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Growing as a Leader through Developing Others: The Effect of Being a Mentor Principal

by

Megan Rachel Adams

A DISSERTATION

Presented to the Faculty of

The Graduate College at the University of Nebraska

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Growing as a Leader through Developing Others: The Effect of Being a Mentor Principal

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University of Nebraska, 2013

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Principals play a significant role in student learning. They are expected to be both instructional and organizational leaders as well as the day-to-day management of a community of individuals. The balancing of multiple roles is a dynamic task that takes education, training, coaching and ongoing developmental support. However, principals often do not have these supports to foster growth and effective practice.

This multiple case study examined the experiences of two secondary school urban principals who mentored future administrative leaders. The study also explored other elements of the practice including the necessary supports for a successful partnership, the barriers to a successful partnership, the key experiences within the mentoring work and links to adult development.

The design of the study included a series of on-site observations alongside interviews were conducted with principals and their interns in two schools over the course of the 2012-2013 academic year. Artifacts from the internship process were also collected and analyzed. This study revealed a mentoring model of effective practice based on a set of key themes: leadership style, authentic experiences, reflective conversations, reciprocal relationships and trust.

Based on the study's findings the researcher developed a year-long structured internship calendar. This calendar details key tasks, experiences and reflective moments aligned with the Interstate School Leader Licensure Consortium Leadership Standards.

This dissertation is dedicated to
my first and most important teachers, my parents, Bettie and John Adams.

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Chapter I

Overview

Introduction

The purpose of this study was to examine the experiences of a principal who mentors a future administrative leader. The study also explored other elements of mentoring including: the necessary supports and structures for a successful partnership; the barriers to a successful partnership; the important experiences within the mentoring work and mentoring links to adult development.

This qualitative study employed a case study approach to examine the experiences of the mentoring pairs; with a specific focus on the mentoring principals. This approach allowed the researcher to build a comprehensive picture of the mentoring pairs. The case study model allowed the researcher to gather data through observations, participant interviews, and artifact collection. Employing a case study approach and focusing the study on two pairs made the study feasible for the researcher because it allowed her to commit the time necessary to go in-depth with each pair.

Statement of the Problem

The present day P-12 educational system is dynamic and evolving. The role of the principalship is changing with the system. Principals are expected to be both instructional and organizational leaders, alongside the day-to-day management of a community of individuals. The balancing of multiple roles is a challenging feat that takes education, pre-service training, guidance and ongoing developmental support. The space

for principals to reflect and develop is necessary but limited. The importance of pre-service training and scaffolded support is also critical.

There is a tremendous amount of literature that underscores the importance of authentic pre-service training for aspiring leaders but there is very little regarding the influence this work has on principals acting in the mentor role. This study sought to understand the impact of this work and to understand the developmental effects being a mentor has on principals.

Purpose Statement

The purpose of this study was to examine the experiences of a principal who mentors a future administrative leader.

Focus of the Study

This study sought to examine the mentoring experiences of two principals and their leadership interns. The study explored the growth of the mentor-mentee pair. The study's focus was on the leadership development of the mentor principal. Specifically, the researcher sought to understand the influence of the mentor role on secondary principals, their leadership and the school community. The study focused on two principals engaged in a mentoring partnership.

Central Question

What is the experience of a principal who mentors a future administrative leader?

Secondary Research Questions

1. What are the structures and supports necessary for successful mentor-mentee relationship?

2. How does one's individual development impact the work of the partnership?
3. What experiences are important for an intern to have during this work?
4. What are the barriers to a successful partnership?

Definition of Terms

“One problem in mentoring literature is the lack of one comprehensive, yet functional definition” (Bogart & Rednar, 1985, p. 851). Locke, Spirduso, and Silverman (2007) recommended providing a section of defined terms to help increase reader understanding and study clarity. All terms are defined in context of this study.

Adult Development—“At its simplest level, the concept of development implies change. Adults as well as children change in appearance, behavior, in attitudes and values, in life-styles and so on” (Merriam, 1984, p. 4).

Adults go through developmental stages which can be grouped chronologically or sociologically. Developmental stages are more concerned with personality or ego development and are part of a continuous flow toward growth and maturity (Cross, 1981).

“A process through which parties who see different aspects of a problem can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible” (Gray, 1989, p. 24).

Constructive-Development Theory—“A series of transformations of how we see ourselves in relation to others” (Daloz, 1986, p. 66). “Central to Kegan's theory of constructive development is the idea that the evolution of the subject and object relationship occurs in five measurable stages” (Phipps, 2010, p. 154).

Contextual Dimension—Everything that shapes the structure of the organization (ex., size, technology, environment, goals, and culture) (Farsi & Nikraftar, 2011).

Ethic of Care—A focus on mutual independence and emotional response and how they are at play in our moral lives.

Develops from an individual's feeling of interconnectedness with others (unlike other moral theories that focus on the individual's autonomy).

Experiential Learning—“As a philosophy and methodology in which educators purposefully engaged with learners in direct experience and focused reflection in order to increase knowledge, develop skills, and clarify values” (Association for Experiential Education, n.d.). The process of making meaning through direct experiences.

Holding Environment—“Environments (that) offer developmentally appropriate supports *and* challenges to adults who make sense of their experiences in qualitatively different ways” (Drago-Severson, 2004, p. 22).

Holding environment plays a dual role—it must “hold well” and “let go.” The environment must support the learner where they are at by providing a safe, stable space. The environment must also offer challenges for the learner to grow (Drago-Severson, 2004, 2009).

Induction—“Administrator induction programs provide administrators with the structure and support that they need to develop their leadership skills, build collegial school and/or district cultures as well as develop an understanding of the Professional Standards for Administrators” (Massachusetts Department of Elementary & Secondary Education, 2002).

Instructional Leader—“Instructional leadership focuses predominately on the role of the school principal in coordinating, controlling, supervising, and developing curriculum and instruction in school” (Hallinger, 2003, p. 332).

Three dimensions of instructional leadership construct: “Defining the school’s mission, managing the instructional program, and promoting a positive school-learning climate” (Hallinger, 2003, p. 332).

Internship—An internship is an opportunity to integrate career related experience into an undergraduate [graduate] education by participating in planned, supervised work (Dept. of Political Science, Ohio State University, n.d.).

Leadership—“Leadership over human beings is exercised when persons with certain motives and purposes mobilize, in competition or conflict with others, institutional, political, psychological and other resources so as to arouse, engage and satisfy the motives of followers . . . in order to realize goals mutually held by both leaders and followers” (Burns, 1978, p. 18).

Transformational Leadership—“Transformational leadership is the process whereby a person engages with others and creates a connection that raises the level of motivation and morality in both the leader and the follower” (Northouse, 2010, p. 172).

“Leaders and followers help each other to higher levels of morale and motivation” (Burns, 1978, p. 20).

Transactional Leadership—

Transactional leadership refers to the bulk of leadership models, which focus on the exchanges that occur between leaders and their followers. . . . The exchange dimension is very common and can be observed at many levels throughout all types of organizations. (Northouse, 2010 p. 172)

“Exchange of valued things” (Burns, 1978, p. 19).

Mentor—A teacher, coach, role model, developer, gate keeper, protector, sponsor and Successful Leader (Gehrke, 1986). A more experienced person supporting, developing and teaching a less experienced person in a professional field of practice.

Mentoring (mentorship)—A relationship of ongoing professional development provided by a coach or mentor (Bloom, Castagna, & Warren, 2003). In summary for the purpose of this study, mentoring is defined as a dynamic, ongoing relationship, where one person supports and guides another.

Mentee—“A less-experienced person needing to acquire understandings of building operations, problem-solving strategies, interpersonal skills, and time-management techniques” (Cordeiro & Smith-Sloan, 1995).

The terms protégé and mentee are synonymous in this study.

Metaphorical Analysis—“Metaphors serve at least two functions in language. They clarify the meaning of abstract concepts by comparing them to concrete . . . and they create mental pictures by likening them” (Beck & Murphy, 1993, p. 5).

Leadership—“Process whereby an individual influences a group of individuals to achieve a common goal” (Northouse, 2010, p. 3).

Preservice Training—Training and instruction that occurs before someone is working in the position.

Reflective Practice—“Reflective practice requires a *pause*. Sometimes the pause is intentional—a purposeful slowing down to create a space in which presence and

openness can emerge. Sometimes the pause happens unexpectedly in response to a crisis or dilemma” (York-Barr, Sommers, Ghere, & Montie, 2006, p. 9).

“Learning is a function of reflection. . . . Adults do not learn from experience, they learn from processing the experience” (Garmston & Wellman, 1997, p. 1).

Situated Learning—

As an aspect of social practice, learning involves the whole person; it implies not only a relation to specific activities, but a relation to social communities. . . . Learning only partly—and often incidentally—implies becoming able to be involved in new activities, to perform new tasks and functions, to master new understandings. Activities, tasks, functions, and understandings do not exist in isolation; they are part of broader systems of relations in which they have meaning. These systems of relations arise out of and are reproduced and developed within social communities, which are part of systems of relations among persons. . . . [Learning] is itself an evolving form of membership. We conceive of identities as long-term, living relations between persons and their place and participation in communities of practice. Thus identity, knowing, and social membership entail one another. (Lave & Wenger, 1991, p. 53)

*Transformational Learning—*Three themes found in this type of learning included experience, critical reflection, and rational discourse (Mezirow, 1991).

Learners that actively engage through critical reflection to make deeper meaning (York-Barr et al., 2006).

Assumptions of the Study

The experience of an administrative internship is an integral component to principal training programs and professional state licensure. Typically internships are completed in conjunction with two different types of programs—university-based programs which also grant a degree and principal preparation programs that are connected to school districts and systems. In this study the researcher was looking at internship experienced in conjunction with university-based programs.

It is assumed that principals selected for this study understand the significance of learning that comes from the administrative internship. It is also assumed that the principals being studied were proficient in their role as a school leader. External system-wide rating systems (such as the New York City Department of Education (NYCDOE) school progress report and quality reviews—both public) were used to help determine this qualification. Schools also had to be *In Good Standing* as defined by New York State Department of Education. Finally, being a mentor was a voluntary role. There is no monetary compensation for this work. Principals instead have a genuine interest in helping an aspiring leader develop and experience professional growth as well.

Target Audience

There were four primary audiences for this study: principals, principal interns (aspiring leaders), district-level school personnel, and university personnel involved with school leadership development. Each of these target audiences can draw on the study in multiple ways.

Principals can benefit from this study by learning about the influences of the mentoring role on their own development. They will also be able to apply specific resources to their own mentoring practice. For principal interns (aspiring leaders), the study will give practical guidance regarding the process of being an intern. Many of the tools provided for the principal mentor can also be utilized by the intern in building and working within the relationship.

District-level school personnel and university-based faculty can gather information about the effectiveness of mentoring and development programs for aspiring

leaders. The study may lend valuable insight to structures, learning objectives, and outcomes of the mentoring internship process.

Delimitations and Limitations

Delimitations are used to address how the study will be focused and narrowed in scope (Creswell, 1994). This study was focused in a number of ways. Rather than exploring all components of the mentor-intern relationship the researcher chose to limit her focus to specific elements of the work. Mainly, the researcher was interested in the impact mentoring has on the principal mentor in the partnership. While it is important to gather data from other participants (the intern, university-based partner, and other school members) these were not the primary focus of the study. The study also limited by the participant pool from which the participants were drawn—limiting it to one specific district within a system.

There were also limitations that could potentially weaken the study. The most apparent was the researcher's professional connection to the topic—causing a potential bias. The bias is connected to the researcher's specific role as a principal and personal experiences as intern and mentor. Appropriate measures and verification procedures have been put into the study to protect against significant bias. However, there is concern about the level of honesty that will be afforded especially by the intern. While I hold no official role of authority, there are unintended power dynamics at play within the relationship. The role of researcher can bring perceived authority. My role as principal (while not in this context) can also affect the way the intern might see me.

Significance of the Study

Understanding the experience principals have as they mentor rising leaders is significant to the field of educational leadership. It helps us understand what structures and supports are necessary for a successful mentoring process. During the study, this researcher created a set of outputs that could be used in the field by mentoring principals, principal interns and university partners. These outputs and suggestions will add to the effectiveness of the internship experience. At a practical level, they can contribute to principal training and development. Because the study's primary focus was directed at the principal, a new perspective of mentoring will be provided to the field. This study will provide information about leadership development and provide guidance to leaders about how school districts and university partners can support the continued growth.

Chapter II

Review of the Literature

Introduction

This literature review examines the effect mentoring models have on leadership development for principals. The review is divided into two parts: the foundational, theoretical exploration and its applications within the focus of mentorship.

The review begins with an exploration of the development of the principalship. In this section the researcher will trace the historical development of the role from “principal teacher” to contemporary school leader. The researcher will also examine current standards and competencies associated with the work. Next the researcher will focus on theories of leadership that help inform educational policy and practice. The researcher will conduct a brief survey of leadership models and will follow this with an in-depth analysis of three models as they relate to school leadership. The researcher will conclude with a section related to adult development theory. These three sections will draw upon a central, essential theme of transformational work—transformational leadership, transformational learning, and actions that create a space for transformational thinking.

In the second part of our literature review, the researcher will focus these foundational theories into the model of mentorship. The study will begin by examining the history of mentorship. This historiography will utilize three lenses for analysis: mentoring in the broadest of terms, mentoring within the field of education, and mentoring within the field of school leadership. From there, the researcher will explore

specific models of mentoring and work to identify structures that link back to the foundational understandings. A visual model of the structure of the literature review is included below (see Figure 1). This model depicts four interconnected topics through three leadership themes.

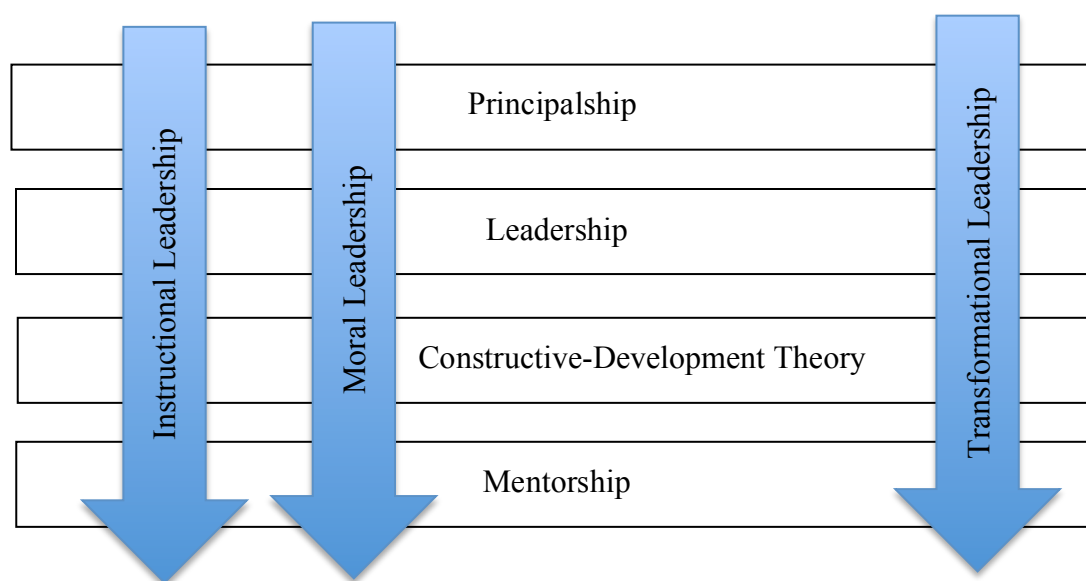


Figure 1. Literature review theoretical structure.

Principalship—An Introduction

“Schools that make a difference in students’ learning are led by principals who make a significant and measurable contribution to the effectiveness of staff and in the learning of pupils in their charge,” wrote Hallinger and Heck (1998, p. 158). This assertion comes from an empirical study conducted upon a review of 15 years worth of research. According to a study conducted by Public Agenda in 2001, “virtually all

superintendents (99%) believe that behind every great school there's a great principal" (p. 21).

Prior to understanding the relationship and work of mentorship in principal development, we must examine the position for which one is preparing. The work of the principalship has transformed significantly since the early 1900's. Dynamic and ever-changing, the role reflects the transformations within the American public school system. In our exploration, the researcher will briefly trace the transformation of the position. The researcher will also discuss definitions and conceptions of school leadership. Lastly, The researcher will examine leadership in practice within the context of a specific school system. The evolution of the principal job responsibilities will be examined. Definition and conceptions of school leadership and leadership within the context of a specific school system will be discussed and analyzed.

American Education—Industrial Revolution to The Digital Age

Kafka (2009) wrote, "most historical research published on school leadership in the past several decades gives shrift to the principal by examining school administration writ-large and focusing primarily on district-level leaders" (p. 320). In her article Kafka drew upon the work of Rousmaniere to explain this trend. Kafka suggested four reasons for the omission of principals within the written history of the American educational system:

1. primary focus on district level leadership;
2. broad category of leadership to include district and building level;
3. lack of interest in the principal (from the audience and researchers); and

4. principals fall into the gap between social histories of schooling and institutional focused histories.

The role of the principalship rose from the structural changes in schools. In the early 1800's schools became larger and subdivided into multiple classes/grades. Pierce (1935) explained that these changes were necessitated by the exponential growth of cities and the inclusion of girls within public education. It was during this time that the position of *principal teacher* was established as someone that performed both instructional duties and administrative duties for the school. Kafka (2009) noted, "As the century progressed, the principal teacher eventually lost his teaching responsibilities and became primarily a manager, administrator, supervisor, instructional leader, and increasingly a politician" (p. 321).

The study of the early principalship is also traced through the authority gained over time. As school districts saw their populations grow, a greater amount of autonomy was placed at the level of the principal. Pierce (1935) traced gains made by principals in the latter half of the 19th century and early 20th century. It was during this time that principals gained direct supervision over their buildings, their staffs, and their students. Kafka (2009) wrote, "principals were able to lead their schools, and to gain authority through doing so, in part because they were granted independence and autonomy by their superintendents," (p. 322). Beyond the general bureaucratic expansion, principals were also becoming more organized and outspoken in their work. In 1859 a group of New York City principals organized themselves against the superintendent's control within their schools and won. Battles regarding control of student assessment, teacher

supervision and instructional decision making were all issues that rose in large districts across the country (Kafka, 2009; Pierce, 1935; Rousmaniere, 2007). This drive for greater autonomy and authority led to an interesting alliance in the early years of educational unions. In its inception National Educational Association and the National Association of Elementary School Principals were aligned.

Beck and Murphy (1993) traced the principalship in a different way. The authors utilized a metaphorical analysis to study and understand the principalship throughout time. Rather than trace specific role development or placement within institutional context, Beck and Murphy used metaphors throughout the 20th century. “Using metaphor enables a speaker to offer a view of a complex, often abstract experience or idea by referring to an experience or idea more readily understood” (Beck & Murphy, 1993, p. 6).

The themes traced in this metaphorical analysis reflect dominant thinking and trends within the time periods they are situated. “Examining these metaphorical emphases in the light of major social, cultural, and political events we are led to propose that the role of principal is an extremely malleable one, shaped by diverse set of concerns and events,” wrote Beck and Murphy (1993, p. 197). The authors argued that most influential events are entirely non-educational in nature but have an impact on the educational system. A brief presentation of Beck and Murphy’s (1993) work (see Table 1) follows.

Beck and Murphy (1993) wrote, “as the years unfold, we see, in essence, a shift between metaphors that emphasize the values base of educational leadership and those

Table 1

Synopsis of Metaphorical Framework for Understanding the Principalship

Decade	The Principal as. . . .	Dominant Values	Metaphorical Phrase (p. 202)
The Twenties	Spiritual Leader Social Leader	Optimism	Venues Broker
The Thirties	Executive Manager	Practical	Scientific Manager
The Forties	Democratic Leadership Leader on Homefront	American Social	Democratic Leader
The Fifties	Administrator	Objectivity Academic Detailed	Theory-Guided Administrator
The Sixties	Bureaucrat	Technical Standardization	Bureaucratic Executive
The Seventies	Community Leader	Socially Relevant Humanist	Humanistic Facilitator
The Eighties	Instructional Leader	Effectiveness Accountability	Instructional Leader
The Nineties	Leader	Higher Expectation for the Purpose of Education	

that stress the importance of technical expertise” (p. 202). In looking at the present work in the early 21st century we see a great deal of both.

Survey data gathered over the past century reflect the trends explored above. In 1928, the National Association of Elementary School Principals (NAESP) in conjunction with the National Education Association (NEA) began to study the experiences of K-8 principals. They conducted multiple 10-year studies and have a vast database of information. The later studies did not involve the NEA and the most recent one was conducted starting in 2008. The researcher has used some of the NEA’s findings in our

historical research. There is a wealth of data that comes from this longitudinal project.

Notable findings and comparisons included:

1. number of “teaching principals” (principals that also taught in the classroom) went from 17% in 1958 to 1% in 1998;
2. overall increase in the number of hours for the work day and work week;
3. gender distribution in the second half of the twentieth century showed great disparity (1968 - 78% men and 22% women, 1978 - 82% men and 18% women, 1988 - 80% men and 20% women) compared to the first survey in 1928 (45% men to 55% women) and later surveys like 1998 (58% men to 42% women); and
4. challenges that principals cited reflected larger societal times; 1958—concerns around enough clerical workers, 1978—union collective bargaining and by 1998 principals were concerned about the “fragmentation” of principal’s time.

While many things have changed over the course of multiple studies there are some elements that have remained the same. The median age of the principal has remained between 48 and 50 for the past 40 years. Principals were also asked, “suppose you were starting out all over again, would you want to become a school principal?” in the surveys conducted from 1968 to 1998 over 80% of principals said yes.

The Principalship—In a Current Model

“The position of school principal as it currently exists is a relatively new phenomenon within the broader history of public education,” wrote Kafka (2009, p. 320). In recent years, the role, meaning and work of the principalship has transformed greatly.

We will be drawing on two sources to define the current work of the principalship. The researcher will be looking at the Interstate School Leaders Licensure Consortium (ISLLC) *Leadership Standards* and the City of New York's Department of Education (NYCDOE) *School Leadership Competencies*. We have chosen these two frameworks for a number of reasons. The ISLLC standards are a national set of standards that transcend individual systems and are the basis for many educational leadership training programs. It is important to understand the principalship within a given district or structure. The Leadership Competencies described by the NYCDOE are being utilized because it helps us contextualize expectations within a given system. We have chosen this specific set because our later research will focus on leaders within the NYCDOE. Our brief analysis will start with a list of the competencies in each schema. We will then compare and contrast these lists to draw out larger themes.

The Interstate School Leaders Licensure Consortium under the leadership of the Council of Chief State School Officers published the most recent version of the standards in 2008. These standards mirror the footprint of the original standards from 1996 while reflecting current research and thinking. In developing the updated standards, the organization drew from over 100 studies and research projects. Their research pointed to a critical connection between student achievement and effective leadership. "Today, educational leaders must not only manage school finances, keep buses running on time, and make hiring decisions, but they must also be instructional leaders, data analysts, community relations officers, and change agents," wrote Executive Director Gene Wilhoit (2008, p. 3).

The ISLLC provided six standards for school leaders. They wrote, an educational leader promotes the success of every student by:

1. facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders;
2. advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth;
3. ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment;
4. collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources;
5. acting with integrity, fairness, and in an ethical manner; and
6. understanding, responding to, and influencing the political, social, economic, legal, and cultural context. (Council of Chief State School Officers, 1996)

In short, the ISLLC noted that principals are responsible for setting a vision, establishing a culture of learning, managing the day-to-day operations, working within the community, being ethical and understanding/acting upon larger contextual trends.

The New York City Department of Education (n.d.) developed a set of leadership competencies for school leaders. These competencies are based on five facets of how they define the work of a school leader. The five competencies included:

1. Personal Leadership—Fosters a culture of excellence through personal leadership;
2. Data—Uses data to set high learning goals and increase student achievement;
3. Curriculum and Instruction—Leverages deep knowledge of curriculum, instruction and assessment to improve student learning;
4. Staff and Community—Develops staff, appropriately shares leadership, and builds strong school communities; and

5. Resources and Operations—Manages resources and operations to improve student learning.

Comparing these two conceptions of school leadership helps us identify larger, essential themes for the work of contemporary principals. The researcher can draw three central assumptions from this analysis.

The purpose of education is to reach and teach all students at the very highest level. Beck and Murphy (1993) first exposed this trend in their book when they wrote about the metaphorical themes of the nineties, “educators are being asked to educate them (all students) successfully, but the definition of success has been dramatically expanded, that is, higher levels of achievement are expected,” (p. 183). Within the NYCDOE competencies it is defined as *Personal Leadership*—“believes all children can achieve at high levels,” “holds self and others accountable for student learning.” Within the ISLLC document it is captured at the beginning of every standard by saying, “an educational leader promotes the success of every student by.”

Examples from both of these frameworks not only set the expectation for student learning but also set the onus on school leaders in impacting student learning. This is the second assumption that we find as a theme within both of these documents. The influence of the principal is a fairly new topic to be studied. Data noted at the beginning of this section shows that direct links can be made between the effectiveness of a principal and her students’ learning. “Research has taught us that school leaders are crucial to improving instruction and raising student achievement” (Council of Chief State School Officers, 1996, p. 3). Rooted deeply within this expectation is that all decisions

and evaluations will be rooted in data. The NYCDOE competencies suggested that decision making should be based on scientific data as stated in the document “uses data to identify student learning trends, set goals, monitor and modify instruction and increase student achievement” (New York City Department of Education, n.d.).

The third assumption is that the principalship is multifaceted. Both schemas hold the expectation that a school leader is an operational leader, an instructional leader and a manager. This understanding redefines the work of the principal and captures role definitions throughout the last century and a half of American education. When we look back at the work of Beck and Murphy (1993), Kafka (2009), and Rousmaniere (2007) we can see how all of these dimensions of the work were the prominent definitions of the role at specific points. In the second decade of the 21st century we have begun to understand that no one characteristic is primary. Rather they all are important and necessary to the work of leading a school.

The two frameworks also reveal some differences. The NYCDOE *School Leadership Competencies* (n.d.) can be considered much more concrete in nature. The NYCDOE document provides concrete actions and job duties, while the ISLLC standards are broad in nature and provide a more holistic perspective of the work. This is in part because the audience and purpose differs between the two documents. The competencies provided by the NYCDOE help to articulate a job description and standard from which to hire within a specific system. The ISLLC standards are intended to give guidance to states, universities and community specific school systems. They have set a national

standard for the meaning of public education. Despite the differences in purpose and content, together they illustrate the work of a contemporary principal.

Kafka (2009) concluded her study by writing, “the history of the school principal demonstrates that although specific pressures might be new, the call for principals to accomplish great things with little support, and to be all things to all people, is certainly not” (p. 328). This sentiment is undoubtedly true and why the work of principal preparation and support is significant. We will apply our study and understandings of the principalship role throughout the remainder of the review

Schemas of Leadership

Marzano, Waters, and McNulty (2005) wrote “Leadership is considered to be vital to the successful functioning of many aspects of a school” (p. 5). To illustrate this point the authors listed a set of six examples that rely on competent leadership. These include “clear mission and goals,” “school climate and classroom climate,” “attitudes of teachers,” “classroom practices of teachers,” “organization of curriculum and instruction,” and “students opportunity to learn” (Marzano et al., 2005, p. 5). In this section we will explore theories of leadership within and outside of education. This will help us better understand the principalship as a role. It will also help us develop tenets for leadership development rooted in adult development theories, which will be explored in subsequent sections of this study.

Northouse (2010) suggested that there are 11 models for analyzing leadership. These include:

1. Trait Approach—a focus on the leader and specific traits that define a common leadership profile;
2. Skills Approach—a focus on the leader and one that suggested that leadership is a set of developable skills;
3. Style Approach—a focus on the leader and their behaviors towards tasks and relationship building;
4. Situational Approach—a focus on the leader and how their style must change depending on the situation;
5. Contingency Theory—a leader’s effectiveness is dependent on how well their style fits with the situation;
6. Path—Goal Theory - emphasizes the important link between the leader and her subordinates and is rooted in the *expectancy theory*;
7. Leader-Member Exchange Theory—sets up a dyadic relationship in which the interactions between leaders and subordinates becomes primary;
8. Transformational Leadership—a leadership process that transforms people through engagement between leadership and subordinates that heightens motivation and creates a connection;
9. Authentic Leadership—a focus on whether leadership is genuine or real;
10. Team Leadership—leader is responsible for the team’s effectiveness in leadership and decision-making; and
11. Psychodynamic Approach—leaders and subordinates should understand one another’s personality types in order to work together.

A summation of this list provides a number of insights regarding the development of leadership theories. Presented in chronological order, we can see a shift from leader-centered theories (i.e., Trait Approach) to theories that consider the dynamics and interplay between leader and subordinates (i.e., Leader-Member Exchange Theory). This transition is important and mirrors developments that were traced throughout the principalship in previous sections. The purpose of a leader also changes over time. In later configurations, leaders are expected to develop/transform those whom they lead (i.e., Transformational Leadership), they are also expected to support the decision-making process rather than make all of the decisions (i.e., Team Leadership). The researcher will be exploring facets of these later models as they are applied to leadership concepts to education.

Leithwood and Duke (1998) suggested that there are six leadership models discussed within the field of school leadership: (a) instructional leadership, (b) transformational leadership, (c) moral leadership, (d) participative leadership, (e) managerial leadership, and (f) contingent leadership. The researcher chose to explore three of these six models in greater depth in subsequent pages of this section. The literature review will examine more deeply the models of instructional leadership, transformational leaders and moral leadership because they set the foundation for elements of the study. The juxtaposition between instructional leadership and transformational leadership illustrates the ongoing exploration of the role and influence of being a principal. The exploration of moral leadership helps us understand the true dynamic of leading a school.

“The modern roots of instructional leadership can be found in the effective schools movement of late 1970’s and early 1980’s” wrote Leithwood (2005, p. 8). This movement and subsequent model called on principals to put a greater emphasis on teaching and learning rather than the routine management of operations within the school. Hallinger (2000) proposed a model of instructional leadership that has three dimensions. These include: defining the schools mission and vision, overseeing the instructional program and establishing a positive school climate. Hallinger’s research further defined these dimensions into actionable functions that the school leader must execute. “The broad brushes of research on instructional leadership in an effective school produces an image of the principal as directing or orchestrating improvements in the school” wrote Hallinger (2003, p. 337).

The instructional leadership model became a wildly popular leadership construct. Hallinger (2000) conducted an extensive review and found that there had been over 125 empirical studies related to instructional leadership between 1980 and 2000. In the study Hallinger noted a number of key themes found within the research. “Instructional leadership influences the quality of school outcomes through the alignment of school structures” concluded Hallinger (2003, p. 333).

Cuban (1988) also noted some of the limitations associated with this model. He argued that the actual work of a principal will always extend far beyond that of an instructional leader. Barth (1986) concurred with this point and also noted that narrowing the work of the principal has the unintended consequence of limiting the leader’s effectiveness because they will have less reach influence within the organization.

“Transformational leadership focuses on developing the organization’s capacity to innovate” (Hallinger, 2003 p. 331). This model first entered the literature in the 1970’s and was applied by theorists within educational leadership in the 1990’s as a reaction to instructional leadership (Hallinger, 2000). Hallinger (2003) wrote, “around 1990 researchers began to shift their attention to leadership models construed as more consistent with evolving trends in educational reform such as empowerment, shared leadership, and organizational learning” (p. 330).

Leithwood and Duke (1998) proposed a model of transformational leadership that has seven elements: (a) individualized support, (b) shared goals, (c) vision, (d) intellectual stimulation, (e) culture building, (f) rewards, and (g) high expectations and modeling. It is important to note that within all of these elements there is a shared responsibility. The principal is not the only one that will create a culture that fosters this type of leadership and member development.

Hallinger (2003) explained that there are distinguishing characteristics between transformational leadership and instructional leadership. He defines them as follows:

1. top-down vs. bottom-up focus on approach to school improvement;
 2. first-order or second-order target for change; and
 3. managerial or transactional vs. transformational relationship to staff.
- (Hallinger, 2003, p. 337)

In this comparison Hallinger (2003) introduced the concept of first-order and second-order effects. In the instructional leadership model, a principal’s work is aimed to directly target elements that influence instruction and student learning. In transformational leadership a principal would aim to generate second-order effects. Meaning, they would work to build capacity in others so that the entire community can

produce first-order effects. This comes back to the central definition of transformational leadership, a leadership model that aims to transform its members (Northouse, 2010). We will return to the concept of transformation when we look more deeply at adult learning and development.

“*Moral leadership* assumes that the critical focus of leadership ought to be on the values and ethics of the leaders themselves,” wrote Leithwood and Duke (1998, p. 36). In his book, *Moral Leadership: Getting to the Heart of School Improvement*, Sergiovanni (1992) wrote about the types of leadership principals demonstrate within school communities. He names three categories of leadership. “Command and instructional leadership, ‘leader of leaders’ leadership, and servant leadership can be viewed developmentally, as if each were built on the other,” wrote Sergiovanni (1992, p. 126). Considering them within a spectrum, “command” and “instructional leadership” are viewed as directive and authoritarian in nature (Sergiovanni, 1992). The latter styles of “leader of leaders” and “servant leadership” look inward at the purpose of leadership within the communities being led. Of servant leadership, Sergiovanni wrote, “When one places one’s leadership practices in service to ideas, and to others who also seek to serve these ideas, issues of leadership role and of leadership style become far less important” (1992, pp. 128-129). This perspective and understanding holds itself in juxtaposition to other experts in the field of school leadership. The concept of “servant leadership” also exists in tension with the articulated roles and responsibilities of the principalship. We will return to the concept of “leader of leaders” when we explore concepts of mentorship within the leadership development process.

Noddings (2002) expanded on the premise of moral leadership through her ethical construct of care. Noddings's work around Care as a moral theory can also be applied within moral leadership. Noddings suggested that the relationship between the caregiver and cared for is fundamental for growth. In this framework, the caregiver can be considered the principal and the cared for are individual members of the school community. Noddings argued that a caregiver has a unique relationship with each individual they care for. For Noddings, the needs of the individual drive the work. Looking deeper at Noddings, we can also understand how care helps guide these elements of leadership. Noddings suggested that care is a reciprocal relationship. Noddings work encouraged leaders to look within themselves to understand more deeply what guides their work and their goals. The researcher will return to Nodding's work when we examine the relationship between the mentor and her mentee in subsequent sections of this review.

“At least a half dozen such leadership models appeared repeatedly in educational leadership literature. . . . Nevertheless, two models currently vie for most of the attention among practicing educators—instructional and transformational models” (Leithwood, 2005, p. 6).

Leithwood (1994) studied the concept of transformational leadership and its influence on school improvement. “Our interest in leaders' cognitive and affective states is based on the simple premise that what they do (leaders' practices) depends on what they think and how they feel” wrote Leithwood (1994, p. 509). He concluded in his research that there are four main areas that a principal influences within their leadership

of the organization. These four areas are: (a) purpose, (b) people, (c) structure, and (d) organizational culture (Leithwood, 1994, pp. 510-512). Within each area Leithwood lists specific leader actions connected to that facet of the system. Leithwood's framework illustrates that the impact the leader has at the level of the organization. Leithwood concluded by stating, "the accomplishment of transformational leadership within a school depends on the attention to all its facets. . . . The substantial effects of transformational leadership that we found seem attributable to applications of all these dimensions," (1994, p. 514).

Adult Development - Constructive-Development Theory

The fundamental tenets and structures of mentoring models are rooted in theories of adult development and learning. Prior to studying mentoring in detail these theories must be explored. Creating a framework for adult learning will help us better understand mentoring and how it works.

Development is more than simply change. The word implies direction. Moreover, development seems to happen not in a gradual and linear way but in distinct and recognizable leaps - in a series of spiraling plateaus rather than a smooth slope. Each plateau rests upon and represents a qualitative improvement over the previous one. (Daloz, 1999, p. 23)

In the early eighties Robert Kegan published a book titled, *The Evolving Self* (1982). In this book, Kegan presents a theory for adult development—Constructive Development Theory. Kegan (1982) argued that adults progress from simple to more complex ways of understanding over their lives. Kegan draws from Piaget's (1954) work with young children. Piaget concluded that intellectual development was an upward spiraling process where children reconstruct their ideas and ways of interacting with the

world. Kegan took this work phenomenon and applied it to adults. “The constructive part of the theory assumes that humans construct subjective understanding of the world that shapes their experiences as opposed to directly experiencing an objective ‘real’ world,” (Kuhnert & Lewis, 1987, p. 650). Drago-Severson (2009, p. 37) explained that there are three primary ideas to Kegan’s work around meaning making:

1. *Constructivism*: We actively construct to make meaning of our experiences;
2. *Developmentalism*: The ways we make meaning and construct reality can develop over time; and
3. *Subject-object balance*: This balance centers on the relationship between what we can take perspective on (hold as “object”) and what we are embedded in and cannot see or be responsible for (are “subject to”). Kegan (1994) explained, “we cannot be responsible for, in control of, or reflect upon that which is subject” (p. 32).

The subject is an adult’s unquestioned understandings, beliefs and assumptions about a world. “Elements of knowing or organizing that we can reflect on, handle, look at, be responsible for, relate to each other, take control of, internalize, assimilate, or otherwise operate upon” are the object, wrote Kegan (1994, p. 32). The object is what we can see and control.

“The part of development that Kegan is most concerned with involves the move of elements from the Subject to the Object” (Berger, Hasegawa, Hammerman, & Kegan, 2007, p. 2). The authors noted that when you begin to move complex elements from subject to object your world view changes and things become more complex. You are able to act on and understand more. “What was once an unselfconscious lens through which the person viewed the world now becomes something that can be seen and reflected upon,” Berger et al. (2007, p. 2). Kuhnert and Lewis (1987) wrote, “What is subject for some is object for those at higher stages of development” (p. 651).

McCauley, Drath, Palus, O'Connor, and Baker (2006) suggested that there are a number of basic propositions to this theory. These include:

1. people actively engage in meaning making—understanding themselves and the world they live in;
2. there are patterns of meaning making that we all have in common;
3. there is a developmental sequence with subsequent stages transcending the ones before;
4. people do not transgress in their developmental stages - each stage represents a new way of organizing understanding;
5. later stages represent more complex and comprehensive understanding;
6. we exist within the current limitations of the developmental stage and are driven to new stages by the complexities of our world; and
7. people's current development stage determines what they are aware of, can reflect on and can change.

McCauley et al. (2006, p. 636), wrote, “developmental movement is driven by new challenges that reveal limitations of the current organizing principle.”

Kegan's (1982) research proposes that there are six stages of adult development. In each stage, the adult learner relates in a particular way to the world. Kegan delineates these stages by defining how the individual makes meaning within each stage. He used the paradigm of subject and object (discussed above) to draw this contrast.

Kegan's (1982) six stages include: *incorporative, impulsive, imperial, interpersonal, institutional, and interindividual*. Many researchers in this field believe

that most adults fall within the middle stages of development (Drago-Severson, 2009; Kegan, 1994; Kuhnert & Lewis, 1987; McCauley et al., 2006). It is for this reason that we will spend more time exploring the *imperial, interpersonal and institutional* developmental stages.

Drago-Severson (2004, 2009) described the *imperial* stage as the “rule-based self” (p. 41). She explained the people in this stage of development are concerned about what is “right” and “concrete consequences” for their actions; this type of person has a “concrete orientation to the world” (pp. 41, 43). Kuhnert and Lewis (1987) note that adults in this stage “have not developed the organizing processes (subject) necessary for understanding or participating in mutual experiences and shared perceptions” (p. 652). Adults in the stage lack the ability to be reflective in greater complexity.

Kegan’s stage 3, *interpersonal stage*, is an existence where one is “able to reflect on their own interests and consider these interests simultaneously with the interests of others,” wrote Kuhnert and Lewis (1987, p. 652). In this stage, people are attune to the needs, wants and desires of others. These help drive their decision making. Drago-Severson (2004, 2009) suggested that the one’s sense of self is defined by the value others place on it.

The *institutional stage* is Kegan’s 4th stage of development. In this stage, the individual has the ability to know oneself. Berger et al. (2007) wrote, “There is also the capacity to explore thoughts and feelings, creating one’s own sense of authority or voice” (p. 4). Drago-Severson (2009) added to this concept by writing, “self generates and replies to internal values and standards” (p. 40). Kuhnert and Lewis (1987) suggested the

major difference between the *interpersonal stage* and the *institutional stage* is that one's definition of self is "not in terms of their connections to others but in terms of their internal values or standards" (p. 653).

"Kegan's framework has been offered as an approach to explaining why some leaders exhibit more transactional behaviors and others more transformational behaviors" wrote McCauley et al. (2006, p. 649). Kuhnert and Lewis (1987) argued that a leader cannot perform in a transformational way until she reaches the *institutional stage* in her development. Since the initial publishing of this theory nearly three decades ago, new evolutions of this framework have been proposed. The work of Drago-Severson (2004, 2009) takes Kegan's framework and applies it to the practice of working with adult learners. In this section, the researcher will provide a brief exploration of Drago-Severson's work. Drago-Severson's research will serve as a basis for models and theories discussed in subsequent sections of the literature review.

Drago-Severson (2009) draws a contrast between *informational learning* and *transformational learning*. She wrote, "transformational learning changes *how* a person knows" (p. 35). Based on this understanding, Drago-Severson takes the developmental stages of Kegan and introduces the concept of *Ways of Knowing*. Drago-Severson wrote, "a person's way of knowing dictates how learning experiences will be taken in, managed, used and understood as objects" (2009, p. 37).

Drago-Severson (2009) provides modified terminology in her work. She labeled the intermediate and higher stages using terms connected back to the idea of what we use to "know" and make meaning. The identifying characteristics for each stage are similar

to that of Kegan's work. These include: *instrumental* (stage 2), *socializing* (stage 3), *self-authoring* (stage 4) and *self-transforming* (stage 5). We will be using Drago-Severson's terminology throughout other sections of the literature review.

There are a number of limitations to this theoretical framework. McCauley et al. (2006) raised questions about the scientific validity of the studies and larger methodological issues in this field. Based on their analysis of multiple studies, they concluded that there is a trend of inconsistency within the data findings. McCauley et al. (2006) suggested better research instruments to gather qualitative and quantitative data. Kuhnert and Lewis (1987) added that current tools are limited to measuring task completion without looking toward larger organizational outcomes that come as a result of transformational leadership.

“Constructive-Developmental Theory developed out of a Western perspective and does not have a strong base of cross-cultural research” wrote McCauley et al. (2006, p. 648). The cultural homogeneity is important to note as a limitation to the theory and be aware of in considering this framework. A majority of the studies found in the literature review focused on applications to leadership development within the United States. This could be an interesting area for a researcher to explore further. The research is limited to educational leadership within the United States so this presents itself as less of an issue.

Despite its limitations, Constructive-Development Theory has a myriad of applications to leadership development and mentoring. Drago-Severson (2009) concluded, “mindfulness of developmental diversity helps us understand how teachers,

principals and superintendents will experience . . . their learning in different ways” (p. 54). We will be exploring some of Drago-Severson’s proposed structures as well as other models for development under the lens of this theory.

Now that the researcher has laid the theoretical framework for our study the researcher will explore the concept of mentorship in-depth. This part of the review will start with a brief exploration into the history of mentorship. The researcher will then examine mentorship within the context of education as a way to provide more context for its usage in the field. From there, the researcher will draw upon specific models and studies as they relate to the principalship, leadership and theories of adult development.

The Evolution of the Mentor—From the Odyssey to Contemporary Writings

The first we learn of the concept of the mentor is in Homer’s Greek epic poem *The Odyssey*. While archeologists do not know the exact date of the text, they believe it was written around 1100 BC. In the story, Mentor and Odysseus are friends. Odysseus goes off to battle he leaves Mentor to help care for his son Telemachus. In the story, Mentor has a paternal relationship with Telemachus. The term mentor means “enduring” in Greek (Drago-Severson, 2009). The name has grown to take the meaning of father-like teacher after the role Mentor played for Telemachus. “Mentoring is one of the oldest forms of supporting human development,” wrote Drago-Severson (2009, p. 213).

The concept of mentor continues to appear in literature. The first modern application comes from a French writer, Francious Feleon, who wrote *Les Aventures de Telemaque* in 1699. In this story, one of the characters is named Mentor. The character’s functions and behaviors are synonymous with modern day conceptions of the role

(Roberts, 1999). The story was widely popular during this age of enlightenment and soon after the word mentor began to appear in French and English dictionaries. “It is thanks to Felenon, and ‘the age of enlightenment’, that the modern day allusion of the word mentor was resurrected” (Roberts, 1999). It is of significance that the character of Mentor in *Les Aventures de Telemaque* is described as a trusted friend, counselor or teacher. Garvey, Stokes, and Megginson (2009) wrote, “These historical works link mentoring with cognitive development, emotional development, leadership and social integration, all of these being rooted in experiential learning philosophy” (p. 9).

The modern definition of the word *mentor* is dated back to 1740-50 and comes from the Greek derivation. According to *Oxford Dictionary*, a mentor is an experienced and trusted advisor. Synonyms for mentor include advisor, master, guide, teacher and preceptor. We will see many of these synonyms revealed as we further trace the evolution of this role.

“Mentoring as a form of prevention dates back to the late 19th century, when the Friendly Visiting campaign recruited hundreds of middle class women to work with poor and immigrant communities” (Freedman, 2008, cited in Office of Juvenile Justice and Delinquency Prevention, n.d.). Tenants of this program derive from Great Britain and the Victorian Era (Colley, 2002). The contemporary form of this model is that of Big Brothers, Big Sisters, which is a program that pairs children up with adult role models.

Exploration into the work effects of mentoring became popular in the United States in the 1970’s (Berger, 2011). *The Seasons of a Man’s Life* (Levinson, 1979) was the first time the modern concept of mentoring was written about within the United States

(Berger, 2011). In the book, Levinson (1979) conducts a longitudinal study of male development. In the study, Levinson found that men in their young-adult lives cited their experiences with what he termed mentors. Levinson concluded that this structure can help accelerate male development in adulthood. Sheehy (1976) examined the adult female experience in her book, *Passages: Predictable Crises across Adult Life*. She found less significant evidence to show the impacts of mentoring among women. Roche (1979) conducted a study of 1,250 business executives and found that over two-thirds of them had a mentor within their professional work.

The Evolution of the Mentor - The Modern Concept in the Context of Education

Based on the previous discussions, it comes as no great surprise that the definitions of mentoring found in the academic literature vary greatly. It becomes clear that a multitude of meanings can be placed on a continuum of supervision. In this section, the researcher will review the myriad of definitions and then place them in a model to illustrate this difference. The researcher will be drawing from all facets of the field of education not just that of the principalship. The researcher is doing this because mentoring of aspiring leaders does not appear as soon or with the same level of frequency as does development of teachers within education.

Many definitions suggested a hierarchal relationship between the mentor and mentee. One in which the mentor has more experience and can provide the mentee with a skill set necessary to develop in a position (Aladejana, Aladejana & Ehindero, 2006; Price & Chen, 2003). Gehrke (1988) described this as, “(passing along) the gift of

wisdom” (p. 192). In these definitions, there is a clear pathway and flow of information from the mentor to the mentee.

The definitions of mentorship changed in the literature and become more dynamic in nature. Roberts (2000) noted that the mentorship is a complex, social and psychological phenomena. Smith (2007) described mentorship as a, “particular mode of learning wherein the mentor not only supports the mentee, but also challenges them productively so that progress is made” (p. 277). Kram (1985) explained that a mentoring relationship is interpersonal in nature. Kwan and Lopez-Real (2005) understood mentoring to be “both a relationship and a process” (p. 276).

Lai (2005) synthesized this dynamic interplay within the relationship by writing, “it is found that mentoring has become conceptualized with respect to its relational, developmental and contextual dimensions” (p. 2).

In the relational dimension of the mentorship, the primary focus is between the mentor and their mentee. Gehrke (1988) focused on this dimension above all others. Gehrke bases her process on an exchange system. Gehrke (1985) suggested that there are four phases to the “gift giving” process: the mentor’s gift formation; protégé's awakening; protégé’s commitment to work towards personal transformation; protégé becoming a mentor as well. “The greatest gift a mentor can create is a new and whole way of seeing things,” wrote Gehrke (1985, p. 192).

The developmental dimension of the mentorship explores the functions and behaviors that support development (Lai, 2005). Vondracek, Lerner and Schulenberg (1986) explained that transformation depends both on context and an organism’s own

capacity to change (Vondracek et al., 1986). “Within this framework, we consider mentoring to be a dynamic, reciprocal relationship in a work environment between a mentor and protege aimed at promoting the career development of both,” (Healy & Welchert, 1990, p. 17). Healy and Welchert go on to emphasize the difference between mentorship and supervision. In the developmental mentorship, there is a level of reciprocity between the partnership and a promise of “identity transformation by each party” (1990, p. 18).

Lastly, there is the contextual dimension of the mentorship. This recognizes the importance and the influence of cultures and communities connected to the mentoring process. Lai (2005) wrote, “the conceptualization of mentoring as enculturation suggested that mentoring is about helping (the) novice fit into the organization and culture of a particular community” (p. 3).

We will see the dimensions continue throughout the literature and field studies related to mentoring. While the dimensions were presented individually above, they should be considered together as Lai (2005) suggested.

In time, we began to turn away from the singular model of the mentor-mentee relationship. McCormack and West (2006) conducted a multi-year case study of a group mentoring model. In their study, they define mentoring as, “a process that facilitates a wide range of experiences, learning and development” (p. 411). Beyond this, the mentor’s role also looks different. McCormack and West drew on Clifford’s (2003) model and defined the mentor as someone who “aides another persons’s (the mentee) self development” (p. 4). Clifford (2003) explained that in the group mentoring structure

“everyone is a mentor and mentee” (p. 6). The group mentor structure points to a philosophical shift in the role of the mentor and relationship(s) within the structure. The mentor role changes from that of a sage to that of a facilitator. There is also value in what the mentee can bring to the partnership. “The facilitator’s role is to create and sustain an environment that fosters experiential self-learning” wrote McCormack and West (2006, p. 413). Based on the researchers’ evaluation, the program was deemed successful and met its goals.

Ambrosetti and Dekkers (2010) conducted a critical review of literature involving the mentoring of pre-service teachers. They found that over time “mentoring has replaced supervision in most cases in the pre-service education context” (p. 43). This finding presents the need to underscore the critical distinctions between supervision and mentoring. Hudson and Millwater (2008) explained that supervision is evaluative in nature and that mentorship allows for more authentic learning experiences. “If the relationship is shared democratically between the mentor and the mentee with opportunities for collaboration, challenges, and two-way dialogues then mentees can be empowered and more open to develop practices or theoretical frameworks” (Hudson & Millwater, 2008, p. 2).

The traditional sense of the mentorship also lends itself to other power dynamics regarding age. Ambrosetti and Dekkers (2010) suggested that in the traditional mentor stereotype the mentors are seen as, “older, wiser, more experienced persons and mentees as younger, less experienced protege persons” (p. 44). We do see this stereotype and assumption changing. Case studies by Smith (2007), McCormack and West (2006),

Hudson and Millwater (2008), and Lai (2005) all point to this trend. A mentor can be a co-worker or a peer (Ambrosetti & Dekkers, 2010; Smith, 2007). Within the lens of traditional power dynamics, we were also curious about gender. We are interested in this in part because of the origins of the word *mentor* from *The Odyssey*.

Over the past two sections, the researcher has traced the origins and evolution of the mentoring concept. Introduced next is the continuum that has come from this study. The continuum is a spectrum that contrasts paternal-hierarchy with a collaborative partnership.

Mentorship as a Holding Environment - Connections to Constructive-Development

Prior to looking into specific structures and models, we must take a moment to make an explicit connection between mentorship and theories of adult development. Daloz (1999) wrote, “mentoring helps adult development through the context of personal relationships” (p. 38). Ragins and Kram (2007) furthered the claim by writing, “mentoring is a developmental relationship that is anchored in a career context” (p. 5). Drago-Severson (2009), continues by stating “Mentoring creates a context a relationship or series of relationships—that enables adults to learn from, and broaden their own and other people’s perspectives” (p. 220). She suggested that mentoring structures provide the necessary *holding environment*—for adult development.

Drago-Severson (2009) suggested that mentoring as a holding environment offers the following:

1. “hold well—meaning that it affirms who the person *is* and *how* the person is currently making meaning,”
2. “letting go or offering alternative perspectives,” and

3. “it stays in place to provide continuity as the person establishes a new balance—or way of knowing.” (p. 221)

Drago-Severson (2009) concluded by writing, “robust and effective mentoring relationships, as developmental holding environments, need to offer a delicate balance of supports, challenges and continuity that are aligned with a person’s way of knowing to support growth” (p. 221).

There is a crucial need for mentoring as a means for leadership development. Now that we have rooted our model in scientific, developmental theory, we are able to explore specific applications of the mentorship. A study conducted by the Principal’s Center at Harvard found that principals “when asked ‘Which was the most valuable in preparing you for your current position’ 52% of principals surveyed responded that it was mentoring” (Villani, 2006, p. 16).

Structures and Themes Guiding the Mentorship

The literature is varied regarding the necessary structures for an effective mentorship. In reviewing these structures, we must be reminded of the underlying paradigms that guide each model’s composition. The researcher will start by reviewing common themes and structures found within the literature. The researcher will then focus on specific mentorship models and studies connected to them. Finally, the researcher will synthesize findings into a list of appropriate best-practice models.

Golian and Galbraith (1996) provide a set of common themes within mentoring literature.

Mentoring is:

1. a process within a contextual setting;
2. it involves a relationship between individuals with different levels of experience;
3. mentoring provides networking opportunities; and
4. it is a developmental mechanism; is a reciprocal relationship; and drives transformation for both mentor and mentee. (Golian & Galbraith, 1996, p. 100)

Most of these themes are rooted in the definitions of mentorship and theories related to adult development that we have already explored. These themes will become even more familiar as we examine them in context of structures and programs.

Determining effective structures starts with understanding the needs of developing leaders. Williams, Matthews, and Baugh (2004) wrote, “Aspiring school leaders . . . need sustained experience in the context and action of the community of practice, working alongside successful mentor principals, to be fully prepared to take on complex roles” (p. 54). Lave and Wenger (1991) give the term *legitimate peripheral participation* to explain this developmental need. Thinking back to the section on the principalship, we are reminded of the complexities (both in task and interpersonal connections) related to the role.

In their book, *Situated Learning: Legitimate Peripheral Participation* (1991) Lave and Wenger presented a conceptual model that suggested mentees are slowly introduced to a community. They are initially given low-stakes tasks that are meaningful. This allows them to learn about the community, interact with the community and understand a community starting in a peripheral way. Through all of the induction moment they are working closely with a mentor. Eventually, they become fully integrated into the community and take on a more significant role. The context of Lave

and Wegner's (1991) text extended beyond the field of education and can be applied to all types of organizations.

The developmental reasoning behind this structure is that authentic learning is social in nature. As a newcomer enters a community, they move from the outside inward through their experiences and interactions. Lave and Wenger (1991) used the term *apprenticeship* to help describe this process. The process is not necessarily an exchange of information; but rather, a change or transformation in the identity of the learner.

Moving toward full participation in practice involves not just a greater commitment of time, intensified effort, more and broader responsibilities within the community, and more difficult and risky tasks, but, more significantly, an increasing sense of identity as a master practitioner. (Lave & Wenger, 1991, p. 111)

The final phase in the process is what Lave and Wenger (1991) termed *regeneration*. This is where the once newcomer is now in turn supporting the most recent newcomers. This continues the cycle within a community. It also allows for further developmental practice for all members.

Zachary (2002) presented a different model. Zachary explained that there are developmental models within effective mentoring relationships. These four stages are:

1. initiation,
2. expectation setting,
3. implementation, and
4. reflection and celebration. (Zachary, 2002)

Each of these stages is crucial to a reflective relationship in which there is mutual trust and respect.

The initiation and preparation stage of the mentorship is meant to prepare both the mentor and mentee for the work of the program. This time is to help build skill and context for both parties.

The second phase focused on defining the experience—the planning and expectation setting. Many have written about the importance of expectation setting when it comes to relationship formation in collaborations such as the mentorship. Zachary (2002) described the need for both the mentor and mentee to express their expectations in the process and come to an understanding about what the actual experience will be like. Beyond this, the partnership one must also determine the goals and work of the process. This is considered the action planning process of the relationship.

The third stage of the mentoring process is the implementation of the action plans (Zachary, 2002). In this phase, the mentor has supported the mentee in implementation of their co-constructed plan. The mentor acts as a support, resource and critical friend throughout this process (Kiltz, Hunnicutt, Hargrove, & Danzig, 2005). The mentor also takes on the role of learner. In relating this phase to a case study Kiltz et al. (2005) wrote, “it was through these experiences that both the mentor and the mentored had the greatest opportunity to experience personal and professional growth” (p. 15).

In the last stage of work, the mentors and their mentees reflect. They reflect on their learning, growth and success. Kiltz et al. (2005) wrote, “collective and personal reflection provided the opportunity for growth and renewal for the mentor and the mentored” (p. 16). This is the time for the partnership to also examine and define their work (action plan).

Leaders of the Learner Centered Program (LCP) of Arizona State University have created a mentoring system between principals and aspiring leaders based on the model described above. Researchers Kiltz et al. (2005) explained that the program is based on an approach termed *purposeful mentoring*. “Purposeful mentoring is defined as continuous individual growth and innovation related to school-specific goals and strategies that are outlined in a formalized plan of action” (p. 3). In their research, they studied four mentoring partnerships that utilized this model. They used a narrative research model to share their findings.

Kiltz et al. (2005) named four common themes among the novice administrators. These themes relate to structures and experiences novice administrators had during the mentorship. These findings included: action planning as an effective tool for professional development; mentees should be able to select their mentors based on individual's needs; mentees need time to reflect and share their action plan with other administrators; and, participants need to see connections between the work of the mentorship and real-life tasks.

Kiltz et al. (2005) also named three common themes among the mentors. These included: the action planning process gave purpose and structure to the mentoring partnership; mentors also grew professionally as a result of this work; and, time was a resource challenge.

The findings from both the novice administrators (mentees) and their mentors reflect a success to the program's structures. Both the mentees and the mentors found the action planning process to be useful and constructive. They both also reflected that the

over all process led to personal growth. The challenge of time and appropriate matching of partners is something that we will find is not unique to this study. The matching of partners was an element that could be found in other studies as well. According to a study done by the National Association of Elementary School Principals in conjunction with The Educational Alliance (2003), “The closer you can match the conditions under which the new principal is working with the mentor’s experience and expertise, the more successful the mentoring process will be” (p. 8).

Daresh (2001) wrote,

effective mentoring must be understood as a process that is much more sophisticated than simply sharing craft knowledge when called upon by an organizational newcomer. It must be seen as a proactive instructional process in which a learning contract is established between the mentor and the protégé.
(p. 75)

In his book, *Leaders Helping Leaders*, he proposed a three-phase process for mentorship. This is similar to the system found in the LCP program described above. Daresh (2001) names three components to the mentoring model: planning, implementation and evaluation. In his book, he also described the benefits of this mentoring model. We will discuss this in greater detail in a later section of our review. Zachary and Fischler (2009) echo by writing, “reciprocity of learning, relationship partnership, collaboration, mutually-defined goals, and development” (p. 6).

Now that the researcher has examined several models, studies and conducted an extensive review of the literature the researcher is able to synthesize a list of necessary elements for effective mentorship models.

1. Specific structures and tasks to anchor the work of the mentorship (action planning, memorandum of agreement, etc);
2. structured time for relationship building and expectation setting;
3. strategic matching of mentor and mentee based on professional needs and growth goals; and
4. an ongoing system for reflection by both members of the partnership.

Attributes and Role Development

“Mentors facilitate the journey from novice to full practitioner by focusing on the individual intern’s experiences, developmental levels, interests dispositions and interpersonal skills,” Galbraith and Zelenak (1991, p. 55) defined mentoring as, “a powerful emotional and passionate interaction whereby the mentor and the protege experience personal, professional and intellectual growth and development” (p. 126). Daloz (1986) continued in the same theme by writing, “(mentoring) is growing up, with the development of identity” (p. 19). The roles of the mentor and mentee develop and change over the course of the partnership. Bouquillon, Soski and Lee (2005) wrote, “mentoring relationships are dynamic phenomena that, evolve over time and in distinct phases” (p. 239). Role definition and development is integral to the success of the mentorship process.

Galbraith and James (2004), Galbraith and Maslin-Ostrowoski (2000) and Daloz (1986) suggested a set of attributes that mentors must possess to be effective at this work. They suggested that good mentors have strong interpersonal skills: an ability to

communicate and build trust within the relationship. They also have deep understanding of their role, access to resources and have time to invest in the relationship.

The work of mentoring is an organic process and the role is ever changing. Daloz (1986) and Daresh (2001) suggested that at different points in the process the mentor could be assuming one of a myriad of roles. Galbraith and James (2004) wrote, “at different times the mentor may be a role model, advocate, sponsor, advisor, guide, developer of skills and intellect, listener, host coach, challenger, visionary, balancer, friend, sharer, facilitator, and resource provider” (p. 692). This role changes with the development of the relationship and the needs of its members.

The mentee also contributes to the success of the process. Galbraith and James (2004) suggested that a mentee must be open to different perspectives, be willing/able to work towards a goal and an ability to learn new things. Daresh (2001) and Daloz (1986) also added that the mentee (and mentor) should have the ability to be reflective.

Cohen (1995) developed the concept of the *complete mentor role* based on his review of the literature and studies in the field. This role holds six dimensions of work in the mentoring process. Cohen described these in his book *Mentoring Adult Learners* (1995). These six dimensions include: Relationship Emphasis—to establish trust; Information Emphasis—to offer specific advice; Facilitative Focus—to introduce alternatives; Confrontative Focus—to introduce challenge; Mentor Model—to motivate; and, Mentee Vision—to encourage initiative. Of these dimensions Galbraith and James (2004) wrote, “mentoring is viewed as a blend of six interrelated behavioral functions,

each with a distinct and central purpose” (p. 13). Each of these dimensions clearly connects to the developmental needs of the mentee and definitions of the mentorship.

The researcher must also examine the concept of *reciprocity* within this discussion of role development. Fischler and Zachary (2009) wrote, “reciprocity is the equal engagement of the mentor and mentee” (p. 6). They explained the importance of the roles that each member of the mentorship plays.

There is also a shift in what one would consider the work within the mentor relationship. When the researcher traced the evolution of the concept of mentorship, the researcher found that it developed from a linear sharing of information (mentor to mentee) to a dynamic exchange where learning flows both ways within the model. This development impacts role definitions as well. Daloz (1986) explained that the mentorship is a learner-centered process in which the learning occurs in an active nature. This relationship has developed into a partnership where the work is actively shared and honored. Fischler and Zachary (2009) described, “a shift away from the more authoritarian . . . to one in which the mentor is now less of an authority figure and is fully engaged in the learning relationship” (p. 7).

Further Studies

Villani (2006) wrote a book that presents a strong overview of over 20 models for mentorship and induction within the development of principals. This text provided a great base for further research into these programs. Villani (2006) focused her study around the types of institutions providing programming. She gives five categories: district/regional, state, professional associations, universities, and collaborative programs.

While her work focused more broadly on the development in the first few years of the principalship, the programs are helpful to study in context with the mentoring themes explored above.

Programs such as Extra Support for Principals (ESP) in Albuquerque Public Schools was established in part to lower the principal turn-over and maintain good, steady leadership within the district (Villani, 2006). The district found that the principalship had grown in challenge over the last several years and they needed to do more to support newer leaders. Their structure was one of weekly connections between mentees and experienced principals (as mentors). There was nothing evaluative in the working partnership. The program has been running since 1995 and has shown a great deal of success—with over 134 principals going through the program and the raising of the retention rate within the position. The program evaluation is multi-faceted and includes a survey, examination of retention rates and anecdotal feedback. There are many districts throughout the country that have these types of programs.

State programs also exist to provide support and leadership development. Many of these programs are broader in nature and are linked to state licensure programs (Villani, 2006). When exploring the structures of these programs, we also found them well-linked to the Interstate School Leaders Licensure Consortium. For instance, Daresh (2001), whose work has been explored in great detail throughout this piece, was commissioned to design the Mississippi Beginning Principal Mentorship Program and the Beginning Principals Network.

Professional associations have also done a tremendous amount to inform practice. The National Association for Elementary School Principals is on the forefront of this work. The program, Principal Advisory Leadership Services (PALS), is run in conjunction with Nova Southeastern University. The program is different from the state and district programs because it is not geared to one specific regional context. They meet requirements that most states currently have for mentoring new leaders while also establishing the first national mentoring certification program (Villani, 2006). State level professional associations also have similar projects underway.

The university models are interesting because many are extensions of pre-service internships (the primary focus of our work) and degree programs. The University of California, Santa Cruz has one such program called Coaching Leaders to Attain Student Success (CLASS). One element that is unique to this model is that it follows the principal through the first two years of their work in the role with more exposure to a “coach” in the first year than the second. The term coach is also a unique facet to this program. Based on the information we could find, the coaching role mirrors the work that a mentor would also do. They also offer complimentary content-based programs to participants. The University of North Carolina has a similar program.

Collaborative models point to more future trends. Districts across our country are encountering shortages in school leaders as many retire or leave the profession. School districts began to look for ways that they could create a pipeline for leadership development, from within. The New York City Leadership Academy was developed to help groom successful teachers/teacher leaders for school building leadership.

The participants undergo a yearlong internship and instructional coursework. From there, they become principals. The program found that these new leaders needed to receive ongoing support as they transitioned into the role. The Leadership Academy partnered with New Visions for Public Schools (an organization that is also involved with leadership training) to run a Principal Mentoring Program. While the program started with initially Leadership Academy participants, it eventually grew outward and now supports all first—year principals within the New York City Department of Education.

Benefits of the Mentoring Model

Drago-Severson (2009) wrote, “mentoring is a practice that can support both the mentee and the mentor as growing individuals” (p. 220). In his book *Leaders Helping Leaders*, Daresh (2001) described the benefits of the mentoring model. The benefits influence all members involved in the mentorship process. Benefits for the mentors include: higher job satisfaction, recognition from peer group, career advancement opportunities, and personal renewal for the work. The mentee also can gain a tremendous amount from the experience. The mentee’s benefits include a higher level of confidence regarding professional competence, ability to implement effective educational practices, gaining of a professional support system and a sense of belonging. School districts and systems can also benefit from mentoring programs. School districts report higher job satisfaction among employees, increased effectiveness and a culture of continual learning. Fischler and Zachary wrote, “Each has much to gain from the relationship” (2009, p. 6).

This literature review challenged the researcher to consider what experiences and supports best prepare aspiring leaders to be principals. In order to build this understanding, the researcher started by focusing on the work of the position and roles principals are expected to fulfill. In doing so, the researcher traced the principalship over the past two centuries. The researcher also explored contemporary definitions, competencies and standards connected to the role. This allowed us to think in context about the skill sets necessary to be successful. The researcher then transitioned to a theoretical focus. The researcher examined models of leadership both within education and the broader field of leadership studies. The researcher selected three frameworks to delve deeper into—moral leadership, instructional leadership, and transformational leadership. Taking a deeper look at these three ideas helped us frame the principalship within theory. The researcher also examined how adults learn and develop. We decided to use the model of Constructive-Development Theory to base our discussion on how adults develop. The theoretical explorations into leadership and adult development undergird the discussion of mentorship. The second half of the literature review worked to explore the concepts of mentorship, its connection to adult development and its implication in practice.

Chapter III

Methodology

Introduction - Purpose of the Study

The purpose of this study was to examine the experience of a principal who mentors a future administrative leader. In the previous chapters, we have established the relevance of this topic within contemporary P-12 education. The researcher has also conducted an extensive review of the literature related to the study. This chapter will examine the qualitative case study design framework that undergirds its process.

Research Design

The research design of this dissertation was a multiple case study that focused on two school sites within the New York City Public School System and the development of school leaders within them. The researcher utilized a case study approach within the study.

Data were collected through a variety of instruments. The researcher utilized a set of interview questions and followed this with a series of observations. The researcher also gathered artifacts that were linked to the work of the partnership. The interview questions, artifact list and observation protocols were based off the findings and studies explored in the literature review.

The study's focus was on how mentoring others impacts leadership development within principals.

Central Question

What is the experience of a principal who mentors a future administrative leader?

Secondary Research Questions

1. What are the structures and supports necessary for successful mentor-mentee relationship?
2. How does one's individual development impact the work of the partnership?
3. What experiences are important for an intern to have during this work?
4. What are the barriers to a successful partnership?

Sampling

This study employed purposeful sampling, which is described by Merriam (1998) as an assumption, “that the investigator wants to discover, understand and gain insight and therefore must select a sample from which the most can be learned” (p. 61).

Creswell and Plano Clark (2006) wrote, “purposeful sampling means that researchers intentionally select participants who have experience with the central phenomenon or the key concept being explored” (p. 112).

In this study, the researcher wanted to understand the experience principals have mentoring aspiring leaders. As such, the researcher identified potential participants who were willing and open to sharing their experiences as they work in this role. The principals being studied also needed to be effective in their role as a school leader. External system-wide rating systems (such as the New York City Department of Education (NYCDOE) school progress report, quality reviews and New York State Department of Education (NYSED) —all public) were used to help determine this qualification. Lastly, the participant principals were also required to have mentees who were interested in sharing their experiences for this study.

The participants of the study were drawn from an urban school system in the northeast United States. The school system has over 1,500 schools and 1.1 million students. The study involved participants in secondary schools. The participants were two principals and their aspiring leaders. Access to the pool of participants was gained through district level leadership, university partners and staff of school system level leadership programs.

The researcher contacted the five superintendents that were responsible for secondary schools within the school system being studied. Each superintendent received an email about the study and a request to speak with the researcher. Three superintendents responded to the initial request and one superintendent agreed to allow the researcher to conduct the study. Once the district was identified, the researcher determined all of the schools that were secondary schools (middle schools, high schools or a combination).

The researcher determined which principals would be eligible for the study based on their school's performance. The researcher used a set of three data points derived from three evaluative instruments to make this determination. These instruments included: the New York State Department of Education (NYSED) *School Report Card*, the New York City Department of Education (NYCDOE) *Progress Report* and the NYDOE *Quality Review*. All three of these tools are available to the public through the NYCDOE website. The researcher chose to use these three data points because they provided a comprehensive measure of principal effectiveness and the data was accessible.

From the initial list of over eighty secondary schools, twenty-one met the standard noted above for an effective principal. The researcher sent an introductory email to the principals of these schools. In the email, the researcher explained the study and the requirements for participation. Principals that were in mentoring roles and interested in the study were invited to respond. The researcher received nine responses from principals. The researcher followed up via email and/or phone with the nine principals. Out of the nine, it was determined that two would not fit the requirements of the study and one was not interested based on the time requirements. This left the researcher with six principal-mentee pairs. The researcher chose two pairs at random out of the six.

In short, a principal participant in the study had to meet the following criteria:

1. the school is located in selected district;
2. the school is a secondary school;
3. the principal is considered effective based on school's data; and,
4. the principal is mentoring an aspiring leader.

Assumptions of Qualitative Research

A qualitative research paradigm holds a number of assumptions within its design. Creswell (1994) explores these assumptions from five approaches: ontological, epistemological, axiological, rhetorical, and methodological.

Creswell (1994) writes, "For a qualitative researcher, the only reality is that constructed by the individuals involved in the research situation" (p. 4). In qualitative research it is assumed that reality is subjective (Creswell, 1998; Guba & Lincoln, 1998). Applying this assumption, we can determine that in a given situation there are multiple realities.

Of epistemology, Creswell (1994) contrasts quantitative and qualitative design. Regarding qualitative research he says, “researchers interact with those they study . . . in short, the researcher tries to minimize the distance him or herself and those being researched” (p. 6). Guba and Lincoln (1998) continue on to suggest, “(the researcher tries to) minimize distance or objective separateness” (p. 94). We can assume that the researcher and participants are interrelated but not interdependent Creswell (2007).

The axiological assumption guiding qualitative methods is that researchers bring their own values and perspectives to a study (Creswell, 1994, 2007; Lincoln & Guba, 1985; Yin, 2003). Creswell (2007) asks, “how does the researcher implement this assumption in practice?” (p. 18). Meaning, how do one’s values and perspectives influence the study and its participants. Qualitative researchers believe that it is important for the researcher to be explicit about these values and upfront with them in the study.

The rhetorical assumption guiding qualitative research is that it becomes much more personal. Qualitative researchers often times use the first person in their writing. Qualitative writing often takes on the qualities of a story (with a beginning, middle and end) and is narrative in form (Stake, 1995; Yin, 1994). “The language of a qualitative researcher becomes personal, literary, and based on definitions that evolve during a study rather than being defined by the researcher” (Creswell, 1998, p. 19).

Qualitative methodology relies on inductive logic. Emergence of ideas comes from within the study—from the participants. The researcher moves from specific observations to broader themes and generalizations. Inductive reasoning is more open

and exploratory as are the methodologies found in qualitative research (Creswell, 1994, 1998; Stake, 1995).

Beyond these five philosophical assumptions we begin to form a paradigm or worldview. Guba (1990) defined worldview as, “a basic set of beliefs that guide actions” (p. 17). These can also be considered paradigms or belief systems. Creswell (1994) suggests that there are four major worldviews that help to define qualitative research: post-positivism, constructivism, advocacy/participatory and pragmatism.

Following these paradigms are specific theoretical lenses that researchers may choose to apply in the research. Denzin and Lincoln (2005) call these interpretive communities. “Interpretive positions provide a pervasive lens or perspective on all aspects of a qualitative research project” writes Creswell (2007, p. 24). The questions and problems raised in these studies aim to understand issues related to specific groups of people.

Qualitative research seeks to explore and understand a specific phenomena rather than using data to make larger generalizations (Creswell, 1994). Creswell (2007) defines qualitative research in terms of a *process*—the research flows from assumptions, a worldview and a theoretical lens to the procedures of inquiry. “This means that qualitative researchers study things in their natural settings, attempting to make sense of, or interpret phenomena in terms of the meaning people bring to them” (Denzin & Lincoln, 2005, p. 3).

Rationale for Using a Qualitative Approach

There are multiple reasons a qualitative approach was chosen for this study. The research questions themselves are written in the qualitative form of inquiry. They are using question words such as “why” and “how” to pose the research question. Creswell (2007), Stake (1995), and Yin (2003) suggest that these types of questions lend themselves well to this type of research process. Second, the study is naturalistic. Creswell (2007) and Yin (2003) both explain that qualitative researchers gather data in the natural setting (in this instance of the case). “In the natural setting, the researchers have face-to-face interactions over time” (Creswell, 1998, p. 37). Also the project is exploratory in nature. The researcher is seeking to understand a phenomenon. In this process no hypothesis has been predetermined. Finally, we are looking to develop a *holistic account* of the topic. Creswell (2007) writes, “researchers are bound not by tight cause-and-effect relationships among factors, but rather by identifying the complex interactions of factors in any situation” (p. 39). In a qualitative study, we look to create a complex understanding within the study.

Case Study Approach

The researcher has chosen a case study design for the study. Creswell (2007) defines a case study as, “research (that) involves the study of an issue explored through one or more cases within a bound system” (p. 73). There is some disagreement in the qualitative field as to whether a case study can be considered a methodology. Stake (1995) argues that it is not a methodology, it is just a determination of what is to be

studied. Others, including Creswell (2007), view case study as its own methodology with a specific research design and inquiry process.

Case Study has a long tradition in the social sciences starting in anthropology and sociology at the University of Chicago in the 1920's (Creswell, 1998). Over the last near 100 years the approach has spread to other disciplines within social science and has evolved into a myriad of procedures. Yin (1984) writes, "the case study research method is an empirical inquiry that investigates a contemporary phenomena within its real-life context; when the boundaries between phenomena and context are not well defined" (p. 23).

Determining the case is central to the foundations of the case study. Miles and Huberman (1994) define the case as, "a phenomenon of some sort occurring in a bound context" (p. 25). For this study, the case is defined by the pair (principal and mentee). This study will have two pairs (a principal and mentee). The boundary is that of each individual relationship within the pair. The researcher has defined the case in this way because each school (where the pairs are located) has its own culture that will influence the case. This is also true because each pair will be operating differently. There is no overall program, structure or design that all pairs are following - or that is being evaluated. Gathering data from multiple cases will allow us to gather enough data for the study.

Data Collection

Creswell (2007) describes the process of data collection to be "extensive, drawing on multiple sources of information" (p. 75). A case study seeks to gather a tremendous

amount of data from all facets of the case making the process of data collection significant.

Creswell (2007), LeCompte and Schensul (1999), Yin (1994), and Stake (1995) recommend multiple sources for evidence collection in case study research. These sources include: documents, archival records, interviews, direct observation, participant-observation and physical artifacts. The researcher will make use of this suggested list for this case study.

The primary mode of data collection was through participant interviews and direct observation. Rubin and Rubin (1995) suggest that structured interviews are best when there is literature on the topic and in conjunction with less structured approaches. The list of interview questions will be role specific and will be drawn from themes in the literature. There may also be the need for unstructured interviews. These will be more reflective in nature and connected to the observations.

LeCompte and Schensul (1999) suggest that researchers need to spend long periods of time with the community that they are studying to help build rapport and support the data gathering process. This is especially true in the observational process of the data collection. Observational data will be a major component in the data gathering process. Protocols and strategies regarding this type of data collection will be discussed further in this chapter.

The artifacts and outputs produced in the working relationship between the mentor and mentee will also be a rich source of data for this case study. The researcher was gathering these throughout the course of the study. Some examples of these data

sources include: memos, workshops, memorandum of agreement and university-partner documents.

Observations. The observations were done throughout the school year. Most of these observations were conducted during the one-on-one meetings that the mentor and intern shared. Observations varied in length but were at least 45 minutes each. Most observations were at least an hour. Prior to starting the study, the researcher asked the participants how the internship was structured and planned the observations accordingly. Creswell (2007) presented a number of protocols for gathering observational data. These models were used in developing the observational protocols for this study. The researcher took detailed notes utilizing a two-column chart. In this chart, the researcher noted both descriptive and reflective observations (Creswell, 2007, pp. 135-138). A sample of the tool is included as Appendix A.

Interviews. The interview protocol was designed to give background information on the participants and answer the research questions. There were two types of interviews within this case study: structured and unstructured. There were two sets of structured interviews. There was an initial interview for each role and a close-out interview that was also role specific. These interviews were 45 min each. The structured interview process was intended to be a starting point for further less-formal interviews and observations. The end of study interviews also provided a space for explicit reflection. The questions were taken from themes in the literature and were modeled after similar studies in the field. The interviews conducted by the researcher were one-on-one. The researcher took notes during the interview and also recorded the interview

with a digital recorder. These were transcribed by the researcher. These transcripts were reviewed by the participant (subject of the interview). The structured interview questions are included in Appendix B.

It is important to also have one-on-one conversations beyond these structured interviews. The researcher conducted unstructured interviews with the participants. These were reflective in nature and allowed the researcher to understand specific moments from the observation. By nature, the unstructured interviews do not have a set of standard questions. These interviews were short (5-15 min), the protocol was built to follow the flow and be conversational in nature. These were also digitally recorded and notes were taken. The outline of the protocol is in Appendix C.

Artifact Collection—Internship Documents. The outputs to the working relationship - documents created by the pair and in connection to the work are an important source of data in understanding the internship. These documents were coded just as the other data sources.

Participants

The New York City Department of Education is the largest public education system in the country. The system has 1.2 million students, nearly 1,500 schools and thirty-two districts. The participants were chosen from a set of aspiring leaders and their mentor principals in the New York City school system. The participants were chosen in October 2012.

Data Analysis

According to Yin (2003), the process of analysis can take on different forms—holistic *analysis* and *embedded analysis*. The researcher decided whether she wanted to focus on the entire case or some component within the case. The researcher chose to focus on the entire case. This varied depending on what the research problem was, what the structure of the case study was, and what themes were coming out of the analysis. The final phase of the case study process was for the researcher to interpret the case - to make meaning from the data and findings.

Creswell (2007) explained that there are three main components in data analysis: preparing and organizing the data, categorizing data into themes and representing the data (charts, graphs, descriptions). “The process of data collection, data analysis, and report writing are not distinct steps in the process - they are interrelated and often go on simultaneously in the research project” (Creswell, 1998, p. 150). Creswell continued on to juxtapose his proposed methodology with other researchers making note of similarities, differences and additional techniques. In understanding the process and building my own set of procedures, the researcher relied heavily on the way that Creswell (2007) conceptualized the process of data analysis. Creswell (2007) depicted this in a spiral type chart that demonstrated the interplay between parts of the research process rather than distinct steps within it.

Starting with the task of data management, the researcher found a way to organize the data as it was gathered. This can take on many different forms. Note taking and artifact collection, organizing files, list-making and cataloging are all examples of this

part of the process. As Creswell (2007) noted, this step does not occur in isolation but rather in connection with the other parts of the process. Creswell described this as a *data analysis spiral* (see Figure 8.1 in Creswell, 2007, p. 151). Rather than pursue all points of data at each individual step, the researcher “spirals” through the different points of analysis with a specific set of data. This process takes data and makes meaning.

The amount of data coming from this type of study is immense. Researchers must develop a coding system based on themes and findings from the research. Creswell (2007) suggested starting with a list of tentative codes to help organize findings. Beyond this, a researcher can determine coding through a theoretical model and literature, this is considered prefigured. For this study, there will be some codes that are derived from themes within the literature. While prefigured codes help set more structure to the analysis, Creswell (2007) warns that this may also limit findings (and discoveries) that may come out of the analysis. It is because of this that there were also allowances for *emergent* codes in the study. Special attention to verification was be paid at this level of analysis. Strategies such as member-checking were utilized.

Classification represents a higher-level of analysis within the process. Researchers relate the data categories to larger themes and theories. This allows the researcher to make more complex connections within the data itself. This then leads to data interpretation.

Stake (1995) suggested a more detailed data analysis as related to the case study approach which allows the researcher to pull apart and piece back together the data.

Stake (1995) gave four forms to this type of analysis: categorical aggregation, direct interpretation, patterns-matching and naturalistic generalizations.

The final phase of the process is to present the data. This can take on many forms. Using the case study model the data will be presented primarily in a descriptive way.

Role of the Researcher

Creswell (1994) wrote, “Qualitative research is interpretive research. As such, the biases, values and judgment of the researcher become stated explicitly in the report” (p. 147). Locke et al. (2007) underscore the importance of being open as a researcher.

In this case study, the researcher’s background and professional experience is connected to the topic of the study. In their professional role, the researcher is a principal and has been involved in mentoring partnerships. This additional role will no doubt have an effect on the work and interactions with the participants. At the same time, a connection to this role is positive because it ensures a stronger commitment to the work and a deeper understanding of the topics.

I chose this topic because it is incredibly important to me and something that I spend a tremendous amount of time focused on in my professional life. This experience made me invested in the topic but it also caused me to bring my own bias to the project. I have been a mentor to five aspiring leaders. This experience has helped me form my own opinions about what is to be valued in the mentoring process. Being aware of my personal experiences has been important in the research design. I have been purposeful in pushing beyond my own understandings in my research. The interview questions,

observation protocol and the other data I will be gathering is based off of my findings from my literature review.

There are issues unique to qualitative researchers conducting a case study. Their length of time interacting with subjects and in the field often times causes them to have more extensive relationships with their subjects. It is important for the researcher to build rapport but at the same time there needs to be very clear boundaries in the research study.

Prior to the start of the research study, I met with the pairs to discuss what elements of the partnership I wanted to observe and what they thought would be appropriate. I wanted to make sure that I was able to gather authentic data but I did not want to be obtrusive. Considering the importance of authenticity, I also wanted to make sure that my data gathering techniques and presence did not skew the data I was collecting. Creswell (2007) called the researcher a *key instrument*. He wrote, “The qualitative researchers collect data themselves through examining documents, observing behaviors, and interviewing participants” (p. 38). The concept of being active in the research process is central to the role of the researcher.

Verification Procedures

Creswell (2007) noted procedures for verifying qualitative research. These include: member-checking, reflectivity (clarification of research bias), triangulation, thick description, and prolonged engagement and persistent observation.

Member-checking. Creswell (2007) and Lincoln and Guba (1985) wrote of the importance of member-checking in qualitative research. This technique helped establish

validity with the account. It gave participants an opportunity to review components of the study. In this study, the interviews were recorded and transcribed by the researcher. The transcripts were provided to the interviewee for checking before the data was coded. The participants did not have edits or changes.

The researcher is current in her Collaborative Institutional Training Initiative (CITI) coursework for the Institutional Review Board at University of Nebraska - Lincoln. Completion of this coursework signifies understanding of appropriate practices for working with human research subjects. The research design and study followed these guidelines and was given approval by the University of Nebraska Lincoln Institutional Review Board. The letter from the Institutional Review Board is in Appendix D. The data from the study was also reviewed by an independent, external researcher who is expert in qualitative research. The letter validating the study is in Appendix E.

Reflexivity (clarification of research bias). “A researcher's background and position will affect what they choose to investigate, the angle of investigation, the methods judged most adequate for this purpose, the findings considered most appropriate, and the framing and communication of conclusions” (Malterud, 2001, pp. 483-484).

The process of self-reflection (by the researcher) was also a crucial step. Being incredibly close to this topic I recognized that I hold bias and preconceptions. It is important I understood this and how it has an effect on my understanding and interpretation of the data. Lincoln and Guba (1985) recommended developing a *reflexive research journal* to help in these reflections during the research process. I used this tool in my own work.

Triangulation. Here I used multiple data sources in the study to create meaning. In this case study I used interviews, observations and artifacts to build understanding of our topic.

Thick description. Ryle (1949) was the first to use the term *thick* description in the context of qualitative research. Lincoln and Guba (1985) described thick description as a way to achieve external validity. Holloway (1997) explained thick description as, “(a) detailed account of field experiences in which the researcher makes explicit the patterns of cultural and social relationships and puts them in context” (p. 154).

Denzin (1989) stated, “A thick description . . . does more than record what a person is doing. It goes beyond mere fact and surface appearances. It presents detail, context, emotion, and webs of social relationships that join persons to one another” (p. 83).

Prolonged engagement and persistent observation. It was important for the researcher to spend a sufficient amount of time in the field. Creswell (1994) argued that this allowed the observer to build trust, build understanding, and rise beyond personal bias.

Lincoln and Guba (1985) added,

If the purpose of prolonged engagement is to render the inquirer open to the multiple influences—the mutual shapers and contextual factors—that impinge upon the phenomenon being studied, the purpose of persistent observation is to identify those characteristics and elements in the situation that are most relevant to the problem or issue being pursued and focusing on them in detail. If prolonged engagement provides scope, persistent observation provides depth. (p. 304)

Ethical Considerations

There were many ethical issues to be considered when designing and implementing the case study. It was important to protect the identity of the subjects being studied. They needed to clearly understand what the researcher was trying to do and how the information would be shared and used.

Before starting the study, the researcher obtained written consent from all of the study's participants. The researcher also obtained approval from the Internal Review Board at the University of Nebraska – Lincoln. This helped ensure that the study met all standards of ethical research and the study's participants are protected. The nature of the research was reviewed with each participant and the researcher alerted them to their rights while participating in the study; including the right to opt out at any point in the study.

The researcher took appropriate measures to ensure that the identity of each participant was protected. Participants will not be identified by their names in the study; rather, they each received a pseudonym. The description of each participant also left out any details that might readily identify the participant. Additionally, the researcher did not provide specific descriptions of the schools where the participants worked. In the written transcripts, interview responses and other data collected the participants were identified by a pseudonym.

Summary

The researcher employed a case study approach to explore the mentoring partnership between principals and aspiring school leaders. The study focused on the impact these partnerships had on the leadership development of the principal.

Given the importance of leadership development, the inherent isolation that comes with the principalship, the lack of opportunities for principals within the New York City system, and the shortage of qualified individuals ready and willing to lead in a larger urban environment, this case study made a timely addition to the field.

Chapter IV

Research Findings

This chapter is divided into two sections. In the first section of the chapter, the researcher will present data gathered from the observations and interviews with the study's subjects. This section is presented in narrative form and is divided into the two cases. The second section of the chapter considers the two cases together in the context of the research questions posed in the study.

Section I: Presentation of Two Cases with Mentor-Mentee

The purpose of this study was to examine the experiences of a principal who mentors a future administrative leader. The study also explored other elements of the practice including: the necessary supports and structures for a successful partnership; the barriers to a successful partnership; the important experiences within the mentoring work and mentoring links to adult development.

In preparation for the study, the researcher met with each principal to discuss the study's process. In these meetings, the researcher and principals also discussed what the principals wanted observed over the course of the study. In Case 1, the principal identified specific work projects that she wanted observed. In Case 2, the principal chose to have the researcher attend the pair's standing meetings once a month (see Table 2).

Case 1—Participant background. Marie is a principal of a high school with 600 students in a large urban school system. She is in her seventh year as a principal at this high school. Prior to being a principal, Marie taught for seven years as an English teacher at this high school. Marie has not worked at any other school. Jane is completing

Table 2

Case Descriptions

Case Number	Principal Name	Years as Principal	Mentee Name	School Type	School Size	Type of Observations
Case 1	Marie	7 years	Jane	High School	600 students	Predetermined Work Projects
Case 2	Ava	5 years	Monica	Middle School	500 students	Weekly Standing Meetings

her leadership internship with Marie. Jane is on the faculty of the high school and works as a guidance counselor. Jane has been working at the high school in this role for nine years. Prior to working here, Jane worked as a guidance counselor at another high school in the same urban system for two years. Two years ago, Jane was promoted to an administrative role within the school. She oversees Pupil Personnel Services, two clerical staff members and three guidance counselors. Though Jane is in this leadership role, she is still considered a teacher and not an official supervisor. This is the ninth year that Marie and Jane have been working together.

The observations documented for this study were taken monthly and varied in nature based on the work of Marie and Jane. At the beginning of the study, I met with Marie to discuss what would be best to observe. Marie generated a list of types of meetings that she and Jane were involved in. From this a schedule was set.

Observation one—Leadership cabinet. Marie meets weekly with her Leadership Cabinet. The cabinet is composed of her Assistant Principal, Dean of Students, Business Manager, Coordinator of Student Affairs (COSA) and Jane (as both

Head of Guidance and leadership intern). A chart with the Leadership Cabinet members is included in Table 3.

Table 3

Leadership Cabinet Roles

Position	Role
Principal – Marie	School leader. A subject in this study.
Assistant Principal	Supports the principal in leading the school. A supervisor serves in the role full-time.
Business Manager	Responsible for budget and facilities. This is clerical staff member.
Dean of Students	Responsible for student discipline. A teacher serves full-time in this role.
Programming Chair	Responsible for academic programming. A teacher serves part-time in this role
Coordinator of Student Affairs (COSA)	Responsible for all student activities. A teacher serves part-time in this role
Leadership Intern – Jane	Completing leadership internship and also serving as Head of Guidance. Is considered a teacher and not a supervisor. A subject in this study.

This meeting also involved the Programming Chair because one of the topics of the meeting was about Spring Semester programming issues.

The meeting started with a check-in from each group member using a technique taken from a research-based practice in Social-Emotional Learning. It was explained to me that this routine is how every cabinet meeting is started. There were two main topics discussed at the meeting—programming for the Spring Semester and Sports Day (an upcoming event).

Jane started the discussion around the spring program by sharing an issue about the number of minutes and credits awarded to students. The current structure of the instructional day limited the number of instructional minutes students could accrue in specific subjects. These totals did not meet the new minimum standard set by the state. Jane shared that she had been to a meeting the week prior where they shared the new crediting requirements with high schools were presented. The course that was the largest concern was Physical Education where students were short 20 minutes a week.

The Programming Chair explained that this was a product of the way the gym was shared (this High School is co-located with other schools in the same campus) and that the only way to truly resolve the issue was to reprogram gym usage with the other schools. There was a line of inquiry as to what that might look like and how that would impact other aspects of the program. There was further discussion as to what would happen if they did not resolve the issue for the spring. Lastly, the Assistant Principal raised the question of fairness—he asked if it was fair the school request that the other schools in the building adjust their programs to accommodate this issue.

The Assistant Principal's question initially left the group silent. Jane spoke up and said that she did not believe it was a reasonable expectation because the campus (the four schools) had a working agreement for the year and it would not be fair to ask others to reprogram. Others, including the Dean of Students and COSA, agreed with Jane. However, Marie dismissed the concern and asked the Programming Chair to draw-up plans for the Spring Semester that would involve changing the gym program.

The cabinet then discussed Sports Day, a student athletic event scheduled for three weeks in the future. After a general run down of the day and what needed to be completed, an issue was raised about the Athletic Director who was in charge of the event. The Assistant Principal shared that the Athletic Director was displeased by how the Sports Day activities were to be run and was worried about the amount of student involvement. The Assistant Principal shared an interaction that he had with the Athletic Director where the Athletic Director threatened not to come to work on Sports Day because he did not agree with its direction. Marie showed an obvious look of displeasure on her face and said that the Athletic Director was “using bullying tactics to get his way.” The Dean of Students asked if Sports Day should just be cancelled outright and COSA suggested integrating the Athletic Director’s ideas back into Sports Day. There was no decision as a result of this conversation. The Assistant Principal said he was going to schedule a meeting with the Athletic Director to discuss Sports Day in more detail.

There was no formal closure to the meeting. At 4:05 pm members began to say goodbye as the conversation continued. The meeting concluded at 4:20 pm.

Jane and I met for a few minutes to debrief the meeting. I wanted to understand more about Jane’s role in programming and how she felt about the meeting. I started by asking Jane how this cabinet meeting compared to others. Jane explained, “ This was a pretty typical meeting. Normally there are a few pressing issues that the group comes together to talk about.” I wanted to know more about how she felt about the programming decision because it was the issue that she presented to the group. She said that she understood why it was a challenging decision but did not agree with Marie’s

course of action. “I am concerned about the long-range impact between the schools. I also do not believe that the other schools will willingly go along with this request. That’s just what this is, a request.” Lastly, I wanted to know how Jane felt about her role and the overall composition of the cabinet. “I like cabinet. I think that it is a smart team and I appreciate that all aspects of the school are represented. Being on cabinet helps me feel like I have legitimacy and am helping to lead the school.”

There was no formal agenda for the meeting but the researcher was given permission to take a picture of the dry erase board as an artifact. The board included a handwritten agenda and notes that were taken in the meeting.

Observation two—Debrief of professional development day. The school system has a citywide faculty conference day each year on November Election Day. Jane was responsible for running one of the sessions. Marie observed the session and documented it as a formal observation. The meeting that I observed was of a one-on-one meeting between Marie and Jane the week after the conference day. The meeting was their post-observation conference. Jane and Marie also shared the formal observation with me.

I was not at the session Jane facilitated but I was provided materials from the meeting and was also given a brief overview by Jane before this meeting. Jane facilitated a session on Professional Learning Communities utilizing an article written by Richard DuFour. The faculty was to have read the article in advance of the session. In the session, Jane had intended on using a structured protocol to have the school (in smaller groups) discuss the protocol and its impact for the school. The topic of the session came

from the school's ongoing work around collaborative teacher teams. The design of the session came from Jane with input from Marie and other colleagues on the Leadership Cabinet.

The meeting started with a general check-in around personal matters (how they were feeling, their kids, spouses, etc). After eight minutes, the conversation turned to a discussion of the conference day. The pair talked about the day as a whole and their perceptions of the staff's attitude and learning—they both had a generally positive sense.

Marie then transitioned to talking about the session that Jane led. She asked Jane how she thought the session went. "I was pleased overall with the session because I felt like the faculty members were engaged in their smalls group conversations and the protocol worked well." Jane continued, "I was frustrated though because it seemed that not everyone prepared for the day. I noticed in the PLC session that not everyone seemed to have read the article. The protocol structure for better or worse made that quite evident."

Marie agreed with Jane's assessment of the staff's engagement. She noted that there were at least two teachers she was aware of that she assumed did not read the article based on how they were responding to their group.

I know this is frustrating that they did not prepare but I think the use of the protocol helped increase accountability for all members of the group and they (those that did not read) seemed a little embarrassed when it was their turn to share a quote. Consider the long-term impact, it is more likely that this experience will encourage them to be prepared in the future.

The two further discussed the issue of full-staff preparation and what else could be done in future sessions. Jane noted that she should have reminded the staff at least one additional time and been clearer about her expectations for their preparation.

One of the areas that Jane asked for feedback on was time-management as it related to the design of the session. Jane shared her concern that there was not enough time at the end for the groups to come back together to have a faculty-wide conversation. “I understand what you are saying and noticed as well that the faculty-wide discussion was cut short but I believe there was tremendous value in having the faculty members work through the entire protocol in small groups. It ensured that everyone had a chance to speak and share,” explained Marie. “Based on this concern, what do you think our next-steps could be?” Marie asked.

The pair discussed other moments in which collaborative teams met and ways that the conversations could be continued in these smaller sessions. They determined that it would be best to continue the discussion in Grade Teams because this was the area in which many of the problem areas arose for teacher teams.

Jane also shared the feedback she had reviewed from faculty members at the end of the session. Jane had given out a short feedback form that she asked all faculty members to complete it anonymously. The three questions on the form included: On a scale of 1-10 how applicable was this session to your practice, what is something that you can take-away from this session, what is a question that you came away from this session. The feedback form also allowed space for general feedback.

The feedback was generally favorable. On question 1 the mean was an 8 and only a few faculty members gave considerably low scores when asked about the session's applicability. A number of respondents wanted the faculty to discuss the topics of the article further and some had takeaways related to programming (a tangential example in the article).

According to Jane, the session had two goals; one was to discuss Professional Learning Communities and the second was to expose the faculty to protocols that they could use in their own practice. It was evident to both Jane and Marie that the second of these two goals had made some traction. Marie shared a meeting she attended where the Humanities Department was using a formalized protocol to discuss student work and Jane said she had three faculty members ask her for her protocol resources. The session ended with the pair discussing the next Faculty Work Session (to occur in December) and Jane being given a more significant role in its facilitation.

The researcher collected several work products from this observation. The artifacts included: feedback forms from session participants, session handouts, presenter session plan and draft feedback from Marie.

After the meeting, I met with Marie to talk about the session. I wanted to learn more about what she took away from Jane's work and their meeting. Marie shared with me that they had never used formal protocols as part of a development session before.

I was initially worried about how this might work out and the response of the staff. I did not share these concerns with Jane because I did want her to go for it. I was pleased with how the staff did with the structure and glad Jane was able to bring some new ideas to staff development. It was one of the reasons I like having interns – they bring new ideas to our work.

Observation three—Design team. Marie has a number of teacher teams that she meets with on a weekly basis, one of them is the Design Team. The Design Team is open to all faculty members at the beginning of the year. Members must choose to join in the month of September and then their membership is set for the year. This year the Design Team has five teachers, the Assistant Principal, Jane and Marie. The Design Team is focused on big-picture strategic and cultural issues within the school. As part of her internship, Jane has been put in charge of the facilitation of the Design Team. One of the primary projects this year is focusing on the school's acceptance into a new pilot program. The program is focused on personal and academic behaviors that lead to college and career readiness. At this meeting, the team has met to discuss their responsibilities within the context of this program. An educational consultant (provided through the pilot) was also in attendance at the meeting).

At the last meeting, the team decided that they wanted to create a student-reflection tool that students could use to reflect on themselves as learners. Jane started the meeting by having members share-out their tools to the group. Three faculty members had tools to share.

The first is a short prompt that asks for the student to reflect on herself as a learner in (key subject areas). The teacher who created the tool explains that this would be useful for students because it would challenge them to reflect on who they are as learners. Students would be asked to respond to the same prompt multiple times and reflect on how their response changes over time. The answers would also be shared with teachers so that they could understand their students better.

The team reviews the prompt and then team members begin to ask a number of clarifying questions about the implementation. Team members give favorable comments about the prompt and the pilot consultant takes notes on the conversation. Marie takes a phone call in the middle of the discussion and leaves the meeting. Jane remains quiet during the feedback and moves the team to discuss the other two tools.

After all three tools were presented, Jane turned the team's attention back to the initial prompt for further discussion. "The open-ended reflection seems like it might be the best tool to try out for this project because it allows the students to explore their self-perceptions in their own words. It seems like it might get the most honest response from the students." Prior to this statement Jane had only taken on the role of facilitator, speaking up only to guide the members through the sharing process. Here she was making a judgment about what tool might be best.

The Design Team took her point and discussed the merits and downsides of the open-ended reflective prompt further. The team decided to test the prompt out with one class of students and bring their results to the next meeting. Marie returned to the last ten minutes of the meeting but sat silently observing the interactions. She sat quietly and at the end thanked everyone for coming.

Based on the circumstances, Marie missing a portion of the meeting and Jane taking primary leadership, I thought that it would be best to talk with both members of the pair. I was most curious about the leadership structure of the team—Jane's role, Marie's role and the roles of the other team members.

Marie explained to me prior to the meeting that this was a team that she wanted Jane to run as part of her internship and that she worked to give Jane feedback on her leadership and facilitation. I asked Jane how she thought the meeting went. “I was a little concerned that the team would not be able to make a decision. After we discussed the different tools, we were nowhere closer to a decision. I wanted to try to make some sort of definitive statement to move the group forward,” explained Jane. “This is why toward the end, I decided that I should state what I thought was best for the project.”

“That was about when I came back into the room,” said Marie. “I was wondering how the group had arrived at that point. We must remember that the purpose of the Design Team is to have authentic conversations and your role is as facilitator. Leaders need to be careful not to cross the line into sole decision-maker when they do not intend to do so. I know that I often have trouble as a leader – knowing when to speak up and when to let the conversation continue. One thing that you’ll begin to realize is that your words do have more impact because of your role.”

Jane remained silent for a moment and then expressed some frustration with the group. “I just didn’t see us moving forward like we needed to and I wasn’t sure what to do. I am happy that we have a concrete next step but do recognize that maybe the team members needed more time to discuss.”

“Yes, but it goes beyond this Jane,” Marie said, “ You need to work on your skills as a facilitator. You need to balance the goals of the task with your opinions and the role of the team. In this case, you are not the leader of the team.”

Jane had another meeting that she was late for so she excused herself from the conversation. Marie expressed concern that Jane did not understand nuanced nature in elements of school leadership. Our conversation ended abruptly when Marie had to take another call.

The researcher collected the student reflection activities. There was no formalized written agenda but the dry erase board contained notes from the meeting. The researcher was given permission to take a picture of these notes.

Observation four—Network meeting. The schools within this urban system are divided both into districts and also networks. The districts are geographical in nature and the networks are self-selected groups from a citywide pool. The networks have monthly meetings for principals and are primarily focused on instructional topics. Marie rotates whom she takes to these meetings and for this one chose to take Jane. The focus of the meeting is on the new Common Core Standards and their integration in secondary grades. Network instructional staff members lead these meetings and both Marie and Jane are participants.

After a general overview of a rubric that was developed to evaluate a unit's alignment to the common core standards, smaller groups were given a chance to practice using the rubric. Marie and Jane were seated at a table with 3 other schools and a network staff member. The table sits silently reviewing the unit and making notes on the rubric for 12 minutes. Then, the network staff member asks the table to focus the element of the rubric that looks at shifts within the common core. The 4 principals dominate the conversation. Those who came with them say very little, Jane does not

speak during the entire share-out session. The table discussions continue for 18 minutes and conclude with a jigsaw activity (members of each table mix with other groups that focused on other parts of the rubric). Both Jane and Marie are sent to different tables to share their discussions about how the unit fared on the rubric. Jane has taken extensive notes on the discussion and reads these to her new group but otherwise remains quiet. Marie shares elements from her group's conversation and editorializes her own thoughts about the rubric's usefulness.

At the end of the meeting, I asked Marie why she decided to bring Jane to the meeting noting that Jane seemed a little quieter than usual. "Jane has a very strong guidance background but has never been a classroom teacher. She needs to build her instructional expertise if she ever wants to be a school leader—she needs to be an instructional leader," explained Marie. "I knew this meeting was related to the Common Core initiative and I wanted to give Jane more exposure to the Common Core from folks who are more expert than I am. She lacks confidence in this area." The agenda and handouts were collected from the meeting.

Observation five—Weekly classroom walk-through visits. Marie conducts weekly classroom visits with her instructional team (typically the Assistant Principal and Jane). These visits are structured around the *Danielson Framework for Teaching* a new tool being implemented to evaluate teacher effectiveness. Next year will be the first year that the framework is fully implemented and this year schools are to use it as a formative tool. Schools have also been advised to focus on one or two key areas rather than the entire rubric. Marie and her team are focusing on questioning techniques in their

observations. For this series of walk-through visits, the team of three will be going into four science classes in the 45-minute period. Each will use their iPad to take notes. The team will confer for an additional period after the walk-through visits have been completed. I accompanied them on the walk-through visits to have context for this observation. The focus of my observation, however, is on what took place during the debrief session of the visits. While I have notes on the visits, I have chosen not to include them here because these teachers were not asked to be part of my study. Marie asked the teachers in advance if I could come on the walk-through visits and all gave their permission.

In the debrief session, Marie, the Assistant Principal and Jane sat at Marie's conference table and shared general thoughts about what they saw. Marie had explained in advance that part of the reason they do these visits together is so that they can be better normed with each other and the *Danielson Framework for Teaching*. Marie explained that she purposefully included Jane (who typically would not be doing this in her current role) so that she can have greater exposure to the instructional aspects of being a school leader. The other goal of the visits was to provide a greater amount of feedback to faculty members about their teaching practice.

The team led by Marie started to give notes of what they noticed in the classrooms. With a focus on questioning techniques, Jane took notes for the team on the larger general trends between the classrooms they visited. This trend data was to be used in an upcoming monthly faculty work conference. While Jane served as the scribe, she did not give much of her own evidence unless explicitly invited to do so by Marie.

Once the team discussed general trend data they then scripted feedback conversations for the four teachers. Marie assigned the assistant principal to do two of these conversations and then told Jane that they would be doing the other two together – one where she (Marie) would take the lead and one where Jane would take the lead and then get feedback. The evaluation rubric and the notes from the classroom observations were artifacts considered from the observation.

After the meeting, I met with Jane to debrief the walkthrough experience. Jane shared that she was excited to meet with the teachers to discuss classroom practice. “To be given specific feedback about how I develop teachers will be beneficial – this is an area that I am new to.” Jane went on to note that she was nervous about giving negative feedback because of her lack of experience in the classroom. “I worry that the teachers will not respect my input because they have more experience than me.”

Observation six—Teacher feedback from a classroom walk-through visit.

Three days after Marie and Jane visited classrooms they met with two of the teachers to give feedback about what they saw. The focus of these visits was on discussion and questioning techniques taken from the *Danielson Framework for Teaching*. Marie and Jane planned elements of the meetings, including specific feedback for each teacher in advance of these sessions. Marie planned to have Jane observe the first of the two meetings and then take the lead on the second.

The first meeting was 15 minutes in length. Marie gave the teacher a general overview of what the group had seen in the classroom and then showed her the Danielson rubric. Marie identified where she saw the teacher on the rubric based on the data that

had been gathered and gave the teacher some advice for next steps. After the teacher left, Marie asked Jane how she thought the meeting went and if she had any questions moving into the second session. Jane reviewed the structure that she had witnessed and read off the elements that she wanted to underscore for the second teacher.

The second meeting was with a third year teacher who is up for tenure. Jane started by thanking the teacher for having them in his class. Jane gave a brief synopsis of what the group saw when they were in the room earlier that week. “We were able to see a portion of a workshop model where students were working on a writing piece and you were circulating and conferring with students,” Jane explained. She continued on by noting, “students were working mostly independently but at times were collaborating with other students . . . students were not reliant on you.” Marie added an observation about the number of students the teacher was able to work with in the time they were in the room.

Jane then brought out the Danielson rubric. Jane reminded the teacher of the team’s focus on discussion and questioning techniques and reviewed these elements in the rubric. “A workshop model is an interesting place to observe these elements because it draws on deeper student autonomy,” explained Jane. She continued on by sharing with the teacher that it was noted the students were in discussion and responding to their peers not just the teacher. “In this area, you would be considered ‘effective’ because of the student to student discussion,” Jane stated. The teacher nodded his head in agreement.

The use of questioning techniques when conferring with students is an area that you need to continue to develop . . . in our observation we noted that most of the conversations you were having were teacher directed and yes/no in their answers . . . you are not getting to higher level thinking. (Jane)

Marie interjected and gave a concrete example of how the teacher could structure a subsequent conversation with a student. Marie continued on, “our overall rating for you in this category is ‘developing’.” The teacher thanked them for coming to his classroom but made no mention of the feedback or the rating that he had been given.

After he left the room, Marie gave Jane feedback about the session. Marie asked Jane how she thought the session went. “I was a little surprised at how little the teacher had to say . . . I think that was my fault,” expressed Jane. Marie shared that she too was concerned especially because he was up for tenure this year. She also indicated she would check in with him separately regarding the conversation. “These are meant to be formative conversations—meaning that teachers should be growing and developing from them . . . you need to leave space to let them talk too,” said Marie. “You need to invite them into conversation with you,” Marie said. Marie also noted that the nature of the feedback needed to be more direct and concrete—especially the negative feedback. “This will be a good area for you to grow in Jane,” Marie said, “you should join us for our weekly rounds.” The feedback given to the teachers was collected as an artifact for the study.

I met with Jane briefly after the session. She expressed her concern about the feedback, “I did not feel like the teacher understood what I was saying and I worry about his knowledge of the rubric.” She also explained that she did not think either of them (Marie or her) gave the teacher an opportunity to speak or share his reflections. “I honestly felt the same way in the debrief that I had with Marie,” stated Jane. “I just don’t

think that I got the opportunity to actually process or reflect,” Jane said. She did say that she was excited to go on more walkthrough visits and felt like this was authentic practice.

Observation seven—Weekly meeting. Marie and Jane meet weekly one-on-one for a meeting. These meetings are used to check-in around the work Jane is doing. They also serve as a time for relationship building and general conversations around leadership. At the beginning of the year, Marie told me that sometimes she liked to use these meetings to discuss specific leadership dilemmas that she was faced with. Marie explained that it helps her to have a thought partner to work through issues with. It also serves as a teaching tool for someone who is aspiring to be a leader.

This session Marie brought an issue with her superintendent to Jane. The superintendent had called Marie the day prior because he was upset at the way the school’s guidance counselor handled a parent concern (an email the guidance counselor sent to the parent and a subsequent phone conversation). The Superintendent demanded that the guidance counselor receive disciplinary action for her behavior. Marie was very upset about the situation. Because the parent did not bring her concerns to Marie directly and because Marie did not agree with the Superintendent’s request. When the superintendent shared the email exchange, Marie felt that the parent was harassing the guidance counselor and the guidance counselor was trying to communicate boundaries. However, the superintendent would hear nothing of Marie’s assessment of the situation.

“Based on what I’ve shared, what do you think the issues at play are,” asked Marie. Jane thought for a moment about the scenario and suggested that they could be divided into a couple of categories. Jane noted, “The guidance counselor does seem to be

a bit in the wrong here - not because of the intention behind her action but because of the delivery, language and tone.” Jane continued, “The problem is that no matter what you do she (the guidance counselor) will feel unsupported and this story will spread to the rest of the staff.” Jane cited other issues throughout the year where staff believed that they had not been protected from unreasonable parents. “No doubt taking some sort of disciplinary action will overshadow a valuable lesson that can be learned from this situation,” said Jane.

The second issue that Jane cited was the school’s relationship with the family. “The mother was no doubt deeply hurt by this exchange . . . so much so that she went to the superintendent about it,” said Jane. Jane continued by noting that there needed to be some discussion with the mother about the incident, how her child would be supported moving forward and the hope that she would seek in school support before going to the superintendent next time.

Marie agreed that these were the two major elements at play. There was no question that Marie was going to seek disciplinary action because she was told to do so by her supervisor but the issues surrounding the incidents must be handled delicately. Marie began to talk through her thinking about the situation—a level of candor that I had not seen since my initial interview with her in the autumn.

“No doubt that Anne (guidance counselor) will react defensively to this . . . issues like this have come up before where people do not find her approachable,” said Marie. Jane asked how Marie handled the issues in the past and was told that it was discussed in less formal ways. “The real problem is that faculty members often times feel under

attack from parents and I don't blame them," exclaimed Marie. After eight more minutes of conversation around this theme, Marie decided that it would be best to be concrete about the concern so that it could be explained in a meeting. Marie posed the question, "what specifically about this exchange is unprofessional and/or inappropriate?" The pair examined the email and discussed the language further. Marie then explained the process for a disciplinary meeting and how to draft a disciplinary letter.

Jane and Marie then discussed the next steps for the parent and her daughter. It was quickly determined that the daughter should start seeing the school's other guidance counselor and that this should be communicated to the mother. Marie also shared that she had a working relationship with the mother because the mother was on the Parents' Association executive board and thought it best to reach out to the mother directly. Marie explained, that in this case, that she would need to apologize to the mom and smooth over what she (Marie) perceived to be some mistrust and hurt feelings.

The more global issue of teachers not feeling supported was left unresolved. It was raised to which Marie said, "it's unfair but it is just the way things are . . . parents are the hardest part of working in education."

After the meeting, I took some time to check in with Marie. She shared that she really enjoyed these weekly meetings because they served as an opportunity to be metacognitive about leadership. "The issue with the superintendent had really been bothering me and it felt good to share it with someone," said Marie. Beyond this, Marie also recognized that ongoing, varied exposure to leadership dilemmas is crucial to leadership development. "I have no doubt that when Jane is a school leader she will

encounter all of these elements in her own points of challenge as a principal . . . it is helpful to think through what you might do in a no-stakes environment,” explained Marie.

Observation eight—Selection committee meeting. The school has a selection committee to interview and hire new faculty members. The committee is open to all faculty members that are interested and participation is voluntary. Committee membership changes based on which position is being considered (i.e., math teachers are more likely to sit on the committee when hiring a math teacher). At the beginning of the hiring season, faculty members and school leadership meet to discuss the interview process, review/revise the questions and discuss anticipated vacancies. This year there are three anticipated vacancies. The observation below is of a planning meeting by the committee.

The meeting has 6 people in attendance including Marie, Jane, and 4 teachers. Marie starts the meeting by reviewing the timeline and vacancies with the committee. She also explained that the purpose of this meeting is to determine the protocols and questions for this hiring season. Marie distributed the list of questions that was used in last year’s process and reminds the committee that the committee generated this list as well. The 4 teachers started to read over the questions and make edits. Reading questions aloud and marking their papers as they went. This processing phase lasts 12 minutes and takes no clear structure or order. Marie and Jane sit quietly as the teachers share their thoughts. Marie had asked Jane, prior to the meeting to let the teachers take the lead. She explained it was important that they be fully involved in this

process and take ownership. This comes in part from letting the teachers share their ideas first.

A central question that kept coming up from the group was what they were looking for in a teacher who would work at this school. What qualities would someone need to possess and what questions could be asked to determine this? The teachers began to generate a list with characteristics including: collaborative, workaholic, passionate, intelligent, and content expertise. Marie began to interject, adding highly organized and reflective comments. Marie then suggested that Jane guide the group through the current list of questions with these attributes. “The goal will be to see if and how these questions can evaluate applicants according to what we are looking for,” explained Marie.

Jane decided it would be best to code the attributes by number and then review the questions with the group. Next to each question, she listed the attribute codes that related to the question. The committee went question by question through the list. In the end, they found that the questions covered almost all of the attributes properly but Marie was worried about how well they measured reflectiveness.

The committee began to discuss the other component of the interview process – the demo lesson. They decided to purposefully structure questions around this aspect of the interview. “We want to see how candidates reflect on their craft,” stated Marie. Jane raised the point that it was important for the committee to always give critical feedback because, “no matter how great a lesson is master teachers are always looking for a way to grow.” Two of the teachers on the committee recounted their experiences doing a demo during the interview process at the school. “Nerve-racking,” exclaimed one of the

teachers. “Definitely one of the worst lessons I ever taught but it’s how you respond in the moment and reflect after,” said the other teacher. Rather than generate specific questions, the committee made a note in the protocol to make sure that a portion of the interview would be given to debrief the demo lesson. The researcher collected the list of questions and took a picture of the committee’s notes on the dry erase board as artifacts from this observation.

After the meeting, I checked-in with Jane and asked how she felt the meeting went. Jane said that she was pleased that she was able to lead a portion of the meeting and felt like the way she processed with the group worked well. “I felt like I honored everyone’s input and still helped move the team forward,” Jane said. I was interested in understanding what Jane thought of the list that the teachers generated both because Marie was so insistent that they take the lead and because Jane had not contributed to that portion of the conversation. I asked Jane what she thought of the list of attributes. In general she thought that they made sense but she said that she was concerned about the workaholic comment. “I know that this faculty is especially hard working but I do think that sets a negative, unsustainable culture in a school,” Jane said, “however I did not feel like it was my place in the meeting to say anything.” Jane thought it might be best to follow-up with Marie about this and determine if it might be a larger staff issue to be addressed.

A comprehensive list of the artifacts collected in Case One is list in Table 4 below.

Table 4

Artifacts collected in Case One

When	Artifact
Sampling	Progress Report, Quality Review and NYSED Report Card
Initial Interview	Memorandum of Agreement and program expectations
#1 Cabinet Meeting	Photograph of agenda and notes on dry erase board
#2 Debrief of PD day	Handouts from PD session: presenter materials, participant materials, feedback
#3 Design Team	Student reflection activities and a photograph of agenda notes on dry erase board
#4 Network Meeting	Agenda and notes (produced by the network)
#5 Classroom Observations	<i>Danielson Framework for Teaching</i> and observation notes
#6 Feedback Session	<i>Danielson Framework for Teaching</i>
#7 Weekly Meeting	No artifacts collected
# 8 Selection Committee	Interview questions and a photograph of agenda and notes on dry erase board

Case 2—Participant background. Ava, the principal has been a mentor once before for another member of her faculty. When asked (in the initial interview) why she chose to be a mentor to aspiring leaders she said, “It is important to build capacity within my school. I want to make sure that I am promoting the development of my faculty. . . . I also believe that the mentee has tremendous potential to be successful in this field.” I then asked what became of the last intern. Ava explained that the previous intern was still in the school but was now in a leadership position. They were also working to start their own school and going through the new school application process. “I am pleased with the growth of my previous intern and I hope the same will happen here,” Ava

explained. She also said that having an intern makes for smart staffing decisions. It allows her to turn administrative duties over to a faculty member rather than having to hire from the outside. It should be noted that Monica, the intern mentee is teaching two sections of 6th grade math (12 periods a week) and is acting as the Coordinator of Special Education for the school.

Ava has been at her current school for five years – all as the principal. She leads a middle school of 500 students in a larger urban system. Prior to being a principal, Ava taught math in both middle school and high school settings for six years in the same school system. Monica is enrolled in a graduate school program for school leadership and works as a teacher at the school. Prior to enrolling in graduate school, Monica was a secondary science teacher in this school. Monica was encouraged to apply for the school leadership program by Ava and it was agreed (prior to enrollment) that she would be able to complete her internship at the school.

Initial interview. I met the pair in October. I decided that it would be best to conduct individual interviews of each subject to set a foundation of understanding for our work together. I started by meeting with Monica, the principal intern. After asking a list of biographical questions (covered in the background), I decided to talk about the process. I wanted to understand what Monica hoped to get out of the process. Monica compared the mentor-mentee relationship to that of student teaching. Monica expected and hoped that she would be challenged. Monica hope that she would be given authentic responsibility and be given guidance and opportunities to work closely with the principal. Monica was uncertain what she wanted to do beyond the masters program and this

internship. She was not sure if she wanted to become a principal. Monica was nervous about taking on this new role in the school. “I am most worried about the dynamic with my colleagues—many of whom I consider close friends,” Monica explained, “I am not sure how I am going to handle this transition from teacher to pseudo-supervisor.” She also explained that she was not clear what her role really was within the school.

The interview with Ava had a different tone. Ava was incredibly optimistic about the process—perhaps even over projecting Monica’s abilities. Ava seemed to draw on the success of her last intern in thinking through this coming year. Ava was able to explain what the role would be for Monica—primarily in working on areas of special education compliance within the school. “I hope to expose my intern to all facets of the principalship, including ones beyond her specific role,” principal. I also asked her what values or guiding principles she was considering in this work.

It is important to be a reflective practitioner and to model this for others—that is one of the most important elements in being a good school leader. I also hope that she (Monica) can feel comfortable having open and honest communication with me. I believe that this will help both of our learning and growth.

The observations documented in this study are primarily the pair’s standing meeting. In the planning stages of the study, I asked Ava what would make the most sense to observe on a monthly basis and she suggested the standing meetings because these were a consistent structure that she had established between herself and those she mentored.

Observation 1—November standing meeting. The pair has a standing meeting each Tuesday during second period (8:45 - 9:25). This was the sixth one of the school year. The meeting started with a review of the compliance issues from the previous

week. Three IEPs had due dates near Thanksgiving and Monica was working with the special education department to get them completed. Monica explained that she was having particular trouble getting the 8th grade team to complete theirs. “I am not quite sure what to do. I gave them the calendar at the beginning of the year and have since communicated with them as well,” said the intern. Ava seemed unsurprised by this issue and alluded to the fact that the 8th grade team was an ongoing problem.

Rather than giving a solution, Ava asked, “So what do you think our next step is in ensuring that these get done.” Monica sat silent, looking down at her notes. She responded, “I am just not sure what the problem is—why they are not getting them done. I believe that they understand what to do. I don’t think that’s the issue.” The pair again sat in silence. Ava asked to see the memo that the intern had written around the dates and other issues for compliance made and edits and gave verbal critique about the work. “This is good first step but your expectations are not entirely clear . . . especially with matters of compliance,” explained Ava. Ava then instructed that the memos were to be revised and signed by both the principal and the intern and they would follow-up next week about it.

After compliance issues, Ava asked Monica how she was feeling. “I’m honestly a bit overwhelmed and I am finding it hard to complete all of my work responsibilities,” explained the intern. Ava greeted this with empathy but also explained, “One of the challenges in being a school leader is being able to balance competing priorities.” Ava also suggested that the time management and organization might be a useful thing to cover sometime soon. The researcher collected the memo as an artifact for the study.

After the meeting, I spoke with Monica for a few minutes to debrief. Being the first debrief, Monica seemed less than forthcoming about her experience in the meeting. “I appreciated the feedback she (Ava) gave me about the compliance memos,” she said. I tried to understand more about how the feedback felt and what else she needed but she was unresponsive to that line of questions.

Observation 2—December standing meeting. This standing meeting occurred in Monica’s office on the first floor because the pair needed access to the records room. The meeting started with a brief check-in about how the week prior had been. Then Monica shared the revised compliance memo and then discussed her interaction with the 8th grade team. “I’m confused about what my role is here, I can’t be a supervisor because I am a teacher . . . I’m not sure what I am supposed to do,” Monica explained. Rather than respond to Monica’s question, Ava then posed her own. “Can you explain what your meeting was like with them?” Monica went on to explain that she approached the two teachers separately and spoke to them about the importance of remaining in compliance. “They seemed to blame one another for the lack of timeliness,” the intern explained.

Ava asked, “What do you think could have been done differently to handle that situation?” Together the two brainstormed ideas that might lead to a more successful outcome. The principal also asked if the intern wanted her to step-in. Monica said no and thought that the next steps were appropriate.

Discussion then turned to the requirements of the internship from the masters program. Monica’s advisor (from the university) was coming next month for a site visit.

Monica and Ava reviewed the Memorandum of Agreement that had been written by the intern for the course that complemented the internship. The course requires multiple components of leadership and the pair was working to find other tasks and projects that the intern could do to meet these requirements. A draft of the Memorandum of Agreement was collected by the researcher.

After the meeting, I took a few minutes to check-in with Ava. I asked her how she felt about the meeting. “I really am trying to make Monica a more independent problem-solver . . . issues around compliance are daily in the work of a principal,” explained Ava. “I didn’t want to solve the problems for her,” she explained. “This issue around ‘what’s my role’ comes up quite frequently in these sorts of structures; I remember asking the same question.” Ava went on to explain that the struggle is an important one because it reflects a larger, deeper change that happens when someone becomes a leader.

Observation 3—January standing meeting. The third meeting took place in the principal’s office but was a little different because there was another participant in the meeting. Monica’s faculty advisor from the master’s program was also in the meeting. The purpose of the meeting was also different—this was one of three formal check-ins the mentor, mentee and advisor would have during the year. The advisor had been informed of my presence ahead of time and agreed to having me there.

The meeting started with introductions and a review of the goals for these formal reviews. The advisor said that he wanted to, “create a form to discuss progress, questions

issues and overall development.” He also explained that this would be a time to check-in with the intern around her specific tasks in the Memorandum of Agreement.

The advisor proceeded to ask a number of reflective questions both to the mentor and the mentee. Questions and answers can be found below:

- What are the intern’s/your two greatest strengths?

Ava: “She is reflective in her work. Already this year she has been able to reflect on mistakes and challenges. She also has a strong interpersonal rapport with many staff members.”

Monica: “I am a hard-worker and think I am doing a pretty good job of balancing my workload. I also work to be pretty independent and am trying to solve issues that arise.”

What are the intern’s/your two areas of development?

Ava: “She needs support in organization and time management. She also needs support in making the transition from teacher to leader.”

Monica: “I am having a hard time communicating my expectations clearly - especially when it comes to staff members who are my friends.”

- What do you need from one another in this partnership?

Monica: “I need you (principal) to better define my role and work to the faculty. There seems to be a lot of confusion around what can I do.”

Ava: “I need you to be clearer about your needs. There are times when I sense your frustration but I am not clear what you want me to do.”

Beyond these questions there was a longer discussion about the purpose of the standing meetings and a review of the work accomplished so far. The meeting held a positive tone and seemed productive. The meeting went longer than planned and I did not have time to debrief because we all had to continue with our workday.

Observation 4—February standing meeting. The day prior Monica had to co-lead a teacher workshop for her school. Much of this meeting was spent giving feedback on that experience. Monica had given a workshop on different Collaborative Team Teaching (CTT) working styles with a colleague from another school to an audience of 20 faculty members.

Ava started by asking general questions like how the intern felt about the workshop and what she liked about it. Monica said that she felt comfortable conducting the workshop but was grateful that she collaborated with another colleague on it. “I still don’t yet feel that comfortable making public presentations,” Monica said. This was a curious statement for Ava. “You realize that presentations and public addresses are central in my work as a leader,” exclaimed Ava. “Perhaps you need to be given more experience in this during this year . . . sometimes you just need to get comfortable,” she said. Together the two identified some moments that the intern would be given a chance to make presentations in front of larger audiences.

Ava then gave feedback on the workshop—giving specific suggestions for future workshops. Monica sat quietly and took notes during the feedback session. The researcher gathered handouts and presentation notes from the workshop.

After the meeting, I spent a few minutes talking with Monica. I had never heard about the outcome of the “challenging” CTT pair from a few weeks ago so I asked about what happened. Monica explained that the principal did need to step-in and get the IEP written on time. “I was a bit frustrated by this,” she said, “I really think I could have handled this if I had been given a little more time.” Monica went on to explain that she was not sure what her role was or what “power” she had to get things done in this situation.

I also asked her about the feedback she received from Ava. She felt that it was specific and useful. She also mentioned that she felt nervous being challenged in an area that she did not feel comfortable in. Materials from the presentation were gathered as an artifact.

Observation 5—March standing meeting. I joined the pair at the end of a middle school tour. The majority of the tour had been led by Ava. Monica had been asked to speak about special education at school. The presentation was short—about 20 minutes, 5 of which were from Monica. There were about 200 prospective families in the audience. Monica seemed a little flustered during the presentation and afterwards professed what a terrible job she felt she had done. Ava was not so harsh. “This was your first time speaking in this sort of audience—you did well,” she said. “What makes you feel differently,” Ava asked. The two spent the next 15 minutes breaking down aspects of the presentation and forecasting a similar presentation that happened later that week. “Being a school leader is all about embracing new experiences,” said Ava.

Ava then shared an issue she had been grappling with over the past week. She had been struggling to determine the best way to allocate new technology to classrooms. “I have a limited number of ENO boards and I am not sure how to distribute them . . . I worry about accusations of favoritism,” said the principal. After some discussion about numbers and barriers, Monica suggested a number of ideas. One included creating a technology grant. This way teachers who wanted the technology could apply to have it installed in their room. This method of application would hopefully make it seem that it was based on merit. Ava assigned Monica to construct the application form and share it later in the week. Ava sent the application to the researcher two weeks later via email.

After the meeting, I spent sometime with Ava. I was interested to know whether the principal had presented an authentic problem around technology so I asked. “An important part of developing into a leader is to practice problem-solving. I could have easily solved that problem myself but I felt it best to have her (intern) solve it instead,” the principal explained. “I find that there is tremendous amounts of value in collaborative decision-making . . . I so rarely get to do this,” she said. Being a principal, I too could understand what she was saying. It is hard to find moments to work with other leaders. These experiences are important.

Observation 6—April standing meeting. Like the previous meeting, this one started with a check-in about the prior week. Monica had started working two weeks prior with a struggling CTT partnership. Much of the meeting was about this work. Monica was challenged by the general education teacher in the pair because she didn’t feel that the intern should be coaching or supporting her work. The struggling teacher

over the past week had gone to her union to grieve the additional coaching. “I have just never been met with such resistance—I am not sure what to do,” said the intern. “I’m not surprised, I’ve always had trouble with this teacher,” said Ava. “Unfortunately, this goes beyond her willingness to work with you . . . this seems to be a mindset issue,” explained the principal. It was uncovered that the teacher never wanted to work in a CTT setting and was resistant to any sort of support of responsibility to serving special education students. She was also struggling to work with her teaching partner.

It was determined that Ava would accompany the intern to the next planning meeting with the team. At the meeting, they would develop a plan for the meeting and working together. “I appreciate you coming with me, it seems that they need to hear these expectations from you too,” said Monica. This issue was not isolated to just that pair. There were several teachers questioning the intern’s authority and role within the school.

Ava lent Monica a book about adult development in the hopes that Monica could start to think differently about her work with adult learners. The meeting felt a little strained and ended abruptly with a fire drill. As we all hurried to monitor the hallway and mass of students, I asked if I could observe the planning meeting. Ava said she would need to check-in with the CTT pair but did not see a problem with it. I thanked them for their time and their openness to the process.

Observation 7—CTT planning meeting. Three weeks later I met with Ava, Monica and the CTT teaching pair to observe a planning meeting. The CTT pair had met once by themselves in the time between now and my last observation. This was the first

time that the CTT pair met with both the principal and intern. The meeting started with Ava discussing the purpose of the meeting and subsequent planning sessions. She explained that in this meeting the group would talk about roles and ways of working. They would also set up a structure for workflow moving forward. “To start,” said Ava, “Monica will be meeting with you each week and will be serving a coaching role.” Ava explained that this meant that Monica was to be a support to the team and she was not acting in an evaluative capacity. Ava also explained that these meetings were required and we all want to work to make them as useful as possible. The CTT pair sat silently. Ava turned the meeting over to Monica.

Monica had designed a meeting protocol for the pair around working styles. Each member was asked to think about the work and make a list of all of the roles and responsibilities the pair had. Each teacher brainstormed their own list, and after six minutes the teachers were asked to share out what they wrote down. Items like IEP writing, lesson planning, grading, differentiation of material and parent communication were featured on both lists.

Monica then drew a three-column chart on the dry erase board and labeled the columns (one with each teachers’ name and the third column with the label both). She asked the pair to then divide the roles into the three categories. The CTT pair discussed the items from their list and what they thought would make most sense for how to distribute the work. The pair broke down items such as lesson planning and IEP writing into component parts.

Once the chart was completed, Monica told the pair that they needed to discuss the purpose of the planning meetings and determine what work was to be brought to the meetings and what work would be completed at the meetings. In the conversation, it became evident that this was an issue because the general education teacher was not getting lesson plans to the special education teacher with enough time to properly modify the material. The modification of the material was also an issue because the general education teacher did not feel that it was being modified in the most appropriate way. Monica suggested that issues around modification seemed to be the site of the greatest issues so that is where the CTT pair should focus their work in the planning meetings. The pair agreed to make this the focus for the next few meetings to see how it worked. Monica reviewed next steps and closed out the meeting.

The researcher took a picture of the meeting process on the dry erase board and obtained a copy of the meeting protocol for artifacts in the study.

After the meeting, I met with Monica and the principal as they debriefed. The principal gave Monica positive feedback about the process she structured. “The act of having the pair make a list helped them be concrete and depersonalize it a bit,” said the principal. Monica agreed and said that it seemed like much more was accomplished in this session. “I know one of their key issues is around collaborating on lessons,” explained Monica. Monica and the principal discussed that the general education teacher does not believe the special education teacher has a good grasp of the content—good enough to modify it or co-teach it. This then becomes a problem in their collaboration.

“I know that this is something we did not resolve in this meeting,” exclaimed Monica. “How do you get adults to get along . . . to collaborate,” she asked. The principal laughed and said that she was still trying to figure that out. Ava told Monica that this was a good first step and that she felt if the pair found some success it would help reinforce the positive aspects to their work. Ava then asked Monica to think about the next meeting with the pair and told her they would discuss it at their standing meeting.

A comprehensive list of the artifacts collected in Case Two is list in Table 5 below.

Table 5

Artifacts collected in Case Two

When	Artifact
Sampling	Progress Report, Quality Review and NYSED Report Card
Initial Interview	Program expectations
#1 November Standing Meeting	Draft of IEP memo
#2 December Standing Meeting	Initial draft of Memorandum of Agreement
# 3 January Standing Meeting	Final draft of Memorandum of Agreement
#4 February Standing Meeting	Workshop materials
#5 March Standing Meeting	Technology application
#6 April Standing Meeting	No artifacts collected
#7 CTT Planning Meeting	Photograph of chart on the dry erase board and protocol handout

Section II: Presentation of Research Question Based upon Two Cases

Noted below are the central and secondary questions for this study. In our discussion the researcher explored these questions and detailed specific findings for each question. Based on these findings the researcher was also able to give recommendations for the target audience and recommendations for further research in Chapter V.

Central research question. What is the experience of a principal who mentors a future administrative leader?

Secondary research questions.

1. What are the structures and supports necessary for a successful mentor-mentee relationship?
2. How does one's individual development influence the work of the partnership?
3. What experiences are important for the intern to have during the work?
4. What are the barriers for a successful partnership?

Discussion.

Central research question. What is the experience of a principal who mentors a future administrative leader?

Both principals felt that being a mentor was a significant form of professional development for them and their mentees. Ava said, "Being a mentor allows me to share practice and become a more reflective school leader." The principals cited several ways that they could see professional growth through this work:

1. Planned and structured time allows for deeper reflection. Throughout the internship Ava spoke about the purposeful use of the structured weekly meetings. “Having been a mentor before I know the importance of giving time to my mentee . . . time set aside, weekly for the two of us to meet, talk and reflect. This time helps us both grow in our practice.”
2. A school leader is able to share their decision making process and work through hard choices with another leader. Both mentor had moments throughout the year that they engaged in metacognitive reflection with their mentees. “Processing how I approach a problem, how I choose which way to go helps the mentee learn how to think like a leader,” explained Marie (when asked about why she processed challenging decisions with Jane).
3. Situational learning and processing helps new leaders develop through “in the moment” experiences. Both Marie and Ava provided multiple opportunities for their interns to learn in the context of the work. To promote learning, these two mentors processed these experiences as they occurred.
4. Explicit skills and strategies are shared (organization, management, etc). Both mentorships were structured around a variety of projects that related to different aspects of being a school leader (instructional, operational, supervisory, organizational). Within these projects specific skill sets needed to be applied. The mentors both worked to teach into these skills and strategies with their mentees.

5. Strongest approach to teaching the leadership competencies (when compared to other graduate school experiences - both intern and principal mentioned this). When asked to reflect on her graduate school experience and the role of internship, Monica stated, “the internship helps me apply theory to practice, it helps me to contextualize what I have learned, it helps me feel much more prepared for this work.” Ava noted that she felt it was important to give back to the field, “my internship experience (speaking about her internship in graduate school) was important to growth and transition out of the classroom. I want to make sure others have the same experience. It is crucial to being ready.”

Secondary research questions.

What are the structures and supports necessary for a successful mentor-mentee relationship? The observations, reflections and documents produced from these partnerships data to answer this question. The list below captures some of the main findings:

1. Time—it was of significance that there was a sacred meeting and reflection time for the partnership. Both pairs met weekly. Ava and Monica had an official standing meeting to talk about the week prior, review new tasks and reflect on larger issues of leadership. This meeting was a constant fixture in their weekly cycle. Marie and Jane did not have an official standing meeting; rather, their meetings were integrated into their work together. Both mentees had unlimited access (time) to their principals.

2. External Support—in both cases there was direct support for both the mentor and mentee from a third party (school system program and university partner). The significance of having this support was that it helped in the development and structure of the relationship. Both mentees relied on their support organizations to facilitate discussions with their mentors. Observation #3 January meeting between Ava and Monica is an example of this. In this meeting Monica’s university advisor attended the meeting. He facilitated a mid-year check-in between the pair. Both members reported that this was helpful to their work.
3. Expectation Setting—there needed to be time for expectation setting between the members of the partnership. It was not crucial for the pair to be in alignment; however, it was important that each one understood the other’s expectations for the partnership and experience. It was also important that these be shared at the relationship-building phase of the work. Both pairs in this study authored a Memorandum of Agreement to help anchor their work. This document was created in the initial phases of the internship.

How does one’s individual development impact the work of the partnership?

When I defined the concept of development in our introduction, I included a quote from Merriam. “At its simplest level, the concept of development implies change. Adults as well as children change in appearance, behavior, in attitudes and values, in life-styles and so on” (Merriam, 1984, p. 4). This concept of change is also noted by Gray, “A process through which parties who see different aspects of a problem can constructively explore

their differences and search for solutions that go beyond their own limited vision of what is possible” (1989, p. 24). I have learned through our review of the literature and this study that the experience of mentoring is a developmental process. I also found that one’s individual development both guides the process of mentoring and is changed by the experience of mentoring. In other words, the subject’s current developmental capacity affects the type of mentoring experience the pair will have but the actual process will also change the participant’s developmental capacity.

The findings to answer this research question are based on the subjects’ self-reflections throughout their yearlong experience. Both principals spoke to the topic of professional development within their growth process. In the initial interview Ava explained that there were very few opportunities for professional development for principals and she saw being a mentor as a form of development because it allowed her to be reflective about her practice.

Ava explained that she was challenged to think about her leadership on an ongoing basis. The conversations that Ava had with her intern Monica shaped future decision-making and helped her transcend her initial thinking. Ava explained in her end-of-study interview that she felt her leadership was in a different place. Ava gave the following response to the question “how do you think this experience has impacted you as a leader?” “My work with Monica has changed me as a leader. I have been challenged to both constantly explain my leadership and change some of my assumptions about how I engage in this work. It has been a hard process but also a good one.” Ava continued by explaining that there were several situations she chose to handle differently

either because of Monica's direct feedback or because the process of reflection made her (Ava) reconsider the best course of action. Ava said that the experience made her feel like a stronger leader at the conclusion of the year.

In the end of study interview, Marie was also asked to reflect on her experience as a mentor. Marie spoke about her school rather than herself.

I think that school is in a better place because of some of the projects I took on with Jane. It was nice to have an additional person to help take on leadership within the school. I enjoy being a mentor and I think it is my responsibility to give back in my field.

Marie was asked if she felt that mentoring an aspiring leader changed her as leader.

Marie explained that she appreciated Jane's perspective and noted that it was often times different from her own. "There is a lot of value in this. Watching Jane process through a problem—seeing how it was different than the way I would handle it helped me think about how I am as a leader," stated Marie. Marie also explained that having a mentor (the actual process of mentoring) required her to take pause, to slow down and process situations differently. "Often times for the better," exclaimed Marie.

For the interns, Jane and Monica, growth in the process helped to lead to more opportunities and responsibilities. In both pairs, the mentors started the internship slowly with a gradual integration into the leadership of the school. As Jane and Monica showed that they could handle these responsibilities, they were given more and their roles were built over time. Subsequent development was driven by increased autonomy and ownership over tasks. This pattern of growth fostered opportunities for further growth. This pattern models a reinforcing loop. This loop is one where an action leads to a result

that leads more to the same action. In this scenario, the intern received more leadership opportunities as their development changed leading to further development.

What are the experiences that are important for the principal intern to have during this work? The intern should have experiences that are authentic to the role of being a principal, varied in nature in order to meet different competencies and individualized to support the intern's specific skill set. These elements of experience are coupled with the presence ongoing reflection and an opportunity for networking.

Explanation and examples of these elements are detailed below.

1. Authentic Experiences—The intern needed to have a real leadership role in the school. Tasks should be related to the work of school leadership and the intern should be helping to improve the school in significant ways. Both Jane and Monica held real leadership in their school communities. Monica held the role of Special Education Coordinator and in this role was responsible for significant aspects of the special education within the school. Jane did not have a specific role but was involved in several key projects including the implementation of the new teacher evaluation system and common core instructional development. While these two models are different, they both also achieved the elements of the experience detailed here.
2. Varied Experiences—The intern should be exposed to a variety of different experiences touching on all leadership competencies with a special focus on items outside of the intern's area of expertise. Monica was given a discrete role that held all aspects of school leadership within. Jane was given the

opportunity to participate in all aspects of school leadership through the exposure of working on different tasks. We considered this in the context of the New York City Department of Education leadership competencies and the Interstate School Leaders Licensure Consortium leadership standards. In chapter five, we analyze the interns' roles in the context of these standards in-depth. Included is a chart of NYC DoE leadership competencies linked to specific experiences (see Table 6).

Table 6

Internship Experiences as they Relate to Leadership Competencies

NYC DoE Competency	Jane	Monica
Personal Leadership	Principal Intern w/ leadership on Design Team	Special Education Coordinator
Data		Work w/ student data related to IEPs
Curriculum and Instruction	CC curriculum development	Led professional development related to students with disabilities
Staff and Community	Classroom observations related to new evaluation system	Work w/ team teaching partners
Resources and Operation	Programming Issues Selection Committee Discussions of tech allocation	Program design for instructional program as it related to special education

3. Individualized Experience—work must be linked to the intern's areas of strength and identified areas where they wish to grow. The principal and intern must co-create a role that speaks to the intern as an individual. Both principals identified areas where their intern was experienced and areas where

development was needed. Jane was coming from a non-instructional background. Marie was aware of this and decided to expose Jane to a variety of instructional tasks while she provided extra support. Monica was an experienced special education teacher so Ava decided to play to her strengths and created a role where Monica used her expertise while building her leadership capacity.

4. Reflective Metacognitive Moments—It was important for the intern to be exposed to the principal’s actual thought process and engagement with a situation. Jane noted, “Hearing how Marie works through a project, a problem helps me better understand how she makes decisions. Helps me better understand her (Marie’s) leadership.” Similarly, Monica stated, “I can get a lot out of listening to Ava talk about how she decides something. It is nice to hear her reflect, to know how she grapples with things.”
5. Networking—In the area of school leadership, it is important that new members to the field are given opportunities to be introduced to their mentor’s leadership circles. This both supports the job seeking process but also builds a support network.

What are the barriers to a successful partnership?

1. Lack of Time—All four participants noted that they would like to have more time to devote to the internship experience. The partnerships featured in these two cases chose to consider the aspect of time differently. Ava and Monica had designated a meeting time each week for 45 minutes. This time was

considered sacred and the pair met one-on-one. This time was in addition to the time they spent together working on tasks. Marie and Jane did not have the same established routine. Their time spent together was nearly always in the context of the work.

2. Lack of Trust—In both partnerships, the need for trust became an issue. The principals noted that they needed to have trusting relationships in order to facilitate sharing of responsibilities and reflective conversations. The mentees noted that trust was important to receiving feedback. Trust, as a theme, became the foundation of the study's model.
3. Participants' Ability to be Forthcoming—Ability for the pair to be open and honest about their work and what they were seeing from one another. More specifically, ability for the intern to be able to ask questions of the mentor's practice and for the mentor to be able to give honest feedback in return.
4. Clarity in authority and supervision—Being an intern is a rather ambiguous position because their role and authority are by nature unclear. It is the principal's responsibility to establish the parameters and communicate these to the school community. Both interns encountered issues around this in their experience.

The findings for this research study show that the mentoring process is an important aspect of leadership development both for aspiring leaders and current principals. Principals who acted as mentors for aspiring leaders reported that they had satisfaction in taking on this role. These principal mentors also noted that this work

helped them develop further as leaders. The study's findings also provided information about appropriate structures, experiences and challenges related to the mentorship experience. The next chapter will further discuss these findings through a set of themes that can be derived from the cases in the study and the literature from the field.

Chapter V

Summary, Discussions, Recommendations, and Conclusions

This chapter presents themes synthesized from the data gathered through observation and interviews over the course of the school year of two mentor-mentee educational leadership pairs. In Chapter IV, we used the data to answer the research study's questions. In this chapter, we will compare the pairs' experiences and examine them in the context of the literature in the field of educational leadership. This discussion will lead us to a number of larger themes that can be drawn from the study. Analysis of the data will also lead us to specific recommendations for practitioners in the field and subsequent research. These will also be explored in the chapter.

Summary

“Schools that make a difference in students’ learning are led by principals who make a significant and measurable contribution to the effectiveness of staff and in the learning of pupils in their charge,” wrote Hallinger and Heck (1998, p. 158). According to Hallinger and Heck, effective principals have a direct influence on student learning. It is important to invest in the ongoing support and development of school leaders to make them effective. The literature strongly underscores the importance of authentic pre-service training for aspiring leaders but there is very little regarding the influence this work has on principals acting in the mentor role. This study sought to understand the influence of this work and to understand the developmental effects being a mentor has on principals.

The purpose of this study was to examine the experiences of a principal who mentors a future administrative leader. The study also explored other elements of the process including: the necessary supports and structures for a successful partnership; the barriers to a successful partnership; the important experiences within the mentoring work and mentoring links to adult development. This qualitative study employed a case study approach to examine the experiences of the mentoring pairs with a specific focus on the mentoring principals. This approach allowed the researcher to build a comprehensive picture of the mentoring pairs.

Based on my research of the literature as well as the interviews and observations, this researcher was able to identify a set of themes for the mentor-mentee relationship in the leadership internship process. Leadership was developed in a structured relationship that consisted of conversations, experiences and moments of reflection. This was all imbedded within mental models of leadership held by each of the participants. These themes are explored further in this chapter.

As a researcher, there were five main themes that I emerged throughout the research process. These included: the role of reflective conversations in development, the importance of authentic experiences, the significance of reciprocal experience in effective mentoring relationships, the impact of one's perceived leadership identity on personal growth and the role of trust in fostering all elements. These elements helped to construct the collaborative relationship and gave meaning to the work. When we interconnect the five elements discussed in this chapter, we create a visual model of the mentorship. This model will be presented at the conclusion of the chapter.

Leadership identity. McCauley et al. (2006) suggested that within the theory of Constructive Development people actively engage in meaning making—understanding themselves and the world they live in. Within the work of this study, we examined the developmental growth of four leaders. Each is driven by one’s own personal leadership model and perceived leadership identity. The initial and closing interviews give us a deeper understanding of these identities and their influence on leadership development. These demonstrate that one’s understanding of one’s own leadership drives how one grows and changes. We see, especially when comparing the two principals in the study that there is a contrast between their conceptions of what it means to be a school leader. Marie self identified as an instructional leader and embodies attributes of this schema in her work with Jane while Ava is more transformational in her belief system and practice.

The model of instructional leadership focuses on the impact principals have in their school with their direct involvement in aspects that include instruction, vision articulation and culture building (Hallinger 2000). In this model, the principal operates in a managerial fashion and is directly involved in all aspects of decision-making. In the initial interview, Marie spoke at length about the importance of defining effective instructional practice. “It is the principal’s role to define expectations for classroom practice and ensure these standards are being met in all classrooms. This is my most important duty,” explained Marie. Marie estimated that she spent at least half of her day in classrooms each day. Marie explained that she did have a leadership team to help support this work but it was her vision of instruction that was to be implemented. “I invest a great deal of time in training my team so that they can be effective in working

with teachers.” This was seen throughout the study. In Observation Five, we were able to follow the leadership team on a set of classroom walk-throughs. Marie took the lead throughout this process. Naming it “a formative experience both for the teachers and my leadership team.” Observation Six (the teacher feedback meetings) were clearly directed by Marie. In these meetings, Marie provided clear, explicit feedback to her teachers but left very little room for dialogue.

Marie’s internal model of leadership is also evident in how she constructed the internship and the study’s observations. All of the observations (and the meetings she had with her intern Jane) were anchored around a specific task or project. Marie explained in her initial interview that the internship needed to be about the work of being an instructional leader. Marie’s approach towards Jane was consistent with this model as well. There was a tremendous amount of knowledge transfer from mentor to mentee throughout the observations. There was a clear hierarchal relationship between Marie and Jane in their work together.

Ava’s understanding of leadership was different. As a principal she believed that her work was to build the capacity of others. In the initial interview, Ava explained that success would be if the school could run without her. Ava explained:

I know that I have done my job when my faculty and staff have become effective leaders. It was my job to help develop their skill sets and invest them in all aspects of decision-making. Building their capacity helps drive the entire organization forward.

This model was also evident in Ava’s work with her mentee, Monica. Rather than observations connected to tasks, Ava determined that it would be best to observe standing check-in meetings between her and Monica. The weekly internship meetings allowed the

pair to have ongoing dialogue about their work. In the study's observations, we see that most of the conversations allowed for extended opportunities for processing and reflection. The central usage of reflective conversations is congruent with the mindset of transformational leadership because these types of exchanges are believed to help transform its members.

The literature review examined the difference between transformational leadership and instructional leadership. One of the most notable differences is what Hallinger (2003) calls first-order and second-order effects. Those that subscribe to an instructional leadership model would believe that a principal's work should directly target instruction and student learning—first-order effects. In transformational leadership, however, principals would work to create second-order effects by building the capacity in others so that they may create first-order effects. Throughout the study, applications of these leadership models are evident and directly influenced the ways of working between the pairs.

It was evident in Ava's conception that the role of the principal was to drive an environment that fostered positive second-order effects. Central to her work is the desire to build the capacity of others. During the internship, Monica is given authentic tasks and a direct role in leading the school. Ava supports Monica in this work but does not intervene or take on the tasks herself; rather, Ava helps Monica work through these challenges. One example of this is when Monica worked with the 8th grade team regarding issues of special education compliance. Monica was empowered to work directly with the teachers and was held responsible for all aspects of the project. When

problems arose, Ava was there for consultation but it was clear to Monica that it was her responsibility to improve practice. Over the months, Monica was able to resolve the situation with the support of Ava.

Marie approached her leadership differently. In the school year during which these pairs were observed, the school system was in the process of implementing a new evaluation system. Observations five and six documented the school's implementation of these reforms. Marie was directly involved in the observation feedback cycle with the classroom teachers. Jane was given the opportunity to practice this cycle with Marie but not given a level of independence in this work.

The leadership styles of both principals cannot be considered in isolation. They should be considered within the environment in which they are working. Marie explained that while her school was relatively high performing she had a number of faculty members she was working to move out of the school. She shared in the initial interview that she was concerned about the capacity of some of her instructional faculty. This additional context helped to explain Marie's tendency to be focused on first-order aligned actions. Ava spoke differently about her school community and their capacity. She shared that one of the goals for her school is that every faculty member hold some form of leadership within the school. A question that rose from these contrasts was whether capacity could be built no matter the initial level of skill and ability. More specifically, is Ava part of the reason her school staff is viewed as higher functioning? This was not the purpose of this study and might be a question that has no answer but is

interesting to consider within the context of developmental theories and the growth of the mentees.

Reflective conversations. A second theme that developed in the study was the role that reflective conversations had in the development of the pairs. In both pairs' observations, the presence of reflective conversations was evident and both mentees noted that it helped their growth. The process of reflective conversations is deeply rooted in theories of adult development and mentoring literature.

The conversational approach, using reflection to start and guide the conversations, was integral to the work between Ava and Monica. All of the weekly meetings involved a reflective feedback cycle. The principal started by posing a question, challenge or leadership issue. The pair would then discuss this issue—generating next steps, etc. From there, the principal would lead the intern in reflection around the decision and the process. Answers were not given directly to the intern. Rather, Ava's role was that of facilitator in challenging Monica to understand their work in a deeper way. A chart of these conversations is included in Table 7.

In thinking about reflective practice, York-Barr et al. (2006) wrote, “reflective practice requires a *pause*. Sometimes the pause is intentional—a purposeful slowing down to create a space in which presence and openness can emerge. Sometimes the pause happens unexpectedly in response to a crisis or dilemma” (p. 9). This pause is considered in the context of Ava and Monica's weekly meetings. We consider this statement in the context of our cabinet meetings. Once a week they had a planned *pause*, a moment they gathered to reflect.

Table 7

Reflective Conversations in Case 2

Standing Meeting	Reflective Conversation
November	IEP compliance in the context of expectation setting
December	Reflections on role of intern and supervisory conversations
January	Review of Memorandum of Agreement w/ faculty advisor
February	Reflections on an intern led faculty work session
March	Principal's dilemma regarding technology distribution
April	Intern's challenge working with a CTT pair
May	Working meeting with a struggling CTT pair

York-Barr et al. (2006) borrow from the work of Arin-Krupp in considering how this reflective process works. “Learning is a function of reflection. . . . Adults do not learn from experience, they learn from processing the experience (Arin-Krupp, as cited in Garmston & Wellman, 1997, p. 1)” (p. 27). Drawing from this insight, York-Barr et al. created a diagram that shows how “learning occurs by reflection on experience” (2006, p. 28). The diagram starts with the experience and then has an upward arrow representing reflection which leads to learning. The diagram is depicted in Figure 2.

Ava and Monica’s weekly meetings followed this cycle. An example of this was the debrief meeting from February. In this meeting, Ava and Monica spoke about a faculty work session that Monica led. This meeting started with an action, the faculty work session. Ava then led Monica through a reflective conversation, which led to learning. The cycle back to experience was not directly captured in the observation but subsequent observations show application of what has been learned.

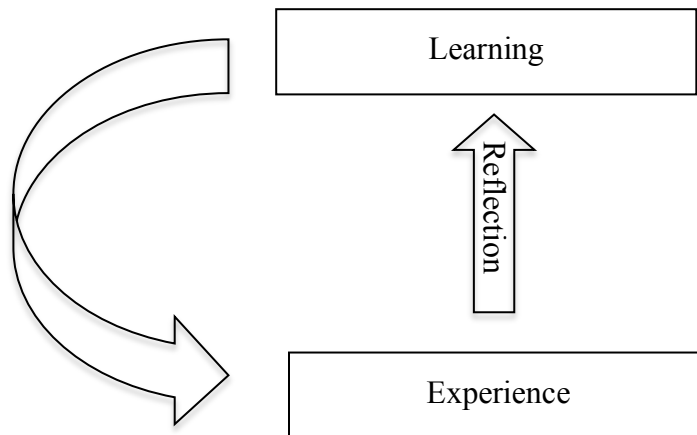


Figure 2. Learning occurs by reflection on experience.

Marie and Jane also spoke about the reflective process, and utilized this process to guide some of their work. This process was integral but did not serve as the basis for the internship the way that it did for Ava and Monica. Specific tasks anchored the interactions between Marie and Jane.

For the intern to truly grow from the process they must also have supportive feedback from their mentor. This feedback is in alignment with the cycle of reflection that the principal and intern are focused on. They must be open to the feedback and the mentor must be committed to giving the feedback in a clear and constructive way. There must be a level of honesty and openness connected to this process. I speak more about this in the sub-questions of my discussion section. This all must take place in planned, sacred time on a weekly basis where the mentor and the mentee meet.

Reciprocal relationship. Fischler and Zachary (2009) discussed the importance of reciprocity between the mentor and mentee where the mentor is “fully engaged in the learning relationship” (p. 7). Daloz (1986) concurred by describing the relationship as a partnership in which both are actively engaged and learning. Both pairs in this study reflect the importance of building a reciprocal relationship in their mentoring partnership.

In the mentoring partnership, there is a lateral exchange of learning that occurs between the pairs. Information is exchanged between the partners and flows both ways. This shared learning is in an element that is not present in the more traditional conception of mentorship models. Knowledge is no longer passed along. Rather it is learned together—the act of learning and the act of teaching are shared.

In the interviews, both Marie and Ava spoke about the impact of having a mentoring leader on their own development. “I look forward to sharing leadership challenges with my intern because it helps me learn and reflect as a leader,” explained Marie. This can be seen in Observation Six when Marie shared a leadership dilemma with Jane her intern. “It is helpful to have the opportunity to talk through issues and get another perspective. I learn a lot when I have interns.”

Ava shared a similar perspective on the partnership. “Mentoring furthers my growth in a way that nothing else can,” she explained. “I think of my mentee as a critical friend . . . someone that I trust and will push my thinking.” This perspective is truly evident in the way that Ava chose to structure the internship year. Both members of the partnership mutually drive the weekly meetings anchored around the work of the internship.

Authentic experiences. The opportunity for the principal intern to have authentic experiences was also an important aspect in the internship process. There were multiple instances where the interns were able to learn from leadership projects and opportunities that they were allowed to take on (and have a level of autonomy over). The findings indicated that it was important to ensure that the experiences were authentic and connected to the work of the school.

Within the study, authenticity was defined by three elements: legitimacy of authority, realistic tasks, and a level of autonomy over the work. In both partnerships, authority and autonomy were earned over time. Both Marie and Ava allowed their interns to have an increased role over the course of the internship year. The question of authority was one that both Jane and Monica raised in their work as they were challenged to interact with teachers in a semi-supervisory capacity. Monica struggled to define her role when she had to hold teachers accountable for special education compliance issues. Jane had similar challenges with the team teaching pair. The question of legitimate authority is not one easily resolved. A large part of the issue for both mentees related to the teachers' contract. Because Jane and Monica were technically teachers and not supervisors they were not allowed to act in a supervisory capacity. Neither mentor seemed to fully appreciate this rule and challenge that it created for their interns.

The second element, the authenticity of real-world work related to the job, was prominent in both internships. Both Monica and Jane were exposed to a variety of different projects and roles related to the principalship. The work completed in these internships reflected the leadership competencies articulated by the New York City

Department of Education (NYC DoE) as well as the standards set forth by the Interstate School Leaders Licensure Consortium. We examined these two frameworks in the literature review when we articulated the role of the principalship. We will use these again as we evaluate the work in these internships.

Marie explained in the initial interview that she uses the NYC DoE Leadership competencies to structure the internship. Her rationale for this was that the prospective school leaders had to go through a principal pool process with a rubric that was based on this framework and she wanted her interns to be adequately prepared. Marie also shared that she felt it was the most dynamic representation of the realities associated with the principalship.

The five competencies included:

1. Personal Leadership—Fosters a culture of excellence through personal leadership;
2. Data—Uses data to set high learning goals and increase student achievement;
3. Curriculum and Instruction—Leverages deep knowledge of curriculum, instruction and assessment to improve student learning;
4. Staff and Community—Develops staff, appropriately shares leadership, and builds strong school communities; and
5. Resources and Operations—Manages resources and operations to improve student learning.

Table 8 illustrates Jane’s internship experience in the context of these competencies.

Elements of many competencies can be found in some tasks.

Table 8

Task—Competency Matrix

	Personal Leadership	Data	Curriculum and Instruction	Staff and Community	Resources and Operations
#1—Cabinet	X				X
#2—Professional Development Day			X	X	
#3—Design Team	X	X	X	X	
#4—Network Meeting				X	
#5 and #6—Classroom Observations			X	X	
#7—Leadership Dilemma	X				X
#8—Selection Committee	X		X	X	

We explore Ava and Moncia’s work through the framework of the ISLLC standards because the university institution that Monica worked with required that these standards be considered in the context of the internship design. The ISLLC considered the principal a central component to the success of a school. The ISLLC provided six standards for school leaders. They wrote, an educational leader promotes the success of every student by:

1. facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders;
2. advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth;
3. ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment;
4. collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources;

5. acting with integrity, fairness, and in an ethical manner; and
6. understanding, responding to, and influencing the political, social, economic, legal, and cultural context. (Council of Chief State School Officers, 1996)

The pair authored a *Memorandum of Agreement* that linked to these standards. This document articulated key projects and experiences that the mentee would participate in during the internship. The agreement also established expectations for work, products and support. This was a living document and did change over time based on what came up during the school year and seemed to change as Ava and Monica's relationship grew. The *Memorandum of Agreement* defined Monica's role as the Special Education Coordinator. In this role, Monica took over special education work related to instruction and compliance. She took the lead with the special education faculty members as well as the entire faculty membership on topics related to special education. Within this role, Monica was given the opportunity to develop instructional expertise, analyze data, work with families, oversee compliance matters and impact school culture. Monica's work was to fill a specific role in the school and be responsible for all aspects of this role.

Kiltz et al. (2005) discussed the importance of action planning in the mentorship process. "Purposeful mentoring is defined as continuous individual growth and innovation related to school-specific goals and strategies that are outlined in a formalized plan of action" (p. 3). This plan of action must achieve the balance between the needs of the school, the leadership style of the principal and the learning of the mentee. The act of creating a *Memorandum of Agreement* between Ava and Monica allowed each member of the partnership a structured space to share their wants and needs for the internship. Monica stated that she felt it helped having a structure like this helped give her agency in

the creating an internship that met her needs. This planning also allowed time for relationship building and expectation setting.

Trust. The presence of trust was not immediate in either partnership. It was something that grew with time for both pairs. All four participants spoke about trust in the context of their work. The language of trust held different meanings based on the situation. Ava spoke about trust in the context of being vulnerable towards Monica. “I need to be sure that I trust my intern because undoubtedly she will be seeing me at my worst – days where just everything goes wrong,” stated Ava. Ava continued on to explain that on these “bad days” so much more could be learned than on the good ones. “An important part of the internship is having honest conversations about leadership, especially when you mess up—a lot can be learned from these (moments),” explained Ava. “I need to trust that my honesty will be greeted with reflection and support rather than judgment,” said Ava.

Marie spoke about trust in the context of working with her school. Marie explained that she needed to know that an intern will be able to do the work of a school leader. “It takes time to show me that you have the skill set, work ethic and tenacity for me to trust you with my school,” explained Marie. Marie spoke in her initial interview about her gradual release of work to the intern.

Both Monica and Jane spoke about the presence of trust in their initial interviews—stating that it was an important aspect to the work between them and their mentors. The need for trust also came up in the more difficult moments of the internship. Monica noted she felt more trust needed to be built between her and Ava during the mid-

year reflection with her faculty advisor. Monica's point regarded the desire to be included more substantially in the leadership of the school. Monica did not feel comfortable bringing this to Ava's attention and did not feel that Ava trusted her enough to have meaningful work. Jane spoke about her discomfort in the way feedback was given at moments in the internship but did not feel comfortable speaking with Marie about this. Jane noted that there was little purposeful work around relationship building between her and Marie and she felt that led to a lack of trust at least for the first few months of their work together.

There was clearly a tension between the perceptions of the mentors and mentees within this category. Both mentors believed that they were giving trust, while the mentees believed that this was a hindrance to their work. Discussions around this issue continually led back to the need for formalized relationship building. The need for structured conversations, not just about the work, but also about the process and relationship that drove this work.

Study model. These five themes interconnect to form a model of the researcher's findings. These two internship partnerships demonstrated interplay between the need for a foundation of trust, types of experiences and the impact of leadership style on the internship. The mentor's leadership style had a direct effect on the types of interactions, experiences and the overall internship design. At the base, as a central necessity, is the need for trust within the partnership. The presence of trust created opportunities for reflective conversations, authentic experiences and reciprocity in their relationship.

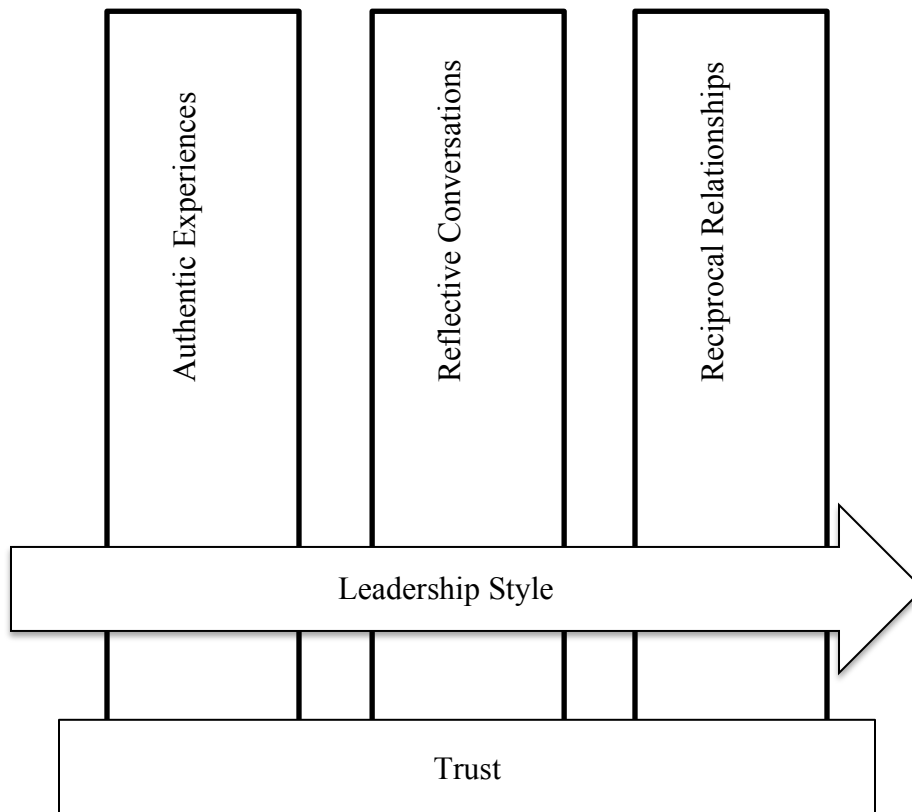


Figure 3. Model of thematic findings.

Recommendations for Target Audience

The researcher identified four primary audiences for this study: school leaders, principal interns (aspiring leaders), district-level school personnel, and university personnel involved with school leadership development. Based on our study, we are able to provide specific recommendations for each audience.

Based on the findings of this study, there are three recommendations that we have for principals who are mentoring aspiring leaders. The study found that it was important to invest time in relationship building for an effective partnership. Mentor principals need to facilitate this process for their partnership. Having these conversations in the

initial phases of the internship will allow for more productive work throughout the process. The study also found that the principal should have a clear set of work expectations for the intern. Principals must find a balance between the needs of the school and the development of the intern. There should be a set of clear expectations around projects and responsibilities for an intern that reflect this balance. Principals should view the mentorship as a reciprocal relationship in which both members are able to learn and develop. The study found that when principals were open to learning from their interns they felt (self-reported) that they grew professionally from being a mentor.

The leadership intern should be matched strategically with their mentor. When possible the leadership intern should be involved in choosing their mentor. The leadership intern should consider working styles, school placement and the type of mentor they would like in making this choice. The leadership intern should reflect on the internship experience and prepare a set of tasks, responsibilities and skills that they would like to participate in. These should reflect areas of strength, interest, and areas where the intern wishes to grow as a leader. True growth for the interns came through an ongoing, self-directed reflective process. Both interns in this study did some sort of journaling or written reflection to support this process.

School district personnel and university personnel involved with school leadership development should consider the internship as an articulated experience that has specific structures, requirements and roles. The study found that when there were clear expectations around the work from an outside organization that both the principal and the intern benefited. These external expectations helped to hold both members of the

pair accountable. It also enabled the intern to have an increased level of work and responsibility in their role. Furthermore, the experience should be aligned to the Interstate School Leadership Licensure Consortium Standards (ISLLCS) explored in this study's literature review. These standards depict a holistic understanding of what it means to be an effective school leader. Ensuring that an intern has experiences that speak to all of the standards will better prepare them for being a school leader. Lastly, these external partners should invest time in training and supporting the principal mentor. The mentorship model relies heavily on the ability of the mentor to develop their mentee. Mentorship transcends the simple action of training someone on a task. Mentorship is a developmental process that transforms an individual.

Both the principal and the intern would also benefit from a cohort model in which they were able to meet with other mentors and interns participating in the same process. The interns in both pairs did have this as an aspect of their program and spoke and found it to be useful. Ava and Monica's program also had a component for the principal. Ava met with the set of principals for three sessions throughout the year. These sessions involved direct instruction on adult development and coaching. The sessions also allowed time for the principals to discuss their work as mentors.

Based on the study, the researcher has also constructed an internship calendar as a resource for the four target audiences. The year is broken down into five segments: partnership building, defining the work, practicing leadership, new experiences and next steps (see Table 9).

Table 9

Internship Calendar

Month/Theme	Activities
Spring (the year before) Introductory Meeting	Intern identifies a school and mentor that they would like to work with. In the first meeting the intern learns about the school, its needs and the principal learns about the intern and their experience.
September and October Defining the Work	The principal and intern establish a norming relationship. They also decide what projects, roles and responsibilities the intern will take on in the school. A Memorandum of Agreement is also developed.
November – January Practicing Leadership	The intern carries out the leadership role that had been defined for them. The principal slowly releases oversight and control as the leader begins to develop. This is coupled with ongoing reflection and feedback sessions.
February – April New Experiences	During this time the mentor and intern should consider other leadership experiences beyond the defined role that the intern must be exposed to. This could include - meetings (beyond that of their current role), principal for a day and early networking opportunities. The intern will continue to complete their assigned leadership role as well.
May and June Next Steps	Nearing the end of the internship it is time to consider what is next for the intern. The mentor principal should play a role of advisor is helping the intern prepare for the job search, portfolio development, etc.

Recommendations for Further Research

This study limited its focus to the experience of the mentoring process in school leadership for two mentoring pairs. In subsequent studies, the researcher might change the scope of focus—exploring past the internship year, focusing on programmatic aspects, multi-year study of principal mentors and developmental growth of the principal mentors.

Studying the first year of principal support affords us two things. It provides more models and suggestions for effective leadership development. It also helps us better understand how to prepare our school leaders. In research on principalship, we found that the attrition rate for principals in the first three years is quite high. A number of studies found that districts that retain school leaders have included a mentoring process for new school leaders (once hired by the district). The data available on this population could tell us a lot about the impact of mentoring on developing effective school leaders. This data includes retention rates, satisfaction data, and student achievement data.

The role of the external partner (university and district) was only explored in the context of the work of the pairs in this study. A study that focuses on these programs as the primary subject would be beneficial. The school system where these two pairs worked is the largest in the country and has a number of different school leadership pipeline programs in place. A study that compares effects of these mentoring programs would be a direct benefit to the school system and add to the literature on mentoring. Exploration of these programs could also add to the content recommendations for the process of the internship year. Study and comparison of these programs could help us better understand which structures and experiences have the greatest impact on the development of new school leaders.

This study chose to focus primarily on the experience of the principal as a mentor. While this study captured this process, it does not measure the developmental growth (as defined in the field of Constructive-Development Theory) that principals have by being mentors. This is something that can only be answered through a longer-term study of

principal mentors and the use of a tool that accurately assesses an individual's developmental level. Utilizing an instrument such as a Subject-Object Interview (Kegan, 1994) at the beginning of the study would help the researcher better understand the developmental capacity of the participants. The *Subject-Object Interview* is a tool that helps an evaluator understand how someone makes sense of the world and it is rooted in Constructive-Development Theory. The tool can help determine an individual's developmental stage. This knowledge can be used as a basis for how a participant conceptualizes the process. One barrier related to this tool is that it is extremely complex and requires a trained evaluator to administer the tool effectively. Beyond this, it is highly labor intensive. A study that traces a principal or set of principals over the course of mentoring several interns over several years combined with the *Subject-Object Interview* could better evaluate this effect.

Conclusion

The purpose of this study was to examine the experience of a principal who mentors a future administrative leader. The study also explored other elements of the mentoring process including: the necessary supports and structures for a successful partnership; barriers to a successful partnership; the important experiences within the mentoring work and how mentoring works as a process of adult development. This study followed two principals who worked with leadership interns over the course of a school year. The researcher conducted interviews, observations and debriefing sessions with the mentoring pairs in a multiple case study design. Findings from this study generated

actionable steps for the design of future mentoring programs including a year-long internship process.

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Appendix A

Sample Observation Protocol Tool

Title:	
Date:	
Length of Activity:	
Descriptive Notes	Reflective Notes
“(A) section for recording descriptive activities” (Creswell, 2007, p. 135). “ Column indicates the observer’s attempt to summarize, in chronological fashion, the flow of activities in the (observation)” (Creswell, 2004, p. 135-8).	“A section for notes about the process, reflections on activities, and summary conclusions about the activities for later development” (Creswell, 2007, p. 138).

Source: Creswell (2007, p. 137, Figure 7.5)

Appendix B

Structured Interview Protocol and Questions

Structured Interview Questions – Principal Mentor

Initial Interview

Time of interview:

Date:

Place:

Interviewee:

Interview Questions:

1. How long have you been a school leader?
2. How long have you been at your school?
3. Have you had principal interns before? If so, when and how many? Where did the interns go after their intern year?
4. What worked well with past interns?
5. What were some of the mistakes that you made with these interns?
6. What are your expectations for the mentor-mentee relationship?
7. What are your expectations for the ability of this intern?
8. Why do you mentor other rising school leaders?
9. What supports do you rely on to help you in this role?
10. Did you ever have a principal internship? If so, what was it like?
11. Do you have any questions about this study?

Source: Creswell (2007, pp. 135-136 and Figure 7.4)

Structured Interview Questions – Principal Intern

Initial Interview

Time of interview:

Date:

Place:

Interviewee:

Interview Questions:

1. What is your professional background?
2. How long have you been at this school?
3. What sorts of leadership have you already taken on?
4. What are your expectations for this internship?
5. What are your mid- and long-range professional goals?
6. Describe your graduate school program and experience thus far (if applicable).
7. What are you most concerned about in the internship?
8. What do you need to be successful in this work?
9. What experiences are you most looking forward to?
10. Do you have any questions about this study?

Source: Creswell (2007, pp. 135-136 and Figure 7.4)

Structured Interview Questions – Principal Mentor

End-of-Study Interview

Time of interview:

Date:

Place:

Interviewee:

Interview Questions:

1. How do you think the year went with your mentee?
2. Were your expectations for the partnership met? Why?
3. How do you think this experience has impacted you as a leader?
4. What specific moments were most challenging?
5. What specific moments added most to your development?
6. After this experience, what advice do you have for other principals that will be mentoring aspiring leaders?
7. What did you most enjoy in this partnership?
8. Will you mentor other aspiring leaders in the future? Why?

Source: Creswell (2007, pp. 135-136 and Figure 7.4)

Structured Interview Questions – Principal Intern

End-of-Study Interview

Time of interview:

Date:

Place:

Interviewee:

Interview Questions:

1. How do you think the year went with your mentor?
2. Were your expectations for the partnership met? Why?
3. How do you think this experience has impacted you as a leader?
4. What specific moments were most challenging?
5. What specific moments added most to your development?
6. After this experience, what advice do you have for other aspiring leaders that are entering a mentorship experience?
7. What did you most enjoy in this partnership?
8. What are you doing next in your career?

Source: Creswell (2007, pp. 135-136 and Figure 7.4)

Appendix C

Unstructured Interview Protocol Tool

Unstructured Interview Protocol Tool**Time of interview:****Date:****Place:****Interviewee:**

What just happened (context for what the interview is about—brief description)

Questions:

1. Do you feel comfortable talking to me about (named above)?
2. What can you tell me about (named above)?

Continue with questions based on what the interviewee is sharing—becoming conversational in nature.

Appendix D

Institutional Review Board Approval

October 30, 2012

Megan Adams
Graduate Studies
65 Mews Ln South Orange, NJ 07079-1747

Jody Isernhagen
Department of Educational Administration
132 TEAC, UNL, 68588-0360

IRB Number: 20121012816 EX
Project ID: 12816
Project Title: Growing as a Leader through Developing Others: The Effect of Being a Mentor Principal

Dear Megan:

This letter is to officially notify you of the certification of exemption of your project by the Institutional Review Board (IRB) for the Protection of Human Subjects. It is the Board's opinion that you have provided adequate safeguards for the rights and welfare of the participants in this study based on the information provided. Your proposal is in compliance with this institution's Federal Wide Assurance 00002258 and the DHHS Regulations for the Protection of Human Subjects (45 CFR 46) and has been classified as Exempt Category 2.

Date of Exemption Determination: 10/30/2012

1. The approved informed consent forms have been uploaded to NUgrant (files with -Approved.pdf in the file name). Please use these forms to distribute to participants. If you need to make changes to the informed consent forms, please submit the revised forms to the IRB for review and approval prior to using them.

2. It has been approved to conduct the study within Community School District Two within the NYC Department of Education.

We wish to remind you that the principal investigator is responsible for reporting to this Board any of the following events within 48 hours of the event:

- * Any serious event (including on-site and off-site adverse events, injuries, side effects, deaths, or other problems) which in the opinion of the local investigator was unanticipated, involved risk to subjects or others, and was possibly related to the research procedures;
- * Any serious accidental or unintentional change to the IRB-approved protocol that involves risk or has the potential to recur;
- * Any publication in the literature, safety monitoring report, interim result or other finding that indicates an unexpected change to the risk/benefit ratio of the research;
- * Any breach in confidentiality or compromise in data privacy related to the subject or others; or
- * Any complaint of a subject that indicates an unanticipated risk or that cannot be resolved by the research staff.

This project should be conducted in full accordance with all applicable sections of the IRB Guidelines and you should notify the IRB immediately of any proposed changes that may affect the exempt status of your research project. You should report any unanticipated problems involving risks to the participants or others to the Board.

If you have any questions, please contact the IRB office at 472-6965.

Sincerely,

Becky R. Freeman, CIP
for the IRB

Appendix E

Letter from External Auditor

TEACHERS COLLEGE

COLUMBIA UNIVERSITY

Dr. Jody Isernhagen
132 Teachers College Hall
Department of Educational Administration
University of Nebraska-Lincoln
Lincoln, NE 68588-0360
25 October 2013

RE: Assessment (Qualitative) of Megan Rachel Adam's Dissertation—Methods and Findings

Dear Dr. Jody Isernhagen,

Warmest greetings. It is my great honor to offer comments regarding methodology and findings presented in Megan Adam's path finding dissertation entitled, *Growing as a leader through developing others: The effect of being a mentor principal*. Thank you so very much for inviting me to serve in this capacity. In this letter—and in response to request—I will offer my assessment as to: 1) the methodological choice of as case as a valid approach to explore Megan's research questions, and 2) the connections among research questions, methods, and findings. I hope you find this helpful. Please allow me to state up front that 1) I learned a great deal from reading Megan's exceptional research, 2) her study will make many valuable and needed contributions to the field, and 3) I hope that we can encourage Megan to transform her dissertation into a book so that the field has greater access to her important work.

By way of context for my assessment, I share the following. I conduct research, teach aspiring and practicing leaders as well as aspiring academics at Teachers College, Columbia University, and have the honor of serving educational leaders in the field. In addition, for nearly twenty years, I have had the honor of consulting to and learning from school leaders and educational organizations on matters of school leadership for adult development, adult learning, professional and personal development and qualitative research. My research investigates leadership development, and practices that support adult development in K-12, university, and adult basic education (ABE) contexts. I feel that I am in a good position to speak to the exceptional contributions that Megan's dissertation makes. I am honored to serve in this capacity. Thank you for inviting me to serve as "qualitative expert."

I asked Megan to send me her entire dissertation and the data because I wanted to learn from her work. To address the two questions I was invited to comment on up front, please allow me to offer the following (more follows).

- 1) ABSOLUTELY YES, Megan's choice of methods (i.e., a multiple case study) is appropriate, given her research questions, the problem she chose to explore, and what she wanted to learn
- 2) And ABSOLUTELY YES, MEGAN'S DETAILED FINDINGS make tremendous sense and offer enormous and important contributions to the field on many levels.

In what follows please allow me to comment a little further about her study.

In this dissertation, Megan has clearly defined the problem, the gap and the need for her systematic and in-depth research about the experiences of two principals and their administrative interns. Her **methodological decision** to investigate two principals' experience in depth is clear. She has made the case in a powerful manner for the importance of tracing the experiences of the work of two principal mentors and their mentees over an extended period of time (i.e., one year). Her rationale for this is clear and makes good sense. In addition, her rationale for employing the methods she did (i.e., extended on-site observations of the pairs, interviews—both formal and informal—and examining selected documents--artifacts) is valid. From my view, Megan's choice of methods is exactly what I would have done to explore her important research questions. The only suggestion I have related to methods is to encourage Megan to say a little more in her methods chapter about the selection criteria she employed to choose the principals for her research. I offer this to be of help—and hope it is helpful.

Megan has done superb work in present her findings. They clearly link to her research questions. Big KUDOS!!! In addition, I applaud her systematic and careful analyses. Not only has she presented the two principals experiences in vivid ways, but her work allows us to learn from the interns' experiences as well. Her work is ground breaking. She has also done an amazing job of caring for how she attended to a variety of validity threats. And, I really appreciate many things—two in particular: 1) Megan addresses her own potential biases – as principals and mentor—in powerful ways; and 2) Megan has done an excellent job of presenting both similarities and differences in principals' experiences. Not an easy task! Kudos to Megan! The only suggestion I offer here is to consider changing the word *impact* to *influence* throughout.

I know that I have not been asked to comment specifically on Megan's literature review (Chapter 2). And yet, I want to offer that it is so incredibly strong that I hope you will encourage her to write an article that summarizes it—as well as a book about her exquisite research.

There is so much more I could say about the gifts Megan has offered to the world in her dissertation. If I can be of more help, please know I am here. Please feel free to contact me should you have any questions.

Megan's thoughtful and exceptional dissertation is truly a gift. I plan to include it as required reading in my classes for aspiring principals, aspiring superintendents, and teacher leaders here at Teachers College. In addition, I will encourage educators in my workshops (i.e., teacher leaders, district leaders, principals, assistant principals, coaches, specialists, etc.) to read her powerful work. This, to me, is testament to the power of her findings and the lessons learned, which will help others in large ways.

In closing, I am absolutely confident that Megan Adam's work will continue to leaders on the ground, mentors of all kinds, and administrative interns. She has thought carefully and caring offered large gifts to the world of practice and to those who dedicate themselves to teaching aspiring and practicing leaders, especially to mentors and mentees.

Her research findings and strong qualitative methodology are gifts. Megan's critical insights and findings are gifts to practice, research and to policy makes in the field of educational leadership. I feel that Megan will continue to make a vital difference in service to our schools and **for** the greater educational world we seek to build.

Thank you for your thoughtful consideration of my letter and assessment. If I can be of help in other ways, please know I would be honored to assist.

Sincerely and with all best wishes,

Eleanor Drago-Severson, Ed.D.
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