As one mentor pointed out:

Residencies are more efficient when we place with principals that have hosted residents before. Mentor principals choose the residents, then UIC assigns the coach mostly based on previous relationships and by geography. ...Less time on the coaches if they continue to mentor residents in the same schools each year because we have to learn the school environment in order to effectively support their learning. Learning the environment of a new school can take many, many hours of coaches' time. I don't want to take time away from our mentoring sessions to learn the school context.

However, the most efficient match was not always the most effective. As one program designer reported, matching was largely but not exclusively "dependent upon the school where the [intern] is placed. If we have a coach working with the principal or AP there then we automatically go that route. But sometimes a coach mentoring a principal or AP and a resident can create a conflict of interest. In those situations, we have to reassess that structure." Additionally, geography and corresponding travel time from site to site also contributed to decisions regarding matching. Acknowledging this practical approach to matching, one program designer stated:

We know that matching should be based on the candidate needs and their coach's expertise. But increasingly, because of traffic in Chicago, it is largely based on geography. Also, because clinical faculty are required to participate in research and publishing, they have a lot on their plate. One of the clinical faculty recently put her foot down and said she wouldn't go any further than 8 miles.

The practical approach to mentor/mentee was referenced by mentors who reported, "geography and where they are placed as a resident is the main determinant in coaches

them,” and “matching is increasingly based on case load because we are all stretched. So, where you start in your internship may dictate the coach with whom you are matched.” That does not mean the program never made changes to matches between mentors and mentees. One program designer asserted that candidates were “not necessarily with the same coach throughout their program.” Occasionally once a student completed their internship, they secured a position too far from the proximity of where the mentor worked. In those instances, a new mentor was assigned. Additionally, as one coach acknowledged, the program does not always make an effective match initially. “Sometimes a match is just not a good fit. Also a candidate’s coachability will impact the relationship. If one of us can’t get through to them, maybe another one of us can.”

Survey responses from UIC-UEL candidates revealed that 73.91% were unsure what criteria was used to determine the match with their mentor. 30.43% reported that they believed the match was based on their developmental needs or the mentor’s expertise. Only 21.74% of respondents believed their match was based on their internship placement sites.³³

Key Element 9: Activities

The ninth element of Dawson’s (2014) framework of a mentoring model explored the actions mentors and mentees take in the mentoring relationship. Actions could include tasks such as scheduling mentoring sessions, determining agendas or focus areas, etc. The table below indicates the data sources used to identify the activities involved

³³ The total percentage reported exceeded 100% because the question allowed candidates to check more than one criterion for matching. Responses for that question included 147% of the total number that completed the survey. Additionally, 0 respondents skipped that particular question.

with the UIC-UEL mentoring model.

Table 20. Mentoring Model Key Element 9: Activities

Data Source	Data Found
IL Statutes & Rules	Required activities are clearly defined for both pre- and in-service principal mentoring
UIC-UEL Documents	Consistent with state regulations, but very little documented regarding in-service principal mentoring
Interviews of UIC-UEL Program Designers	Consistent with state regulations and program documents, and some details on in-service mentoring provided
Interviews with UIC-UEL Mentors	Consistent with state regulations, program documents, and program designer
Survey of UIC-UEL Students	Specific activities not identified, however responses along leadership domains are consistent with state regulations and program documents.

The state regulations governing mentoring support for candidates in principal preparation programs were extensive in terms of providing explicit direction. In addition to the required four meetings with the host principal, four feedback sessions with the mentee, three seminars, and the completion of assessments of the mentee's performance during the internship, the rules also outline activities required of the mentee. Those requirements included:

1. Successfully complete training and assessments for the evaluation of certified staff (Illinois School Code §30.40 d 1);
2. Pass applicable content-area test (Illinois School Code §30.40 d 2);
3. Demonstrate leadership competencies in the following areas:
 - a. Conveys an understanding of how the school's mission and vision can affect the work of the staff in enhancing student achievement...
 - b. Demonstrates a comprehensive understanding of the process

used for hiring staff who will meet the learning needs of the students...

- c. Demonstrates the ability to understand and manage personnel, resources and systems on a school wide basis...
- d. Demonstrates a thorough understanding of the requirements for, and development of, individualized education programs...
- e. Participate in, and demonstrate mastery of, the 36 [SREB leadership] activities... (Illinois School Code §30.45 a)

Additionally, according to the rules, the mentor was responsible for “rating a candidate’s demonstration of having achieved the competencies” listed above (Illinois School Code §30.45 b)

Data from program documents indicate that the UIC-UEL program was designed to meet the state standards and in some areas exceed them. Rather than merely providing feedback to candidates and meeting with the host principal four times during the internship year, UIC-UEL mentors were expected to meet weekly with the mentee, and monthly with the host principal during the internship year (UIC, 2012, p. 196).

All program designers interviewed for this case study reported that mentoring in the pre-service phase was structured in response to the state regulations and the CPS principal eligibility process. As one program designer stated, “pre-service coaches are basically teaching to the test. Eligibility is the driving force behind what they do.” This concept was reiterated by the UIC-UEL mentors, as one claimed, “pre-service focuses on eligibility. Because if they don’t pass eligibility, it doesn’t matter what they have learned, they will never be a CPS principal.” Another program designer pointed to the rigor of process as valuable, “I respect the CPS eligibility process. It is certainly more rigorous than the state and we are ok with that.”

Two program designers acknowledged the danger in allowing the CPS principal eligibility process to drive the mentoring focus, given that the process had changed several times in the past few years. However, if UIC-UEL students were unable to pass the CPS principal eligibility process, they were disqualified from being hired as a principal in the district. Additionally, because CPS did not disclose substantive information on the principal eligibility process, one program designer reported that it was a challenge for the program to balance mentoring support aimed at successfully completing the eligibility process with a more broad focus on developing essential leadership competencies. Citing a concern that he was “unsure about the validity of the OPPD [principal eligibility] process,” the program designer connected that challenge to the requirement that UIC-UEL mentors have extensive experience as a CPS administrator. He argued that because of their deep knowledge and experience with the district, they simultaneously supported the candidate’s successful completion of the eligibility process and their development in other areas that will assist them in being successful CPS administrators.

That notion was echoed by one of the mentors who agreed with others that pre-service mentoring was focused on support the candidate’s successful completion of the CPS principal eligibility process, but argued that because the process is performance-based and designed to measure the candidate’s level of competencies aligned to the district and state performance standards, it is somewhat disingenuous to simply claim they are “teaching to the test.” The mentor asserted, that even if the principal eligibility process didn’t exist, mentoring focus in pre-service would continue to “focus on

leadership development, increasing knowledge on board rules and regulations, efficient time management strategies, balance accepting responsibility with distributive leadership, and acquiring a leadership voice of their own” most of which was assessed by the CPS principal eligibility process.

Program designers and mentors consistently reported that the transition from pre-service mentoring to in-service mentoring was fairly smooth as the match between mentor and mentee almost always remained intact. 80% of mentors indicated that they felt that while the school building may have changed and the candidate’s sense of accountability may intensify during the transition from pre- to in-service phases, mentoring remained focused on developing leadership capacities and dispositions. The other 20% identified different foci for two phases: preparing for the principal eligibility process and the principal endorsement during the pre-service phase; and building the capacity of others and developing a leadership voice and vision for a specific school in the novice principal phase. One mentor indicated that the attempts to divide the program into pre-service or in-service does a disservice to the intentional continuity of support and the scaffold approach that allowed them to build on knowledge, experiences and the relationships as candidates moved along the developmental continuum. The mentor argued:

whether or not they are in their residency or are new principals, I work on developing leadership competencies, learning good diagnostic skills, how to develop others, honing political skills and their ability to manage up and down... We continually build and reinforce prior learning... The approach doesn’t change, it just becomes more relevant and goes deeper once they become principals and are ultimately responsible for outcomes.

The statute governing new principal mentoring outlined seven focus areas that must guide content covered during mentoring sessions over the course of a year. The statute mandated:

The principal, in collaboration with the mentor, shall identify areas for improvement of the new principal's professional growth, including, but not limited to, each of the following:

1. Analyzing data and applying it to practice.
2. Aligning professional development and instructional programs.
3. Building a professional learning community.
4. Observing classroom practices and providing feedback.
5. Facilitating effective meetings.
6. Developing distributive leadership practices.
7. Facilitating organizational change (105 ILCS 5/2-3.53a d)

According to the program's application for approval, the focus of the mentor's role when working with first year principals involves the mentor visiting "schools on a weekly basis, accompanying principals as they are doing classroom observations, attending key meetings, doing walk-throughs, examining data – all for the purpose of getting them to be reflective, strategic, relational and proactive about what they are experiencing" (UIC, 2012, p. 199). The goal of mentoring for new principals was to support their understanding "that they have to make time for all of these key strategic priorities vs. simply reacting to operational and crisis pressures and emergencies" (UIC, 2012, p. 199). Mentors were encouraged to assist new principals with building and engaging strong leadership teams and developing systems that support effective operational and learning environments. While program documents focus on the professional behaviors of the principals, data from mentor interviews struck a balance

between the professional needs and the psychosocial needs of the mentees during their transition to the principal role.

According to UIC-UEL mentors, first year principals require a “heavy touch” in terms of the amount of time and effort spent in supporting their development. As one UIC-UEL mentor stated “first year principals are so often lost in a sea of bureaucratic paperwork and never ending crisis. We [mentors] are their lifeline – one of the few people who truly understand the pace of the job and how hard it is.” This was echoed time and again by other UIC-UEL mentors. A first year principal who had called one of the UIC-UEL mentors in a moment of complete desperation was described as claiming “you never told me it was going to be this hard or this lonely!” Another reported that mentees often phone her late in the evening and she plays the role of “the passenger in the car on the drive home. I’m the person they can tell everything to and be vulnerable. It’s my job to listen, help them reflect, and prop them up to face it all over again tomorrow.” The notion promoted through program documents that the mentor focuses solely on developing leadership competencies did not fully capture the psychosocial elements of the mentor’s responsibilities.

In the second and third years of in-service mentoring, the mentor is expected to continue to support the development of strong leadership competencies, but also “to go deeper, especially in the areas of instruction and social support systems for students” (UIC, 2012, p. 200). In that respect, the role of the mentor is focused not just on the individual principal, but the principal within the context of a specific school, involving a specific population, taught by a specific group of teachers. That aligns to the state

regulations for mentoring new principals, which were designed to support growth in the seven areas outlined in the statute. UIC-UEL mentors supported that description of their work. As one mentor stated the role of the mentor during the in-service phase was to assist the new principal in applying what they had learned to a specific context. The mentor argued that it was her job to “develop leadership dispositions through problem identification specific to the sites and identifying levers of change in that specific site.”

Survey data from UIC-UEL students in various phases of the program align with the notion that mentoring in the pre-service phase was focused on developing leadership competencies, while in-service mentoring involved applying knowledge, skills and abilities to a specific setting. For example, when asked to what extent mentoring addressed the specific needs presented in your current school setting, 100% of respondents that were completing their internship at the time of the survey indicated “well.” 65.2% of those that were serving as principals at that time of the survey reported “greatly” to that same question. There was substantial variation in the leadership dimensions addressed in the two phases of development as well. UIC-UEL students were asked what leadership dimensions they spent the most amount of time discussing during mentoring sessions and were allowed to check all items that applied.³⁴ Respondents that were completing their internship at the time of the survey indicated only two areas of focus: 100% reported “situational problem solving” and 50% also indicated “teacher supervision and development” as a

³⁴ Answer options included: operational management, teacher supervision and development, situational problem solving, analyzing student performance data, communications, personal behaviors, resilience, time management, interpersonal issues with staff, and other (please specify).

mentoring session focus. Principals, however, demonstrated much greater variation in their responses, including:

Situational Problem Solving	87.50%
Interpersonal Issues with Staff	75.00%
Time Management	62.5%
Personal Behaviors	50.00%
Communication	37.50%
Resilience	37.50%
Operational Management	25.00%
Teacher supervision and Development	25.00%
Analyzing Student Performance Data	12.50%
Capstone Project	12.50%

UIC-UEL mentors reported that the dimensions of interpersonal issues with staff and situational problem solving were inter-related and typically required the most amount of time in the first year of the principalship. “Residents [interns] are generally shielded from that sort of thing by their [host] principal.” Mentors reported that during the internship, students are supervised and supported on a daily basis by the host principal. While they must interact and lead staff in activities, ultimately the principal sets the stage for collaboration. But once the student advanced to the in-service phase and became the principal they become responsible for managing faculty and staff in the building. Mentors reported that was one of the most challenging aspects of the transition from intern to principal. As one mentor asserted, “I remind them constantly, it’s not personal, its personnel.”

Key Element 10: Resources and Tools

The tenth element of Dawson’s (2014) framework of a mentoring model explored resources and tools used in mentoring. In other words, the technology, curriculum, and/or other tools available to assist mentors and mentees in the mentoring process. The table below indicates the data sources used to identify the resources and tools involved with the UIC-UEL mentoring model.

Table 21. Mentoring Model Key Element 10: Resources and Tools

Data Source	Data Found
IL Statutes & Rules	Pre-service – required alignment to several standards and use of a standard rubric for assessments of candidates
UIC-UEL Documents	Consistent with state regulations. Numerous tools and resources referenced, primarily but not exclusively for use in pre-service
Interviews of UIC-UEL Program Designers	Consistent with state regulations and program documents
Interviews with UIC-UEL Mentors	Consistent with state regulations and program documents
Survey of UIC-UEL Students	Limited data for this element – curriculum only

Neither the statute nor the rules governing in-service mentoring required the use of any specific resources or tools in the delivery of mentoring. State regulations governing pre-service mentoring included numerous resources and tools that were required to be included in the mentoring model. According to the rules governing principal preparation, all programs were designed with these specific requirements:

1. A formal agreement between the preparation program and the district that outlines the role of each in the design, delivery and improvement of the program;

2. Met the Educational Leadership Policy Standards developed in 2008 by the Interstate School Leaders Licensure Consortium (ISLLC); and
3. Provided leadership experiences that addressed school improvement focused on all grade levels, the Illinois Professional Teaching Standards, with a variety of subgroups (special education, English language learners, gifted students, and early childhood programs) (Illinois School Code, §30.30 a-d)

All programs were also required to ensure that candidates completed 36 leadership activities aligned to 13 critical success factors developed by the Southern Regional Education Board. (Illinois School Code, §30.45 b). Further, all principal preparation program were required to evaluate candidates on four specific competency areas using a state provided assessment rubric (Illinois School Code, §30.45 a 5).

A review of UIC-UEL program documents revealed great alignment with the state requirements. The application for program approval (UIC, 2012) included:

1. A formal Memo of Understanding between UIC and CPS (pp. 13-15, 69-72) along with a contract for services (pp. 40-68);
2. A crosswalk of program elements to ISLLC Standards (pp. 16-17, 73-80, 351-353);
3. Evidence of use of the Illinois Professional Teaching Standards (pp. 12, 81-99);
4. Evidence of integration of the SREB 36 leadership activities during the internship (pp. 40-41, 91-93, 208-211, 215-221); and

5. Evidence of use of the assessment rubric for evaluating candidate

competencies (pp. 40-41, 87-90, 105-119, 145-151, 197-198, 208-211).

The application for program approval was specifically designed by the state board to assess the extent of alignment between programs and state regulations. Therefore, it was expected and confirmed that the UIC-UEL program met each of the state's requirements for principal preparation programs. However, meeting the individual state requirements does not necessarily ensure that the program, or the mentoring component specifically, were delivered in a standardized fashion.

When asked whether or not mentors were provided with specific protocols or curriculum designed to promote pre- and in-service mentoring, 100% of program designers and 100% of mentors indicated specific protocols and curriculum had been implemented during the preparation phase. As one program designer stressed, "during pre-service, there is extensive use of standard protocols." A multitude of forms, protocols and structures were consistently referenced by program designers and mentors, such as a guide and documentation form for triad meetings, tools for tracking internship progress, tools for documenting ratings on leadership competencies, etc. One tool that all mentors referenced for use in pre-service was designed to support mentee understanding of applying cycles of inquiry with groups of teachers during the internship. As one mentor stated, mentors "have a lot of autonomy, but we try to be more prescriptive in the residency to ensure they meet all the requirements. We use documents and tools created by UIC and CPS, for example, the REACH teacher evaluation tools. Three mentors referenced prior support from CPS to standardize mentoring during the pre-service phase,

which they found valuable. According to one of the mentors, “OPPD [CPS Office of Principal Preparation and Development] developed a coaching guide back in like 2008 that I still use today. It is a great tool. But now CPS provides coaches with absolutely no support.”

Program designers and mentors largely agreed that use of standardized tools and protocols were the norm in pre-service, but that mentoring during the in-service phase was likely aimed at the specific needs of the individual candidate. As one program designer reported, there was “no curriculum for in-service coaching.” In fact, 100% of program designers reported that there was great variation in approach and content covered in mentoring during the in-service phase. What was less clear was whether that approach was by design or a symptom of inattention in oversight during that phase of the program. Mentor perceptions were not as consistent when it came to the availability and use of protocols and curriculum during the in-service phase. For example, 40% of mentors indicated they used specific protocols or curriculum during the in-service phase, 40% reported they did so to a significantly lesser extent than in pre-service but did use them occasionally, and 20% reported they did not use specific protocols or curriculum to guide mentoring during the in-service phase. One mentor cited specific tools used for new principal mentoring, such as “an entry planning protocol for use in their first 90 days, a tool for developing a CIWP [continuous improvement work plan], developing appropriate assessment systems, building effective ILTs [instructional leadership teams]...” However, another mentor claimed:

We need to be working toward greater standardization with protocols and data tracking in both residency [pre-service] and post-residency [in-service]. Protocols around Cycles of Inquiry and Donaldson's work with ICI [interpersonal-cognitive-intrapersonal model] are used. There is no requirement that we use them, but we all have agreed to because they are really useful. We are continually improving processes and tools, but the biggest challenge would be linking the post-residency [in-service] coaching more closely to the capstone and their actual job. We need to contribute directly to supporting their incremental progress toward completion.

One mentor point out that:

protocols developed for use in preparation can also be used to assist with transition to a principal position, like how do you use the interview process to determine whether or not the school is a good fit for your experience and strengths; how do you develop a vision for a particular school; developing a three-minute leadership speech that outlines your philosophy...

In that case, the mentor adopted or adapted tools and protocols specifically designed for pre-service candidates for use during in-service mentoring. Interview data from other mentors did not indicate that practice was common. Despite a long list of resources and tools at their disposal during pre-service, 80% the mentors indicated a need for greater standardization with mentoring practice, protocols and data tracking during the in-service phase.

When asked whether they believed the UIC-UEL mentor followed a specific curriculum that guided the focus of mentoring sessions during the internship, 33% of mentees that were serving in the pre-service internship phase of the program reported yes, 33% reported no, and 33% reported that they were unsure. Because no further questions regarding this area of inquiry were asked on the survey, it is unclear why mentee perceptions of a standardized curriculum for pre-service mentoring was inconsistent with

findings from documents, and interviews with program designers and mentors.

When mentees serving as principals were asked whether they believed the UIC-UEL mentor followed a specific curriculum that guided the focus of mentoring sessions, 87.5% responded yes, during the internship phase, but only 25% reported yes during the post-internship phase. An additional 25% of mentees serving as principals reported they were unsure whether or not mentoring in the post-internship phase of the program followed a specific curriculum. Data from the survey were consistent with program designer and mentor indications that in-service mentoring was less standardized and more reflective of the individual needs of the candidates.

Key Element 11: Role of Technology

The eleventh element of Dawson's (2014) framework of a mentoring model explored the relative importance of technology in the process. The table below indicates the data sources used to identify the role of technology involved with the UIC-UEL mentoring model.

Table 22. Mentoring Model Key Element 11: Role of Technology

Data Source	Data Found
IL Statutes & Rules	In-service regulations allow for the use of telecommunications, pre-service establishes a preference for face-to-face, on-site meetings
UIC-UEL Documents	Consistent with regulations - Reflects the preference for fact-to-face meetings, but allows for the use of other forms of communication
Interviews of UIC-UEL Program Designers	Consistent with regulations and program documents
Interviews with UIC-UEL Mentors	Consistent with regulations, program documents, and program designer responses
Survey of UIC-UEL Students	Consistent with regulations, program documents, and mostly consistent with program designer and mentors

State regulations governing in-service principal mentoring allow for the mentor and the mentee to “conduct some or most of their contact using means of telecommunication but shall meet in person at least: (1) near the beginning of the school year, in order to initiate the mentoring relationship, and (2) at the conclusion of the school year...” (Illinois School Code, §35.30 c). No other reference was made to technology use either in statute or rules. Similarly, regulations governing principal preparation require the university mentor to conduct four “face-to-face meetings... at the internship site” and that they “observe, evaluate and provide feedback” to the mentee (Illinois School Code, §3.40 c 2). No other reference was made to the use of technology for the purpose of mentoring in the principal preparation statute or rules that applied to the UIC-UEL program.³⁵

UIC-UEL documents were largely silent with regard to the use of technology involved in mentoring. The only reference to technology use as it related to mentoring was found in the UIC-UEL application for program approval (UIC, 2012). The program applications stated that an explicit responsibility of the student was to “respond to all emails and phone calls from UIC or CPS personnel in a timely fashion” (p. 161). UIC-UEL documents reflect a clear preference for face-to-face communications, as was highlighted in the sections describing the mentoring model key elements of time and activities.

Program designers reiterated the preference for face-to-face communications. As

³⁵ Section 30.50 c of the Illinois School Code outlined requirement for programs that provided fifty percent or more of their program coursework via distance learning. Those requirements did not apply to the UIC-UEL program.

one program designer asserted, technology use was “primarily limited to phone and e-mail.” In fact, 100% of program designers indicated that the expectation for mentoring was that it be completed largely in person and at the school, but that it was generally supported by the use of e-mail, phone and texts to facilitate communication and scheduling. That finding corresponds to the responses received from the mentors, 100% of whom reported routine use of phone calls, e-mail and texts to communicate with mentees. Additionally, mentors identified other technology they use to facilitate mentoring, such as the use of video recordings to conduct observations, and FaceTime, Google Chat, and/or Skype to connect virtually when they were out of town or otherwise unable to get to the school. One program designer indicated the use of video equipment for conducting principal observations. A mentor also referenced that and reported, “the use of video recordings for leadership observations is sometimes better...no one in the room is focused on me...not being there provides a more unbiased view of how the candidate is performing. Consistently, program designers and mentors agreed that face-to-face meetings between mentors and mentees in schools was the expected and routine manner in which mentoring sessions occurred.

When asked where mentoring sessions typically take place, 82.61% of mentees reported in schools, and 86.36% claimed the mentoring sessions typically took place in-person/face-to-face. When disaggregated by role, data revealed that 100% of mentees completing an internship when the survey was conducted indicated that their mentoring sessions occurred exclusively in person and 100% reported they occurred in the school where they were assigned as an intern. The greatest variation in reporting came from in-

service mentees that were not serving as principals when the survey was conducted. 75% of that group still indicated that mentoring occurred at the school, and 83.33% reported that the meetings were conducted in person. Alternative locations, such as central office or schools where the mentor has other mentees, may suggest respondents in this group were serving in district-level or other non-school based leadership positions. One respondent from this group indicated meetings were conducted almost exclusively by phone, and another indicated that the mentoring sessions “do not occur.” Despite outlier data, aggregate responses by mentees were consistent with state regulations, program documents, and comments from program designers and mentors.

Key Element 12: Training

The twelfth element of Dawson’s (2014) framework of a mentoring model explored the extent to which the necessary understanding and skills for mentoring were developed in participants in the mentoring process. The table below indicates the data sources used to identify training involved with the UIC-UEL mentoring model.

Table 23. Mentoring Model Key Element 12: Training

Data Source	Data Found
IL Statutes & Rules	Required both pre-service and in-service mentors to complete ISBE approved training designed to develop mentoring skills. Pre-service mentors must complete training and successfully pass state assessments on the evaluation of teachers.
UIC-UEL Documents	Consistent with state regulations
Interviews of UIC-UEL Program Designers	Consistent with state regulations. Comments somewhat misaligned with mentors' responses
Interviews with UIC-UEL Mentors	Consistent with state regulations. Description of strong professional learning community, but recent absence of CPS training and support for mentors.
Survey of UIC-UEL Students	None

Mandatory training for principal mentoring required in statutes and rules was previously described in the sections involving the key elements of relative seniority and selection. Because training was outlined in the regulations as a mandatory requirement leading to qualification as a principal mentor, it was interconnected with both the key elements of seniority and selection. For that reason, only a brief summary of the regulation was included in this section, and more attention was paid to the optional training provided to UIC-UEL by the program and the district partner.

According to the regulations involving principal preparation, programs must develop and implement “a training program for mentor [host] principals and faculty supervisors [university mentors] that support candidates’ progress during their internships in observing, participating and demonstrating leadership” (Illinois School Code §30.30 b 3). Additionally, preparation programs must ensure their mentors complete “training and

pass the assessment required for the evaluation of licensed personnel” (Illinois School Code §30.60 f).

The statute governing new principal mentoring simply states that mentors must successfully “complete mentoring training by entities approved by the State Board and meet any requirements set forth by the State Board and by the school district employing the mentor” (105 ILCS §2-3.53a. b). No further reference to training was included in the corresponding rules for new principal mentoring.

Program documents reflected compliance with the required training for both host principal and UIC-UEL mentors. Because all UIC-UEL mentors provide support to candidates in the pre- and in-service phases, no differentiation was made to training requirements among the group of mentors. The application for program approval indicated that UIC collaborated with CPs in the creation of mentor training that met the state requirements (UIC, 2012, p 85). In addition, the program application also indicated that according to the terms of the agreement with CPS, UIC-UEL mentors “participate in the CPS REACH (Recognizing Educators Advancing Chicago) in order to comply with the requirement for training in the evaluation of certified staff” (p 409). The program document also highlighted that UIC-UEL students also complete that training, in fulfillment of the state requirement.

Compliance with state regulations was not found to be the only area in which UIC-UEL mentors were provided with training and support. The program applications identified additional sources of development for mentors, host principals, and UIC-UEL students. For example, the application claims, “clinical and academic faculty frequently

participate in professional development related to the anticipated knowledge/skills/disposition competencies that candidates will need to achieve. Topic examples... include: case studies, assessment instruments, protocols for leadership development..." (UIC, 2012, p 410). Additionally the program application indicated the on-going nature of support provided to the host principal, who benefits from feedback "on their mentoring performance by UIC coaches who are in their building on a weekly basis" (p. 21). UIC-UEL mentees were also provided outside training, beyond coursework, designed to prepare them as "practitioner researchers." For example, "all students must complete a training course sponsored by the Office for the Vice Chancellor for Research on the ethics of conducting research with human subjects" (p 40). While the program documents referenced numerous training topics and audiences, little detail was provided as a specific professional development plan for principal mentors or a process for determining training needs.

In semi-structured interviews, 100% of program designers and mentors referenced the main source of development for mentors as the professional learning community developed by the UIC-UEL program. Additionally, 80% of mentors identified collaboration with faculty and other mentors during their regular meetings as having had a significant impact on their practice. The UIC-UEL professional learning community established for the mentors was cited by each of the mentors as extremely valuable. Various mentors identified different foci of support they have gained from the professional learning community: a sounding board for problem solving, sharing best practices, development of new tools, an opportunity to share information regarding

district initiative and decisions that have not been transparent. The ability to connect internally for support was viewed by mentors as a positive aspect of the program. One mentor provided an example where, “our former Director of Coaching helped me a great deal with my coaching. He taught me how to refrain from asking leading questions and to be more facilitative.

While the internal professional learning community composed of UIC-UEL mentors and faculty was reported as valued by the mentors, at least one program designer expressed doubt whether or not it was fully meeting their needs. The program designer claimed:

The coaches participate in a PLC on a regular basis. But it is more of a conversational affair. It is not clear that the somewhat organic nature of these meetings is shaping their practice or the residency experience. We could do more in this area, particularly around the development of more common protocols developed collaboratively between the coaches and the research staff. It would be great if we could develop a common discourse for coaches in order to make practice public. What they do is more than just facilitative coaching. We’ve actually developed a pedagogical coaching model that needs to be explored.

Mentors did not disagree with the notion that additional and/or external development support would be beneficial. 80% of mentors indicated they welcomed the opportunity to participate in training on improving their mentoring skills. As one mentor claimed, “just like anything else in life, you can always get better.”

One program designer added, that in addition to development of mentoring skills, it would be beneficial for UIC-UEL mentors to grow as researchers by participating and engaging in the exploration of frontier areas of the program. He argued:

It would be great if coaches were learning more. Another frontier for our

program is working on the point at which coaches become involved with candidates. The first semester of the program is the most loosely linked to the program. This is an area where the coaches could be engaged in assessing and supporting readiness for the residency. This really needs to be formalized and is an area where input from our coaches would be beneficial.

Mentors expressed frustration with the challenge of partnering with CPS. Sources of frustration included: lack of communication, lack of coordination, turnover in positions involving principal preparation and development, changes in board policy, and lack of support for their role as mentors to future and existing school leaders. 80% of mentors reported that in the past, CPS had provided regular meetings and trainings that were specifically designed to support their effectiveness as mentors. However, the same percentage of mentors bemoaned the level of support that had recently been provided by CPS. In 2011, CPS launched the Chicago Leadership Collaborative (CLC) for the purpose of harnessing the collective knowledge and experience of the district's formal preparation program providers. Unfortunately, rather than institutionalize and improve upon previous efforts, the CLC has done little to support mentor effectiveness. One of the program designers described the situation:

CPS generally requires mentors to go through occasional training, but it differs from year to year. ...Coaches from all the CLC [partner] programs participate in a community of practice that meets every two weeks for two hours to discuss issues in the field. But those often feel like missed opportunities for professional growth.

Specific challenges expressed by the mentors involving CPS support for principal mentoring included:

1. An incoherent approach to professional development of mentors:

CPS provides occasional sessions, but they are random, not intentional, and have no cohesion. This is definitely an area that I would like to see the CLC address.

2. An inability to stay abreast of district training and initiatives:

The coaches are no longer allowed to go through training with the candidates when they roll out new initiatives or programs. That diminishes our ability to support their learning. If I can't access the Knowledge Center, I have no way of knowing what training my folks have taken.

3. The elimination of direct communication from the CPS administration:

We used to get all the internal CPS communications that were sent to principals and/or network chiefs. It helped us stay in the know and respond to questions with specifics. Now we get nothing unless it comes from our people, so there is a lag that can lead to confusion.

4. A lack of coordination across programs:

OPPD [CPS Office of Principal Preparation and Development] used to bring all the coaches from all the programs together every month facilitated sharing across programs and work together on problems of practice. But that doesn't happen anymore, which is unfortunate.

5. A lack of attention to supporting the growth of the mentors:

The CLC meetings now are focused only on the residents... they don't know how to support the coaches, or don't seem to know what to do with us now. Maybe they don't fully appreciate our value to the candidate's development.

The comments listed above were unexpected findings, as the contract between the UIC and CPS specifically required representatives from the UIC-UEL program to “agree that it shall cooperate, as reasonably determined by the Board to be necessary and appropriate, with the other CLC Partners to share and develop best practices related to the development of the Principal Preparation Programs” (UIC, 2012, p. 50)

All other mentors' responses were for the most part consistent with findings from

program documents and program designer comments, and demonstrated compliance with state rules and regulations.

It was not expected that UIC-UEL students would have significant knowledge regarding the professional development and on-going support provided to their mentors. For that reason, no data were collected from the mentee survey for this key element.

Key Element 13: Rewards

The thirteenth element of Dawson’s (2014) framework of a mentoring model explored any compensation received by mentors and mentees for their involvement in the process. The table below indicates the data sources used to identify the rewards involved with the UIC-UEL mentoring model.

Table 24. Mentoring Model Key Element 13: Rewards

Data Source	Data Found
IL Statutes & Rules	Pre-service mentors are required to be employees of the preparation program and district (host principals). In-service mentors may be employees or consultants and are required to be paid by the district. Both policies are silent on whether or not mentees should receive rewards.
UIC-UEL Documents	Consistent with state regulations but also indicated the program far exceeds the requirements; indicates stipends paid to host principals and salary of intern paid by CPS
Interviews of UIC-UEL Program Designers	Consistent with state regulations and program documents
Interviews with UIC-UEL Mentors	Consistent with state regulations, program documents, and program designer responses
Survey of UIC-UEL Students	None

According to state regulations governing principal preparation, the university mentor must be “employed on a full-time or part-time basis in a principal preparation

program” and in order to host a candidate for the internship, an individual must be “the principal of a public or nonpublic school in which a candidate is placed” (Illinois School Code §30.10). Therefore, the person who assumes the role of “mentor” supporting per-service and early in-service principals must be an employee of either the university or the district and be paid by that organization for their services as a mentor. Additionally, the rules for principal preparation allow programs to “provide monetary stipends for candidates while they are participating in their internship.” (Illinois School Code §30.40 f).

The UIC-UEL application for program approval indicated the following structure of remuneration for the different roles involved in the mentoring process: (1) UIC-UEL mentors were paid a full time salary by the university, (2) candidates completing a full-time/full-year internship were paid as administrators by CPS, and (3) host principals the provide oversight to candidates during their internship phase were paid a stipend by CPS (UIC, 2012, pp. 18, 20 and 162). Further, the contract between UIC and CPS outlined a performance-based structure in which the UIC-UEL program was paid for preparing school leaders. The contract provided a payment schedule in which UIC-UEL was paid \$15,000 per candidate that was selected by CPS to participate in the program, another \$15,000 was paid for each candidate that was placed in an internship, and \$15,000 for each candidate that passed the principal eligibility process (UIC, 2012, p. 89). The contract also included language that provided the district with rights such as, “CPS reserves the right to decline compensation and accountability for participant admittance or intern program participation should the Board disagree with the

selection of an intern or coach” (UIC, 2012, p. 73). The Memo of Understanding between UIC and CPS outlined the roles and responsibilities of each organization, but provided no information regarding payment of mentors, host principals or pre-service candidates (UIC, 2012, pp. 83-86).

Program designers were asked about the funding structure for the UIC-UEL mentors. 100% reported that all UIC-UEL mentors were full-time salaried employees of the university. One program designer broke down the specifics regarding the sources of funds used to support the five UIC-UEL mentor positions: two were paid by college funds, one was funded by CPS contract funds, and two were paid by grants (one federal grant and one local foundation grant). That program designer also reported that the foundation funding was sustainable because none of the students in the UIC-UEL receive tuition waivers because they were all employed by CPS with salaries that were significantly higher than the need-based funding that is available to students in other UIC programs. For that reason, the program designer believed that the positions could be continued through the allocation of tuition funds as need be. Additionally, another program designer reported that they had realized that the mentors were spending a much greater amount of time than expected supporting candidates in non-principal positions during the in-service phase. As part of the ongoing program improvement process, the program designers recognized that that type of unofficial mentoring was consuming a great deal of the mentors’ time. Therefore, the program began to offer “official mentoring” that required students to pay tuition specifically for mentoring support credit hours. The parameters or guidelines involving which students were required to enroll for

mentoring credits not been clearly defined. As one program designer noted, “it’s sort of on the honor system. We need to figure out a way to standardize that so mentors know where the boundaries are for those that have not signed up [for mentoring credits].”

Responses from mentor interviews are consistent with program documents and program designer data. 100% of mentors consistently reported that they were employed by UIC-UEL as full-time salaried employees. One mentor indicated that she was staffed into a full time clinical faculty position with additional research expectations. UIC-UEL mentors also indicated alignment with program documents and program designer data regarding the responsibility of CPS to fund the candidate’s salary during the internship phase. All mentors indicated that their understanding was that CPS funded a 12-month full-time internship for approved candidates. UIC-UEL mentors, however identified one caveated to that structure. They noted that candidates that were serving as assistant principals remained in those positions and completed the majority of the internship in their assigned building.³⁶

It was not expected that UIC-UEL students would have significant knowledge regarding the source of funding or salary of their mentors. Additionally, due to data consistency across regulations, documents, interviews, and evidence provided by CPS board reports, no data were collected from the mentee survey for this key element.

³⁶ Because the state requirements mandate that principal internships include leadership experiences that span PK-12 and involve subgroup populations such as English language learners, special education students, gifted students, and early childhood, it was nearly impossible for a candidate to complete all of the requirements in a single building.

Key Element 14: Policies

The fourteenth element of Dawson’s (2014) framework of a mentoring model explored the rules and/or guidelines governing the mentoring process. The table below indicates the data sources used to identify the policies involved with the UIC-UEL mentoring model. Because state policy has been the initial focus of each of the key elements described, this section focuses primarily on the impact of district policy on the mentoring model.

Table 25. Mentoring Model Key Element 14: Policies

Data Source	Data Found
IL Statutes & Rules	Deferred to district policy
UIC-UEL Documents	Consistent with regulations and district policy
Interviews of UIC-UEL Program Designers	Consistent with regulations and district policy
Interviews with UIC-UEL Mentors	Consistent with regulations and district policy
Survey of UIC-UEL Students	None

Regulations governing principal preparation largely ignore district level policy. However, the rules did require preparation programs to enter into a formal written agreement with at least one district to “jointly design, implement and administer the principal preparation program” (Illinois School Code §30.10 and 30.30 b). All districts in the state were not compelled to participate in such an agreement. But those that did would be expected to negotiate the agreement based upon local policies.

The statute governing new principal mentoring referenced the district in two areas. First it allowed a district to become a state approved provider of mentoring for new principals, and second it required mentors to “meet any other requirements set forth

by the State Board and by the school district employing the mentor” (105 ILCS 5/2-3.53a b). The statute also provided a special provision for the Chicago Public Schools: “School districts created by Article 34³⁷ are not subject to the requirements of subsection (b), (c), (d), (e), (f), or (g) of this Section” (105 ILCS 5/2-3.53a). That provision essentially left all decisions regarding new principal mentoring to the district’s discretion.

The primary document that outlined the district’s requirements and expectations for the partnership was the contract between UIC and CPS. Board policies referenced in the contract included: debarment policy, research study and data policy, ethics policy, vendor insurance policy, and indebtedness policy. All of those policies addressed the administration of the contract, but provided very little data in terms of application to principal mentoring in either pre- or in-service phases. The Scope of Work section of the contract included a description of district expectations for performance. It indicated:

The [pre-service principal] internship experience must involve activities that accelerate the experiential learning curve and produce graduates who are ready to produce dramatic results from day one of their principalship. Program faculty/staff [UIC-UEL mentors] and mentor [h o s t] principals must provide the guidance and support necessary for candidates to succeed. (UIC, 2012, p. 66)

In addition, the scope of work included in the contract identified a number of deliverables that the university was expected to provide, such as monthly and quarterly reports regarding recruitment of candidates, changes to curriculum, candidate performance assessments and program outcomes (UIC, 2012). Exploration of the scope of work indicated specific performance expectations the district had for the pre-service

³⁷ Article 34 of the 105 ILCS 5 states, “This Article applies only to cities having a population exceeding 500,000.” At the time of this study, the only school district in Illinois that qualified as an Article 34 district was the Chicago Public Schools.

component of the program, but provide no data regarding the in-service mentoring component. No other documents provided any data regarding district policies or practices involving in-service principal mentoring or induction support of any kind.

One area identified as having an impact on district policies and practice had to do with the individuals charged by the district with responsibility for managing principal preparation and development. 100% of mentors interviewed reported that turnover within CPS central office has been challenging for the partnership. One mentor claimed, “the only consistency with this [the CLC] work is coming from the programs. The constant turnover at CPS means that there is little consistency with practices and interpretations of policies from year to year.” All of the mentors and two of the program designers referenced changes made to placement of candidates in the previous 2015. Previously, the UIC-UEL program was allowed to place interns in buildings where the host principal was a UIC-UEL alumni or student nearing the end of their Ed.D. program. That routine was disrupted the year the case study was completed. As one program designer reported, “CLC changes to the resident placement and matching process were made with no regard for methods previously used that had been demonstrated to be effective.” Another program designer argued, “In all fairness, the district was trying to spread best practices to newly joined CLC partners. ...Placement is not the only process by which dissemination of best practices can occur.” Because the principal intern placement process had never been officially established through board policy, the district was allowed to make changes to procedures whenever it saw fit to do so. Additionally, annual contracts between CPS and UIC-UEL afforded CPS with the “right to decline

compensation and accountability for participant admittance or Intern Program participation should the Board disagree with the selection of an Intern or Coach” (UIC-UEL, 2012, p. 67).

During interviews, 80% of mentors also referenced district changes to the principal eligibility process as a challenge for the program. “They [CPS] have changed to eligibility process, yet again... It continues to change over time. In some ways it has become more true to life.” Another mentor did not appear to view the changes as necessarily a challenge for the program, “assuming the process measures their performance with the CPS principal competencies, then we shouldn’t have any problems. The competencies are strong.” That being said, the mentor also added, “now, whether or not the new process is valid and reliable, that I cannot answer.”

Key Element 15: Monitoring

The fifteenth element of Dawson’s (2014) framework of a mentoring model explored the oversight and/or supervision involved with the mentoring process. The table below indicates the data sources used to identify the monitoring process involved with the UIC-UEL mentoring model.

Table 26. Mentoring Model Key Element 15: Monitoring

Data Source	Data Found
IL Statutes & Rules	Pre-service programs were required to provide ISBE with annual reports. In-service mentors are required to keep a log of activities
UIC-UEL Documents	Consistent with state regulations, but somewhat vague
Interviews of UIC-UEL Program Designers	Consistent with state requirements. Somewhat inconsistent with UIC original design
Interviews with UIC-UEL Mentors	Consistent with state requirements. Somewhat inconsistent with UIC original design and with program designer comments
Survey of UIC-UEL Students	Consistent with state requirements, program designer and mentor comments.

The rules governing principal preparation indicated only that the university mentor and host principal must “rate candidate’s demonstration of having achieved the competencies... ensure that each candidate demonstrates the participation level in 100 percent of activities associated with the critical success factors... and leadership in at least 80 percent of the activities...” (105 ILCS §20.45 a 5 & b). The language in the rules implied that university mentors and host principals were responsible for documenting and reporting the candidate’s rating and evidence, however, the rules were not explicit about any type of monitoring of the mentors.

Additionally, as a district under Article 34 of the Illinois School Code, CPS was not “subject to the requirements of subsection b, c, d, e, g or g” of the new principal mentoring regulations (105 ILCS 5/2-3.53a). As such the district and its partners were not compelled by the state to formally monitor or produce any records relating to the mentoring of new principals. Therefore, policies governing the monitoring of mentoring were left to the district and university partners to determine.

According to the application for program approval, the mentoring process was monitored by the UIC-UEL Director of Coaching. “Faculty supervisors [university mentors] are overseen by the program’s Director of Coaching. Coaches meet regularly as a group (twice per month) to engage in professional development... Coaches also [meet] individually on a weekly basis with the Director of Coaching” (UIC, 2012, p. 160). Additionally, in a UIC-UEL unpublished grant proposal, monitoring of the mentoring component of the principal preparation program was referenced in terms of the reporting process. “Once monthly, the coach [university mentor], mentor [host] principal, and resident convene for a “triad” conference... All three parties provide a follow-up report on the outcomes of this meeting that are also available to the UIC Director of Coaching” (UIC, 2013, p. 8). Beyond monitoring by the UIC-UEL Director of Coaching, the program also conducts a survey on “Coaching Effectiveness” with students enrolled in the program (UIC, 2012, pp. 179-183).

When asked about how the program determines whether or not mentoring is effective, all program designers indicated that it was the role of the Director of Coaching to oversee the mentors. One program designer reported “We had a director of coaching, but he retired and the position has remained unfilled... I meet with the mentors in their meetings ever two weeks, but I’m not sure I would call that supervision.” Another program designer noted the lack of oversight and also attributed the situation to an open position, “honestly, I’m unsure who supervises now that [the director of coaching] is gone. I guess the department chair evaluates the clinical faculty, and [the program director] supervises the other coaches.” Only one program designer reported that the

program intended to fill the Director of Coaching position.

Two program designers referenced the use of candidate satisfaction survey data as a measure of mentoring effectiveness and another identified the pass rates of candidates with the principal eligibility process as another metric. Yet, one program designer argued, “completion of the capstone is really the only benchmark once they are in a leadership position [in-service phase]. We map backward from there to figure out what support they need to successfully complete the capstone project.” That program designer also noted the shift the program made away from a dissertation to a research project that was grounded in leadership practice. “The capstone project has evolved over time in response to what we felt was best for students to become strong leaders. ...It is not intended to be a dissertation. It is a documentation of a focused change process...”

Another program designer paused when asked how the program determines mentoring effectiveness. He said there were a variety of data the program explored, but added, “that is one of the most crucial frontiers of our program. There has not been a single standardized set of metrics we use for determining effectiveness for coaching, but we really need one.

When asked who supervises mentoring, mentor responses reflected the same uncertainty that the program designers exhibited. 60% of mentors indicated that the Director of Coaching used to supervise the UIC-UEL mentors. 60% of mentors also indicated that they believe they were ultimately accountable to their mentees. As one mentor said, “motivation is the real oversight. All of the coaches want to see our people succeed. ...In pre-service, eligibility is the greatest driver because that is part of the

performance contract and it also determines who will be allowed to seek a principal position.” That mentor was able to list a number of metrics that have been explored by the program to gauge mentoring effectiveness, “pass rate on eligibility, securing a principal contract, performance evaluations, and student growth data.”

In the absence of a Director of Coaching, 80% of the mentors identified the UIC-UEL program director as their supervisor in practice. But as one mentor stated:

I guess [the Program Director] supervises. But, I don't feel very supervised... In all seriousness though, as the program evolves and start we heading off into the sunset, this needs to be more formalized. If you agree to take on this role, you can't be flippant about the obligation you have taken on as a leadership coach – this is their careers and kids deserve for you to be present.

Another mentor reiterated the ambiguous nature of supervision, “I don't know that I have a supervisor in the true sense of the word. We operate as a collaborative team. ...But the program does survey the candidates every year, so I supposed in a sense, I am supervised by them.” One mentor argued that supervision was not ambiguous at all, as there was none:

[The Program Director] keeps us informed, and [the Program Coordinator] keeps us organized. No one really monitors our day-to-day work since [the Director of Coaching] retired. But the program looks at course evaluations, conducts detailed surveys of candidates, and we have a large research department that provides an excellent feedback loop. They have definitely impacted continuous improvement efforts around things like the selection process and a wide variety of other outcomes.

One mentor pointed out that performance evaluations have been a challenge for the program because mentors fell into two position classifications: clinical faculty and program mentors. “Performance evaluation measures are differentiated between clinical

faculty vs. non-clinical... clinical faculty evaluations are more formal and have a component focused on research production.” Another mentor reiterated that point and argued, “the performance evaluation system for coaches needs to be formalized and equalized.

Responses from program designers and mentors indicated that mentoring and mentors were intended to be supervised by a Director of Coaching. However, because the position had not been filled, responses from both groups indicated only partial consistency with the program documents. Due to a disruption in the routine system, program designers and mentors appeared to have maintained the structure absent any monitoring.

When asked if they provided feedback to UIC regarding the performance of their UIC-UEL mentor, 68.18% reported they had. Disaggregated data indicated 85.71% of those serving as principals had provided feedback on their mentor’s performance, while only 33.33% of those serving as interns indicated they had provided feedback. The timing of the survey, during the middle of the school year, could account for the low number of interns that indicated they had provided feedback.

The survey also asked candidates, if they had a problem with their mentor, to whom would they discuss the issue. 81.82% indicated they would report the problem to the UIC-UEL Program Director and an additional 13.64% indicated they would contact the UIC Department Chair. Despite the fact that all survey respondents were employed by CPS, not one indicated that they would address the problem with a CPS Principal, CPS Network Chief, or CPS District Administrator. This finding suggests that candidates

had a clear understanding of which organization and what individual within the organization was responsible for mentoring oversight. The vast majority of survey respondents indicated the UIC-UEL Program Director as the supervisor of mentors. Indicating for the most part, students' perceptions are consistent with program designers and mentors

Key Element 16: Termination

The sixteenth and final element of Dawson's (2014) framework of a mentoring model explored how the mentoring relationship is structured to end. The table below indicates the data sources used to identify the termination process involved in the UIC-UEL mentoring model.

Table 27. Mentoring Model Key Element 16: Termination

Data Source	Data Found
IL Statutes & Rules	None
UIC-UEL Documents	None
Interviews of UIC-UEL Program Designers	Identified termination date as coinciding with program completion
Interviews with UIC-UEL Mentors	Inconsistent with responses from program designer, responses varied
Survey of UIC-UEL Students	More consistent with program designers' expectations, but responses varied

None of the statutes or rules governing principal mentoring in pre-and in-service, nor any of the UIC-UEL program documents indicated any process or provided any details regarding the termination of principal mentoring.³⁸ Key element 6: time, provided information on the expected length of these programs. However, "termination" was used

³⁸ §35.30 of the Illinois School Code indicated that the new principal mentoring program ended each year no later than June 30th. However, CPS, as a district under Article 34 was not bound by those regulations.

in program documents only to describe the parameters for contract termination or candidate termination from the program due to poor performance. Therefore, all data reported for this element were collected through interviews with program designers and mentors and a survey of UIC-UEL students.

Program designers responded to the question of mentoring termination in a variety of ways. Most focused on the personal and/or professional bonds that formed between the mentor and mentee. For example:

Termination is a personal challenge for both of them. Often neither wants it to end... it is a lifelong professional relationship. We need to do better in attenuating the relationship as the term of formal coaching expires, because none of our coaches ever want to say no to someone in need.

Another program designer spoke about termination occurring within the program when a candidate needed to be re-matched with a new mentor:

This is one of the frontiers of our program that needs to be attended to... whether termination is due to a change in coach because of geography or bad fit or whatever, we need to be better about determining the who, what, where and when, so that the process is clear to everyone involved.

40% of mentors responded that the mentoring relationship terminated when the candidate completed the program, 20% indicated that mentoring relationships end “when it is time” and 40% claimed that those relationships never truly end, they merely evolve.

Additionally, 60% of mentors that were interviewed indicated that they had experienced an increase in their mentoring caseload caused by a candidate that was in a phase where they were not officially supposed to be receiving mentoring or because a former mentee reached out for assistance with a difficult

situation. However, one mentor reported a different experience:

I probably have better boundaries than some of the other coaches. It's pretty clear that structured mentoring ends upon completion of the program. I continue to stay in touch because I genuinely care about them. But I don't visit the schools and I certainly don't try to continue coaching them.

Another mentor viewed the mentoring termination process as another learning experience in which the program should have established and modeled an appropriate process for ending the relationship:

There needs to be a more formal process for the culmination of the relationship. If they finished the program, this needs to be celebrated. We should be modeling that type of celebration of professional achievement, as we would expect them to do so with their staff.

The mentor explained how she would take her graduating mentee to lunch and gave them a nameplate for their desk that included the candidate's name, their Ed.D. designation and the UIC and CPS logos. She described the nameplates as a symbol of their achievement and the process as marking the end of their formal mentor/mentee relationship.

When asked, at what point they understood their mentoring relationship would end, 73.91% of UIC-UEL students reported that they believed the relationship would end upon completion of the program. 21.74% reported that they expected the mentoring relationship to end whenever either of us no longer found it useful, and 21.74% indicated they thought the relationship would never end. As one respondent wrote, "I love her and she is both my lifeline and a member of my family at this point!"

Data involving specific areas of similarities and differences between the pre- and in-service phases of the UIC-UEL combined principal mentoring model form the basis of

findings for research questions two and three of this case study.

Summary of Findings on Research Question #1

In order to answer the first research question it was essential to provide a detailed description of the key elements in order to explore how the UIC-UEL program operationalized them into a combined principal mentoring model. The findings presented above on each of the key elements demonstrated the extent to which the UIC-UEL program was tightly coupled with state regulations. Findings for research question #1 indicated that state policies governing principal mentoring in the pre- and in-service phases of development had a significant impact on the design and delivery of the UIC-UEL program. There are at least three explanations for the tight coupling found between the program and state policies: 1) both the state and the UIC-UEL program relied on a similar research base (IBHE & ISBHE, 2015); 2) the UIC-UEL program served as one of the models of effective practice during the policy formation phase and therefore the policy reflects their design (Baron & Haller, 2015); and 3) the director of the UIC-UEL program chaired the Illinois School Leader Taskforce (2008) and the final report from that group spurred policy changes at the state level. Given those three conditions, it was not surprising to find ample evidence of tight coupling between the UIC-UEL program and state policies. Data indicated that the following key elements were tightly coupled to state regulations: objectives, roles, cardinality, activities, training, and monitoring.

More interesting that data that demonstrated compliance with state regulations, were data that indicated areas where the program intentionally exceeded the requirements. Data collected for this case study indicated a strong level of intentionality

by the program design to focus resources on several key elements they deemed crucial to the success of the program. Those key elements include: relative seniority, time, selection, and rewards. Detailed descriptions of those key elements outlined above demonstrate that program far exceeded the state requirements in those areas.

Data analysis of other the key elements suggest that there are certain areas in which the program has either intentionally or unintentionally ignored or treated as flexible. Perhaps correlatively, state regulations were either silent regarding those elements or were not explicitly about the requirements for those areas. Key elements that in that category included: tie strength, matching, resources and tools, and termination.

The previous section provided a detailed description of the sixteen key elements drawn from mentoring research. The four characteristics of knowledge transmission include in the original analytic framework designed for this study are described below under Research Question #3, as findings in those areas demonstrated a clear distinctions between pre- and in-service phases. For that reason, findings involving the characteristics of knowledge transmission were detailed under the research question that involved the identification of differences between the pre- and in-service phases of the combined principal mentoring model. Prior to that description in the section immediately following this summary are the key elements of mentoring found to be similar throughout the combined mentoring model.

Research Question #2

The second research question of this case study explored the extent to which similarities could be identified between the pre- and in-service components of a

combined principal mentoring model. Data analysis revealed several key elements of the mentoring model that were similar in both pre-service and in-service phases of the model, including: objective, relative seniority, selection, matching, role of technology, training, and rewards. Data also revealed that none of the characteristics of knowledge transmission were similar.

UIC-UEL program documents and interviews with program designers and mentors suggested one overarching objective for the combined pre- and in-service mentoring model. Specifically, data reflected a need for the combined mentoring model to focus on the development of leadership competencies and dispositions. One mentor added, the purpose of the UIC-UEL mentoring component was to “balance developing leadership competencies with supporting the candidate’s progress in completing the program. Both focus areas were designed to increase leader effectiveness and ultimately improve student and school outcomes.

Because all UIC-UEL mentors serve both pre- and in-service principals, the selection process, relative seniority, training and reward all remained the same regardless of phase in the program. The UIC-UEL was intentional in its efforts to recruit and hire only the most effective school leaders available with prior experience as a principal in CPS. The program established specific selection criteria, such as a minimum of ten years of experience as a CPS principal and demonstrated success in improving schools and increasing student achievement in order to ensure an advanced level of relative seniority. In addition, state regulations governing both pre-service and new principal mentoring required mentors to be trained on skills pertaining to mentoring leaders.

Another way that the UIC-UEL program appeared to have operationalized the intentional continuum of support provided through the combined principal mentoring model was to match candidates in their first year with mentors that were intended to continue supporting the candidate through program completion. While there was evidence to suggest that structure was not always followed with fidelity, the intention was demonstrated in data from program documents, and interviews with program designers and mentors.

The role of technology in the combined mentoring model was another element where great similarity was found. In aligning the program to state requirements that expressed preference for face-to-face meetings, the program institutionalized an expectation of weekly meetings for all candidates during the internship phase and for all first and second year principals. Again, while there was some evidence to suggest that the structure was not always followed in the in-service phase, the intention was made clear in program documents and comments by program designers.

Finally, the rewards remained the same across pre- and in-service phases for both mentors and mentees. For example, mentees were all employees of CPS and continued to receive a salary from the district whether they were serving in an internship or serving in their first two years on a principal contract. Additionally, mentors were paid full-time salaries regardless of whether they mentored candidates in their residency or in their first or second year of the internship. While there was some concern expressed by mentors regarding expanding caseloads due to non-principal in-service mentees requiring more time than expected, that did not impact their pay in any way.

Summary of Findings on Research Question #2

This study set out to define a combined mentoring model that spanned from pre-service into early in-service. In order to provide a detailed description of the model, the study sought to identify the extent to which similarities could be found between the pre- and in-service phases of the combined principal mentoring model. To that end, the descriptions provided above highlight several key elements of the mentoring model that were found to be similar in both pre-service and in-service phases of the model, including: objective, relative seniority, selection, matching, role of technology, training, and rewards. These findings were supported by data and collectively demonstrate that nearly half of the key elements of mentoring are consistent across all phases of development involved in the program. Data findings provided under both research question one and two above indicate that the UIC-UEL program attended to the necessary tension between customization and standardization required for a program to meet the state requirements and needs of those involved in a program that spans from pre-service into early in-service. In order to provide a true continuum of support, it was crucial that certain elements of the program be standardized across all phases, while allowing flexibility to address the specific needs found in each of the phases. An example of a crucial aspect of the program design that provided standardization and continuity throughout the course of the program was through the key element of matching. In nearly all cases, mentees were matched in their first year of the program with their mentor and the relationship remained in tact throughout the five or more years of the program.

The case study expected to find a combined model that was intentionally structured to provide a continuum of support that supported an educator's transition from the classroom to the principal's office. However, in order to ensure the data collection and systems of analysis developed for this study did not bias the findings in that direction, an alternative finding was offered. The alternative postulated that data could indicate that two completely separate mentoring models were in operation under a single umbrella organization that did not address the continuum of support from the pre-service phase through early in-service phase. Data findings detailed under both research questions one and two demonstrate that little to no evidence was found to support the alternative finding proposed in the initial research design.

While there were a number of similarities in terms of key elements in both the pre- and in-service phases of the UIC-UEL combined principal mentoring model that suggested an intentional effort to operationalize a continuum of support, differences were also found that demonstrate the flexibility of the program to respond to different needs in different phases. In a number of ways, the program demonstrated the tension between standardization and customization that was necessary in a program that spans from pre- to early in-service.

Research Question #3

The third research question explored for this case study included the extent to which differences could be identified between the pre- and in-service components of the UIC-UEL combined principal mentoring model. Data analysis revealed differences in several key elements between pre-service and in-service phases of the model, including:

roles and cardinality, activities, and policy. Additionally, characteristics of knowledge transmission that were found to be different between pre and in-service mentoring included: relationship, recognition, needs fulfillment, and knowledge utility.

Key Element: Policy

The first and most impactful difference found between the pre- and in-service phases of the UIC-UEL combined mentoring model involved the key element of policy. Different statutes promulgated by the Illinois General Assembly and different corresponding sets of rules codified by ISBE resulted in necessary differences found in program design and delivery. Not only are there differences in the requirements of the two statutes and corresponding rules, but regulations governing pre-service were designed to be compulsory for all principal preparation programs in Illinois, while the rules governing new principal mentoring were contingent upon annual appropriation and were primarily intended to be addressed by districts. Additionally, as CPS was a district established under Section 34 of the Illinois School Code, in-service principal mentoring was not subject to many of the new principal mentoring regulations (105 ILCS 5/2-3.53a).

Program designers from the UIC-UEL programs recognized an opportunity to develop a more cohesive and comprehensive approach that aligned with their program goals and the needs of the district to support school leaders across the development continuum. The UIC-UEL combined principal mentoring program was intentionally designed to continue the learning from the pre-service phase into the early in-service phase that provided a continuum of support across a pivotal transition point. As one

designer stated, “Pre-series is focused more on skills and competency development in a very deliberate way. The coaches are more hands-on and more available. Once they are hired as a principal, coaching changes. Instead of supporting their understanding of how to do the job broadly, the coach shifts to how to do the job right there, in that exact building, within that exact context. Both the connection between pre- and in-service phases and the inherent differences found in the approach to mentoring between the two phases were identified by program designers as intentional elements of the mentoring model. As another program designer claimed, “If the residency went as planned, then post-residency coaching should look different. It should build upon and go deeper than the work that was done during the preparation phase.” Stressing the importance of the continuum of support needed to bridge the two phases, one mentor claimed:

No matter how prepared they think they are at the end of their residency, no one is prepared for the unrelenting pace of the average day of a school principal. We are the ones who can pull them back, help them get perspective, reinforce their learning and convince them that they can do the job.

The difference in mentoring approaches between the two phases of development was also impacted by the state policies involving the specific indicators of effective practice that governed each phase. Pre-service principal mentoring programs were required to be aligned to the 2008 ISLCC standards. Those standards provided guidance for school leadership preparation programs in terms of specific performance indicators of effective school leaders that programs were expected to build their programs around. On the other hand, in-service mentoring for new principals was expected to be aligned to the Illinois Performance Standards for School Leaders (IPSSL) after they were mandated

through the Illinois Performance Evaluation Reform Act of 2010 (Public Act 96-0861).

The IPSSL were a set of standards and indicators that formed the basis of the annual performance evaluations for all principals in the state of Illinois. There was great alignment between the standards, but there were also gap areas identified as well.

Appendix H provides a crosswalk of the 2008 ISLLC standards and the IPSSL.

Preparation programs were intended to prepare candidates to meet approved standards for principal skills, knowledge and ability. Preparation programs were expected to utilize the candidate's performance in a variety of leadership activities to complete assessments and inform future professional development planning. In-service mentoring was intended to exclusively assist the new principal in the development of his or her professional growth and to provide guidance with technical and adaptive challenges faced during their first years of service.

Key Elements: Roles and Cardinality

Adherence to state policies resulted in differing approaches to the key elements of roles and cardinality involved in the UIC-UEL combined principal mentoring model. As previously noted, the pre-service component of the UIC-UEL combined mentoring model involved a triad structure (UIC-UEL mentor, the host principal, and the principal intern) in the pre-service phase and a dyadic structure (UIC-UEL mentor and new principal) during the in-service phase. In the pre-service phase, state policy makers were clear regarding their intent to ensure that during the internship, candidates be supervised by both a university mentor and a district principal. During the rule making process, ISBE staff responded to public comments requesting that requirements involving the formal

triad structure be eased. In their analysis, ISBE staff argued that the state approach was “based on the underlying goal of redesigning preparation programs to stress instructional leadership” and in order for the candidate to have an authentic learning experience it was essential that they be guided by veteran educators with at least three years of successful experience as a school principal (ISBE, 2011, p. 43). Other public comments cited a perceived burden on the district to partner in these efforts with universities. ISBE staff held firm and responded, “Co-design of the programs was a formal recommendation from the Illinois School Leader Task Force. Districts are not being asked to administer programs but to work in collaboration with institutions of higher education” (p. 55).

Equally clear in terms of intentionality was the statute that established a dyadic structure for new principal mentoring. Unlike the approach in pre-service which required a system of co-supervision and mandated co-assessment of candidate performance, in-service principal mentoring support was expected to be focused exclusively on professional growth. In fact, codified in statute was the explicit intent that “mentors shall not be required to provide an evaluation of the new principal” (105 ILCS 5/2-3.53a d). The use of the term *shall* in legislative language is considered compulsory, rather than the permissive term *may*. “The mandatory ‘shall’ . . . creates an obligation impervious to judicial discretion” (Congressional Research Service, 2008, p. 9). Considering that mandate, it appears that while public school districts were the organization expected to administer in-service mentoring for new principals, the state intended the role to be separate from the position that evaluates the principal. Additionally, the rules did not bar districts from partnering with external organizations to provide new principal mentoring

support. However, no evidence was found in UIC-UEL documents that indicated that the district intentionally entered into a formal partnership with UIC in an effort to provide in-service support to new principals. While UIC-UEL program designers claim they were intentional in developing a combined mentoring model, neither the Memo of Understanding nor the contact between UIC and CPS indicated that the district participated in the in-service phase of principal mentoring. That is not to suggest that the district was unaware of the support provided to their new administrators by the UIC-UEL mentors, rather that there was an absence of formal documentation about it. The absence of such documentation could have been the result of the shift from a triad to dyadic structure, which removed the role of the CPS veteran principal, or could have been related to the shift away from an evaluative focus on performance.

One UIC-UEL mentor identified the most striking difference in their role as a mentor in the pre-service vs. the in-service phase was the responsibility to capture evidence of proficiencies aligned specifically to what she called “the end game,” which she described as “getting them through the eligibility process and ready to take the lead at any school.” In that mentor’s opinion, once the candidate advanced to the in-service phase, the responsibility of the mentor was to:

...help them see the connection between what they have learned and what they need to do – help them work with the teachers and staff in their building and identify and develop a strong leadership team, and to get them to understand that this is no longer a drill. The buck stops with them now. They are responsible for everything that happens or doesn’t happen in that building.

The difference between the role of mentor in the pre- and in-service phases identified by

UIC-UEL mentors involved the shift from developing leadership competencies to applying those competencies within a specific context. None of the UIC-UEL mentors identified the transition from a triad mentoring relationship to a dyadic structure as having an impact on their role.

Key Elements: Activities and Time

Two other key elements that were found to be different between the pre- and in-service phase of development included time and activities. As a program designer indicated:

Pre-service is designed to meet the 36 activities required by the State.³⁹ The ultimate focus is on securing a principal endorsement and successfully passing the [CPS principal] eligibility process. Its intensive support – they come together every two weeks for a full day at different schools with all the coaches. ...In-service there is no intensive group experience. They still come together as a cohort, but not as a coaching group, instead for academic classes, and the focus shifts to building organizational capacity and on the specific needs and assets of the buildings they are leading.

The prescriptive nature of the requirements for principal preparation in Illinois received considerable opposition during the final phase of the rules process. In fact, in their public comment analysis, ISBE staff noted the letters to that effect and responded, “The groundwork for revising principal preparation in Illinois began more than five years ago... Further participation of interested parties occurred over the last two years with the participation of five design teams and various statewide meetings. Along the way, there have been numerous opportunities for both formal and informal participation, collaboration and feedback by all interested parties... Establishment of principal

³⁹ Illinois School Code §30.30 3 b and §30.45 b governing principal preparation mandated that candidates that completed principal internships engaged in 36 activities that correspond to 13 critical success factors identified by the Southern Regional Education Board.

preparation programs... is a choice on the part of higher education institutions and not-for-profit entities and their partnering school district” (ISBE, 2011, p 38).

Two UIC-UEL program designers and three mentors also noted the prescriptive nature of the rules as influencing mentoring in the pre-service phase of the program. Further exploration of the public comment analysis by ISBE staff indicated that unlike previous regulations involving preparation programs, the state chose not to dictate a minimum number of hours that would be required to complete a principal internship, but rather outlined specific leadership experiences that each principal candidate was required to complete during a yearlong internship.

Contrasting the state required activities for principals in the pre-service phase with those required during the in-service phase illustrates the stark difference between the degree of standardization required in each. Table 28 below includes the required leadership activities, which correspond to critical success factors “associated with principals who have succeeded in raising student achievement in schools with traditionally ‘high risk’ demographics” (SREB, 2005, p 3).

Table 28. 13 Critical Success Factors and 36 Corresponding Activities

CSF 1. Creates a focused mission and vision to improve student achievement
1a. working with teachers to implement curriculum that produces gains in student achievement as defined by the mission of the school.
1b. working with the administration to develop, define and/or adapt best practices based on current research that supports the school’s vision.
1c. working with the faculty to develop, define, and/or adapt best practices, based on current research, that support the school’s vision.
1d. assisting with transitional activities for students as they progress to higher levels of placement (e.g., elementary to middle, middle to high school, high school to higher education).
CSF 2. Sets high expectations for all students to learn higher-level content

2a. developing/overseeing academic recognition programs that acknowledge and celebrate student's success at all levels of ability.
2b. activities resulting in raising standards and academic achievement for all students and teachers.
2c. authentic assessments of student work through the use and/or evaluation of rubrics, end of course tests, projects.
CSF 3. Recognizes and encourages implementation of good instructional practices that motivate and increase student achievement
3a. using a variety of strategies to analyze and evaluate the quality of instructional practices being implemented in a school.
3b. working with teachers to select and implement appropriate instructional strategies that
3c. working with a school team to monitor implementation of an adopted curriculum.
3f. involvement in the work of literacy and numeracy task forces.
3g. working with curriculum that is interdisciplinary and provides opportunities for students to apply knowledge in various modalities across the curriculum.
CSF 4. Creates a school where faculty and staff understand that every student counts
4a. working with staff to identify needs of all students.
4b. collaborating with adults from within the school and community to provide mentors for all students.
4c. engaging in activities designed to increase parental involvement.
4d. engaging in parent/student/school collaborations that develop long-term educational plans for students.
CSF 5. Uses data to initiate and continue improvement in school and classroom practices
5a. analyzing data (including standardized test scores, teacher assessments, psychological data, etc.) to develop/refine instructional activities and set instructional goals.
5b. facilitating data disaggregation for use by faculty and other stakeholders.
CSF 6. Effectively communicates to keep everyone informed and focused on student achievement
6a. analyzing and communicating school progress and school achievement to teachers, parents and staff.
6b. gathering feedback regarding the effectiveness of personal communication skills.
CSF 7. Partners with parents to create a structure for parent and educator collaborations for increased student achievement
7a. working in meaningful relationships with faculty and parents to develop action plans for student achievement.

CSF 8. Understands the change process and has the leadership and facilitation skills to manage change effectively
8a. working with faculty and staff in professional development activities.
8b. inducting and/or mentoring new teaching staff.
8c. building a “learning community” that includes all stakeholders.
CSF 9. Understands concepts of adult learning and provide sustained professional development that benefits students
9a. study groups, problem-solving sessions and/or ongoing meetings to promote student achievement.
9b. scheduling, developing and/or presenting professional development activities to faculty that positively impact student achievement.
CSF 10. Uses and organizes time in innovative ways to meet the goals of school improvement
10a. scheduling of classroom and/or professional development activities in a way that provides meaningful time for school improvement activities.
10b. scheduling time to provide struggling students with the opportunity for extra support (e.g., individual tutoring, small-group instruction, extended-block time) so that they may have the opportunity to learn to mastery.
CSF 11. Acquires and use resources wisely
11a. writing grants or developing partnerships that provide needed resources for school improvement.
11b. developing schedules that maximize student learning in meaningful ways with measurable success.
CSF 12. Obtains support from central office, community and parent leaders to champion the school improvement agenda
12a. working with faculty to communicate with school board and community stakeholders in a way that supports school improvement.
12b. working with faculty, parents and community to build collaboration and support for the school’s agenda.
CSF 13. Is a life-long learner continuously learning and seeking out colleagues to keep abreast of new research and proven practices
13a. working with faculty to implement research-based instructional practices.
13b. working with professional groups and organizations.

(Southern Regional Education Board, 2005)

In addition to completing the 36 activities, candidates were expected to document their experiences, and university mentors and host principals were required to provide feedback to the candidates on their progress. Contrast the Table 28 above with Table 29 below, which includes the required activities outlined in the new principal mentoring

regulations.

Table 29. Required Activities for New Principal Mentoring in Illinois

The principal, in collaboration with the mentor, shall identify areas for improvement of the new principal's professional growth, including, but not limited to, each of the following:
1. Analyzing data and applying it to practice
2. Aligning professional development and instructional programs
3. Building professional learning communities
4. Observing classroom practices and providing feedback
5. Facilitating effective meetings
6. Developing distributive leadership practices
7. Facilitating organizational change

(105 ILCS 5/2-3.53a d)

The vast difference between the level of detail provided by the state regarding required activities in the two phases does not only represent a greater level of attention paid to pre-service, it also suggests a greater degree of mentor autonomy and differentiation was allowed during the in-service phase. Table 28 and Table 29 above outlined the activities required of the candidates in pre- and early in-service.

Correspondingly, Table 30 and Table 31 below outlined the specific responsibilities of the mentor for the pre-service vs. in-service phases. For example, Table 30 below highlights the four competencies and 16 focus areas that the university mentor and host principal were required to assess by the end of the pre-service phase.

Table 30. Pre-Service Mentor's Assessment Requirements

Assessment # 1 – Candidate conveys an understanding of how the school's mission and vision affect the work of the staff in enhancing student achievement. He or she understands and is able to perform activities related to data analysis and can use the results of that analysis to formulate a plan for improving teaching and learning, analysis, school improvement, and conducting the SIP process (to the extent possible).

<p>Focus Area: A – review school-level data, including, but not limited to, State assessment results or, for nonpublic schools, other standardized assessment results; use of interventions; and identification of improvement based on those results;</p>
<p>Focus Area: B – participate in a school improvement planning (SIP) process, including a presentation to the school community explaining the SIP and its relationship to the school’s goals; and work with a faculty group/team to identify areas for improvement and interventions, with particular attention given to NCLB subgroups and low performing students.</p>
<p>Focus Area: C – present a plan for communicating the results of the SIP process and implementing the school improvement plan.</p>
<p>Assessment #2 – Candidate demonstrates a comprehensive understanding of the process used for hiring staff who will meet the learning needs of the students. The candidate presents knowledge and skills associated with clinical supervision and teacher evaluation, including strong communication, interpersonal and ethics skills. The candidate can apply the Standards for Professional Learning (2011)</p>
<p>Focus Area: A – create a job description, including development of interview questions and an assessment rubric, participate in interviews of candidates, make recommendations for hiring (i.e., rationale for action and supporting data), and prepare letters for candidates not selected;</p>
<p>Focus Area: B – participate in a model evaluation of a teacher, to include at least notes, observations, student achievement data, and examples of interventions and support, as applicable, based on the evaluation results, with the understanding that no candidate will participate in the official evaluation process for any particular teacher; and</p>
<p>Focus Area: C – create a professional development plan for the school to include the data used to develop the plan, the rationale for the activities chosen, options for participants, reasons why the plan will lead to higher student achievement, and a method for evaluating the effect of the professional development on staff.</p>
<p>Assessment # 3 – Candidate demonstrates the ability to understand and manage personnel, resources and systems on a school wide basis to ensure adequacy and equity, including contributions of the learning environment to a culture of collaboration, trust, learning and high expectations; the impact of the budget and other resources on special-needs students, as well as the school as a whole; and management of various systems (e.g., curriculum, assessment, technology, discipline, attendance, transportation) in furthering the school’s mission.</p>
<p>Focus Area: A – investigate two areas of the school’s learning environment (i.e., professional learning community, school improvement process, professional development, teacher leadership, school leadership teams, cultural proficiency, curriculum, and school climate), to include showing connections among areas of the learning environment, identification of factors contributing to the environment’s strengths and weaknesses, and recommendations for improvement of areas determined to be ineffective;</p>

<p>Focus Area: B – review the school’s budget and other school resources with the internship principal. Detail how the resources are typically used; how the resources could be evaluated for adequacy; assessed for effectiveness and efficiency; and gave recommendations for improvement. Address specifically the impact of the budget on subgroups such as special education, ELL, and low socio-economic students. Present recommendations for improvement to a faculty or faculty group for input in the budget development process.</p>
<p>Focus Area: C - review the mission statement for the school, to include an analysis of the relationship among systems that fulfill the school’s mission, a description of two of these systems (i.e., curriculum, instruction, assessment, discipline, attendance, maintenance, and transportation) and creation of a rating tool for the systems, and recommendations for system improvement to be discussed with the school’s principal.</p>
<p>Assessment #4 – Candidate demonstrates a thorough understanding of the requirements for, and development of, individualized education programs (IEP), individualized family service plans (IFSP), and plans under Section 504 of the Rehabilitation Act of 1973, including the ability to disaggregate student data, as well as employ other methods for assisting teachers in addressing the curricular needs of students with disabilities. The candidate can work with school personnel to identify English language learners (ELLs) and administer the appropriate program and services, to address the curricular and academic needs of English language learners.</p>
<p>Focus Area: A - use student data to work collaboratively with teachers to modify curriculum and instructional strategies to meet the needs of each student, including ELLs and students with disabilities, and to incorporate the data into the School Improvement Plan;</p>
<p>Focus Area: B - evaluate a school to ensure the use of a wide range of printed, visual, or auditory materials and online resources appropriate to the content areas and the reading needs and levels of each student (including ELLs, students with disabilities, and struggling and advanced readers);</p>
<p>Focus Area: C - in conjunction with special education and bilingual education teachers, identify and select assessment strategies and devices that are nondiscriminatory to be used by the school, and take into consideration the impact of disabilities, methods of communication, cultural background, and primary language on measuring knowledge and performance of students leading to school improvement;</p>
<p>Focus Area: D - work with teachers to develop a plan that focuses on the needs of the school to support services required to meet individualized instruction for students with special needs (i.e., students with IEPs, IFSPs, or Section 504 plans, ELLs, and students identified as gifted);</p>
<p>Focus Area: E - proactively serve all students and their families with equity and honor and advocate on their behalf, ensuring an opportunity to learn and the well-being of each child in the classroom;</p>

Focus Area: F - analyze and use student information to design instruction that meets the diverse needs of students and leads to ongoing growth and development of all students; and
Focus Area G - recognize the individual needs of students and work with special education and bilingual education teachers to develop school support systems so that teachers can differentiate strategies, materials, pace, levels of complexity, and language to introduce concepts and principles so that they are meaningful to students at varying levels of development and to students with diverse learning needs.

(Illinois School Code §30.45 a 1-4)

The assessment requirements in the pre-service phase involved a great deal of time spent by mentors documenting and supporting candidates in successfully completing all activities and ensuring the candidates demonstrated a proficient level of performance in the four competency areas. Contrasting Table 30 above with Table 31 below, once again provides evidence of a less formal structure, affording mentors more autonomy and greater latitude to differentiate when mentoring new principals.

Table 31. In-Service Mentor's Responsibilities

Each mentor and each new principal shall complete a survey of progress on a form developed by their respective school districts. (105 ILCS 5/2-3.53a e)
Verification of program completion shall be prepared in a format specified by the State Superintendent of Education and shall be signed by the participating principal and mentor to signify completion of the work outlined in the log required under subsection (e) of this Section. (Illinois School Code §35.30f)
Each provider shall review the accuracy of the verification forms and shall submit a summary of the information presented in a format specified by the State Superintendent or designee by June 30 of each year. (Illinois School Code §35.30e)

Given the vast difference between the rules and regulations governing pre- and in-service mentoring in Illinois, it came as no surprise that descriptions of many of the key elements of the UIC-UEL combined principal mentoring model needed to be differentiated between the two phases. In addition to variation between phases that were

found in several key elements of the mentoring model, differences in the characteristics of knowledge transmission were also found between the pre- and in-service phases.

Characteristics of Knowledge Transmission Involved in the UIC-UEL Combined Principal Mentoring Model

In addition to the key elements of a mentoring model, Bozeman and Feeney (2007) identified specific characteristics that differentiate mentoring from other processes of knowledge transmission, such as training or professionalization. The five characteristics of the knowledge transmission process outlined by Bozeman and Feeney included, number of participants, relationship, recognition, needs fulfillment and knowledge utility. In the conceptual framework section of this case study, those characteristics were used to separate mentoring from other knowledge transmission processes that shared conceptual space with mentoring. In this section, however, these characteristics were applied to explore differences and similarities between pre- and in-service phases of the UIC-UEL mentoring model. Table 32 below includes data from pre- and in-service phases aligned to knowledge transmission characteristics.

Table 32. Knowledge Transmission Characteristics of a Combined Principal Mentoring Model

Characteristics of Knowledge Transmission	Pre-Service Principal Mentoring	In-Service Principal Mentoring
Number of Participants (Identical to role & cardinality)	Triad, involving the candidate, university mentor and host principal	Dyadic, involving only the candidate and the university mentor
Relationship	Authority mediated: required by state regulations and governed by an agreement between UIC and CPS	Non-authority mediated: UIC-UEL “guarantees” in-service mentoring but does not require it, nor does CPS
Recognition	All involved recognize their role. The Memo of Understanding between CPS and UIC outline the specific roles of each person involved and the state required documentation	Parties involved in mentoring during the first two years of the principalship recognize their roles. Informal mentoring does not require participant to recognize their role in mentoring
Needs Fulfillment	Multiple, but must include organization and authority-derived objectives that meet state regulations and district’s principal eligibility requirements	Must meet individual needs and support organizational priorities
Knowledge Utility	Includes knowledge presumed relevant to attaining state certification and successfully completing the principal eligibility process	Includes knowledge presumed relevant to organization mission and goals

(Adapted from Bozeman & Feeney (2007))

Exploration of both the key elements and the characteristics of knowledge transmission demonstrate differences found between the pre- and in-service phases of the UIC-UEL combined principal mentoring model. Those findings were based on

triangulation of data from state regulations, program documents, interviews of program designers and mentors, and a survey conducted with UIC-UEL students. As one program designer put plainly, “In-service coaching is much more variable than pre-service.”

Summary of Findings on Research Question #3

In order to answer the third research question, data findings outlined under research question one were used to determine the extent of difference found in key elements of mentoring and characteristics of knowledge transmission between the pre- and early in-service phases of the program. The findings presented above in this section identified differences in four key elements and four characteristics. Key elements of mentoring found to be differentiated between pre- and in-service phases included: roles, cardinality, activities, and policy. Characteristics of knowledge transmission found to be differentiated between pre- and in-service phases included: relationship, recognition, needs fulfillment, and knowledge utility.

To a large extent, differences found between the pre- and in-service phases of the UIC-UEL combined principal mentoring model could be attributed to differences in state regulations. For example, state regulations established a triad structure of mentoring in the pre-service phase and a dyadic structure for in-service. Another example highlighted in the previous section has to do with the detailed and proscriptive nature of the regulations governing pre-service mentoring, in contrast to the much more ambiguous rules established for in-service mentoring. Therefore, the UIC-UEL combined principal mentoring model reflects the differentiation found in the state policies. The differences found in the characteristics of knowledge transmission demonstrate appear to be the

result of creating a combined principal mentoring model and were somewhat idiosyncratic to a program that was not required by external authority to provide both pre- and in-service mentoring. Therefore, there was greater flexibility with the in-service phase to meet the specific needs of the individual and the context within which they work.

Summary of Findings

By joining key elements identified in mentoring literature with characteristics of knowledge transmission, a detailed description of the UIC-UEL combined principal mentoring model emerged that included both convergent and divergent aspects found in the pre- and in-service phases. Table 33 below summarizes the findings from this case study. Additionally, elements or characteristics that were found to be dissimilar between pre- and in-service phases are differentiated in italics in the second column of the table below.

Table 33. The UIC-UEL Combined Principal Mentoring Model

Elements & Characteristics	Combined Principal Mentoring Model
Objectives	Development of leadership competencies, career development, psychosocial support, and networking opportunities
Roles	Mentor: facilitated knowledge transmission and provided development Mentee: primary recipient of knowledge transfer
Cardinality	<i>Pre-service</i> : Triad (one each: mentor, mentee, host principal at internship placement site) <i>In-service</i> : Dyadic (one mentor and one mentee)
Tie Strength	Varied somewhat regardless of phase
Relative Seniority	Step ahead: an experience veteran principal provided mentoring support to an aspiring or novice principal

Time	<i>Pre-service:</i> 1 year during internship <i>In-service:</i> at least 1 year as a new principal. Time and regularity determined by the program and mentor case load
Selection	Mentors: 10 years of experience as a CPS principal with evidence of significant student growth and school improvement. Mentees: three years of teaching experience with evidence of significant student growth, in person interview with faculty, and portfolio submission
Matching	Matching is completed by program director and is based on mentee development needs and alignment with experience with the mentees anticipated or actual school type and demographic served.
Activities	<i>Pre-service:</i> extensive list of specific activities that must be completed to demonstrate and assess mentee's performance with four leadership competencies <i>In-service:</i> focused on the professional growth of the new principal with no requirement to assess or evaluate.
Resources and Tools	Various tools and resources developed by UIC-UEL and/or CPS for use with mentors and mentees
Role of Technology	Preference indicated in state regulations for primarily in person meetings, however telephone and e-mails were also used
Training	Mentors were required by state statute to complete training on teacher and principal performance evaluation and mentoring practices.
Rewards	Mentors: received payment in the form of a full time salary Mentees: leadership competency development, career advancement, psychosocial support
Policy	<i>Pre-Service:</i> Illinois Public Act Public Acts 096-0903; Illinois School Code §30.10-30.80; MOU and contract between CPS & UIC; and the CPS Principal Eligibility Process <i>In-Service:</i> Illinois Public Act Public Acts 094-1039; Illinois School Code §35.30; UIC-UEL degree requirements
Monitoring	Varied based on the whether the mentor was a clinical faculty member
Termination	Undetermined
Relationship	<i>Pre-Service:</i> Authority mediated: ISBE, UIC and CPS <i>In-Service:</i> Non-authority mediated
Recognition	<i>Pre-Service:</i> All involved recognize their role. <i>In-Service:</i> Varied

Needs Fulfillment	<i>Pre-Service:</i> Multiple - must include organization and authority-derived objectives <i>In-Service:</i> Must meet individual needs and support organizational priorities
Knowledge Utility	<i>Pre-Service:</i> relevant to attaining state certification and successfully completing the CPS principal eligibility process <i>In-Service:</i> relevant to individual and organization goals

Despite some significant differences between mentoring in the pre- and in-service phases of development, only eight out of twenty key elements and characteristics of the mentoring model are dissimilar. This suggests that the UIC-UEL combined principal mentoring model was designed to be more than just two complete separate mentoring components under the umbrella of a multi-year degree program. In collaboration with CPS, UIC intentionally designed and delivered a mentoring model that provided a cohesive and coordinated approach for school leaders that spanned from the aspiring through the early novice phase.

The mentoring model framework developed for this case study, which joined the key elements found in mentoring literature with the characteristics of knowledge transmission, provided a robust scaffold from which to build a rich description of the UIC-UEL combined principal mentoring model. There were however a significant number of factors missing from the framework that appeared to have had an impact on the mentoring model. Or, the omission of the missing elements may have obscured a deeper understanding of this case study. Those factors included basic organizational elements, for instance the sources of funding for mentoring, or increasing competition from other programs. They also included conceptual elements such as the difficulty in clearly defining the formal and informal categories of mentoring, or the somewhat

blurred organizational line between CPS and UIC. In the following chapter, this case study explores the missing factors and elements and provides a revised framework that can be applied to future research on mentoring models that span from the aspiring to the novice career phase. Finally, the chapter concludes by identifying the variable and invariable aspects of the UIC-UEL combined principal mentoring model that can be used to inform replication efforts, including implications for universities and districts.

CHAPTER FIVE

DISCUSSION AND RECOMMENDATIONS FOR FURTHER RESEARCH

Introduction

In chapter two of this case study, the literature review established a clear alignment between the large body of research on mentoring and the 16 key elements of a mentoring model identified by Dawson (2014). Additionally, in an effort to differentiate between practices that share conceptual space with mentoring, such as participation in training or with professional associations, four characteristics of knowledge transmission were also included in the analytic framework developed for this case study. That framework relied heavily on a large body of research dating back decades. A brief summary of the literature is included here to indicate the essential works that informed the development of the mentoring model framework used in this study.

In the rather comprehensive *Blackwell's Handbook on Mentoring*, editors Allen and Eby (2010) effectively argue that after decades, mentoring theory continues to suffer from a debilitating lack of conceptual clarity that prevents the area of research from moving beyond an emergent state. In another extensive review of the literature going back three decades, Crisp and Cruz (2009) found more than 50 distinct definitions for the process of mentoring. Further, they argued that the conceptualization of the term is so broad that it has been applied to countless practices. They claim that mentoring research has gotten to the point where research exists that would justify the classification of just

about any process of professional support as mentoring. After outlining similar findings, Allen and Eby urged researchers to move beyond the attempts to form a common consensus on a definition, but rather clearly define the key elements of the specific mentoring model being explored. Allen and Eby also recommended that scholars attempt to differentiate mentoring from other common roles or processes of knowledge transmission. To that end, the case study described in the previous chapters applied a mentoring model framework that combined the 16 key elements of mentoring (Dawson, 2014) with characteristics of knowledge transmission (Bozeman & Feeney, 2009).

While the framework developed for this case study was drawn from an extensive review of the literature, further data analysis outlined in this chapter suggests that the framework could benefit from further expansion. Additional key elements and characteristics that appear to have significant impact on the UIC-UEL mentoring model are identified and a new framework is suggested for future research to help clarify the specific mentoring model explored.

This chapter begins with the identification of underlying assumptions of the case study that appear to have obscured key elements and characteristics that likely impacted the design and delivery of the UIC-UEL mentoring model. For example, the overarching construct of this case study superimposed the divide between pre-service and in-service on the model, which may have clouded a more nuanced understanding of natural distinctions created by formal and informal practices, and differentiation identified by participants in terms of the intensity of support required in different circumstances. Another example of a construct applied to the study that may have created a barrier to

defining the model may be the assumption that the unit of analysis was a university-based program. That type of underlying assumption somewhat obscured a clearer understanding of the impact of the partnership between the preparation program and the district in the design and deliver of the UIC-UEL mentoring model.

By exploring those types of underlying assumptions, data analysis from this case study identified four missing key elements of mentoring and two characteristics of knowledge transmission. By including the identified missing elements and characteristics, an enhanced framework emerges that could contribution to theoretical understanding of mentoring by provided a robust analytic system that can be applied to future research that seeks to explore a wide variety of mentoring models. Rather than continue the decades old struggle to establish a common definition of mentoring, the new analytic framework outlined in this chapter will provide conceptual clarity by defining the specific key elements and characteristics of the model, which provide a greater understanding of how mentoring systems and practices have been operationalized by various organizations.

Underlying Assumptions of the Case Study

There were two underlying assumptions that this case study was based upon, which appear to be problematic in providing a clear description of the UIC-UEL combined principal mentoring model: (1) that the model could be broken down between pre- and in-service phases of development, and (2) that the unit of study was a university-based combined principal mentoring model. The study found there were no clear lines of demarcation between pre- and in-service. In addition, the line between the UIC-UEL

program and their partner district was also blurred.

Challenges to Differentiation Between Pre-Service and In-Service

The first underlying assumption was that there was a clear differentiation between the pre- and in-service phases of development within the program. Based on the existing body of literature on principal mentoring and the policies governing principal preparation and development in Illinois, it was assumed that the program would be designed and delivered in response to the needs of those two developmental phases. However, data from this study suggested those that participated in the mentoring model did not differentiate between pre- and in-service, but rather various nuances within each phase. In addition, it was found that it was common for candidates not to be hired directly into principal positions immediately after completing the pre-service phase. In other words, it was not uncommon for candidates to be hired as assistant principals, network coaches, or district administrators after completing their principal internship. That process created a “gap” or “in between” phase between principal preparation and principal development. While in-service support was provided, it could not technically be considered principal development. When asked how the program supports students during that gap period, one mentor admitted, “it’s a bit of a grey area – the focus is really just to continue to support their development and progress in the program.” Other mentors agreed, reporting that the UIC-UEL program afforded those students the opportunity to continue with mentoring in an informal manner, as they continued coursework and/or advanced toward their culminating capstone project while they worked in positions other than principal.

Overlooked by the framework designed and applied to this study was the intentional structure of the UIC-UEL program to provide a continuum of support from pre- service through early in-service. UIC was the only principal preparation program approved in Illinois that was structured around an Ed.D., rather than a M.Ed. degree program. That difference provided a mechanism to seamlessly span from pre- through in-service phases, creating the expectation of a continuum of support through the challenging transition from aspiring to novice principal. However, data collected from program documents indicated that the formal aspect of mentoring in the UIC-UEL program took place only during the internship, and in the first two years that the candidate serves as a new principal. In practice, however, mentors and mentees described a wide variety of phases outside the internship or the principalship in which they participated in an on-going and informal mentoring relationship. UIC-UEL program designers were not only aware of the informal mentoring that was occurring, to a certain extent the support was expected by the program. Table 34 includes data found in the case study that suggests the UIC-UEL program differentiates mentoring within a formal and informal construct, rather than strictly within the pre- and in-service phases.

Table 34. Formal and Informal Aspects of the UIC-UEL Combined Principal Mentoring Model

Formal Mentoring: Pre-Service	Informal Mentoring: Neither Pre- nor In-Service	Formal and Informal Mentoring: In-Service
Pre-service was defined by the program as the first 18-months leading to state certification. Successful completion of this phase entitled the candidate to have a Principal Endorsement added to their IL Professional Educator License by the State Board.	Research and policy indicated that the principal pre-service phase ended when the candidate secured a state license qualifying them as a principal. Further, in terms of principal mentoring, the in-service phase begins on the candidate's 1st day as a principal. Therefore, the period in between is neither pre- nor in-service.	In-service support is guaranteed by the program during the first year the candidate serves as a principal in CPS. Some evidence suggests that can be extended another 2 or more years, but that is not guaranteed and some principals choose not to participate.

As the table above illustrates, the gap period represented by the middle column blurs the line between pre- and in-service phases of principal development. Not only is the pre- and in-service divide somewhat artificially constructed, it is not completely replaced by the formal and informal divide. Rather pre- and in-service phases overlap with the informal and formal differentiation. However, due to the complicated nature of defining what constitutes formal and informal mentoring and the lack of consensus found within data from program documents, designers and mentors, the categories of formal and informal were not clearly defined through analysis of data collected for this study.

Additionally, rather than exclusively focus on the pre- and in-service analytic categories that were included in the original study design, further analysis of the data study suggest that two other sets of categories were used by the program designers, mentors and mentees to describe various phases of development: “formal” versus “informal” mentoring, and “high touch” versus “low touch” mentoring. Formal versus informal were used frequently by those involved in the mentoring model to signify

whether or not the mentoring was an “official” part of the program, or if it were just a common practice. According to program documents and interview data from program designers, candidates were only guaranteed mentoring support during the pre-service internship and during the first two years of a principalship. All other phases of the program fell into the informal category. When caseloads expended for the UIC-UEL mentors, priority was given to mentees in formal mentoring phases of the program.

UIC-UEL program designers and mentors also referenced categories of “high touch” and “low touch” to describe the amount of time mentors spent with candidates. High and low touch mentoring did not correspond directly to the pre- and in-service divide, but did align somewhat better with the informal/formal category differentiation. High touch meant that the mentor expected to spend considerable time supporting the candidate. Examples of high touch include candidates in pre-service completing their internship or work with first year principals. Low touch meant that the mentor expected contact with the candidate to be reduced in frequency and/or duration and that the focus shifted primarily to ensuring the candidate made progress in the program and was provided with any necessary supports for either career advancement or with school improvement efforts. For example, a first year principal was considered high touch, but in years two or three that principal would be placed in the low touch category. That is unless they were struggling in their role, or were nearing completion of their culminating capstone project. Rather than pre- or in-service phases as a determinant, high touch and low touch was often also based on the role in which the candidate served within CPS.

The high touch/low touch separation was much more nuanced and extended to UIC-UEL program completers that remained active in the UIC network, either hosting principal interns or providing networking opportunities for those attached in some way to the program. Formal and informal categories overlapped with high and low touch categories. Table 35 below provides a graphic illustration of the formal/informal and high/touch low touch differentiation as explained by UIC-UEL program designers and mentors and is anchored by the left column by the pre- and in-service phases and the post-completion phase.

Table 35. High/Low Touch and Formal/Informal Differentiation of the UIC-UEL Combined Mentoring Model

Program Phase	High Touch - Formal	High Touch - Informal	Low Touch - Formal	Low Touch - Informal
Pre Service	Full year of mentoring support and supervision during the internship phase		One course prior to the internship is supported by all UIC-UEL leadership coaches	Interaction with UIC-UEL alumni aimed at assisting the candidate in securing a post-internship position
Pre-Service	Support for candidates aimed at passing the CPS Principal Eligibility Process		UIC Leadership Coaches attend monthly Chicago Leadership Collaborative meetings convened by CPS.	Interaction with CPS Officials to support learning opportunities and exposure to more school settings

Program Phase	High Touch - Formal	High Touch - Informal	Low Touch - Formal	Low Touch - Informal
Neither Pre-nor In-Service		Providing networking opportunities within CPS and helping candidates identify an appropriate career path		Mentoring assistant principals in an effort to ensure they get a broad base of leadership experiences that will support the transition to a Principalship
		Support for the principal/assistant principal job search right after completion of the internship		Support to candidates not in principal positions to progress with capstone project design
		LSC and other types of interview preparation after completion of the internship		LSC and other types of interview preparation upon completion of the internship
		Intensive support passing the CPS Principal Eligibility Process second time through		
		Support for capstone completion process		
	In-Service	First Year of the principal position	Support for capstone completion process	
		If requested by a principal that is facing a crisis situation	Second and third year of the principal position	If requested by a principal or school that is facing a crisis situation
Post-Program Completion		If requested by a principal or school that is facing a crisis situation	If the principal is hosting a principal intern	If requested by a principal or school that is facing a crisis situation

Table 35 above illustrates the complexity of the UIC-UEL combined principal mentoring model. The only phase in which there was no informal obligation for the mentor to provide services was found in the pre-service phase prior to the internship. That is not surprising, given that the mentors were not officially matched with a mentee until the internship. In all other phases of the program, mentors were expected to provide mentoring support to candidates even though the program did not officially recognize the services rendered.

Informal mentoring, which is highlighted in grey in the table above, was much less documented than the formal elements of the program, but appeared to be routinely practiced by mentors and expected by mentees. Mentors expressed concern that the informal mentoring process increased their overall caseload and was not always fully taken into consideration by the program administrators. However, at least one program designer acknowledged that the mentor's caseload is impacted by the amount of informal mentoring and that it has an impact on the number of new candidates the mentor could add to their roster. The program designer acknowledged that "matching has increasingly been determined by [the overall] caseload of the coach." For that reason, greater exploration of informal mentoring activities would further the understanding of the mentoring model for replication purposes. These elements do not appear to be "extras" added on when necessary, but essential to the cohesive approach to providing a continuum of support spanning from pre- service through early in-service and beyond.

As demonstrated in Table 35, high touch candidates fell under both formal and inform categories and in both pre-service and in-service phases, as was the same for those

that received low touch support. During interviews with both program designers and mentors it became clear that they felt very little need to compartmentalize candidates into what struck them as artificial categories that did not take into consideration the intentional individualized approach that was inherent in the mentoring model design.

As one program designer argued:

...The only one that is really clear for our program is pre-service. But, even that gets murky if the candidate doesn't pass principal eligibility in the spring. In that case the coach ends up spending a lot of time with them when they are technically, I guess, considered in-service at that point – right? Because they have technically earned the principal endorsement by that point, even though they can't be hired as a CPS principal.

When interviewing program designers and mentors, those types of declarative statements were almost always followed by caveats describing the multitude of exceptions to any rules or common practices found within the program. Combined, those comments, program structures and practices demonstrate the individualized approach the UIC-UEL program applies, and also the tension they experience between their desire to standardize processes with the need to be flexible to the needs of the candidates, the schools, and the district. Most mentors somewhat reluctantly acknowledged that the requirements involved in pre- vs. in-service phases impacted mentoring to some extent. However, one mentor argued that more typically it is not the phase that determined the mentoring approach, but that “differences are largely idiosyncratic and much more reflective of the specific context within which the coaching relationship occurs.”

University-Based vs. Partnership-Based Mentoring Model

Another underlying assumption about this case study that was found to be somewhat inaccurate was that the combined principal mentoring model explored was a

university-based program. Data from the case study, however, suggested that the essential role of CPS in supporting, hosting, and supplying UIC-UEL with candidates, access to placement sites, training, host principals, qualifying mentors, and providing substantial funding created the conditions, without which the UIC-UEL combined principal mentoring model could not exist, or at least not in its current form. Therefore, the UIC-UEL model would more accurately be described as a university/district combined principal mentoring model. Table 36 below outlines the roles and responsibilities described in program documents and during interviews with program designers and mentors.

Table 36. Roles and Responsibilities of UIC-UEL and CPS in the Combined Principal Mentoring Model

	UIC-UEL	CPS
Recruitment	Held regular recruitment meetings for prospective candidates, worked with CPS officials to identify high potential candidates	Worked with UIC-UEL, networks and principals to identify high potential candidates and promoted application to partner programs
Selection	Worked in collaboration with the district in the selection of UIC-UEL candidates, including participation in the interview and portfolio review process	Worked in collaboration with faculty at UIC in the selection of UIC-UEL candidates, including participation in the interview and portfolio review process
Pre-Service Placement	Determined in collaboration with CPS	Determined in collaboration with UIC based on needs of the district and the Chicago Leadership Collaborative (the group of principal preparation partners with the district)
Pre-Service Supervision	Provide support from full time UIC-UEL mentors	Provided support from a host principals at the placement site
Funding	Provided funding for UIC-UEL mentors and faculty	Provided salary for principal interns and stipends to host principals
Support for Mentors	Developed a strong professional learning community and provided training and protocol development support from faculty	Developed a pipeline of veteran principals that became UIC-UEL mentors. Provided some funding for mentors and training on district initiatives
In-Service Support	Provided formal and informal mentoring support	Provided salary, professional development and supervision of UIC-UEL candidates working in CPS leadership positions
Program Improvement	Worked with CPS and CLC to inform program improvements	Formed the CLC and worked with UIC and other CLC partners to inform program improvements

As Table 36 illustrates, the district partner was involved in the recruitment, selection, and

placement of the candidates, as well as provided funding, coordinated supervision, provided professional development for mentor principals, and collaborated with the program on continuous improvement efforts informed by district data. Given the clear financial and operational commitment by the partner district, it is somewhat disingenuous to define the UIC-UEL combined principal mentoring model as a university-based program. It would be more accurate to state that the mentoring model that formed the basis of this case study represents a “combined” model in two respect: the combination of pre- and in-service components and the combined efforts of a university and district working in close collaboration to build a pipeline of highly competent school leaders specifically prepared to tackle the challenges of high need schools.

Key Elements and Characteristics Missing from the Mentoring Model Framework

This case study was explored by combining the key elements of mentoring, identified by Dawson (2104), with the characteristics of knowledge transmission outlined in Bozeman and Feeney (2007). Dawson’s framework was founded on over three decades worth of research on mentoring, and the characteristics identified by Bozeman and Feeney were included in a deliberate effort to distinguish the model from other process of knowledge transmission that share conceptual space with mentoring. While Dawson’s schema was enhanced by the inclusion of characteristics of knowledge transmission, findings from this study suggest the framework would benefit from further expansion. Although the original framework reached beyond that which was identified through mentoring literature, there were a number of basic elements and characteristics that were missing. Identifying and describing those elements were crucial to further understanding

the combined principal mentoring model at the center of this study. In the final analysis, the following four key elements of mentoring and two characteristics of knowledge transmission were deemed essential to the model construct and were therefore described in this section: elements (1) funding, (2) partners, (3) hiring process, 4) degree/certificate requirements, and characteristics (1) degree of competition, and (2) program culture. This study found some evidence to suggest those additional elements and characteristics would need to be included in a framework that fully describes a mentoring model because they were likely to have had an impact on the design, delivery and sustainability of the program.

Missing Key Element 1: Source of Funding

How the combined principal mentoring model was funded was an important factor in how it became institutionalized and recognized as an official component of the program. The impact of funding cannot be understated in this case. According to program designers, the UIC-UEL mentors were funded by four different funding streams: program funds (core funding), CPS funds (from a performance-based contract), and grant funds (two grants: one federal and one foundation). Each funding stream came with its own set of expectations that may have influenced the design or delivery of the mentoring program. For example, program funding provided support for two UIC-UEL mentors to be staffed as clinical faculty. In addition to their role as a UIC-UEL mentor, clinical faculty members were expected to participate in research and publications, and/or teach. While still supporting the UIC-UEL program those other activities pull the mentor away

from their mentoring responsibility and reduce the caseload or geographic territory they were able to serve.

The performance-based contract with CPS also provided funding that was used to support the salary costs of the UIC-UEL mentors. The contract between UIC and CPS was designed with clear deliverables, such as participation in CLC meetings, recruitment of high-quality candidates, provide relevant coursework, support and assess candidates during the internship, participate in program improvement activities and an annual program performance review. As one program designer pointed out, additionally, three specific milestones were used to establish a payment schedule: selection of candidates approved by CPS; placement of candidates in internships approved by CPS; and successful completion of the CPS principal eligibility process. Funding was paid to UIC-UEL on a per-candidate basis at each of the three time periods during the year in which the milestones occurred. The switch to a performance-based contract and the expansion of the CLC to include more partners were not insignificant changes to the program. As one mentor pointed out:

All CLC partner programs are now on performance-based contracts... That changed our budget dramatically... The shift by CPS...and the expansion of the CLC to include a number of new partners makes us all compete for roughly the same pool of funds that were previously dedicated to the work of only a few providers.

Another program designer expressed concern that changes to the funding structure could cause a shift in priorities for programs and impact mentoring. That program designer asserted, "Performance-based contracts pressure programs to essentially 'teach to the test,' meaning they are focusing too narrowly on preparing candidates for the

principal eligibility process. We need to make sure the focus remains on developing leadership competencies and dispositions, and not allowing our folks to get caught up in the numbers. Given that funding was contingent upon the number of candidates approved by CPS and the number that successfully completed the eligibility process, it appears that the funding structure had the potential to influence selection, matching and the level of support provided by the mentors during the pre-service phase.

The third source of funding used to support mentoring in the UIC-UEL program came from a USDE grant and a foundation grant. Each grant presumably came with a specific focus area and performance requirements (e.g. a focus on early childhood experience, etc.). Specific deliverables required by the grants could potentially have impacted the amount of time spent by mentors in providing support to candidates, or could have impacted the focus of mentoring to a specific subgroup or topic. However, this area was beyond the scope of this study.

The fact that only two of the four UIC-UEL mentors were funded through sustainable core program dollars suggests that the source of funding could have a significant impact on the mentoring model. For example, many of the program designers and mentors interviewed expressed concern about the mentors' growing caseloads. As one mentor claimed:

The caseloads are too large. We don't have the capacity to consider everything everyone needs... There are just not enough hours in the day. In some cases, students are left to wait for responses from coaches and we feel awful about that...

Another reiterated that concern:

We need at least two more coaches to ease all of our caseloads... The

longer you are at UIC the greater your total caseload becomes. Not your official caseload, but the list of people you continue to maintain a relationship with... Even if someone has graduated, I continue to visit their schools and keep up with them. Eventually they will become a mentor principal hosting a resident and it will make things easier if I already know what is happening in those schools and with those principals.

In order to increase funding and reduce mentor case load, program designers mentioned a new approach that was being considered, including requiring credit hours for coaching support and expanding the program beyond the CPS partnerships to prepare and support charter school leaders. One program designer indicated that the UIC-UEL program had begun a system whereby candidates that fell into informal, high touch categories were allowed to enroll in credits that provided them with guaranteed mentoring support. As one program designer reported, “we really need to start placing a value on the informal coaching that occurs... We have started telling students to sign up for coaching credits if they are not in their residency or the first years of their principal contract.” It was unclear, however, whether or not the program had clearly defined the specific informal phases involved or the level of mentoring that was expected in those circumstances. Another program designer mentioned charter schools as an expansion area that the program was considering exploring. “Charters are now paying for interns to be placed in their buildings” was the rationale for consideration. No exploration of that approach was completed by this case study. Nonetheless, if the UIC-UEL program were to expand to include charter schools that largely operate outside the supervision and operating norms of the partner district, the approach would likely have an intentional or unintentional impact on the mentoring model.

Because source of funds was not an included element in the framework for defining a mentoring model, further details regarding expectations for or impact of funding were not gathered in a systematic manner that would allow for data triangulations. Therefore, no findings can be made regarding this element as it specifically related to the UIC-UEL combined principal mentoring model. However, enough evidence exists to suggest that the key element of funding impacted the program and therefore should be included in a framework for defining a mentoring model

Missing Key Element 2: Partners

As described in some detail previously, the UIC-UEL mentoring model did not operate in isolation, but rather in tight coordination with one partner district. Not only did the program partner with the district, the design of the UIC-UEL mentoring component created a circular pipeline for school leaders that somewhat blurs the employment line between the two organizations. Figure 4 below illustrates the circular career path created by the UIC/CPS partnership, whereby UIC-UEL recruited and prepared principal candidates through the university program; program completers then secured positions as CPS principals; those novice principals were then supported by UIC-UEL mentors; novice principals supported by UIC-UEL then became veteran principals that hosted UIC-UEL interns and collaborated with UIC-UEL mentors; then those with more than ten years of experience as a successful CPS principal were hired by UIC-UEL as mentors to a new group of aspiring principals.

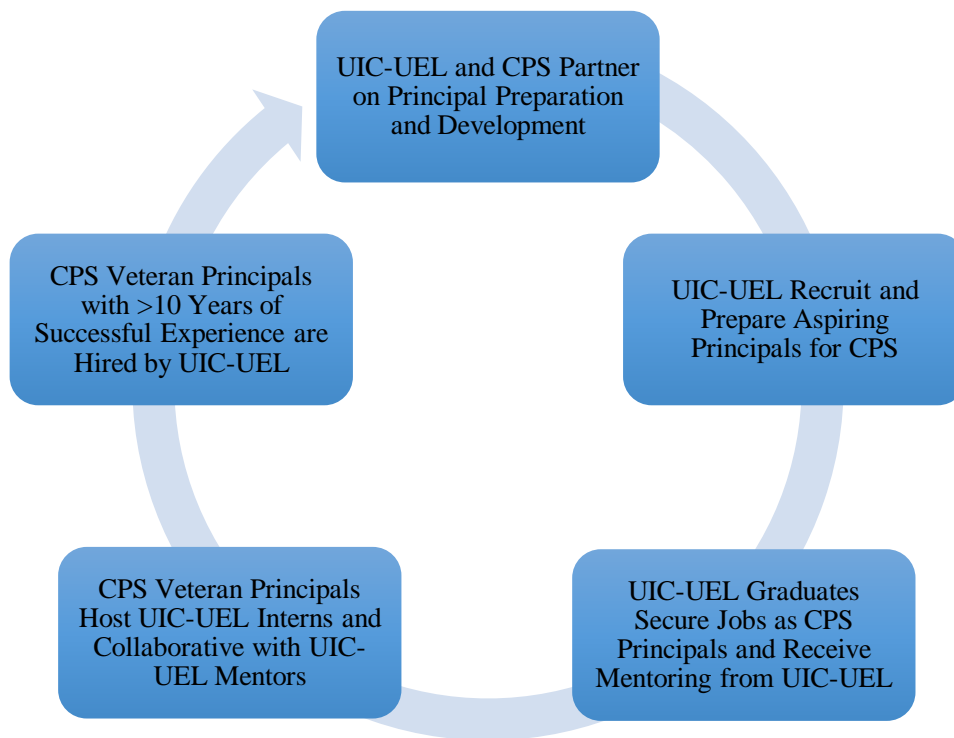


Figure 4. UIC-UEL/CPS Circular Leadership Pipeline

Because the partnership between UIC-UEL and CPS is less than fifteen years old, the entire circle has not yet been completed. However, candidates prepared through the partnership were serving in the highest levels of district leadership at the time of this study. In fact, the Chief Education Officer at CPS was a former successful UIC-UEL prepared principal. Another example of this circle was found in the hiring of a UIC-UEL adjunct faculty member. At the time of this study, the CPS Deputy Chief of Networks was teaching a course in the UIC-UEL program. The instructor was also an alumnus of the UIC-UEL program. Whether intentional or unintentional the close partnership created

a blurred employment line and career pathways for CPS and its partners.¹

Designing a principal preparation and development program in partnership with a single district allowed UIC-UEL to focus exclusively on the specific needs of that district. While that design was certainly described by UIC-UEL faculty as a “strength” of the program, others also identified weaknesses in the approach. As some pointed out, the partnership was only as strong as its weakest link and the instability created by recurring leadership turnover at the district level had an impact on the program.

Several program designers and mentors reported one incident in particular that had a large impact on CPS partners involved in principal preparation and development; the illegal actions by former CPS CEO Barbara Byrd-Bennett. It was not just that she steered a \$20 million dollar no bid contract to a principal professional development provider that had allegedly agreed to pay her a kickback and then went to great lengths to cover up her actions. The situation also created a slow ripple effect that eroded trust between the district and its partners. According to one mentor, the contract for principal training with SUPES Academy was:

...problematic for everyone even before she was charged. She shut down our access to CPS e-mails and the Knowledge Center. ...My guess is that she was trying to hide what they were doing. They didn't want us to have firsthand information about the quality of SUPES, which the principals were telling us was awful. ...Not having access to CPS notices means we are in the dark about policy or initiative changes. ...The Knowledge Center allowed us to see what PD our people had taken and what was available to them. Access to that was really useful in helping to guiding

¹ At the time of this study, the CPS Executive Director of the Principal Quality Initiative was an individual who had been prepared through a similar partnership between CPS and New Leaders. She then became a very successful CPS principal before going to work as a Regional Director for New Leaders. When CPS reorganized their leadership department, she left New Leaders to head up the new CPS initiative. That type of employment back and forth between CPS and several of its close partners was not an uncommon occurrence.

their professional development plan.

Another mentor agreed that the removal of access from internal CPS communications and the Knowledge Center undermined the UIC-UEL mentor's ability to fully support the candidates. That mentor reported:

Recently, CPS has become somewhat disrespectful to coaches. We have no access to CPS administrative notices or the CPS Knowledge Center. They act like we don't exist. In CLC workshops, they have not bother to introduce us to the residents or coaches from the five new CLC program partners so that we can build a larger professional learning community. I'm a coach. You are holding me responsible for developing your people. Give me access to the information I need from the district to be effective.

Other mentors did not necessarily place the blame for the shift in approach by CPS on the former CPS CEO, but highlighted the constant turnover in the department that administers the principal preparation and development scope of work. As several mentors and program designers pointed out, leadership turnover has plagued CPS Central Office in recent years. CPS central office experienced both natural attrition, as well as an increase in terminations of senior staff caused by CEOs that brought in their own people to fill key leadership positions with the district. After a short period, the cycle would begin again and the programs would need to build new relationships over and over. This occurred over a seven-year period prior to this study.

Due to the high rate of turnover and shifting priorities and leadership at central office, structures, practices and routines have been destabilized, which caused intended and unintended consequences for the program. For that reason, the key element of partners should be included in a framework for defining a mentoring model

Missing Key Element 3: Hiring Process

According to the body of literature on mentoring, two main focus areas for the process were career development and psychosocial support (Kram, 1983). Career development as it related to mentoring provided by the UIC-UEL program involved providing the necessary training and experiences necessary for the candidate to be qualified to serve as a CPS principal. Technically, pre-service mentoring concluded when the candidate secured a state issued Principal Endorsement on their Professional Educator License. However, the performance-based contract and the unique principal hiring process in Chicago created additional demands on the mentors that required them to support the candidate with preparing for the principal eligibility process as well principal interviews with Local School Councils. As previously described in the Program Context section of this study, under the Chicago School Reform Act, the district was stripped of the right to select principals for individual schools and the authority to hire a principal was given to the elected Local School Council at each building. The district was allowed to develop and implement a standardized process for ensuring a minimum level of qualifications deemed necessary to meet the needs of the district. CPS established the principal eligibility process to meet that need (CPS, 2015).

Not only are mentors required to support candidates with successfully completing the principal eligibility process and prepare them for LSC interviews, they are also expected to provide networking opportunities for the candidates throughout their time in the program. Literature on mentoring conceptualized networking as intentionally making connections and increasing professional contacts for professionalization and career

advancement purposes (Tenenbaum, Crosby, & Gliner, 2001). In addition to communicating with CPS central office administrators involved in the Principal Quality Initiative, UIC-UEL mentors reported significant time spent in conversations with CPS network chiefs. CPS network chiefs act as regional superintendents, overseeing and evaluating principals in 18 areas around the city (CPS, 2016). UIC-UEL mentors met with CPS network chiefs in an effort to identify potential principal and assistant principal vacancies, gain an understanding of the area's needs and priorities, and to raise the profile of UIC-UEL candidates that were working in their area. In addition to networking on behalf of the candidates, UIC-UEL mentors also provided networking opportunities between network chiefs and UIC-UEL candidates. Additionally, the mentors networked the candidates with various CPS departments and senior leadership within the district. Finally, the UIC-UEL program had developed an entire network of UIC-UEL alumni that were used to facilitate networking opportunities. As one program designer asserted, intensive and effective UIC-UEL efforts aimed at networking within CPS have been on going for well over a decade. Because of that, the program designer claimed, "the footprint of UIC alumni in leadership positions has grown significantly."

The idea of networking as a way to expand the reach of the program was expressed by several UIC-UEL program designers and mentors. As one program designer explained, "We don't think in terms of pre- or in-service really. We come at it from a network perspective. Our people are involved at every level of the organization, from the residency to the CEo [Chief Education Officer]... We try to leverage our entire student and alumni network and external contacts to advance all of our people." That

conceptualization of networking aligns and in some ways exceeded the common understanding of the term in current mentor literature (Tenenbaum, Crosby, & Gliner, 2001).

While an exploration of the hiring process overlapped with key constructs from mentoring literature, such as career advancement and networking, the performance-based contract between UIC-UEL and CPS narrowed the focus in this case to the principal eligibility process. However, as this case study demonstrated, because the hiring process was complex and appeared to influence the design and delivery of mentoring, it should be included in a framework for defining a mentoring model.

Missing Key Element 4: Degree/Certificate Requirements

The fourth key element that appeared to be missing from the framework had to do with the culminating degree/certificate structure, which the program was built upon (UIC, 2012). Literature involving principal preparation commonly identified the degree or certificate the candidate attained by completing the program (Darling-Hammond, et al., 2007; Levine, 2005; Murphy, 1992; Murphy, Moorman, & McCarthy, 2008; Murphy & Vriesenga, 2004). Literature on mentoring for novice principals, however provided no evidence of being tied to a degree or certificate program, as those programs were much more likely to be administered by a district. In this case study, there was some evidence to suggest that the culminating degree/certificate requirements impacted the focus of mentoring in various phases of the program. For example, one of the major changes that UIC-UEL made when redesigning the program in preparation for the state program approval process, was to add a Certificate of Advanced Study (CAS) component.

Through an analysis of student completion data, program designers reported that they found that it was not uncommon for their advanced Ed.D. students to “struggle with balancing the demands of the principalship with the demands of completing a doc program.” During the program redesign process, UIC-UEL program designers established a system that allowed candidates to complete 64 credit hours to earn a CAS, 80 credit hours and a capstone projects for an Ed.D., or 96 credit hours and a capstone project for an Ed.D. with a Superintendent Endorsement (UIC, 2012, p 265).² One UIC-UEL program designer explained the inclusion of the CAS component as “a sort of off-ramp that recognizes a candidate’s accomplishments, even if they are unable or unwilling to complete the capstone.” Another program designer asserted, “We would prefer that they all completed the Ed.D., but we had to be realistic about the many and varied reasons why some choose not to continue.” One of the UIC-UEL mentors added that the change from a traditional dissertation to a capstone project was an attempt by the program to provide authentic learning relevant to their position. The mentor argued that whether or not a candidate remained in the program after securing a position as a principal was dependent upon, “the degree to which the doc program contributed to their growth and how much it relates to their current needs.” For that reason, the culminating degree/certificate requirements are a key element that should be included in a framework for defining a mentoring model.

In addition to the four missing key elements, data from this study identified two additional characteristics of knowledge transmission that were also missing from the

² All of these credit hour requirements assume the candidate already completed a master’s degree program and possess a valid professional educator license.

mentor model framework. These two characteristics can be defined as either promoting or inhibiting knowledge transmission within or among organizations. For that reason they have the potential to greatly influence the design and delivery of a mentoring model.

Missing Characteristic 1: Degree of Competition

In 2011, CPS administration decided to join their formal principal preparation program partners in a coordinated effort called the Chicago Leadership Collaborative (CLC). At that time the district had been working in partnerships with New Leaders for New Schools, Teacher for America³, and UIC. Through the establishment of the CLC, the district expanded their partnerships to include Loyola University-Chicago. In 2015, CPS expand the number of partners involved in the CLC to a total of ten programs, including Chicago State, DePaul University, Dominican University, Loyola University-Chicago, National Louis University, New Leaders, Northeastern Illinois University, Teach for America, UIC, and University of Illinois at Urbana-Champaign (CPS, 2016). Again, the theory behind the expansion of the CLC was to collectively support the development of a high quality pipeline of school leaders for the district. However, in practice, the expansion has created competition between the partnering programs, which must compete for a limited amount of district resources devoted to principal preparation efforts. By 2016, the total amount of funds allocated by the district for this work had decreased slightly from 2010, however, the number of partners during that same time more than tripled (Center for the Study of Education Policy, 2016). The expansion resulted in a net loss of funds for the initial partners, which created uncertainty and

³ Teach for America partnered with Harvard University for principal preparation and state certification purposes.

increased the level of competition among the partners.

The increase in competition for resources among the growing number of partners appeared to have reduced the level of collaboration among the group, rather than increase it. As one mentor reported, “the shift to a performance-based contract and the CLC expansion also undermined the larger professional community. ... There is definitely a sense of competition now where it used to be largely collaborative.” The degree of competition over time could contribute to innovation and improvement, or could create a destabilizing effect on established partnerships. For that reason, the degree of competition is a characteristic that should be included in a framework for defining a mentoring model.

Missing Characteristic 2: Organizational Culture

The broad conceptualization of *culture* was borrowed by organizational theorists from the field of anthropology. While scholars from a growing number of fields with an expanding number of theoretical approaches have applied the concept of culture to their research, there remains no consensus on a definition (Shafritz, Ott, & Jang, 2015; Smircich, 1983). For the purpose of this study, program culture was narrowed to a basic understanding of organizational priorities and how they impact collaborative efforts between two organizations.

This case study primarily involved two organizations involved in a collaboration focused on principal preparation and development. One higher education partner and one district partner were intentionally joined to support a common effort to build a strong pipeline of principals for the district. While joined in a common vision, the culture of the two organizations appeared to be quite different. For example, primary goal for the

partnership with UIC-UEL that was reported by CPS was to “create a pipeline of highly qualified leaders to meet the District's needs well into the future” (CPS, 2016). Contrast the district’s goal with the UIC-UEL goal: “to prepare and develop principals who are able to lead significantly improved teaching and learning in urban schools” (UIC, 2012, p. 8). In this case one could argue that both organizations were focused on outcomes: the district was focused on ensuring an adequate pool of qualified applicants to fill leadership vacancies, and the university was focused on developing leaders that could demonstrate school improvement. While the metrics used to evaluate the two outcomes were very different, they intersected conceptually around an understanding of what it meant to be highly qualified or effective as a school leader. In this case, the differences in organizational culture appeared to be vast. As one program designer noted, “CPS is so accountability focused, and narrowly so on summative experiences of the residents.” The program designer went on to explain that UIC-UEL routinely tracked post-internship outcomes on candidates they prepared. For them, it was not enough that UIC-UEL candidates had an exceptionally high pass rate on the CPS principal eligibility process and were being hired into leadership positions. The program was interested in what those leaders were able to do in those schools that mattered to UIC-UEL. As one program designer emphasized, “We need to know that our people are able to go into the most challenged CPS school and disrupt the traditional predictors of student performance, like poverty, race and zip code.” Program designers and mentors all expressed an understanding that CPS officials also valued their candidates’ ability to lead schools. And in fact, the CPS contract presented to UIC-UEL began with the following,

“Acknowledging the critical role principals play in the academic achievement of all students, the Board has a mission of ensuring that every school has a highly effective leader who can drive the change needed to improve student achievement” (CPS, 2012, p. 40). However, two program designers and two mentors referenced the performance benchmarks included in the contract with CPS as evidence of the district’s narrow outcome focus on the pipeline and the hiring process. Those benchmarks included the number of high potential leaders recruited to the program, number of candidates placed in principal internships, and the number of candidates that pass the principal eligibility process.

The difference in culture between the two organizations did not appear to be limited to variation in metrics used to measure success, but also in the way the two organizations conceptualized how candidates were to be supported. For example, according to the contract, UIC-UEL mentors were expected to engage “candidates in authentic activities designed to develop, demonstrate, and assess the CPS Principal Competencies...” Additionally, the mentors were to “...analyze and describe data acquired from Candidate assessments on the CPS Principal Competencies” (UIC, 2012, pp. 73-74). While UIC-UEL mentors all agreed that they met the requirements of the contract, several expressed that there was much more to the role than merely increasing their knowledge, skills and abilities. As one mentor argued, “we need to also attend to the social/emotional needs of the adults we are working with... Transitioning out of the classroom and into the principal’s office is as much psychological as it is physical.” Although they were not specifically asked,

80% of the UIC-UEL mentors indicated they believed that part of their role was to provide psychosocial support to the candidates. Psychosocial support is a key construct found in mentoring literature, used to describe efforts to ease the “emotional transition to a challenging new role” (Kram, 1983). UIC-UEL addressed this area most frequently when discussing their work with first year principals, who they described as sometimes feeling “isolated,” “scared” or “overwhelmed” and just need to be reassured that “if they slow down, reflect on their training and experience, rely on their leadership team, and take time to work it through, things will get better.”

Program designers cited the importance of mentors providing psychosocial support for candidates. Two faculty members cited specific research studies that indicated how complex and undesirable the principalship has become in recent years. Their comments aligned to research by Doyle and Locke (2014), which indicated, “ever-rising accountability standards, limited authority over key decisions, and mediocre pay make the job more and more demanding and less and less attractive to talented leaders” (p. 2). UIC-UEL faculty stressed how mentoring was used to support candidates as they face the challenges and complexities of the principalship. Program designers reported that the ever-increasing responsibilities placed on the school principal also impacted retention. Providing the rationale for the combined principal mentoring model, one program designer stated, “If we want principals to be effective and remain in those positions long enough to effect meaningful change, then we can’t assume the job is done as soon as they finish the residency [internship].... On-going support is crucial.”

The values expressed by these two different approaches to the work of the mentor may indicate very different cultural norms within each organization. Or, it may represent loose coupling between the formal contractual obligations and the individual responses or adaptations that occurred in program delivery. Interviews with CPS officials were outside the scope of this study, but would provide valuable insight into this characteristic of knowledge transmission.

When ISBE released rules for public comment involving changes to principal preparation in Illinois, the state acknowledged that the change process represented a significant paradigm shift for preparation programs, from candidate as consumer to district as consumer. The state's goal at the time was to prompt preparation programs to concern themselves with outcomes beyond program completion and the number of candidates hired as principals, to a focus on the long-term impact of their candidates on schools and students. Data provided by UIC-UEL program documents and interviews with program designers and mentors indicated that the program made the shift to a district as consumer model. In fact, it appeared that both UIC-UEL and CPS were completing a second paradigm shift. An emerging paradigm seems to have appeared through the CPS/UIC partnership, whereby the university was no longer solely responsible for the preparation of principals and the district solely responsible for the development of principals, but that in partnership they were jointly responsible for producing school leaders with the ability to improving schools and student outcomes. Within this new paradigm, the district and university share accountability for candidate outcomes during both pre- and in-service phases.

Contributions

This case study made four distinct contributions to the field, including:

- 1) *Contribution to Educational Administration Literature* – The study demonstrates how the artificial divide between pre- and in-service research can be bridged to further understanding of the continuum of support needed by school leaders.
- 2) *Contribution to Mentoring Theory* – The study serves as a call for scholars to accept that there is no universal definition or design of a mentoring model and encourages greater attention paid to clearly defining specific elements and characteristics of the mentoring model at the core of their research.
- 3) *Development of a Research-Based Analytic Framework* – The study provides an expanded research-based framework that can be used to clearly define the specific elements and characteristics of a mentoring model.
- 4) *Replication Recommendations for a Combined Principal Mentoring Model* – The study identifies the variable and invariable aspects of the UIC combined mentoring model and provides recommendations for consideration for those seeking to replicate the model.

Educational Administration Literature

As referenced previously, no research studies were found that explored a combined principal mentoring model that spanned from the pre- service through early in-service phase of development. Additionally, there was very little empirical research involving support systems or practices provided to aspiring principals during the gap period between pre- and in-service. This study attributes the absence of research in that

area to the flawed binary structure of the literature base. Pre- and in- service phases of development are deeply divided with very little attention paid to the relationship between the two. Studies focused on pre-service typically explored supports provided up to the point of licensure or certification, while studies involving in-service generally began at the point of hire. Very few studies involved the period that exists between completion of a preparation program and the first day of the principalship.⁴ The extremely limited number of studies that even mentioned the “transition” or “gap” period were focused almost exclusively on the leadership hiring process, or induction training and support systems (Branch, Hanushek & Rivkin, 2013; Ikemoto, Taliaferro, Fenton & Davis, 2014; Kracht, Strange & Hensley, 2013; Lochmiller, 2013).⁵ Additionally, even studies that specifically explored the transition from teacher to principal largely ignored the phase in between completion of a preparation program and being hired as a principal. Instead they focused on participants’ experiences and perceptions as a first-year or novice principals (Browne-Ferrigno, 2007; Dodson, 2006; Henson, 1996; Loder & Spillane, 2006; and Schneider, 2013).

This case study provided clear evidence that indicated the need for further exploration of the gap period between pre- and in-service. Findings from the study strongly suggested that the traditional binary structure of pre- and in-service categories

⁴ Some research exists that examine the transition from teacher to teacher- leader, however they were focused exclusively at the teacher level and were disconnected from the teacher attaining a principal position (Lieberman & Friedrich, 2010; Zepeda, Mayers & Benson, 2013).

⁵ Interestingly, there were studies found that explored the transition from teacher to assistant principal that examined the transition (Hartzell, 1995, Hausman, Nebeker, McCreary & Donaldson, 2002; Marshall & Hooley, 2006). However, at least one of those studies explicitly stated that the transition from teacher to assistant principal “differs markedly from that of the school principal” (Armstrong, 2009, p vii).

were insufficient in differentiating the needs of the candidates within a mentoring model that spanned multiple years and provided a continuum of support for career advancement. Further, the study demonstrated how a university and district worked collaboratively to structure a combined mentoring model that transcended the artificial divide found in the literature that segments research on pre-service mentoring with universities and in-service mentoring with districts.

A realignment of the literature under educational administration is necessary at this point. Further research focused on the period between the pre- and in-service phases is essential to understanding how a combined principal mentoring model may be constructed to mitigate the challenges posed during that crucial transition from classroom to principal's office. A lengthy gap period between when a candidate completes a principal preparation program and when they begin serving as a principal is not an uncommon phenomenon, nor is it particularly unique to the UIC program. In fact, a 2008 study by Cullen and Mazzeo found "the transition from teacher to principal is typically not direct" (p. 5). One UIC program designer pointed out that a fairly long gap period was so common that state officials expressed concern about the loss of knowledge and skills in cases where the gap period spanned several years. To address their concern, ISBE had considered a requirement whereby any Principal Endorsement holder not staffed into an assistant principal, principal, or district level leadership position for more than five years would be required to complete additional training to keep their license

current and valid.⁶ Given the prevalence of candidates spending a significant amount of time between the point of certification and assuming a principalship, it is important at this time that researchers attend to that crucial transition period by identifying effective practices and systems of support that can improve outcomes. This study is a call to action to break down the artificial divide between preparation and development found in the current body of literature. There is a great need now to implement research studies that bridge the gap in order to promote a greater understanding of the developmental continuum of school leaders.

Mentoring Theory

Many scholars have expressed concerns over the troubling lack of consensus in terms of a common definition for mentoring, and it is important to note that these criticisms span several decades (Bozeman & Feeney, 2007; Crisp & Cruz, 2009; Dawson, 2014; Ehrich, Hansford, & Tennent, 2004; Grogan & Crow, 2004; Jacobi, 1991; Merriam, 1983; Shute, Webb, & Thomas, 1989; Wrightsman, 1981). This study furthers an argument championed by (Dawson, 2014) that it is not necessary for theoretical advancements to continue to try to arrive at a universal definition of mentoring. After a century or more of research on mentoring with no consensus in sight, it is time to move beyond that argument and advance the field by acknowledging that there is no universal design when it comes to mentoring. According to Kram (1983) mentoring is, at its core, a strategy aimed at providing targeted support within a specific context. Therefore, this

⁶ Fearing challenges with equity and oversight, ISBE opted to address the issue by instituting more rigorous selection criteria aimed at ensuring principal preparation program candidates would have extensive experience in education and therefore were likely to seek leadership positions immediately upon completion of the program.

study serves as a call to re-conceptualize mentor theory and policy in three areas: 1) accept an understanding that universal design and definition is antithetical to the individualized nature of mentoring; 2) explore policy implementation through a focus on both the macro and micro levels in order to examine the extent of alignment between policy intent and program design and delivery; 3) apply a post-modernist/post-structuralist approach to studying mentoring in order to identify the interrelated sources of influence on the design and delivery of the model(s).

The first call for change acknowledges the importance of context that highlights the need for a conceptualization of mentoring as a phenomenon to be provided through a wide variety of different models. Policy makers and program designers have a strong tendency to default to highly structured, positivistic approaches when creating regulations and/or programs, as evidenced in the highly proscriptive rules governing principal preparation in Illinois. However, researchers of policy implementation that have explored change at the ground level have demonstrated time and again through evidence of extensive adaptation, that there is no such thing as a truly universal program design (Hallett, 2010; Larabee, 2010; Phillips & Ochs, 2003; Scott, 1999; Steiner-Khamsi & Waldow, 2012). This study provided additional evidence of both policy adoption and adaptation in the design of a combined principal mentoring model that was shaped by state policy and both internal and external local contextual forces of influence.

The second call for change provided by this study involves the need for research that includes both macro and micro explorations of mentoring. Chapter three of this study outlined the binary structure of policy implementation theory involving macro (neo-

institutionalism) and micro (inhabited-institutionalism) approaches. The literature established neo-institutionalism and inhabited-institutionalism at opposite ends of the theoretical spectrum. One being almost exclusively nomothetic in nature, focused on outcomes through an examination of discourse at the macro level of policy formation/establishment, and the other primarily idiographic in nature and focused on the process of policy implementation at the micro level. These two approaches are large at odds with one another, both criticizing each other for the limitations of their application in research. For example, inhabited institutionalist's argue that contextualization through adaptation of policies cannot merely be written off as "loose coupling" or "glocalization" (Anderson-Levitt, 2003; Phillips & Ochs, 2003; Scott, 1999; Steiner-Khamsi & Waldow, 2012). Nor can neo-institutionalist's focus on policy diffusion be discounted because it exists exclusively at the discursive level (Meyer & Ramirez, 2000; Silova & Brehm, 2010).

Both policy formation and policy implementation are phenomenon worthy of exploration, and there is no reason to segment each into a separate body of research. This study applied a combination of both macro and micro factors that influenced the creation of the UIC combined principal mentoring model, which attempted to address the necessary tension between standardization and customization in program design and delivery. The combination of data from both the micro and macro levels involved in policy implementation allowed for a deeper understanding of the mentoring model. It also demonstrated that the binary structure that pits neo-institutionalism and inhabited-

institutionalism against one another can be bridged to provide greater understanding of the factors that inhibit and promote policy adoption and/or adaptation.

Finally, this study served as a call for scholars to focus as much attention on how a mentoring model was structured as what mentoring provides or the impact mentoring has on practice. This study applied a post-modernist/post-structuralist⁷ approach that called for deconstructing the phenomenon of mentoring by identifying and defining the component parts of the mentoring model. Further by shifting the focus away from another attempt at defining mentoring, the study sought to provide a deeper understanding of how the program institutionalized the process through a specific mentoring model. In that way, the study destabilized underlying assumptions and previously established meaning by ignoring certain aspects such as the assumed hierarchical nature of state regulations or the notion that a single entity was solely responsible for designing and delivering mentoring support. Through a post-modernist/post-structuralist approach, the study was able to explore the wide variety and interrelated sources of influence on the design and delivery of a unique mentoring model.

Research-Based Analytic Framework

Chapter two of this study outlined the extant literature on mentoring and demonstrated how it suffered greatly from a lack of conceptual clarity. As demonstrated in the section above, his study did not strive to form consensus on a universal definition of mentoring. Additionally, the study did not attempt to establish a common understanding of the difference between mentoring and coaching. As outlined in Chapter two, scholars have treated the phenomena of mentoring and coaching as: synonymous,

⁷ Drawn from the works of Jacques Derrida, Gilles Deleuze, Michel Foucault, and Martin Heidegger.

distinctly different, a hierarchical relationship between the two, etc. Conceptually, the terms mentoring and coaching have been confused and confounded by researchers for decades, however this study did not attempt to address that challenge. As previously stated, because the UIC combined mentoring model was constructed in response to state regulations, this case study applied the term used in the statute: mentoring. Therefore, the case study was designed through a conceptual framework drawn from mentoring literature.

To reiterate, the purpose of this case study was not to establish or promote a specific mentoring model. Instead, this study developed and applied a detailed analytic framework that can be used in future research to describe a wide variety of mentoring models. By deconstructing the process of mentoring through identifying the specific key elements and characteristics that have been operationalized, the case study shed light on multiple factors of influence on the design and delivery of the mentoring model. Through the use of the analytic framework, the study was able to provide a rich description of a unique combined principal mentoring model. This study does not imply that every principal mentoring model should be constructed in exactly this manner. It only demonstrates that a combined principal mentoring model can be design to bridge the gap between pre-service and early in-service phases of development.

The analytic framework developed for this study expanded upon the sixteen key elements of mentoring that Dawson (2014) identified, after exploring over three decades of research involving mentoring practices. Initially this study added four characteristics of knowledge transmission drawn from Bozeman and Feeney (2007). As outlined in the

introduction to this Chapter, the framework employed by this case study was a valid schema based on an extensive review of the literature on mentoring and knowledge transmission. However, once applied, it became clear that while the approach provided a strong analytic framework and boundaries for the study, there were a number of aspects left unexplored that could have significant impact on the design and delivery of a mentoring model. For that reason, further enhancements to the analytic framework would increase definitional clarity for future research involving mentoring models.

The missing key elements of mentoring and characteristics of knowledge transmission outlined above were not included in the original framework designed for this study. Because of that, insufficient data was gathered in those areas resulting in an inability to report findings. However, further exploration of those elements and characteristics would likely enhance understanding of the mentoring model studied. Providing a rich description of the combined principal mentoring model at the center of this case study would be incomplete without including all of the informal aspects and contributions from the partner district. The complexity found in the informal aspects of the program and the partnership with CPS appeared to provide extremely important cohesion and consistency to the model that would otherwise be undetected with the mentoring model framework developed for this study. In addition to the informal/formal aspects of mentoring, the missing key elements and characteristics of knowledge transmission would also enhance the framework and increase understanding in defining a combined principal mentoring model.

Extensive analysis of data from this study has led to the creation of a new

mentoring model framework based on key elements of mentoring and characteristics of knowledge transmission that transcends the artificial divide between pre- and in-service. The new framework contributes to mentoring theory by providing an analytic tool that can be used to explore new and innovative models of principal mentoring that may not solely be placed within university preparation programs or district development strategies, but operate in the space in between through the collaborative efforts of both organizations.

The new analytic framework can and should be used in future research involving mentoring, because it provides a research-based frame that allows researchers to unpack the essential operational elements and characteristics that define the specific mentoring model being studied. A common system of exploration that includes key elements and characteristics of a mentoring model would further the field by establishing a common vocabulary that could lead to improvements in conceptual clarity involving mentoring. The framework does not suggest a preference for a specific mentoring model, as the key elements and characteristics can be constructed in countless ways to address unique contextual needs. However, using the framework to establish a common vocabulary that included each of the component parts of the mentoring model would go a long way toward providing enough detail to allow comparison research to be conducted on specific models. By applying a replicable analytic framework, this study provided greater clarity regarding the components parts of a mentoring model. Additionally, this study succeeded in applying the analytic framework to the UIC combined principal mentoring model and demonstrated the extent of detail that can be derived from its application. Therefore, the

study established a replicable research-based framework that can guide future research, and also served as an example of how the framework can be applied to further understanding of how the key elements and characteristics are operationalized into a unique mentoring model.

Lastly, the ability to produce strong findings from meta-analysis of mentoring would be improved if researchers paid greater attention to articulating the specific mentoring model elements and characteristics they study. Much of existing meta-analysis research on mentoring includes either very small effect sizes or an inability to adequately determine magnitude, which was attributed to the varied and incomplete descriptions of the mentoring models included in the research. Authors of those types of studies caution that their findings should be viewed through the methodological limitations and the small number of studies included in the meta-analysis. (Allen, Eby, Poteet, Lentz & Lima, 2004; Eby, Allen, Evans, Ng & DuBois, 2008; Eby, Allen, Hoffman, Baranik, Sauer, Baldwin & Evans, 2013). Therefore, the field would be further advanced if researchers adopted the expanded analytic framework developed through this study. With the level of detail provided by exploring all of the elements and characteristics in the analytic framework, strong comparisons of similar mentoring models could be made and meta-analysis findings would be more reliable.

Expanded Analytic Framework

In order to fully describe a combined principal mentoring model, an enhanced analytic framework was developed based on findings from this study. The new framework includes the original key elements found in mentoring literature and

characteristics of knowledge transmission applied to this study, but also includes the missing elements and characteristics found to influence the design and/or delivery of mentoring model. In this case, the original key elements drawn from mentoring literature included: objective, roles, cardinality, relative seniority, tie strength, time, selection, matching, activities, resources and tools, technology, training, rewards, policy, monitoring and termination. Those elements that were identified as missing in this study included: funding, partners, hiring process, and degree/certificate requirements. The original characteristics of knowledge transmission that were included in this case study included: number of participants, relationship, recognition, needs fulfillment, and knowledge utility. Those characteristics that were identified as missing in this study included: degree of competition, and program culture. Table 37 below provides the new framework for defining a mentoring model.

Table 37. New Framework for Defining a Mentoring Model

Key Elements of Mentoring	
Objectives	The aim or intention of mentoring
Roles	Who is involved and what is their function
Cardinality	The number of each sort of role involved
Tie Strength	The intended closeness of the mentoring relationship
Relative Seniority	The comparative experience, expertise, or status of those involved
Time	Length of mentoring process and the frequency and duration of contact
Selection	How mentors and mentees are chosen to participate
Matching	How the mentor/mentee relationship is determined
Activities	Actions and tasks required of mentors and mentees in the mentoring process
Resources and Tools	Technological or other artifacts available to assist mentors and mentees
Role of Technology	The relative importance of technology in the relationship

Key Elements of Mentoring - continued	
Training	How the necessary understanding and skills for mentoring will be developed in participants
Rewards	What participants receive as compensate for their participation
Policy	Set of rules and/or guidelines governing the mentoring process
Monitoring	The oversight mechanism and/or performance measures
Termination	How the ending of the mentoring relationship is managed
Funding	Where funds for mentoring are coming from and the expectations of the funder
Partners	The number and level of involvement of partners in mentoring
Hiring Process	How the organization manages hiring and its relationship to mentoring
Degree/Certificate	Requirements for securing a degree or certificate included in mentoring
Characteristics of Knowledge Transmission	
Relationship	The extent to which the relationship is authority mediated (formal or informal)
Recognition	The extent to which the parties involved understand their explicit role in the relationship
Needs Fulfillment	The extent to which needs are fulfilled and the identification of whose objectives are met
Knowledge Utility	The specific aim of increasing knowledge: personal growth, professional advancement, organizational improvement, etc.
Degree of Competition	Extent to which participants struggle for resources
Program Culture	How organizational priorities impact mentoring

Adapted and expanded from Dawson (2014) and Bozeman & Feeney (2009)

While the key elements and characteristics included in Table 37 above were used to define a combined principal mentoring model in this study, the framework need not be limited to principal mentoring or to a combined model. In fact, research involving mentoring in a wide variety of areas could apply this framework to aid in determining conceptual clarity for the specific key elements and characteristics that have been operationalized into a specific mentoring model. The framework could also be used to determine whether defining mentoring by the model elements and characteristics, rather

than by field or industry would produce greater conceptual clarity, which could be built upon to produce stronger findings on mentoring effectiveness.

Considerations for Replication of a Combined Principal Mentoring Model

By providing a rich description of the UIC combined principal mentoring model, this study does not imply that whole scale replication of the model is feasible or even advisable in all cases. This study does not advocate for a cookie-cutter approach to replication or scaling of this type of mentoring model. Rather, it suggests that those interested in developing a combined principal mentoring model, or any mentoring model for that matter, intentionally attend to the specific key elements and characteristics included in the mentoring model analytic framework. Additionally, as argued in this case study, attention must be paid to both the macro and micro influences on program design and delivery.

The research design for this case study was not nomothetic in nature, nor was it exclusively idiographic. The goal was to explore the particulars of a combined principal mentoring model within a specific context. However, for a number of reasons, there was cause to believe that some portion of the findings from this study may be generalizable to a similar context (e.g. other principal preparation and development programs operating in Illinois, or under similar state regulations). In order for mentoring to specifically address the individual needs of the participants within a specific context, it is essential that program designers interested in building a well-defined mentoring model concern themselves with the necessary tension between standardization and customization. Specific systems, structures, and practices can be standardized to ensure continuity across

the program, however some level of flexibility and customization will be necessary to address each candidate's specific needs.

At the onset of this study, it was understood that data might have revealed that the UIC-UEL combined principal mentoring model was actually two different but separate mentoring models under one umbrella program. However, that was not the case. Data indicated that of the 16 key elements of mentoring examined, 12 were similar between pre- and in-service phases. While data also demonstrated that all four characteristics of knowledge transmission were different between pre- and in-service phases of the combined principal mentoring model, there appears to be enough alignment between the two phases to suggest that the model does provide a continuum of support that spans from the aspiring through the early novice phase of development. Program consistency provided through the partnership between UIC-UEL and CPS, the on-going match of mentor with mentee throughout the entire program, and the multi-year nature of the program all demonstrate the intentionality of the program to provide mentoring across the developmental continuum.

A study by Darling-Hammond, LaPointe, Meyerson and Orr (2007) found that strong outcomes were associated with "robust implementation of professional administrator standards through strong, tightly related coursework and clinical experiences... reinforced when new leaders experienced a continuum of support" and that "principals' capacities were influenced by the joint capacity of their pre- and in-service programs to implement the standards in coherent and comprehensive learning experience" (p. 21). Because a continuum of support between pre- and in-service has

been found to positively influence principal capacity, it is possible that others may seek to develop a combined principal mentoring model. The following section provides information that may be useful for replication purposes.

While scholars have not come to consensus on a definition for the term replication (Simmons et al, 2007), for the purpose of this study, the term was conceptualized as, “...the process of moving a tested prototype program to additional sites in keeping with the hard (invariable) and soft (variable) aspects of that particular program’s components while remaining sensitive to the local context of each additional site” (RPS, 1994, p.1). Any efforts at replication will require that those involved recognize that the project has certain essential ‘invariable’ aspects, and other more flexible ‘variable’ aspects that can be tailored to specific contexts. In order for replication to be successful in a variety of settings, a ‘one-size-fits-all’ approach is not advised, however it is essential to have a clear understanding of the invariable aspects of the project. In fact, one of the most common barriers to successful replication is the inability to articulate the key elements or aspects required for success (RPS, 1994; Uvin & Miller, 1996).

Invariable Aspects of the UIC-UEL Combined Principal Mentoring Model

The invariable aspects were those that were identified in multiple sources of data as essential to the project operation and/or sustainability. Invariable aspects were not necessarily those that remained constant between pre- and in-service phases, but rather were considered crucial to the success of the program. Data from this case study indicated there were nine key elements and three characteristics of knowledge transmission categorized as invariable aspects of the program: objective, roles, cardinality, relative seniority, selection, time, activities, rewards, policy, recognition,

needs fulfillment and knowledge utility. Because the study had incomplete data for the missing key elements and missing characteristics of knowledge transmission, those were not included in this section. Table 38 below outlines the invariable aspects of the UIC-UEL combined principal mentoring model that were found to be essential to mentoring effectiveness.

Table 38. Invariable Aspects of the UIC-UEL Combined Principal Mentoring Model

Elements & Characteristics	Invariable Aspects of a Combined Principal Mentoring Model
Objectives	Development of leadership specific competencies, career development, psychosocial support, and networking opportunities through a formal university/district partnership
Roles	Mentor: facilitated knowledge transmission and provided development opportunities for mentee Mentee: primary recipient of knowledge transfer
Cardinality	<i>Pre-service:</i> Triad (one each: mentor, mentee, host principal at internship placement site) system ensures that both university and district needs are met; mentees are provided with ample feedback on performance; and reduces bias in assessment of mentee performance. <i>In-service:</i> Dyadic (one mentor and one mentee) ensures that the candidate's needs are met within their specific context.
Relative Seniority	Step ahead: experienced veteran principal ensured that the mentor was familiar with all aspects of the job
Selection	Mentors: 10 years of experience as a principal in the specific district with which the program partnered and that the mentor was able to provide evidence of significant student growth and school improvement in that district. Mentees: three years of teaching experience with evidence of significant student growth, in person interview with faculty, and portfolio submission.
Time	<i>Pre-service:</i> 1 year during internship <i>In-service:</i> at least 1 year as a new principal And support during the transition from pre- to in-service

Activities	<i>Pre-service:</i> activities designed to provide authentic leadership experiences that demonstrate mentee's competency and lead to certification <i>In-service:</i> focused on the professional growth of the new principal and targeted toward school improvement efforts.
Elements & Characteristics	Invariable Aspects of a Combined Principal Mentoring Model
Rewards	Mentors: received a full time salary, as principal mentoring was the entire focus of their job. Mentees: leadership competency development, career advancement, networking opportunities and psychosocial support
Policy	<i>Pre-Service:</i> State policy mandated mentoring during the internship <i>In-Service:</i> Program policy requiring mentoring for new principals
Recognition	<i>Pre-Service:</i> All involved recognize their role. <i>In-Service:</i> Varied
Needs Fulfillment	<i>Pre-Service:</i> Multiple - must include organization and authority-derived objectives (such as certification requirements) <i>In-Service:</i> Must meet individual needs and support organizational priorities (assist the candidate in the transition into the principal position).
Knowledge Utility	<i>Pre-Service:</i> relevant to attaining state certification and successfully completing the CPS principal eligibility process <i>In-Service:</i> relevant to individual and organization goals

Table 38 above, indicates those aspects of the mentoring model that were most frequently cited by UIC-UEL participants as being crucial to the program's success. For example, the intentionality with which UIC hire mentors with extensive successful experience as former CPS principal was cited by all of the program designers, the mentors and a large majority of the mentees as a crucial component of the model. Therefore, the key elements of selection and seniority are considered invariable aspects of the program. Those interested in the UIC-UEL combined principal mentoring model would need to explore the specific findings outlined in Chapter 4 for each of the invariable aspect identified in Table 38 in order to replicate the model with fidelity.

Variable Aspects of the UIC-UEL Combined Principal Mentoring Model

While data involving the invariable aspects were relatively clear, the extent to which a key element or characteristic could be classified as variable aspects were much more complicated. Due to the close relationship and/or dependence upon other invariable aspects, variable aspects can only be identified within a specific context. By simply removing from the mentor model framework the key elements of mentoring and one characteristic of knowledge transmission that had been identified as invariable aspects, there were nine remaining that were identified as variable in this case study: tie strength, matching, resources and tools, role of technology, training, monitoring, termination, and degree of authority in the relationship. Data from this case study suggested that the program afforded more flexibility in those aspects because they were either related to an invariable aspect or because they were not deemed essential to the program. For example, tie strength between the mentor and mentee appeared to exist in a non-static state within the UIC-UEL mentoring model, often influenced by the needs of the mentee, their employment position, or their phase in the program. If the program clearly defined the invariable aspect of time required in mentoring during each phase of the program, tie strength would be impacted by that element. Additionally, tie strength was evidenced to be interdependent with the areas of needs fulfillment and knowledge utility. In other words, the degree of closeness between the mentor and mentee was influenced by the extent to which the relationship met the needs of the mentee and provided knowledge necessary for the mentee to perform well in the program and/or in their job. Another key element to which tie strength was determined to be dependent was role. Whether or not a

mentoring model requires a mentor to evaluate or assess a mentee's performance will likely have an impact on the relative tie strength between the mentor and the mentee. In this case, tie strength may not be considered an invariable aspect, but nor is it necessarily variable.

Data suggest that many of so called variable key elements and characteristics of knowledge transmission were dependent upon or interdependent with the invariable aspects of the model. Therefore, the extent to which they were considered variable was a result of their relationship to the invariable aspect. An example of this found in the UIC-UEL case study illustrated the interdependent relationship between variable and invariable aspects of the mentoring model. UIC-UEL program designers and mentors indicated that monitoring was not well defined, however it did not appear to greatly impact the model. Further exploration of the aspect of monitoring found that attention to at least four invariable aspects of the program resulted in diminished value placed on monitoring. First, the selection process ensured only successful veteran CPS principals with a clear commitment to developing leaders were hired as UIC-UEL mentors and only highly engaged aspiring principals with a desire to lead schools were accepted as mentees. Second, state and district policy came together to force compliance with mentor and program supervision of activities, time, needs fulfillment, and knowledge utility. Third, in terms of rewards, mentors were paid a full-time salary for a position that was established with clear performance expectations. Lastly, program designers and mentors identified a strong learning community that provided support and a platform for problem solving for mentors involved in the program. Therefore, within that specific construct,

monitoring was found to be an invariable aspect of the mentoring model. If a program were to modify those invariable aspects, then monitoring may or may not remain a variable aspect of the mentoring model.

The example of relationships between tie strength and needs fulfillment, knowledge utility, and role, is just one of many interdependencies that should be explored by program designers. In Table 39 below, the variable aspects of the mentoring model have been aligned with invariable aspects, demonstrating a relationship between the invariable and variable aspects that are influenced by each other.

Table 39. Relationship of Variable Aspects of the Combined Principal Mentoring Model to the Invariable Aspects

Elements & Characteristics	Invariable Aspects that Potentially Influence Variable Aspects
Tie Strength	Related to Roles, Cardinality, Time, Activities, Needs Fulfillment, and Knowledge Utility
Matching	Related to Roles, Cardinality, Relative Seniority, Selection and Rewards
Resources and Tools	Related to Time, Activities, and Knowledge Utility
Role of Technology	Related to Time, Activities, Needs Fulfillment, and Knowledge Utility
Training	Related to Roles, Cardinality, Relative Seniority, Selection, Time, Activities, Rewards, Needs Fulfillment, and Knowledge Utility
Policy	Potentially related to all invariable aspects
Monitoring	Related to Roles, Cardinality, Relative Seniority, Selection, Time, Activities, Rewards, and Knowledge Utility
Termination	Related to Time and Rewards
Relationship	Because this characteristic is differentiated by the degree to which the relationship is mediated by authority, it is very closely related, if not identical to the invariable key element of policy.

Table 39 above, indicates those aspects of the mentoring model that were not as frequently cited by UIC-UEL participants as being crucial to the program's success as those identified as invariable aspects. However, those wishing to replicate the UIC-UEL model should attend to the interactions between the invariable aspects listed in Table 38 and those listed above in Table 39.

Recommendations for Replication

Additionally, because specific variable and invariable aspects of the model were found to be interdependent, the following section includes specific recommendations for developing a combined principal mentoring model. Data from this study highlighted intentional focus areas that informed program design and delivery. Through analysis of

data from this case study, the following conditions were found to be extremely important to both the program designers and participants (mentors and mentees). Therefore, it is recommended that any organization attempting to create a combined principal mentoring model should give greatest consideration to the following areas:

Develop Rigorous Criteria for Mentor Selection

Illinois policy makers included a research-based requirement that included rigorous selection criteria for principal mentors (Darling-Hammond, LaPointe, Meyerson, and Orr, 2007). The UIC-UEL program intentionally went above and beyond the state requirements including substantially more rigorous criteria such as requiring that all mentors have: a minimum of 10 years experience as a school principal; evidence of success in school improvement and increasing student growth; experience working in a leadership position with the partner district, and experience developing principals. UIC-UEL program designers highlighted these criteria as essential to ensuring that mentors had a clear understanding of the district's culture, systems, and practices, which they believed assured that mentoring was relevant and reflected the specific context of the partner district. Data from the UIC-UEL student survey indicated that the program designers' assumptions were accurate, as nearly all students indicated that they valued their mentor's background and experience with CPS. Additionally, the UIC-UEL program designers expressed the importance of the mentor being staffed as a full time, salaried position, so that they are entirely focused on the development of candidates and not distracted by trying to lead their own school.

While rigorous mentor selection practices were viewed by program designers, mentors, and mentees as extremely important to mentoring effectiveness, they also created challenges. Therefore, programs seeking to replicate this practice should be cautioned that there is a downside to this type of selection criteria. For example, the UIC-UEL mentors were generally advanced in their career. Most, if not all, of the UIC-UEL mentors retired from CPS prior to being hired as UIC mentors. Because mentors were advanced in age, the program could not expect to employ them for an extended period of time. Therefore, mentoring programs that set extremely rigorous selection criteria that involve extensive years of experience must anticipate turnover and attend to internal processes for on-going identification, recruitment, induction training, and support for mentors. In addition, a strong system of succession planning is also necessary to ensure that turnover does not impact the support provided to mentees.

Document and Institutionalize Systems and Practices

Darling-Hammond (1990) identified three phases of effective policy implementation: (1) initial adoption/adaptation, (2) institutionalization, and (3) continuation. It is not enough to develop and implement a mentoring model. In order for the model to be maintained after initial implementation, it is essential to first formally document the operating standards, systems, processes and practices in all phases. Given that all organizations experience some level of destabilization due to leadership turnover, it is essential that mentoring programs attend to institutionalizing effective practices that transcend the individual mentor or mentee.

Further, this study demonstrated the need for those seeking to develop a combined principal mentoring model to move beyond the artificially established binary system of pre- and in-service phases, and outline the entire continuum of support required. This study demonstrated that the UIC-UEL program struggled somewhat coming to consensus as to what specifically constituted pre, gap, or in-service phases. Rather than impose that artificial divide, the program adopted a classification system of informal/formal mentoring and high-touch/low-touch intensity of mentoring. Formal aspects of the mentoring model were found to be well documented, while the informal aspects were largely ignored. Which obscures the value of the informal practices, particularly of those that occur during the gap period. While not documented formally by the program, UIC designers and mentors asserted that informal mentoring practices that occurred between the preparation phase and the in-service phase as a crucial factor in ensuring a continuum of support for candidates. One program designer described that phase as, “the glue that holds the program all together.”

Therefore, those designing or delivering combined mentoring models should attempt to document and systematize practices in a way that leads to the institutionalization of the model within its organization. This is a crucial step toward continuation of the program during inevitable times of leadership turnover and budget cuts. An example of an unintentional consequence of not fully documenting and institutionalizing practices was provided in this study that involved mentor workload. Inattention to informal practices created situations in which mentors were force to choose between prioritizing mentees in formal phases vs. those in informal phases because their

workload had grown beyond their capability. Because documentation was lacking in terms of activities during the gap period or through informal practices, the time spent by mentors involved in those situations was not considered in their workload. This undermined the value of the informal process and contributed to mentors reporting very different caseloads than the program designers had envisioned.

Those seeking to develop and implement a combined principal mentoring model would be well served by institutionalize both formal and informal practices, and by fully exploring the gap period between pre- and in-service phases. In order to do so, programs must:

- 1) Agree upon a classification system that includes all phases of development from application through program completion (e.g. pre-service/gap period/in-service; formal/inform, high-touch/low-touch, etc.)
- 2) Identify both common and unique practices found in each phase
- 3) Define desired outcomes and benchmarks for each phase
- 4) Develop structures and standards of practice for each phase
- 5) Attend to the tension between standardization and customization in order to ensure the program meets a certain level of quality while at the same time is flexible enough to respond to individual needs.

Institutionalization is necessary for program continuation during times of leadership transition and fiscal crisis. Undocumented processes and practices are most vulnerable to change in those situations. Given that UIC participants have described the gap period as a crucial time, greater attention should be given to formalizing activities and outcomes

during that phase. Additionally, as part of institutionalizing that phase, consideration should be paid to how supports during that phase will be funded (e.g. tuition funds through mentoring credits, fee for service model paid by the district, core program funds, establish micro-credential programs for host principals or mentors, etc.)

Establish a Formal University/District Partnership

In order to develop a combined mentoring model that spans from pre-service through the early in-service phase of development, access to high-potential teacher leaders, assistant principals and principals is essential. To ensure access, programs must forge formal partnerships with local districts. A formal university/district partnership was not only a requirement in Illinois; it was a research-based best practice (Fry, Bottoms, O'Neill, 2005). The UIC-UEL mentoring model provided an example of a reciprocally beneficial partnership between the university and their partner district, in which both participate in the design, delivery, and continuous improvement of the program. The formal partnership cannot be attributed to state requirements, as it was in place for more than a decade before the new regulations were enacted.

Both the district and the university have documented the value they find in the partnership (UIC, 2012). Some examples of the activities that suggest the depth of the partnership include: the development of a professional learning community that engages district leadership with university faculty, mentors and mentees; co-teaching of university courses by coaches and/or district leaders; faculty participation in training of mentors and in the co-constructing tools and resources; and the investment of personnel costs for full-time/full-year internships. UIC-UEL program designers were clear that the university

alone could not have delivered a combined principal mentoring model because relied on district to inform program content, provide access for recruitment and placement, and coordinate development activities to reduce redundancy and fragmentation. Therefore, a great deal of consideration should be given to the process of developing and maintaining a deep and meaningful partnership between the university and partner district.

Structure the Combined Mentoring Model Around a Multi-Year Program

Perhaps the most crucial element of the UIC-UEL combined principal mentoring model was that it was structured around a multi-year EdD program that was intentionally designed to span from the pre-service into early in-service phase. UIC-UEL program designers and mentors indicated that, left to their own devices, candidates that completed the prep phase may not have moved as quickly into principalship were it not for involvement and support provided by UIC. After the first 18 months of the program the candidates earn their state issued Principal Endorsement. However, they must also pass the CPS principal eligibility process, which is a rigorous performance-based assessment that requires candidates to apply their learning to hypothetical cases and situations. Despite earning state certification, a candidate cannot be considered for a principal position within the district until they have successfully complete the eligibility process. UIC-UEL mentors continue to develop candidates beyond the certification phase by challenging them to apply what they have learned, increasing their leadership confidence by providing opportunities for reflective practice, encouraging them to apply for leadership positions, and coaching them through the interview process. Without that continuation of support beyond the preparation phase, the candidates would likely linger

in the gap phase, being either less confident in their ability to move up the career path, or less informed as to potential openings where their leadership strengths would be best matched.

Traditionally, principal preparation has been structured around one or two year Masters programs. The challenge to that design is that those programs end at the point of certification. Program designers from UIC, along with CPS officials recognized the need to support the transition from preparation into the novice phase as a principal. Candidates coming out of the preparation phase need additional support transferring learning that has occurred during coursework and their intensive internship to new contexts. UIC-UEL mentors candidates with the transferring knowledge from the specifics of one building to another, but also with the crucial process of applying newly acquire knowledge, skills, and abilities as they assume a new leadership positions. The five years provided through an EdD program structure allows candidates to receive mentoring support as they progress from the preparation phase, through the gap phase, and into the in-service phase. The EdD structure allows the program to provide continuous, on-going mentoring support from over several years, rather that a brief point in time. Over the course of several years mentors and mentees work together to move from learning how to lead to actually leading a school. While the UIC-UEL mentoring model provided an example of how to structure a combined pre- and in-service model, it is not the only way in which a multi-year program could be designed. Programs seeking to provide a continuum of support from pre-service through early in-service should attend to formal systems and structures that provide a continuum of support throughout the

years and also includes several layers of incentives or processes for participants to remain involved over time.

Limitations of the Case Study

This case study accomplished what it endeavored to do: provide a rich description of the UIC-UEL combined principal mentoring model. The greatest limitation to this research was the sample size of one. The single case study design somewhat reduces the generalizability of the findings. However, Willis (2007) maintains that “meaning resides in the context, and it cannot be completely removed from it. Therefore, any conclusions must be made with the context fully in mind” (p 222). Given that Illinois regulations mandated principal mentoring in both the pre- and in-service phases, and that the UIC-UEL program served as a state recognized model during policy formation, other programs may benefit from exploring the generalizability of findings from this case study.

The data sources involved in the study may also be viewed as a limitation. While a great deal of analysis was completed using published and unpublished state and program documents, the study also relied on perception data from interviews with program designers and mentors, and a survey of students. Data analysis involved triangulation of three data sources (e.g. documents, interviews, and survey), which mitigated some threats to validity. The use of external state documents in framing the research design and during the initial phase of analysis was an intentional approach aimed at increasing validity and reliability. However, the absence of data from CPS officials charged with administering the program in collaboration with UIC-UEL limits

understanding from the district's point of view.

Finally, this qualitative case study of a single combined principal mentoring model did not attempt to shed light on the efficacy of the model. Also, there were no comparisons made to other programs that may or may not have provided similar mentoring support through a combined principal mentoring model. Further research may shed light in these areas. However, they were outside the boundaries of this study.

Areas for Future Research

Through the course of this study, data involving the UIC-UEL combined principal mentoring model demonstrated the program provided a continuum of support from the pre- through early in-service phase. Data also confirmed that it was the system of ongoing support across the continuum that was paramount to design and delivery of the program, and that a clear line of demarcation between pre- and in-service was not evident. Program documents and comments from program designers and mentors suggested that it was the complex system of formal/informal and high-touch/low-touch supports that transcend the artificial divide between the pre- and in-service differentiation that provided coherence and coordination across the multi-year program. Therefore, a shift away from the entrenched approach that perpetuates the pre-/in-service divide in research and practice, toward exploration of innovative systems of ongoing support would further understanding in the field of educational administration.

A second area for future research involves the exploration of university district partnerships that build capacity within both organizations through collaboration on a common goal. Despite the appearance of different organizational priorities and cultures,

this study demonstrated how the two organizations worked together to develop a strong pipeline of qualified candidates for district leadership positions. Additionally, the partnership resulted in a circular pipeline system that fed both organizations: school leaders for CPS and mentors for UIC. The on-going nature of the partnership and the interdependence of the two organizations appeared to have created stability through the collaboration despite repeated leadership turnover at the highest levels.⁸ Further exploration of the partnership structure, practice and impact could increase understanding of effective district talent development strategies.

A third area of future research involves the development of a pedagogical mentoring model. Evidence from this case study suggests that not only did the UIC-UEL combined principal mentoring model address traditional mentoring areas such as career development, networking opportunities, and psychosocial support, it also adopted a pedagogical approach that included specific content designed to develop strong instructional leaders. The implicit aim of mentoring in the UIC-UEL model was to increase the candidate's competency in acting as multipliers of effective teaching and learning practices. The UIC-UEL model goes well beyond the traditional notions of mentoring or coaching. UIC-UEL program designers compared the model to the training that occurs in the medical field through residency experiences. While that analogy may hold in the pre-service phase of the UIC-UEL model, it does not apply to the in-service phase because during that phase the candidate does not work alongside a practitioner.

⁸ In addition to the seven CPS CEOs that have served the district in the last eight years and the turnover of every member of the CPS Board, UIC has also experienced turnover in the last five years in the following positions: Dean of the College of Education Dean, Program Chair and Director of Coaching. In addition, 60% of the UIC-UEL mentors are expected to retire in the next two years.

Rather, the UIC-UEL model is unique in that it engages veteran practitioners in full time positions devoted to supporting the development of novice school leaders. Development of a pedagogical mentoring model may be possible through further exploration of the UIC-UEL program.

A fourth area for future research involves the expansion of the framework used in this case study. This case study provided a rich description of a combined principal mentoring model that provided a continuum of support for principals from the aspiring through the novice phase. The research framework developed for this study included 16 key elements identified in mentoring literature along with five characteristics of knowledge transmission used to define the specific mentoring model created by UIC-UEL. Though extensive, the framework would benefit from expansion to enhance future research. This case study identified four additional key elements of mentoring and two characteristics of knowledge transmission that potentially influenced the design and/or delivery of mentoring and would further inform a detailed description of a combined principal mentoring model. The missing key elements of mentoring included, (1) funding, (2) partners, (3) hiring process, and (4) degree/certificate requirements; and the missing characteristics of knowledge transmission included, (1) degree of competition, and (2) program culture.

Fifth, further research involving the UIC-UEL combined principal mentoring model should include an exploration of program impact. As previously indicated, this case study included no measures of effectiveness, nor did it explore program impact on the CPS leadership pipeline or the district's talent development strategy. The UIC-UEL

program routinely collected outcome measures of candidates in both pre- and in-service phases. However, exploration of impact data were outside the bounds of this study.

Finally, consideration of race, gender and culture involved in a combined principal mentoring model may also be important to further understanding of issues within educational administration. Consideration of race, gender, and culture may intentionally or unintentionally impact decisions regarding candidate or mentor selection, how mentors and mentees are matched, and/or where candidates are placed for the internship. Therefore, exploring this aspect of the model may inform diversity recruitment and retention efforts by both the program and the district partner.

Conclusions

This study set out to define a combined principal mentoring model that spanned from pre-service into early in-service. In order to provide a detailed description of the model, the study sought to identify the extent to which similarities and differences could be found between the pre- and in-service phases of the mentoring model. and rewards. Drawing from nearly three decades of research, the study applied a new and unique analytic tools formed by combining sixteen key elements identified in research with four characteristics of knowledge transmission. The analytic framework provided the study with a well-defined framework for examining a mentoring model and establishes boundaries for the research.

Chapter four of this study detailed findings for each of the sixteen key elements and the four characteristics, which provided a rich description of the UIC-UCL combined mentoring model. Findings in Chapter four demonstrate alignment to the larger body of

research on mentoring in numerous ways. For example, the rich description of the UIC-UEL combined principal mentoring model demonstrated that the program was aligned to the purpose of mentoring outlined in research, specifically that it promoted career development, provided psychosocial support as candidates transitioned to leadership roles (Kram, 1983 and 1985), and provided networking opportunities for professional growth (Tanenbaum, Crosby, & Gilner, 2001). Further, findings on the UIC-UEL mentoring model indicated that it was constructed to support a principal's problem-solving and decision-making process (Daresh, 2004); provide feedback on professional practice (Cohen & Sweeney, 1992); promote sharing of ideas (Ehrich, Hansford, & Tennent, 2004); and that it contained both formal aspects (Chao, Walz, & Gardner, 1992) and informal aspects (Ragins, 1997). Finally, as numerous scholars have argued, the mentoring relationship is a dynamic process that moves through various stages (Barnett, 1995; Daresh & Playko, 1992, and Kram, 1985). Findings from this study confirm that several elements and characteristics changed within mentoring relationships throughout the program. While typically the mentor/mentor match remained the same throughout, key elements such as cardinality and required activities shifted dramatically from pre-service to in-service, while others such as tie strength, time and the role of technology had a tendency to ebb and flow as the relationship evolved over time.

Because mentoring theory suffers from a lack of conceptual clarity and has largely been conceived to encompass just about any development activities, it was not surprising to find data from this study that aligned to the research. For that exact reason, the analytic framework provided necessary structure in describing the specifics of the

UIC-UEL combined principal mentoring model. Chapter five takes the analysis beyond the scope of this study to explore additional missing pieces of the mentoring model puzzle. Many of the missing key elements and characteristics found in data from this case study suggested that some aspects that have not been fully operationalized within the program appeared to have an impact on the design and delivery of the model. The undocumented and perhaps unintended practices and systems implemented by participants could be found to be the most essential elements or characteristics of the mentoring model and are therefore worth further exploration.

Final Thoughts

This case study set out to explore how one university responded to two state mandates by developing a single combined principal mentoring model that provided a continuum of support from pre- service to in-service. Data from this study suggest that rather than conform to the traditional divide between preparation and development, those involved in educational administration would be well served to consider the space in between. The gap period between pre- and in-service phases represent was a largely unexplored area, and the UIC-UEL model appeared to be strengthened and made coherent through mentoring support provided during that time period. Ignoring the space in between the pre- and in-service phases would diminish any attempt to provide a continuum of support for school leaders. The UIC-UEL program used mentoring as a strategy to bridge the transition from the classroom to the principal's office, even if there was a substantial period of time between those two phases. This research study offers insight into how a university/district partnership can be used as a mechanism for

providing on-going cohesive and coordinated support that increases candidates' leadership competencies within a specific context. The field of educational administration would be well served to continue to explore boundary-spanning models such as the UIC-UEL combined principal mentoring model.

APPENDIX A
LIST OF DOCUMENTS REVIEWED

The following documents/texts were reviewed in order to explore the state requirements and the key elements and characteristics of the combined principal mentoring model.

1. Illinois Public Act 094-1039. New Principal Mentor Program.
2. Illinois Public Act 096-0903. Administrative Certificate.
3. Illinois School Code, § 35.10-35.70. Mentoring Program for New Principals.
4. Illinois School Code, § 30.10-30.80. Programs for the Preparation of Principals
5. Illinois State Board of Education, Part 30: Public Comment Analysis.
6. UIC-UEL Application for Principal Preparation Program Approved by ISBE
7. UIC-UEL and CPS Memo of Understanding and Contract
8. UIC-UEL Program Scope and Sequence
9. UIC grant proposal submitted to the Institute of Education Sciences
10. UIC-UEL course of study timeline
11. UIC-UEL presentations from the School Leadership Preparation and Development Network conference
12. UIC-UEL presentation to the Illinois School Leader Advisory Council
13. UIC-UEL demographic data for all UIC-UEL students enrolled in the fall of 2015
14. UIC-UEL demographic data for all of the UIC-UEL faculty and staff involved in the program design
15. UIC-UEL demographic data for all UIC-UEL leadership coaches/mentors
16. UIC and CPS web sites

APPENDIX B
INTERVIEW PROTOCOLS

The interview protocols for the UIC-UEL program designers and Leadership Coaches listed below were developed to explore the key elements and characteristics of the combined principal mentoring model.

Interview Protocol for UIC-UEL Leadership Coach:

1. Current position: Full time salaried leadership coach; Full time clinical faculty and leadership coach; Part time salaried leadership coach; Contractual employee; other
2. How many years have you been a UIC-UEL leadership coach? 1, 2, 3, 4, 5, more than 5
3. How many UIC-UEL students do you typically coach in an average year? 1, 2, 3, 4, 5, 6, 7, 8, 9, more than 10.
4. What prior experience did you bring to your role as a UIC-UEL leadership coach? Check all that apply: Teacher; Principal; Network Chief (AIO, etc.); District Administrator; Superintendent; CPS Local School Council member; School Board member; CPS employee; prior experience training principals; prior coaching experience; other
5. What category best describes the phase of development within the UIC/UEL program of the students you coach? Check all that apply - Enrolled in coursework leading up to the residency; currently completing a leadership residency; post-residency completing coursework; post-residency completing capstone project.
6. How were you matched with your coachees? Based on their development needs; based on my specific expertise; based on geography; based on the school where they were/are placed; other; Comment:
7. Where do the coaching sessions take place? School; university; home; restaurant/coffee shop; other
8. How do you regularly meet with your coachee? Face to face; Phone; e-mail/text exchange; Skype or other on-line service; other
9. Does the UIC Leadership Coaching model follow a specific curriculum that guides the focus of your meetings? Yes in the residency phase, Yes in the post-residency phase, No in the residency phase, No in the post-residency phase; other

10. Who directs the coaching session? Coach; Coachee; Neither of us - its organic; Depends on the topic; Depends upon the candidate's phase of development; We take turns; comment:
11. How many leadership coaches and/or district assigned mentors are currently involved in supporting candidates in their residency? 1, 2, 3, more than 3
12. How many leadership coaches and/or district assigned mentors are currently involved in supporting UIC assistant principals or other non-principal positions? 1, 2, 3, more than 3
13. How many leadership coaches and/or district assigned mentors are currently involved in supporting UIC first year principals? 1, 2, 3, more than 3
14. Who usually determines the agenda for the Coaching sessions when working with candidates in their residency? Coach, coachee, both, UIC-UEL, CPS.
15. Who usually determines the agenda for the Coaching sessions when working with candidates in assistant principal or other non-principal positions? Coach, coachee, both, UIC-UEL, CPS.
16. Who usually determines the agenda for the Coaching sessions when working with candidates in their first year of the principalship? Coach, coachee, both, UIC-UEL, CPS.
17. How would you describe the strength of your relationships with your coachees in their residency? Extremely Strong, Strong, Nither strong nor weak, Weak, Extremely weak
18. How would you describe the strength of your relationships with your coachees that are serving as assistant principals or other non-principal positions? Extremely Strong, Strong, Nither strong nor weak, Weak, Extremely weak
19. How would you describe the strength of your relationships with your coachees in their first year of the principalship? Extremely Strong, Strong, Nither strong nor weak, Weak, Extremely weak
20. How frequently do coaching sessions occur for candidates in the residency? Daily, weekly, monthly, once or twice per semester, once or twice per year.
21. How frequently do coaching sessions occur for candidates serving as assistant principals or other non-principal positions? Daily, weekly, monthly, once or twice per semester, once or twice per year.

22. How frequently do coaching sessions occur for candidates in their first year of the principalship? Daily, weekly, monthly, once or twice per semester, once or twice per year.
23. What is the duration of the average coaching session for a candidate in their residency? 1-30 minutes; 30-60 minutes; more than 1 hour but less than two; 2 or more hours, all day.
24. What is the duration of the average coaching session for a candidate in an assistant principal or other non-principal position? 1-30 minutes; 30-60 minutes; more than 1 hour but less than two; 2 or more hours, all day.
25. What is the duration of the average coaching session for a first year principal? 1-30 minutes; 30-60 minutes; more than 1 hour but less than two; 2 or more hours, all day.
26. To what extent does coaching address needs presented in a specific school setting for candidates in their residency? Greatly; well, somewhat; not much; not at all.
27. To what extent does coaching address needs presented in a specific school setting for candidates in an assistant principalship or other non-principal role? Greatly; well, somewhat; not much; not at all
28. To what extent does coaching address needs presented in a specific school setting for candidates in their first year of the principalship? Greatly; well, somewhat; not much; not at all.
29. What leadership dimension area do you spend the most amount of time discussing in your coaching sessions with residents? Operational management; Supervision of Staff; Situational Problem Solving; Student Performance; Teaching and Learning; Communication; Personal Behaviors; Resilience; Time management; Interpersonal issues with staff; other
30. What leadership dimension area do you spend the most amount of time discussing in your coaching sessions with assistant principals or those in other non-principal positions? Operational management; Supervision of Staff; Situational Problem Solving; Student Performance; Teaching and Learning; Communication; Personal Behaviors; Resilience; Time management; Interpersonal issues with staff; other
31. What leadership dimension area do you spend the most amount of time discussing in your coaching sessions with first year principals? Operational management; Supervision of Staff; Situational Problem Solving; Student

Performance; Teaching and Learning; Communication; Personal Behaviors; Resilience; Time management; Interpersonal issues with staff; other

32. Does UIC-UEL provide you with on-going training to support your development as a leadership coach?
33. Does UIC-UEL provide you with any targeted training to increase your effectiveness as a leadership coach?
34. Does CPS provide you with on-going training to support your development as a leadership coach?
35. Does CPS provide you with any targeted training to increase your effectiveness as a leadership coach?
36. At what point do you understand your Coaching relationship will end with your coachee? Upon completion of the residency; upon completion of coursework; upon completion of the program; whenever either the coach or the coachee decide they have had enough; never; other
37. What, if anything, would you say is the greatest challenge to your work as a Leadership Coach?

Interview Protocol for UIC-UEL Program Designers

1. What do you see as the primary purpose of Coaching for aspiring principals
2. What do you see as the primary purpose of Coaching for novice principals?
3. To what extent were specific structures, policies, supports, etc. intentionally included in the design of the program to address anticipated differences and similarities between pre- and in-service?
4. How is residency coaching structured in terms of:
 - content covered,
 - approach to mentoring (directive, facilitative, coaching, etc.),
 - frequency of contact,
 - nature of contact – knowledge acquisition, networking, therapeutic, thought partner, etc.)
5. How is post-residency coaching structured in terms of:
 - content covered,

- approach to mentoring (directive, facilitative, coaching, etc.),
 - frequency of contact,
 - nature of contact – knowledge acquisition, networking, therapeutic, thought partner, etc.)
6. How are UIC coaches and/or mentor principals selected? Do all UIC coaches and/or mentor principals provide services in both pre- and in-service?
 7. To what extent does the program require that coaches demonstrate that they have an ability to mentor and develop leaders? What evidence do you expect to explore that would meet that requirement?
 8. What training(s) do your coaches and/ or mentor principals complete? Is it provided by UIC or CPS?
 9. How are coaches matched with coachees?
 10. To what extent are protocols used to guide coaching sessions? Are they different for pre-service than in-service?
 11. What are the expectations for the use of technology for coaching in the residency or post residency phase?
 12. Are there and differences in requirements for frequency or duration for the coaching sessions in the residency vs the non-residency?
 13. Does the triad model of coaching structure (required by the state) continue into the in-service phase? If so who is the district person/people that assume the role the mentor principal previously served (network chief? UIC alumni network of school leaders? Central office administrator?)
 14. To what extent is information gained from coaching sessions used to inform performance assessments in the post-residency phase?
 15. How do you determine if coaching support is effective? Are there specific metrics? Are they different between the residency and post residency?
 16. Who is responsible for monitoring coaching services? Is there a standard process for monitoring?
 17. Are there formal expectations for coaching during the transition period between the residency and post-residency phase?

18. Does the coaching relationship have a formal process for ending? Is it planned/time bound or is it an organic process?
19. Are there any circumstances where termination of the coaching relationship would occur?
20. How is the coaching component funded? Does that affect the structure and expectations for the component – residency vs. post-residency?
21. What, if anything, do you see as the greatest challenge to Leadership Coaching?

APPENDIX C
SURVEY INSTRUMENT

The survey instrument conducted with students enrolled in the UIC-UEL program was developed to explore the key elements and characteristics of the combined principal mentoring model.

1. In what position are you currently employed?: Teacher, Principal Intern, Assistant Principal, Principal, Other (please specify)
2. How many years have/had you served as a full-time teacher? 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, more than 10, I have never taught
3. How many years have you been enrolled in the UIC-UEL program? 1, 2, 3, 4, 5, more than 5 years
4. What category best describes your current phase of development within the UIC/UEL program? Enrolled in coursework leading up to the residency; currently completing a leadership residency; post-residency completing coursework; post-residency completing capstone project.
5. How long have you received coaching support from UIC-UEL? Just started; 1 semester; 1 year; more than 1 but less than 2 years; more than 2 but less than 3 years; more than 3 but less than 4 years; more than 4, but less than 5 years; more than 5 years
6. In your words, what do you believe is the purpose of leadership coaching in the UIC-UEL program?
7. How many leadership coaches and/or district assigned mentors are currently involved in supporting your development as a principal? 1, 2, 3, more than 3
8. If you have more than one coach/mentor, do they interact? Yes/No/Unsure/Not Applicable
9. If you have more than one coach/mentor that interact, what is the purpose of their interactions? Check all that apply: To supporting my development; to set specific performance goals; to provide feedback me with feedback; to share evidence of my performance for assessment of evaluation purposes; Other; I don't know; Not Applicable.
10. Which of the following best describes your UIC-UEL Leadership Coach? Check all that apply: Previous experience as a principal that demonstrated success in increasing student achievement; former CPS administrator; experience as a trainer of principals; well respected by CPS leadership; exhibits an understanding of adult learning principles; exhibits strong coaching skills; I am unsure of my coaches' background; other (please specify)

11. Who usually determines the agenda for the Coaching sessions? Coach, coachee, both coach and coachee, the UIC-UEL program, CPS; other.
12. Who directs the coaching session? Coach; coachee; both of us – its an organic process; it depends on the topic; we intentionally take turns; other (please specify).
13. How would you describe the strength of your relationships with your Leadership Coach? Extremely strong, strong, neither strong nor weak, weak, extremely weak
14. How frequently do you currently meet with your Leadership Coach? Daily, weekly, monthly, once or twice per semester, once or twice per year, I have never met with my assigned leadership coach.
15. What is the durration of a tycpial coaching session? 1-30 minutes; 30-60 minutes; more than 1 hour but less than two; 2 or more hours; more than 3 hours.
16. How were you matched with your Leadership Coach? (Check all that apply) Based on my development needs; based on the coach's specific expertise; based on geography; based on the school in which I am/was placed; based on my request; based on coach's request; I am unsure how the match was determined; other (please specify)
17. Where do the coaching sessions take place? School; university; home; restaurant/coffee shop; other (please specify)
18. How do you regularly meet with your Leadership Coach? In person/face to face; Phone; e-mail/text exchange; Skype or other on-line service; other (please specify)
19. Aside from in-person meetings, what type of technology do you routinely use to maintain contact with your leadership coach? (Check all that apply) Phone; e-mail; texts; Skype, Google Hangout, or other on-line service; other (please specify)
20. Do you belive the UIC Leadership Coaching model follows a specific curriculum that guides the focus of your meetings? (Check all that apply) Yes during the internship phase; No during the internship phase; Yes during the post-residency phase; No in the post-residency phase; Unsure during the internship phase, Unsure in the post-residency phase; Other (please specify)

21. To what extent does coaching address specific needs presented in your current school setting? Greatly; well; somewhat; not much; not at all.
22. What leadership dimension area do you spend the most amount of time discussing in your coaching sessions? Operational management; Teacher supervision; Situational problem solving; Analyzing student performance; Communication; Personal Behaviors; Resilience; Time management; Interpersonal issues with staff; other (please specify)
23. What leadership dimension area do you feel should be the primary focus of the coaching sessions: Operational management; Teacher supervision; Situational problem solving; Analyzing student performance; Communication; Personal Behaviors; Resilience; Time management; Interpersonal issues with staff; other (please specify)
24. What, if any, training and/or experience has your coach had that you feel is particularly valuable to you? OPEN?
25. Do you provide any feedback to UIC regarding the performance of your leadership coach? Yes/No/Unsure
26. If you had a problem with your Leadership Coach, to whom would you discuss the issue? UIC-UEL Program Director, UIC Department Chair, UIC Dean of the School of Education, CPS principal, CPS Network Chief; CPS District Administration, Other (please specify)
27. At what point do you understand your Leadership Coaching relationship will end? Upon completion of the internship; upon completion of coursework; upon completion of the program; whenever either of us no longer find it useful; never; other (please specify)
28. What is the greatest benefit to participating in Leadership Coaching?
29. What, if anything, would you like to see changed about the Leadership Coaching model?

APPENDIX D

RESEARCH BASE FOR KEY ELEMENTS OF MENTORING MODEL

Mentoring Model Key Elements	Identified or Discussed In Mentoring Literature
Objectives: the aims or intentions of the mentoring model	Miller, 2002
Role: a statement of who is involved in their function	Hawkey, 1997
Cardinality: the number of each sort of role involved in the mentoring relationship	Darwin & Palmer, 2009; de Janasz & Sullivan, 2004; Pololi & Knight, 2005
Tie Strength: the intended closeness of the mentoring relationship	Higgins & Kram, 2001; Marsden & Campbell, 1984
Relative Seniority: the comparative experience, expertise, or status of the participants	Ensher, Thomas & Murphy, 2001
Time: the length of a mentoring relationship, regularity of contact, and quantity of contact	Noe, 1988
Selection: how mentors and mentees are chosen	Ganser, 1995; Rose, 2003
Matching: how mentoring relationship are composed	Hale, 2000; Jackson, Palepu, Szalacha, Caswell, Carr & Inui, 2003; Karcher, Nakkula & Harris, 2005
Activities: actions that mentors and mentees can perform during their relationship	O'Neill, Weiler & Sha, 2005; Raabe & Beehr, 2003; Rickard, 2004
Resources and tools: technological or other artifacts available to assist mentors and mentees	Gilbreath, Rose & Dietrich, 2008; Kajs, 2002; O'Neill, Weiler & Sha, 2005
Role of technology: the relative importance of technology to the relationship	Ensher, Heun & Blanchard, 2003
Training: how necessary understandings and skills for mentoring will be developed in participants	Kane & Campbell, 1993; Kasprisin, Single, Single, Ferrier & Mueller, 2008; Pomeroy, 1993; Wang & MacMillian, 2008
Rewards; what participants will receive to compensate for their efforts	Ehrich & Hansford, 1999; Schulz, 1995
Policy: a set of rules and guidelines on issues such as privacy or the use of technology	Ensher, Heun & Blanchard, 2003
Monitoring: what oversight will be performed, what actions will be taken under what circumstances, and by whom	Gaskill, 1993; Long, 1997
Termination: how relationship are ended	Ehrich & Hansford, 1999; Jorgenson, 1992; Riebschleger & Cross, 2011

(Dawson, 2014, p. 140)

APPENDIX E
ORGANIZATION OF DATA

	PRE-SERVICE PRINCIPAL MENTORING		
MENTORING ELEMENTS:	IL PUBLIC ACT 096-0903	ISBE RULES & REGULATIONS	DATA FROM PROGRAM DOCUMENTS, INTERVIEWS AND STUDENT SURVEY
Definition of Mentoring	Not defined	Mentoring not explicitly defined, however they do define the role of the mentor. A mentor is expected to work directly with the candidate on the day to day activities associated with the principal's role as the school leader, and supervise candidates during the internship period.	To accelerate development by providing input and guidance on a wide variety of leadership experiences. UIC chose to hire full time leadership coaching because they believed that their candidates could not get the necessary level of support from a sitting principal. Underlying belief is that practice doesn't always make perfect if the execution is flawed. Guided and reflective practice under the supervision of a leadership coach with a proven track record as a successful principal is a more targeted design.
Standards Aligned	Illinois Professional School Leader Standards	ISLLC 2008, SREB 13 Critical Success Factors	ILSSC 2008, SREB 13 Critical Success Factors, IL Professional School Leader Standards and the CPS Performance Standards for School Leaders
Purpose of Mentoring	Prepare candidates to meet approved standards for principal skills, knowledge, and responsibilities, including a focus on instruction and student learning and which must be used for development, mentoring, and evaluation.	To ensure candidates are provided with leadership opportunities, are provided with feedback on progress, and that their performance is assessed in the 4 required competency areas.	To provide supervision and support to students during the internship phase of their preparation program. To assess the candidates to ensure they are able to demonstrate competency in a variety of leadership areas and are successful in securing a Principal Endorsement and passing the CPS Principal Eligibility Process upon completion of the internship phase. Leadership Coaches are required by state regulations to collaborate with the mentor principal in the assessment of candidates' leadership competencies

Mentor Qualifications	Not defined	Hold a valid and current professional educator license endorsed for general administrative, principal, or superintendent; 2 years of successful experience as a principal and relevant data, supporting student growth in 2 of the previous 5 years; recommendations from current or former supervisors.	Hold a valid and current professional educator license endorsed for general administrative, or superintendent; many years of successful experience as a CPS principal as evidenced by relevant data, supporting student growth in two of the principal's previous five years; recommendations from supervisors; and demonstrated ability to develop others. Also, prior experience as a CPS district administrator or network chief is preferred.
Mentee Eligibility	All candidates in principal preparation programs that have been approved under the new regulations.	Enrolled in an approved Illinois principal preparation program; successfully completed formative assessments during program coursework; formally placed by the preparation program in collaboration with district partner; completes required state training and assessments on the evaluation of certified staff.	Enrolled in the UIC-UEL program and successfully completed coursework and assessments leading to the internship phase.
Mentor Training	Not defined	Must complete training involving supporting and assessing the candidate in observing, participating and demonstrating leadership aligned with the 13 Critical Success Factors for Effective Principals. Must complete training and successfully complete assessments on the evaluation of certified staff.	All coaches have completed state mandated training required to supervise certified staff. Additionally, all coaches have completed UIC delivered mentoring training in compliance with state regulations. Further, the leadership coaches participate in on-going bi-monthly professional learning community meetings that are jointly directed by the UIC-UEL director, faculty, and leadership coaches. The PLC is the main source of training and support for UIC-UEL leadership coaches.

Selection and Matching Process	Not Defined	Not defined	There are a number of variables that are considered in the UIC-UEL mentor matching process, such as geography, grade level, candidate development needs, coach's expertise, if a coach is currently coaching the principal where the candidate is placed, input from the district partner, the coaches current caseload. The program strives to ensure a "good fit" between the mentor and mentee, as they intend the relationship to be on-going from the pre-service through early in-service phases of development.
Activities Required (e.g. content)	Not defined	Work directly with the candidate on a day to day basis around activities associated with the principal's role as the school leader. Conduct at least 4 face-to-face meetings with faculty supervisory, mentor principal and candidate at the internship site; observe, evaluate and provide feedback at least 4 times per year on candidate performance; host 3 seminars annually for candidates to discuss issues related to student learning; and collaborative assessment of performance ratings based on evidence provided by mentor principal and faculty supervisory.	See SREB 13 critical success factors and 36 associated tasks demonstrating competencies. There are 4 ISBE required assessments, 3 are required to be assessed based on a rubric provided by ISBE. Additionally, candidates must have experience across the grade span PK-12, and with specific subgroups: early childhood, special education, English Language Learning, and gifted.
Frequency and Duration of Mentoring Sessions	Not defined	Not defined	Weekly

Ratio of Mentor/Mentee Requirements	Not defined	No mentor shall have more than 5 candidates assigned to him or her at any period during the internship. Faculty supervisors may have up to 36 candidates assigned to them in a 12 month period.	1 UIC Leadership Coach and 1 site-based mentor principal
Timeframe for Mentoring	Not defined	During the internship phase of the principal preparation program.	1 year while the candidate is completing the full time internship phase of the program.
Mentoring Documentation Requirements	Not defined	Provide opportunities for candidates to complete the 36 SREB activities associated with the critical success factors and the 4 required competency assessment areas and ensure documentation of completion is compiled for evaluation purposes.	Leadership coaches must provide regular feedback to candidates regarding their progress toward developing the required competencies. They collaborate with the mentor principals in the assessment of candidates and regularly complete and review coaching session notes.
Reward or Payment Requirements	Not defined	Not defined	All UIC-UEL Leadership Coaches are full-time salaried positions, two of which are clinical faculty positions. Candidates receive no reward or payment for participation.
Resources or Tools	Not defined	Required use of an assessment rubric provided for principal competency areas 1-3.	UIC Leadership Coaches utilize the state required assessment rubric, they also use specific coaching protocols.
Role of Technology in Mentoring	Not defined	Not defined	UIC Leadership coaches and program designers report the frequent use of phone calls, texts and e-mail exchanges. Some coaches also referenced the use of video (for observation purposes) and Google chat for virtual meetings to review document.

Monitoring of Mentoring	Not defined	Not defined	UIC-UEL monitors the mentoring component by conducting regular surveys of the candidates and tracking performance benchmarks such as successful completion of the internship, passing the CPS principal eligibility process, passing the state Principal Endorsement Exam, etc.
Assessment of Mentors	Not defined	Not defined	UIC-UEL is currently going through a transition when it comes to monitoring of mentoring. The Director of Coaching recently retired and has not been replaced. In addition, different expectations regarding performance are surfacing based on whether or not the Leadership Coach is in a clinical or professional staff position. Clinical faculty report to the department chair and professional staff report to the UEL Founding Director. That being said, most coaches stated they are ultimately accountable to their coachees and are therefore motivated to ensure they receive the support they need to be successful.
Assessment of Mentees	Not defined	Mentor principal and faculty supervisor will collaboratively assess mentee on the 4 state mandated principal competency areas.	UIC Leadership Coaches and CPS Mentor Principals collaborate in the assessment of candidate performance. Further, the candidate is evaluated by the state via the 8 hrs Principal Endorsement Exam and by CPS during the multi-step Principal Eligibility Process
Termination of Mentoring	Not defined	Not defined	Mentoring is only terminated if the candidate fails to successfully complete the internship phase of the program

<p>Assessment of Mentoring Component</p>	<p>Not defined</p>	<p>Programs must provide ISBE with written evidence that the internship requires the candidate to work directly with the mentor observing, participating in, and taking the lead in specific tasks related to meeting the Southern Regional Education Board’s 13 critical success factors and 36 activities. Additionally, as part of the preparation program review, university and district partner are required to participate in a continuous improvement process examining performance at the program level and this must be outlined in their formal MOU agreed upon by both the district and the university.</p>	<p>The program complies with ISBE reporting requirements and annually reviews and amends the Memo of Understanding with CPS. The program has a continuous improvement process in place, the mentoring component is part of that on-going review, and the Leadership Coaches both provide input and participate in the process. Additionally, program faculty and researchers are conducting research on the mentoring component.</p>
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IN-SERVICE PRINCIPAL MENTORING			
MENTORING ELEMENTS:	IL PUBLIC ACT 094-1039	ISBE RULES & REGULATIONS	DATA FROM PROGRAM DOCUMENTS, INTERVIEWS AND STUDENT SURVEY
Definition of Mentoring	Not defined	Mentoring not explicitly defined, however they do indicate a basic structure for the mentoring process. To match an experienced principal with each new principal in his or her first year in that position, in order to assist the new principal in the development of his or her professional growth and to provide guidance during the new principal's first year of service.	To provide on-going support for leadership competency development over time (UIC coaches are matched in pre-service and continue to provide coaching support to candidates through at least the first 3 years of their principalship). There is a socialization aspect of the coaching model as well. Helping the student shift from a teacher or intern to a principal. That shift means not focusing on how to do the job, but doing the job in the very specific context within which a new principal finds themselves.
Standards Aligned	Illinois Professional Standards for School Leaders	Not defined	CPS Performance Standards for School Leaders (which are aligned to the Illinois Professional School Leader Standards)
Purpose of Mentoring	To work with new principals to identify areas for professional growth.	To assist the new principal in the development of his or her professional growth and to provide guidance during the new principal's first year of service.	To ensure novice principals are provided with one-on-one support as they transition into a leadership role. The goal is to support their performance in school improvement and efforts to increase student achievement.

Mentor Qualifications	Must complete mentoring training offered by different providers approved by the State Board of Education.	An individual who has been a principal in Illinois for 3 or more years and who has demonstrated success as an instructional leader, as determined by the State Board by rule, is eligible to apply to be a mentor.	Same as in pre-service phase. All coaches continue with their coachees from the pre-service phase into the in-service phase.
Mentee Eligibility	Not defined	Any individual who is hired as a principal in the State of Illinois on or after July 1, 2007 must participate for the duration of his or her first year as a principal and must complete the program in accordance with the requirements established by the State Board of Education by rule.	Completed the internship phase of the UIC-UEL program and be currently enrolled in the program.
Mentor Training	Mentors must complete mentoring training by entities approved by the State Board of Education.	Mentors must complete mentoring training by entities approved by the State Board of Education, and any other requirements sent forth by the State Board or the District employing the mentor.	All coaches have completed state mandated Growth Through Learning training required to supervise certified staff. Additionally, all coaches have completed UIC delivered mentoring training in compliance with state regulations. Further, the leadership coaches participate in on-going bi-monthly professional learning community meetings that are jointly directed by the UIC-UEL director, faculty, and leadership coaches. The PLC is the main source of training and support for UIC-UEL leadership coaches.

Selection and Matching Process	Not defined	A mentor shall be assigned to a new principal based on 1) similarity of grade level or type of school, 2) learning needs of the new principal, and 3) geographical proximity of the mentor to the new principal.	Candidates continue with their mentors that were matched in the pre-service phase of development. Many variables are considered in the process, such as geography, grade level, candidate development needs, coach's expertise, if a coach is currently coaching the principal where the candidate is placed, input from the district partner, the coaches current case load.
Activities Required (e.g. content)	To work with new principals to identify areas for professional growth that will assist the principal when making Administrator's Academy and professional development choices, allowing the new principals, with the approval of their mentors, to select any appropriate courses.	The new principal, in collaboration with the mentor, shall identify areas for improvement of the new principal's professional growth, including but not limited to: 1) analyzing data and applying it to practice; 2) aligning professional development and instructional programs; 3) building a professional learning community; 4) observing classroom practices and providing feedback; 5) facilitating effective meetings; 6) developing distributive leadership practices; 7) facilitating organizational change.	
Frequency and Duration of Mentoring	Not defined	Not defined	Weekly or bi-weekly – first three years of the principalship.
Ratio of Mentor/Mentee	Not defined	Not defined	one-on-one relationship between the UIC Leadership Coach and the new principal
Timeframe for Mentoring Services	Not defined	Required in the first year of the principalship for all new principals.	During the first three years that the candidate serves as a new principal.

Mentoring Documentation Requirements	Not defined	On or before January 1, each mentor and each new principal shall complete a survey of progress on a form developed by their respective school districts; On or before July 1, the State Board shall facilitate a review and evaluate the mentoring training program in collaboration with the approved providers. Each new principal and mentor must complete a verification form developed by the State Board in order to certify their completion of a new principal mentoring program.	Candidates are required by the program to complete a survey regarding their experience with their leadership coach.
Reward or Payment Requirements	Not defined	Not defined, although these regulations are subject to appropriation, which indicates funding is attached to support the administration of the program.	All UIC-UEL Leadership Coaches are full-time salaried positions, two of which are clinical faculty positions. Candidates receive no reward or payment for participation.
Resources or Tools	Not defined	Not defined	UIC Leadership Coaches have standardized a number of coaching protocols and tools for use with new principals.
Role of Technology in Mentoring	Not defined	Not defined	UIC Leadership coaches and program designers report the frequent use of phone calls, texts and e-mail exchanges. Some coaches also referenced the use of video (for observation purposes) and Google chat for virtual meetings to review documents.

Monitoring of Mentoring	Not defined	On or before January 1, each mentor and each new principal shall complete a survey of progress on a form developed by their respective school districts; On or before July 1, the State Board shall facilitate a review and evaluate the mentoring training program in collaboration with the approved providers. Each new principal and mentor must complete a verification form developed by the State Board in order to certify their completion of a new principal mentoring program.	Because the IL General Assembly has not appropriated funds for the New Principal Mentor Program, the state has not conducted a review or evaluation of the program in recent years. UIC-UEL monitors the mentoring component by conducting regular surveys of the candidates and tracking performance benchmarks such as successful completion of the internship, passing the CPS principal eligibility process, passing the state Principal Endorsement Exam, etc.
Assessment of Mentors	Not defined	Not defined	UIC-UEL is currently going through a transition when it comes to monitoring of mentoring. The Director of Coaching recently retired and has not been replaced. In addition, different expectations regarding performance are surfacing based on whether or not the Leadership Coach is in a clinical or professional staff position. Clinical faculty report to the department chair and professional staff report to the UEL Founding Director. That being said, most coaches stated they are ultimately accountable to their coachees and are therefore motivated to ensure they receive the support they need to be successful.

Assessment of Mentees	Not defined	The mentor shall not be required to provide an evaluation of the new principal on the basis of the mentoring relationship.	UIC Leadership Coaches provide guidance to new principals regarding areas for development, but they do not formally evaluate the candidate's performance in terms of their job. They may, however, evaluate the candidate's performance on their capstone project for the EdD program.
Termination of Mentoring	Not defined		Mentoring continues from the pre-service phase of development, through the transition phase, and into the first three years of the principalship. Additionally, candidates and even graduates have requested coaching support even after completion of the program. The lack of a definitive marker for the termination of mentoring was cited as a positive and negative aspect of the program. It demonstrates the strength of the bond between the mentor and mentee, but it also blurs boundaries and requires continued time and commitment by Leadership Coaches that have large "official" case loads.
Assessment of Mentoring Component	Not defined	The State Board of Education must facilitate a review and evaluate the mentoring training program in collaboration with the approved providers.	Because the IL General Assembly has not appropriated funds for the New Principal Mentor Program, the state has not conducted a review or evaluation of the program in recent years. However, UIC has a continuous improvement process in place, the mentoring component is part of that on-going review, and the Leadership Coaches both provide input and participate in the process. Additionally, program faculty and researchers are conducting research on the mentoring component.

MENTORING ELEMENTS:	NOTES: Similarities and differences of columns D and G; aspects of columns D & G that are not in response to state policy; and similarities and differences in aspects from columns D & G that are not in response to state policy
Definition of Mentoring	There was no universal consensus regarding these definitions. In fact about half of the Leadership Coaches and UIC-UEL program designers believe that the definition of mentoring is consistent in both pre- and in-service: supporting the development of strong leadership skills. For example, regardless of what building you are in or whether you are a principal or assistant principal, you need to have strong diagnostic skills, communication skills, and interpersonal skills. Other took a slightly more nuanced approach to the question, explaining that pre-service is about being provided opportunities to learn how to do the job, while the early in-service phase is about putting those competencies to work in doing the job.
Standards Aligned	A crosswalk of standards demonstrates that there is great alignment between ISLLC 2008, SREB, IL Professional School Leaders Standards, and the CPS Performance Standards. Therefore, while the in-service phase focused solely on the CPS Performance standards, this is less of a difference than one might assume.
Purpose of Mentoring	The focus of mentoring in both the pre-service phase and in-service phase is ultimately directed at developing the candidates. However, the outcome measure is different between the two phases. In pre-service phase is focused on credentials and the in-service phase is focused on development leading to effective practice that impacts school improvement and student achievement.
Mentor Qualifications	Because all UIC-UEL leadership coaches provide mentoring support to both pre and in service candidates, the qualifications are obviously the same.
Mentee Eligibility	All candidates enrolled in the program that advance to the internships phase are provided mentoring support. Therefore this is less of a difference and more an indication of program continuation.
Mentor Training	Because the program requires all Leadership Coaches to provide mentoring in the pre- and in-service phases of development, they do not differentiate among the coaches in terms of the required training.

Selection and Matching Process	There was not clear consensus on exactly how mentor are matched with mentees. However, in the pre-service phase there appears to be a standardized structure to matching candidates to the placement sites (grade level, geography, demographics, specific initiatives they want to explore, relationships with mentor principals or network chiefs, etc.). That placement site in the pre-service phase can impact matching due to coaches preferences not to be spread throughout the city. The great majority of matches made in the pre-service phase dictate who will mentor the candidate in the in-service phase. The program is intentional about continuity of coaching from pre-service through early in-service. However, rarely, there is a need to reassign a candidate to a different mentor in their early in-service phase. The program tries very hard for that not to happen.
Activities Required	Many differences in activities were identified, but alignment with the performance standards were found.
Frequency and Duration of Mentoring Sessions	If a candidate does not go straight from the internship into a principal position, they still receive coaching during their transition period. That being said, the frequency of contact may or may not be reduced, depending upon whether or not the candidate is advancing with their capstone project.
Ratio of Mentor/Mentee Requirements	This is a clear area of difference - the Triad mentoring structure in the pre-service phase is reduced to a one-on-one structure in the in-service phase.
Timeframe for Mentoring Services	This is not a true difference, but rather a continuation of a single program. And three years is not actually a true reflection of the time-frame. Many candidates do not move from the internship straight into a principalship. UIC provides coaching support to all enrolled candidates after they successfully complete their residency regardless of their position. They also guarantee 3 years of coaching as a new principal, provided the candidate is still enrolled in the program. It is not uncommon for candidates to take 5 years to complete the EdD program.
Mentoring Documentation	This difference appears to be dictated by both the state regulations and the different expectations between the two phases of development.
Reward or Payment Requirements	Same people with no differentiation in payment between pre and in service support.
Resources or Tools	Difference here is based on state requirements and different expectations in terms of the role of the Leadership Coach in performance evaluation.
Role of Technology in Mentoring	The UIC mentoring model is an intensive model. All Coaches and program designers said that meetings are primarily face to face in the school and supported with other virtual ways to connect.
Monitoring of Mentoring	State regulations on monitoring mentoring are more compliance in nature. The UIC monitoring system is adequate for employee evaluation purposes. Additionally, faculty research on the component will likely inform the field and lead to replication.

Assessment of Mentors	UIC-UEL performance evaluation processes are in flux, and while the Director and Dept. Chair both rave about the quality of their Leadership Coaches, the both acknowledged that in order to institutionalize some of the best practices that are routinely with their current coaches they need to develop a better and more standardized system of supervision and evaluation of mentors. All Leadership Coaches are retired CPS administrators and the most recent hire has been with UIC for 7 years. This group will not remain in full-time employment forever, so a succession plan is necessary at this time. As one coach said, "I'm 70, for goodness sakes!"
Assessment of Mentees	Assessment of performance is largely driven by state regulations for the pre-service phase and is viewed by the program as both developmental and evaluative in nature. The program views the in-service phase through a very different lens when it comes to the in-service phase. The program embraces the spirit of the state regulation in the in-service phase and has attempted to institute a firewall between their coaches and those that supervise new principals. The exception is that they do sometimes frequently interact with network chiefs, however, the discussion is focused on understanding area priorities and goals. The program wants the principals to be able to be vulnerable with their Leadership Coaches without fear that any disclosure of lack of knowledge or skill will be reflected in their performance evaluation.
Termination of Mentoring	The official point at which coaching officially ends is when the candidate leaves the program. However, both program designers and Leadership Coaches expressed concern that the relationships and in many cases the coaching continues beyond that point. Because the majority of the Leadership Coaches have served in that role for about a decade, this can create an overload of cases to support. However, this is also an unofficial/undocumented aspect of the mentoring model that contributes to its overall success. Alumni of the program know that UIC likes to place principal interns in building led by UIC-UEL graduates. They also know that if they are ever in crisis, the program will mobilize to support their need. The program would be well served to figure out a system for this type of support so that it can be a recognized part of the mentoring structure and the time devoted to this practice be included in the Leadership Coach's scope of work and/or case load.

Assessment of Mentoring Component	The documentation and specific assessment of the mentoring component is driven primarily by state regulations. Evidence of this includes the lack of documentation regarding the in-service mentoring component. Since the state has not had an appropriation for the New Principal Mentoring program in recent years, UIC-UEL has very little in terms of written documents that would demonstrate a clear process or specific benchmarks or outcomes for the in-service component. Researchers from the UIC-UEL program are exploring the mentoring model, but as one of the many parts of the principal preparation program. Because the primary focus of their research involves preparation, the in-service mentoring component is not well articulated in their preliminary writing.
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Characteristics and aspects that are missing from the key elements outlined by Dawson (2014).

One important aspect that should be highlighted is that the current divide between pre-service (preparation) and in-service (development) of principals also includes an underlying assumption that the candidates progress from preparation programs to a principal position. That appears to be a false assumption that obscures the amount of work that is being done by the program during the transition period. Candidates in the UIC-UEL program are guaranteed one year of coaching for the internship and two or three years of coaching during the first three years as a new principal. However, many (need to quantify) candidates spend a year or more in positions such as network coaches, central office administrators, assistant principals or teacher before landing their first principal position. UIC-UEL provides coaching to those candidates during that time period as well. Coaching during this phase is consider "low-touch" - it may or may not occur weekly (depending upon whether they are in a position that will afford them the opportunity to progress with their capstone research) and it may or may not involve career coaching and networking (depending upon whether or not they passed eligibility and/or are actively seeking a principal position).

**IMPORTANT
DATA
MISALIGNED
WITH THIS
FRAMEWORK**

One of the biggest factors not included in the framework is the intentional structure of the program to provide a continuum of support from pre- service into early in-service. UIC is the only principal preparation program approved in Illinois that is entirely structured as an EdD program. That difference provides the mechanism to formally span from pre- through in-service, creating the expectation of a continuum of support and through the transition from pre- to early in-service. How the mentoring component is funded is another important factor in how it becomes institutionalized and recognized as an official component of the program. UIC-UEL is now starting to require candidates in transition to enroll in an independent study to cover the cost of coaching during this period.

Other areas not explored by the framework - Impact of Chicago School Reform Act/Eligibility Process, CLC creating competition with other programs, cumulative impact of increased coaching load - matches increasing being determined by coach load, impact of new requirements and CPS policy on EdD completion and the new CAS option, impact of corruption with principal training (SUPES Academy) on coaches; lack of any indication of consideration for race/gender/cultural in matching. Finally, paradigm shift to district as consumer, but also starting to get to a point where both the district and the university share responsibility for candidate outcomes during and post-completion performance.

**FACTORS NOT
OUTLINED IN
THE
FRAMEWORK**

APPENDIX F

CROSSWALK OF ESSA-TITLE II AND IL P.A. 096-0903

<p>EVERY STUDENT SUCCEEDS ACT 2015: 20 U.S.C.A. § 6301. TITLE II—PREPARING, TRAINING, AND RECRUITING HIGH QUALITY TEACHERS, PRINCIPALS, OR OTHER SCHOOL LEADERS</p>	<p>ILLINOIS PUBLIC ACT 096-0903: 23 ILLINOIS ADMINISTRATIVE CODE PART 30 § 30.10-30. A PROGRAMS FOR THE PREPARATION OF PRINCIPALS IN ILLINOIS</p>
<p>Sec. 2001. PURPOSE. The purpose of this title is to provide grants to SEAs and sub-grants to local educational agencies to:</p> <ol style="list-style-type: none"> 1. increase student achievement consistent with challenging State academic standards; 2. improve the quality and effectiveness of teachers, principals, and other school leaders; 3. increase the number of teachers, principals, and other school leaders who are effective in improving student academic achievement in schools; 	<p>Section 30.20 Purpose and Applicability a) This Part sets forth the requirements for the approval of programs to prepare individuals to be highly effective in leadership roles to improve teaching and learning and increase academic achievement and the development of all students [105 ILCS 5/21B-60].</p>
<p>Sec. 2002. 1 – SCHOOL LEADER RESIDENCY PROGRAM (1,A) For 1 academic year engages in sustained and rigorous clinical learning with substantial leadership responsibilities and an opportunity to practice and be evaluated in an authentic school setting...</p>	<p>Section 30.10 Definitions "Internship" means a candidate's placement in public or nonpublic schools for a sustained, continuous, structured and supervised experience lasting no more than 24 months, during which the candidate engages in experiences and leadership opportunities to demonstrate proficiencies in required principal competencies.</p>
<p>(1,B,i) participates in evidence-based coursework that is integrated with the clinical residency experience (1,B,ii) receives ongoing support from a mentor principal</p>	<p>Section 30.50 Coursework Requirements a) A portion of the required coursework shall include “field experiences”, i.e., multiple experiences that are embedded in a school setting and relate directly to the core subject matter of the course.</p> <p>Section 30.10 Definitions "Mentor" means the principal of the public or nonpublic school in which a candidate is placed who works directly with the candidate on the day-to-day activities associated with the principal's role as the school leader. Individuals employed as a superintendent, assistant superintendent or director of special education who hold a valid and current professional educator license endorsed for general administrative, principal, superintendent or director of special education may serve as a mentor for the candidate, provided that the individual is assigned to the location where the internship is conducted and possesses at least two years of experience relevant to the role of a principal.</p>

<p>Sec. 2002. 4 – TEACHER, PRINCIPAL OR OTHER SCHOOL LEADER PREPARATION ACADEMY (4, A, iv) award a certificate of completion... to a principal or other school leader only after the principal or other school leader demonstrates a record of success in improving student performance</p>	<p>Section 30.20 Purpose and Applicability c) Candidates successfully completing a principal preparation program shall obtain a principal endorsement and are eligible to work as a principal, or an assistant principal or in related or similar positions.</p> <p>Section 30.45 Assessment of the Internship a) 5 - A principal preparation program shall rate a candidate’s demonstration of having achieved the competencies ... in accordance with Section 30.Appendix A of the Part. A. A candidate must achieve “meets the standards” on each competency in order to successfully complete the internship_</p>
<p>(4, C) limits admissions to its program to prospective principals who demonstrate strong potential to improve student achievement, based on a rigorous selection process that reviews a candidate’s prior academic achievement or record of professional accomplishment;</p>	<p>Section 30.70 Candidate Selection Candidates admitted to a program for principal preparation shall be selected through an in-person interview process and meet the following minimum requirements.</p> <p>a) Holds either: 1) a valid and current Illinois professional educator license endorsed in a teaching field (i.e., early childhood, elementary, secondary, special K-12 or special preschool-age -21) or, until June 30, 2019, endorsed in a school support personnel area (i.e., school counselor, school psychologist, speech language pathologist, school nurse, school social worker, school marriage and family counselor); or 2) a valid and current teaching or, until June 30, 2019, school support personnel, certificate, license or endorsement issued by another state authorizing employment in an out-of-state public school or in an out-of-state nonpublic school;</p> <p>b) Passage of the test of basic skills if the candidate had not been required to take the test for receipt of his or her Illinois professional educator license or previously issued teaching certificate or school support personnel endorsement.</p> <p>c) Submission of a portfolio that presents evidence of a candidate’s achievements. 1) Evidence of teaching experience in each of the following categories: A) Support of all students in the classroom to achieve high standards of learning; B) Accomplished classroom instruction, including evidence of two years of student growth within the last five years; C) Significant leadership roles in the</p>

	<p>D) Strong oral and written communication skills; E) Analytic abilities needed to collect and analyze data for student improvement; F) Demonstrated respect for family and community; G) Strong interpersonal skills; and H) Knowledge of curriculum and instructional practices.</p>
<p>PART A – SUPPORTING EFFECTIVE INSTRUCTION Sec. 2101. C – STATE USE OF FUNDS (c, 4, B, i,) (I) Reforming teacher, principal, or other school leader certification, recertification, licensing, or tenure system ... (II) principals or other school leaders have the instructional leadership skills to help teachers teach and to help students meet such challenging State academic standards...</p>	<p>Section 30.20 Purpose and Applicability a) This Part sets forth the requirements for the approval of programs to prepare individuals to be highly effective in leadership roles to improve teaching and learning and increase academic achievement and the development of all students [105 ILCS 5/21B-60].</p>
<p>(c, 4, xi) Reforming or improving teacher, principal, or other school leader preparation programs, such as through establishing teacher residency programs and school leader residency programs.</p>	<p>Section 30.10 Definitions "Internship" means a candidate's placement in public or nonpublic schools for a sustained, continuous, structured and supervised experience lasting no more than 24 months, during which the candidate engages in experiences and leadership opportunities to demonstrate proficiencies in required competencies expected of a principal (also see Section 30.40(g).)</p>
<p>(d, 2, H) An assurance that the SEA will ...encourage collaboration between educator preparation programs, the State, and local education agencies to promote the readiness of new educators entering the profession.</p>	<p>Section 30.30 General Program Requirements a) The program shall be jointly established by one or more institutions or not-for-profit entities and one or more public school districts or nonpublic schools. b) The responsibility and roles of each partner in the design, implementation and administration of the program shall be set forth in a written agreement signed by each partner.</p>
<p>(d, 2, J) A description of how the SEA will improve the skills of teachers, principals, or other school leaders in order to enable them to identify students with specific learning needs, particularly children with disabilities, English learners, students who are gifted and talented, and students with low literacy levels, and provide instruction based on the needs of</p>	<p>Section 30.30 General Program Requirements d) Each program shall offer curricula that address student learning and school improvement and focus on: 1) all grade levels (i.e., preschool through grade 12); 2) the role of instruction (with an emphasis on literacy and numeracy), curriculum, assessment and needs of the school or district in improving learning;</p>

such students.	<ul style="list-style-type: none"> 3) the Illinois Professional Teaching Standards; 4) all students, students with special needs (e.g., students with disabilities, English language learners, gifted students, students in early childhood programs); and 5) collaborative relationships with all members of the school community (e.g., parents, school board members, local school councils or other governing councils, community partners).
<p>(d, 3, A) meaningfully consult with teachers, principals, other school leaders, paraprofessionals (including organizations representing such individuals), specialized instructional support personnel, charter school leaders, parents, community partners, and other organizations or partners with relevant and demonstrated experience in programs and activities designed to meet the purpose of this title...</p>	<p>Section 30.30 General Program Requirements</p> <ul style="list-style-type: none"> a) The program shall be jointly established by one or more institutions or not-for-profit entities and one or more public school districts or nonpublic schools. b) The responsibility and roles of each partner in the design, implementation and administration of the program shall be set forth in a written agreement signed by each partner.
<p>Sec. 2103 LOCAL USES OF FUNDS b – TYPES OF ACTIVITIES (2) shall address the learning needs of all students, including children with disabilities, English learners, and gifted and talented students;</p>	<p>Section 30.30 General Program Requirements</p> <ul style="list-style-type: none"> d) Each program shall offer curricula that address student learning and school improvement and focus on: <ul style="list-style-type: none"> 1) all grade levels (i.e., preschool through grade 12); 2) the role of instruction (with an emphasis on literacy and numeracy), curriculum, assessment and needs of the school or district in improving learning; 3) the Illinois Professional Teaching Standards; 4) all students, students with special needs (e.g., students with disabilities, English language learners, gifted students, students in early childhood programs); and 5) collaborative relationships with all members of the school community (e.g., parents, school board members, local school councils or other governing councils, community partners).
<p>(3. G, i) providing programs and activities to increase the knowledge base of teachers, principals, or other school leaders on instruction in the early grades and on strategies to measure whether young children are progressing;</p>	<p>Section 30.30 General Program Requirements</p> <ul style="list-style-type: none"> d) Each program shall offer curricula that address student learning and school improvement and focus on: <ul style="list-style-type: none"> 1) all grade levels (i.e., preschool through grade 12); 2) the role of instruction (with an emphasis on literacy and numeracy), curriculum, assessment and needs of the school or district in improving learning
<p>(3. G, ii) the ability of principals and other school leaders to support teachers, teacher leaders, early childhood educators,</p>	<p>Section 30.30 General Program Requirements</p> <ul style="list-style-type: none"> d) Each program shall offer curricula that address student learning and school

<p>and other professionals to meet the needs of students through age 8, ...</p>	<p>improvement and focus on: 1) all grade levels (i.e., preschool through grade 12);</p>
<p>(3. H) providing training, technical assistance, and capacity building in local education agencies to assist teachers, principals, or other school leaders with selecting and implementing formative assessments, designing classroom based assessments, and using data from such assessments to improve instruction and student achievement...</p>	<p>Section 30.45 Assessment of the Internship The candidate conveys an understanding of how the school’s mission and vision affect the work of the staff in enhancing student achievement. He or she understands and is able to perform activities related to data analysis and can use the results of that analysis to formulate a plan for improving teaching and learning. The candidate shall:</p> <ul style="list-style-type: none"> A) review school-level data, including, but not limited to, State assessment results or, for nonpublic schools, other standardized assessment results; use of interventions; and identification of improvement based on those results; B) participate in a school improvement planning (SIP) process, including a presentation to the school community explaining the SIP and its relationship to the school’s goals; and C) present a plan for communicating the results of the SIP process and implementing the school improvement plan.
<p>Subpart 4 – Programs of National Significance Sec. 2241. FUNDING ALLOTMENT</p> <p>(a, 1) ...purposes of – providing teachers, principals, or other school leaders from nontraditional preparation and certification routes or pathways to serve in traditionally underserved local education agencies;</p>	<p>Section 30.30 General Program Requirements</p> <ul style="list-style-type: none"> a) The program shall be jointly established by one or more institutions or not-for-profit entities and one or more public school districts or nonpublic schools. b) The responsibility and roles of each partner in the design, implementation and administration of the program shall be set forth in a written agreement signed by each partner. The written agreement shall address at least the following: <ul style="list-style-type: none"> 1) the process and responsibilities of each partner for the selection and assessment of candidates; 2) the establishment of the internship and any field experiences, and the specific roles of each partner in providing those experiences, as applicable; 3) the development and implementation of a training program for mentors and faculty supervisors that supports candidates’ progress during their internships in observing, participating, and demonstrating leadership to align with the 13 critical success factors and 36 associated competencies published by the Southern Regional Education Board; 4) names and locations of non-partnering school districts and nonpublic schools where the internship and any field experiences may occur; and 5) the process to evaluate the program, including the partnership, and the role of

	each partner in making improvements based on the results of the evaluation.
(a, 4) making freely available services and learning opportunities to local education agencies, through partnerships and cooperative agreements or by making the services or opportunities publically accessible through electronic means	<p>Section 30.50 Coursework Requirements</p> <p>c) programs providing 50 percent or more of coursework via distance learning or video-conferencing technology shall be approved only if they meet the following conditions.</p> <ol style="list-style-type: none"> 1) Candidates must be observed by a full-time tenure track faculty member who provides instruction in the principal preparation program. The observations, which must take place in person, shall be for a minimum of two full days each semester, and for a minimum of 20 days throughout the length of the program. The observations must include time spent interacting and working with the candidate in a variety of settings (i.e., observing the candidate’s teaching, attending meetings with the candidate, observing the candidate during the internship portion of the program). 2) Each candidate shall be required to spend a minimum of one day per semester, exclusive of internship periods, at the program’s Illinois facility in order to meet with the program’s full-time faculty, to present and reflect on projects and research for coursework recently completed, and to discuss the candidate’s progress in the program. 3) Each candidate shall be required to attend in person the meetings outlined in Section 30.40(c) of this Part.
Sec. 2243. SCHOOL LEADER RECRUITMENT AND SUPPORT	Section 30.20 Purpose and Applicability
(a, 1) developing or implementing leadership training programs designed to prepare and support principals or other school leaders in high need schools,	a) This Part sets forth the requirements for the approval of programs to prepare individuals <i>to be highly effective in leadership roles to improve teaching and learning and increase academic achievement and the development of all students</i> [105 ILCS 5/21B-60].
(a, 3) developing or implementing programs for recruiting, developing, and placing school leaders to improve schools implementing comprehensive support and improvement activities and targeted support and improvement activities under section 2 1111(d), including through cohort-based activities that build effective instructional and school leadership teams and develop a school culture, design, instructional program, and professional development program	<p>Section 30.30 General Program Requirements</p> <p>d) Each program shall offer curricula that address student learning and school improvement and focus on:</p> <ol style="list-style-type: none"> 1) all grade levels (i.e., preschool through grade 12); 2) the role of instruction (with an emphasis on literacy and numeracy), curriculum, assessment and needs of the school or district in improving learning; 3) the Illinois Professional Teaching Standards 4) all students, students with special needs (e.g., students with disabilities, English

focused on improving student learning;	language learners, gifted students, students in early childhood programs); and 5) collaborative relationships with all members of the school community (e.g., parents, school board members, local school councils or other governing councils, community partners).
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Haller, Hunt & Pacha, 2016

APPENDIX G
CROSSWALK OF ISLAC AND ESSA-TITLE II

ISLAC Recommendations	ESSA - Title II Regulations
<p><i>Establish a state-level Office of School Leadership</i>, advised by multiple stakeholders to increase understanding of the importance of school leadership as a vital and cost effective lever for improved student learning. The Office of School Leadership should be charged with ensuring the quality of school leadership preparation and development is supported as a statewide priority by policy-makers and education leaders at all levels.</p>	<p>Section 2101 d (3) B - SEAs shall seek advice from stakeholders regarding how best to improve the State’s activities to meet the purpose of Title II Section 2101 – d (2) M – SEAs shall improve preparation programs and strengthen supports for principals based on the needs of the state Section 2101 d (3) C – SEAs will coordinate the State’s activities with other related strategies, programs, and activities</p>
<p><i>Establish a collaboration system among state agencies (ISBE & IBHE) and Institutions of Higher Education, School Districts and Regional Offices of Education in development of a robust shared data system</i> that informs continuous program improvement and state accountability needs. Districts shall be required to report annually to ISBE a limited set of data providing evidence of district partnerships with principal preparation providers, as well as provide the state with disaggregated data on their employees as it pertains to principal performance evaluations covered under PERA. ISBE shall serve as a repository for data collected from preparation programs, districts and/or regional offices of education and will provide access to each on a range of metrics.</p>	<p>Section 2101 – d (2) K – SEAs shall use data and ongoing consultation to continually update and improve activities Section 2101 – d (2) M – SEAs shall improve preparation programs and strengthen supports for principals based on the needs of the state Section 2101 d (3) A – SEAs shall consult with a wide variety of stakeholders with relevant and demonstrated expertise in programs and activities designed to meet the purpose of Title II Section 2101 d (3) C – SEAs will coordinate the State’s activities with other related strategies, programs, and activities Section 2104 a, 3 – SEAs will report to the USDE on performance evaluation results for principals Section 2104 a, 4 – SEAs will report to the USDE retention rates of effective and ineffective principals Section 2104 b – LEAs will submit to the SEA data required by the state (including data it needs to comply with Section 2104 a, 3 and 4)</p>

ISLAC Recommendations	ESSA - Title II Regulations
<p><i>Establish a statewide community of practice that bridge higher education, district administrators and professional associations.</i> The purpose of the network will be to will develop local capacity for high-quality implementation and support through networked improvement strategies responsive to district and regional diversity. The network will also provide a platform for improved communication, professional development and for sharing effective practices, tools and research.</p>	<p>Section 2101 – d (2) F – SEAs shall work with local educational agencies to develop or implement State or local principal evaluation and support systems</p> <p>Section 2101 – d (2) H – SEAs shall encourage collaboration between educator preparation programs, and local educational agencies to promote the readiness of new educators</p> <p>Section 2101 d (3) A – SEAs shall consult with a wide variety of stakeholders with relevant and demonstrated expertise in programs and activities designed to meet the purpose of Title II</p>
<p><i>Establish regional partnership “hubs” to optimize and equalize resources throughout the state,</i> including increasing opportunities for high potential principal candidates to access high-quality preparation programs. Ensure that district and regional partnerships have the necessary resources, flexibility and support they need to implement robust, effective and collaborative programs for the preparation and development of school leaders.</p>	<p>Section 2101 – c (4) B, viii – SEAs shall provide assistance to local education agencies for the development and implementation of high-quality professional development programs for principals that enable the principal to be effective</p> <p>Section 2101 – c (4) B, x – SEAs shall provide training, technical assistance and capacity-building to local education agencies</p> <p>Section 2101 d (3) C – SEAs will coordinate the State’s activities with other related strategies, programs, and activities</p>
<p><i>Establish a state task force to explore the impact of the new Teacher Leadership Endorsement</i> and develop strategies to coordinate teacher leader development with recruitment and selection of interested teacher leaders into principal preparation programs. The task force should recommend actions that ensure a robust and diverse preparation pipeline in the context of state and local succession planning needs, including principals, assistant principals and teacher leaders.</p>	<p>Section 2101 – d (2) K – SEAs shall use data and ongoing consultation to continually update and improve activities</p> <p>Section 2101 d (3) A – SEAs shall consult with a wide variety of stakeholders with relevant and demonstrated expertise in programs and activities designed to meet the purpose of Title II</p> <p>Section 2101 d (3) B – SEAs shall seek advice from stakeholders regarding how best to improve the State’s activities to meet the purpose of Title II</p> <p>Section 2101 d (3) C – SEAs will coordinate the State’s activities with other related strategies, programs, and activities</p>

APPENDIX H
CROSSWALK OF ISLLC AND IPSSL

ISLLC Standards 2008 (and indicators)	Illinois Performance Standards for School Leaders
<p>ISLLC 1. Develops, articulates, implements, and stewards a vision of learning, shared and supported by all stakeholders</p> <ul style="list-style-type: none"> --Collaboratively develop and implement a shared vision --Collect and use data to identify goals, assess organizational effectiveness, and promote organizational learning --Create and implement plans to achieve goals --Promote continuous and sustainable improvement --Monitor and evaluate progress and revise plans 	<p>IPSSL 1. Living a Mission and Vision Focused on Results: The principal works with the staff and community to build a shared mission, and vision of high expectations that ensures all students are on the path to college and career readiness, and holds staff accountable for results</p> <ul style="list-style-type: none"> a. Coordinates efforts to create and implement a vision for the school and defines desired results and goals that align with the overall school vision and lead to student improvement for all learners b. Ensures that the school’s identity, vision, and mission drive school decisions c. Conducts difficult but crucial conversations with individuals, teams, and staff based on student performance data in a timely manner for the purpose of enhancing student learning and results
<p>ISLLC 2. Advocates, nurtures, and sustains a school culture and instructional program conducive to student learning and staff professional growth</p> <ul style="list-style-type: none"> --Nurture and sustain a culture of collaboration, trust, learning, and high expectations --Create a comprehensive, rigorous and coherent curricular program --Create a personalized and motivating learning environment for students --Supervise instruction --Develop assessment and accountability systems to monitor student progress --Develop the instructional and leadership capacity of staff --Maximize time spent on quality instruction --Promote the use of the most effective and appropriate technologies to support teaching and learning --Monitor and evaluate the impact of the instructional program. 	<p>IPSSL 3 – Improving Teaching and Learning - The principal works with the school staff and community to develop a research-based framework for effective teaching and learning that is refined continuously to improve instruction for all students.</p> <ul style="list-style-type: none"> a. Works with and engages staff in the development and continuous refinement of a shared vision for effective teaching and learning by implementing a standards based curriculum, relevant to student needs and interests, research-based effective practice, academic rigor, and high expectations for student performance in every classroom. b. Creates a continuous improvement cycle that uses multiple forms of data and student work samples to support individual, team, and school-wide improvement goals, identify and address areas of improvement and celebrate successes c. Implements student interventions that differentiate instruction based on student needs d. Selects and retains teachers with the expertise to deliver instruction that maximizes student learning e. Evaluates the effectiveness of teaching and holds individual teachers accountable for meeting their goals by conducting frequent formal and informal observations in order to provide timely, written feedback on instruction, preparation and classroom environment as part of the district teacher appraisal system. f. Ensures the training, development, and support for high-performing instructional teacher teams to support adult learning and development to advance student learning and performance

	<p>g. Supports the system for providing data-driven professional development and sharing of effective practice by thoughtfully providing and protecting staff time intentionally allocated for this purpose</p> <p>h. Advances Instructional Technology within the learning environment</p> <p>IPSSL 6 CREATING AND SUSTAINING A CULTURE OF HIGH EXPECTATIONS—The principal works with staff and community to build a culture of high expectations and aspirations for every student by setting clear staff and student expectations for positive learning behaviors and by focusing on students’ social-emotional learning</p> <ol style="list-style-type: none"> a. Builds a culture of high aspirations and achievement for every student b. Requires staff and students to demonstrate consistent values and positive behaviors aligned to the school’s vision and mission c. Leads a school culture and environment that successfully develops the full range of students’ learning capacities-academic, creative, social-emotional, behavioral and physical.
<p>ISLLC 3. Manages the school, its operations and resources for a safe, efficient, and effective learning environment</p> <p>--Monitor and evaluate the management and operational systems</p> <p>--Obtain, allocate, align, and efficiently utilize human, fiscal, and technological resources</p> <p>--Promote and protect the welfare and safety of students and staff</p> <p>--Develop the capacity for distributed leadership</p> <p>--Ensure teacher and organizational time is focused to support quality instruction and student learning</p>	<p>IPSSL. 2. Leading and Managing Systems Change: The principal creates and implements systems to ensure a safe, orderly, and productive environment for student and adult learning toward the achievement of school and district improvement priorities</p> <ol style="list-style-type: none"> a. Develops, implements, and monitors the outcomes of the school improvement plan and school wide student achievement data results to improve student achievement b. Creates a safe, clean and orderly learning environment c. Collaborates with staff to allocate personnel, time, material, and adult learning resources appropriately to achieve the school improvement plan targets d. Employs current technologies
<p>ISLLC 4. Collaborates with faculty and community members, responds to diverse community interests and needs, and mobilizes community resources</p> <p>--Collect and analyze data and information pertinent to the educational environment</p> <p>--Promote understanding, appreciation, and use of the community’s diverse, cultural,</p>	<p>IPSSL. 4. Building and Maintaining Collaborative Relationships: The principal creates a collaborative school community where the school staff, families, and community interact regularly and share ownership for the success of the school</p> <ol style="list-style-type: none"> a. Creates, develops and sustains relationships that result in active student engagement in the learning process

<p>social, and intellectual resources</p> <p>--Build and sustain positive relationships with families and caregivers</p> <p>--Build and sustain productive relationships with community partners</p>	<p>b. Utilizes meaningful feedback of students, staff, families, and community in the evaluation of instructional programs and policies</p> <p>c. Proactively engages families and communities in supporting their child’s learning and the school’s learning goals</p> <p>d. Demonstrates an understanding of the change process and uses leadership and facilitation skills to manage it effectively</p>
<p>ISLLC 5. Acts with integrity, fairness, and in an ethical manner</p> <p>--Ensure a system of accountability for every student’s academic and social success</p> <p>--Model principals of self-awareness, reflective practice, transparency, and ethical behavior</p> <p>--Safeguard the values of democracy, equity, and diversity</p> <p>--Consider and evaluate the potential moral and legal consequences of decision-making</p> <p>--Promote social justice and ensure that individual student needs inform all aspects of schooling</p>	<p>IPSSL. 5. Leading with Integrity and Professionalism: The principal works with the school staff and community to create a positive context for learning by ensuring equity, fulfilling professional responsibilities with honesty and integrity, and serving as a model for the professional behavior of others</p> <p>a. Treats all people fairly, equitably, and with dignity and respect</p> <p>b. Demonstrates personal and professional standards and conduct that enhance the image of the school and the educational profession. Protects the rights and confidentiality of students and staff</p> <p>c. Creates and supports a climate that values, accepts and understands diversity in culture and point of view</p>
<p>ISLLC 6. Understands, responds to, and influences the larger political, social, economic, legal, and cultural context</p> <p>--Advocate for children, families and caregivers</p> <p>--Act to influence local, district, state, and national decisions affecting student learning</p> <p>--Assess, analyze, and anticipate emerging trends and initiatives in order to adapt leadership strategies</p>	

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VITA

Dr. Haller was born and raised in northern Illinois. Before attending Loyola University Chicago, she attended Harvard University in Cambridge Massachusetts where she earned a Certificate of Advanced Study in Human Development and Psychology. She previously earned a Master of Education degree in Instructional Leadership from the University of Illinois at Chicago, and a Bachelor of Science degree from Illinois State University.

Prior to attending Loyola, Dr. Haller headed the Office of Principal Preparation and Development at the Chicago Public Schools and was a consultant with the Illinois Board of Higher Education and the Illinois State Board of Education. In addition, she previously served as a teacher and principal in Milwaukee, before relocating to the east coast where she worked for the Collaborative for Integrated School Services at the Harvard University Graduate School of Education.

While at Loyola, Dr. Haller was awarded a \$4.6M School Leadership Program grant from the U.S. Department of Education aimed at developing of a pipeline of highly trained principals for three high need districts. She currently serves as a Co-Director of that project, which is housed at the Center for the Study of Education Policy at Illinois State University in Normal, Illinois. Dr. Haller lives with her family in Chicago.