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The Influence of No Child Left Behind (2001) on the Leadership of Elementary School Principals in Massachusetts: Highlighted Responses from Asian American Principals

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THE INFLUENCE OF NO CHILD LEFT BEHIND (2001) ON THE

LEADERSHIP OF ELEMENTARY SCHOOL PRINCIPALS IN MASSACHUSETTS:

HIGHLIGHTED RESPONSES FROM ASIAN AMERICAN PRINCIPALS

A Dissertation Presented

by

WESLEY P. S. MANADAY

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ABSTRACT

THE INFLUENCE OF NO CHILD LEFT BEHIND (2001) ON THE

LEADERSHIP OF ELEMENTARY SCHOOL PRINCIPALS IN MASSACHUSETTS:

HIGHLIGHTED RESPONSES FROM ASIAN AMERICAN PRINCIPALS

June 2014

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This dissertation focuses on the influence of the No Child Left Behind Law

(NCLB), one of the most influential educational reform acts in the U.S. and the

Massachusetts Education Reform Act (MERA) upon the role of principals in elementary

schools throughout Massachusetts. The thesis covered the leadership practices pre- and

post- Massachusetts Educational Reform Act of 1993 and pre- and post- No Child Left

Behind Federal Law of 2001, the leadership roles of principals, their decision-making,

and the types of practices they developed as a consequence of NCLB. In addition,

principaløs backgrounds and cultural influences on their leadership were specifically

highlighted in the role of mainstream and non-mainstream principals of diverse ethnic

groups including Asian American, African American, Latinos and European whites.

How Asian American principals responded and reacted to NCLB was critically analyzed

since this was the focus of the dissertation.

Using a quantitative survey sent out to 1,350 principals but with a return of 137 elementary school principals (K-8) in Massachusetts as a sample, and 36 in-depth interviews conducted with equal numbers of principals who were Asian Americans, African Americans, Latinos and European whites in the Boston metropolitan area, and other parts of Massachusetts, the findings indicate that the more assimilated the principals are and in this case, Asian Americans, the more they act and respond like European white principals in their accountability, decision making, and practices. Moreover, acting upon the recommendations made from these findings can serve principals best and provide for future research of within group ethnic and cultural variations on the outcomes of NCLB and its future.

DEDICATION

In loving memory of my father

Martin Manaday

and especially to my mother

Eleanora Manaday

ACKNOWLEDGEMENTS

This journey has been a very long one. I had left this process at one point in time until I was encouraged by my dissertation advisor, Dr. Martha Montero-Sieburth, whom I had formally met at a Frida Kahlo exhibit at the San Francisco Museum of Modern Art many years ago, to get back to my doctoral studies.

 I was afforded the opportunities to travel to the Netherlands to work with Dr. Montero-Sieburth at the University of Amsterdam where she teaches and guides other graduate students through their thesis journeys. I continue to be amazed at how dedicated she is to all her students. It is her belief in me and encouragement that sustained me that I am especially grateful and most appreciative.

Mahalo (thank you) to my committee members, Dr. WenFan Yan, Dr. Peter Kiang, and Dr. Luis Carro who saw me through to the end of this process. They provided me with support and assistance. They encouraged me to look at the incredibly rich data that was collected, which gave me greater insights into the stories of principals who shared them with me.

To Pam Summa, Candice De Boer, Constance Cook, and Mary Frangiosa who helped me look at my writing; and to Dr. Lidia Cabrera, Joe Kidd, Gail Geary, Anna Fogg, Tess Gautreaux, and Debbie Shook for computer technical assistance, I also say mahalo. I wish to thank Molly Pedrially, Administrative Assistant for the Leadership in Urban Schoolsø Office, who helped me stay on track. I also wish to thank Kathy Czyryca, Cathy Connor-Moen, Cathy Barnicle, Jody Smith, Jill Driscoll, Jane Berlent,

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INTRODUCTION

õIn years past my heart always palpitated and the sweat ran down my
forehead whenever the preliminary results of the annual state assessments
were made available to principals from the state department of education.
I got anxious learning whether or not my school had made Adequate
Yearly Progress (AYP). õ óan elementary school principal

The above quote is a principaløs reaction to the No Child Left Behind Act

(NCLB) of 2001, where each stateøs department of education had to determine whether

their schools and school districts were making adequate progress toward the main goal of

the law, that every student would be proficient in English language arts, math, science

and technology by the year 2014. Implemented across the United States, No Child Left

Behind created massive changes in education, particularly in the role of the principal.

Since then, under President Barack Obamaøs administration, states have been able

to apply for waivers in meeting the main goal at a later date than 2014. In the states like

Massachusetts, that were granted waivers, new accountability systems were developed to

measure student achievement and show that schools were progressing toward the overall

goal. Some states even proposed to show continual growth over a number of years,

taking into account the English language learner, the cognitively impaired, and

economically impoverished students.

In the current Massachusetts growth model, students are being compared to

themselves from one year to the next; in such cases, the emphasis is on showing

accountability and how all students will become proficient in all the content areas over a

specified number of years instead of by the 2014 deadline. Still, not having met

Adequate Yearly Progress (AYP) in the past or not meeting the current targets is

devastating for any school principal; to make matters worse, punitive sanctions have been

placed on schools that have been identified as underperforming.

Based on my own experiences as a principal caught in the middle, I can say that

the laws have forced me to change the ways I make decisions and reflect upon practices I

have carried out in my school. I now analyze data to plan instruction for better teaching

and learning more effectively, aware of how the laws allow operating expenditures, use

funds with care, do outreach work to parents and members of the community, and

develop mentorship, recruitment, and training programs to ensure highly qualified staff.

From my informal conversations with principals at conferences or professional

gatherings, I know that I am not alone. Some of my principal colleagues wholeheartedly

support accountability but have felt frustrated about the greater demands placed on them

as principals due to this educational reform.

Accountability has become intractable. It has led to questions such as the

following: What about the students who transfer from one state to another? How can

school districts be held accountable for students making progress when not all states have

adopted the same curriculum and learning standards? What about teaching to the test?

Currently, teachers are being held accountable for progress students make in their

respective classrooms. Many teachers are worried and rightfully so, that the new teacher

evaluation initiatives proposed by each of the states now link student achievement data to

evaluation systems.

An unintended consequence of teaching to the test is that many school curriculums are eliminating enrichment programs such as the fine arts, the performing arts, physical education, and even recess, to make way for more teaching of literacy, math, science and technology. Many English language learners (ELLs) are given short shrift from access to the curriculum as they are expected to become fluent within a year of arriving in the United States. To address this all school districts across the nation have been mandated by the Federal Department of Education to professionally train all teachers of ELLs. Many states, including Massachusetts, have developed intense training programs, which have been time consuming for the teachers, and taxing to communities.

Principals are becoming more accountable for student achievement in their schools as the laws have evolved. More initiatives are being demanded as greater expectations are placed upon schools. In the past, principals needed to have their schools achieve Adequate Yearly Progress (AYP). Schools in Massachusetts are currently given one to five ratings, with one referring to the highest performance targets and five, to the lowest performance, and may need support to avoid a possible state takeover. To receive an affirmative AYP determination or to meet all current targets, schools and school districts have to meet a student participation requirement, an additional attendance or graduation requirement, and either the state's performance target or the school's own improvement target. Those who fail to meet their goals have to follow a required course of action, of Improvement, Corrective Action, or Restructuring, based on their accountability status.

In 2012, the Massachusetts Department of Elementary and Secondary Education eliminated AYP determinations for a new growth model. Currently schools have to meet

their targets for at least one grade span (based on three levels: grades 3-5, 6-8, and 9-12). More than ever before, principals are accountable for the academic progress of every student. This includes students with learning disabilities, English language learners (ELL), students who qualify for free or reduced lunch- a status that makes students eligible for Title One services, gifted and talented students, a group whose needs have hardly been addressed in the educational reforms. The main tenets of NCLB expected students would be proficient by 2014 in English language arts (ELA), math, and science and technology, even those students who are English language learners, in Special Education, and Title One Programs. Now the Commonwealth of Massachusetts along with the other waiver states have proposed new growth models to measure student progress in order to attain the main goal of NCLB for a later date.

Education reform has also impacted the role of principals in their everyday life. Their abilities are constantly being tested to perform and deliver on a daily basis. The demands raise questions about: How do principals navigate through all the requirements of both education reforms? How do they make sense of all of the paperwork demanded of them? How do they figure out what chances they have of succeeding? How do principals in general work within the requirements of the Massachusetts Educational Reform Act (MERA) of 1993 and the No Child Left Behind Law of 2001? Furthermore, how do Asian American Principals, among many other ethnically diverse principals, relate to MERA and NCLB, and what do they do that speaks to their own value system and cultural backgrounds?

These very questions are the concerns which this study has tried to understand. In essence this study focuses on how the policies of MERA and NCLB, from their

enactment to their implementation, are understood and described in general by school principals of different ethnic backgrounds, and specifically by Asian American principals, in the implementation of their leadership.

Problem Statement

At no other time in the history of educational reform have principals been more affected by a federal law as they have been by NCLB; the pressure to meet the demands of their respective state departments of education has been overwhelming. Parents, business entrepreneurs, and the community at large have also been affected by NCLB's demands for partnerships and student achievement. Parents are expected to be committed to schools, students are expected to graduate with higher scores on standardized tests, and schools are expected to meet Adequate Yearly Progress goals as determined by each state's Department of Education. Educators have begun to question the effectiveness of NCLB's demands for accountability – which affect student testing, school improvement, teacher performance, parent involvement, and business partnerships.

Under NCLB, accountability has become paramount, necessitating the use of all kinds of student data, including test results from various sources, reading scores, writing samples, and classroom observations. This has led to decisions that raise student achievement particularly in urban schools, where more students are from minority groups. NCLB initially was enacted to reduce the "achievement gap" between African American students, Latino students, English Language Learners (ELL), and students with learning disabilities, compared to that of their European white counterparts. Much of the most recent research has shown that in the case of African American and Latino students, this

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gap has actually widened rather than diminished (Rothstein, 2003, 2004; Sadovnik et al., 2008).

Under NCLB, by the year 2014, students were supposed to be deemed õproficientö by meeting requirements set by each stateøs Department of Education in English Language Arts, Reading, Mathematics, Science, and Technology. Principals have had to develop individual student success plans for all of those who need improvement. Students need to prove their competency through high-stakes testing to advance to the next level, and only obtain advanced placement through standardized national tests such as the Scholastic Achievement Test (SAT) and the Graduate Record Exam (GRE).

At the same time, schools need to demonstrate Adequate Yearly Progress for all students. If students do not have acceptable test scores, the school faces harsh consequences and sanctions. The school is warned, or identified as needing improvement. This has a snowball effect that also impacts school culture, in that parents have the option of transferring their high-performing children out of a particular school, and as a consequence, the best qualified teachers follow in their wake, leaving struggling students without peer role models or excellent teachers. More significantly, schools have lost funding for the very same federal programs that were intended to help poor and underprivileged students. Schools where students tested low were mandated to restructure their educational programs, or replace their administration and/or teaching staff.

Principals improved their studentsø achievement and maintained academic accountability by aligning the school curriculum to tests which were methods of assessment. In Massachusetts, such tests are known as the Massachusetts Comprehensive Assessment System (MCAS). To prepare students for such testing, principals sought

advice on curriculum content, revised instruction, and continually re-assessed student progress in the light of proficiency requirements. Another way that principals improved students' achievement was to hire teachers who were "highly qualified", who were licensed in their subject areas and received professional development training that was both current and closely linked to assessment content.

Even when parental involvement in schools was increased, and financial resources were sought, principals were under pressure to provide their teachers with continuous professional development. Many NCLB mandates were not funded. Thus a school identified as underperforming lost its federally-funded programs and ended up having to raise money.

Under NCLB, parental involvement was not only fostered but expected by schools since it enables parents to help with their children's homework, study habits, and attendance issues. In addition, NCLB provided incentives by funding programs for businesses to partner with schools through student internships, and to offer even possible future employment.

While the U.S. population was changing in terms of ethnic participation in schools, principals were not. The National Association of Elementary School Principals (NAESP) (2008) reported that there were more than 30,000 principals in K-8 Schools. The National Association of Elementary School Principals (NAESP) reported that there were 9,000 to 12,000 minority principals of which 2 % were Native American, Alaskan Native, or Asian/Pacific Islanders in 2008 (NAESP, 2010). In 2010 there was an increase in the numbers of minority principals, but because the number of European white principals increased proportionately as well, there was no substantial change in these

proportions of mainstream (European white descent) and non-mainstream principals, where 11 % were African American, 6 % were Hispanic, and 2 % were Native American, Alaskan Native, or Asian/Pacific Islander. (U.S. Dept. of Labor, 2010).

In regards to the changing demographics, one issue that stands out is the role of principals in schools. While there is a great deal of research on European white principals, less is known on how elementary principals, especially those from under-represented groups such as Asian Americans, African Americans, Latinos, and Native Americans interpret such laws in the decisions they make, the curriculum, instruction, assessment, and professional development they undertake, and the leadership they manifest.

Furthermore, the implementation of both MERA and NCLB promises, among other things, quality changes in schooling that will equalize the playing field, providing equitable education to all students. Thus, understanding the full force of the impact of these two policies, over time and from the mouths of principals daily engaged in follow-through, is a necessary and worthy task.

<center>Rationale for the Study</center>

This study is important because: there are few studies that have focused on the interpretation and implementation of both the MERA and NCLB laws by principals in the U.S., and more so in some of the states that have been front runners in educational reform. Massachusetts is one of those states and the analysis of the influence of these laws on principals from this study, extends the knowledge and understanding of the impact of MERA and NCLB for other states to emulate. Furthermore, hardly any literature exists on the influence that laws such as MERA and NCLB have had on

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ethnically diverse principals who belong to the dominant European white population. These were in the majority at elementary schools and Asian Americans, African Americans, Latinos, and Native Americans principals from non-mainstream groups were in the minority. Less is known in particular, about how Asian American principals at the elementary school level have understood the influence of MERA and NCLB on their professional and personal experiences. There are no prior studies that have been conducted on the leadership, practices and decision making of Asian American principals. Most Asian American principals are likely to be found in urban schools with the same populations of students. As one of the two largest under-represented groups in the U. S., focusing on how Asian American principals fare in terms of their leadership and implementation of MERA and NCLB is a critical undertaking of this study.

In this regard, this study tries to fill in this gap by adding new knowledge about the thinking, decision-making, and practices of Asian American principals. Of utmost importance is how Asian American principals among other principals derived from both the macro and micro analysis of the survey and in-depth interviews, understand and navigate the requirements of MERA and NCLB while they also attempt to meet the needs of their diverse school populations. Finally, as an elementary school principal under pressure to implement these laws in Massachusetts, I want to uncover the factors that define the future role of non-mainstream, Asian American principals. Being able to provide descriptions of what decisions were made, the practices that were effective, and the types of challenges faced by Asian American principals among other principals, provided needed information that can be used by policy makers in the future.

Research Questions

This study was designed using a quantitative and qualitative approach at macro and micro levels. The following questions guided the study:

- *In what ways have elementary school principals changed their roles, pre- and post-MERA and NCLB, in terms of general practices, decision-making, and accountability?*

- *How have European white and minority principals at the elementary level interpreted and implemented MERA and NCLB laws, specifically those principals in the Greater Boston area, Central Massachusetts, and Cape Cod? What have Asian American principals in Massachusetts done compared to other principals (European white, Latinos, African Americans, and Native American), with regard to decision-making, practices, and accountability? How have they integrated, changed, or created alternative practices to meet the requirements of MERA and NCLB?*

- *What can the results of the generic survey pre- and post-MERA and NCLB, and the in-depth interviews indicate about the ways that Asian American principals, among other ethnically diverse principals, understand their roles as leaders? What are some of their coping mechanisms and strategies? Specifically what types of leadership are emerging from the practices of Asian American principals and how can such leadership be described in terms of the responses they make and the strategies they create?*

- *What implications can be drawn from this study that may be useful in structuring future policy reforms for MERA in Massachusetts and for NCLB in its reauthorization?*

Concepts and Definitions

This section operationalizes the concepts used throughout the dissertation.

Figure 1. Map of the Greater Metropolitan Boston Area
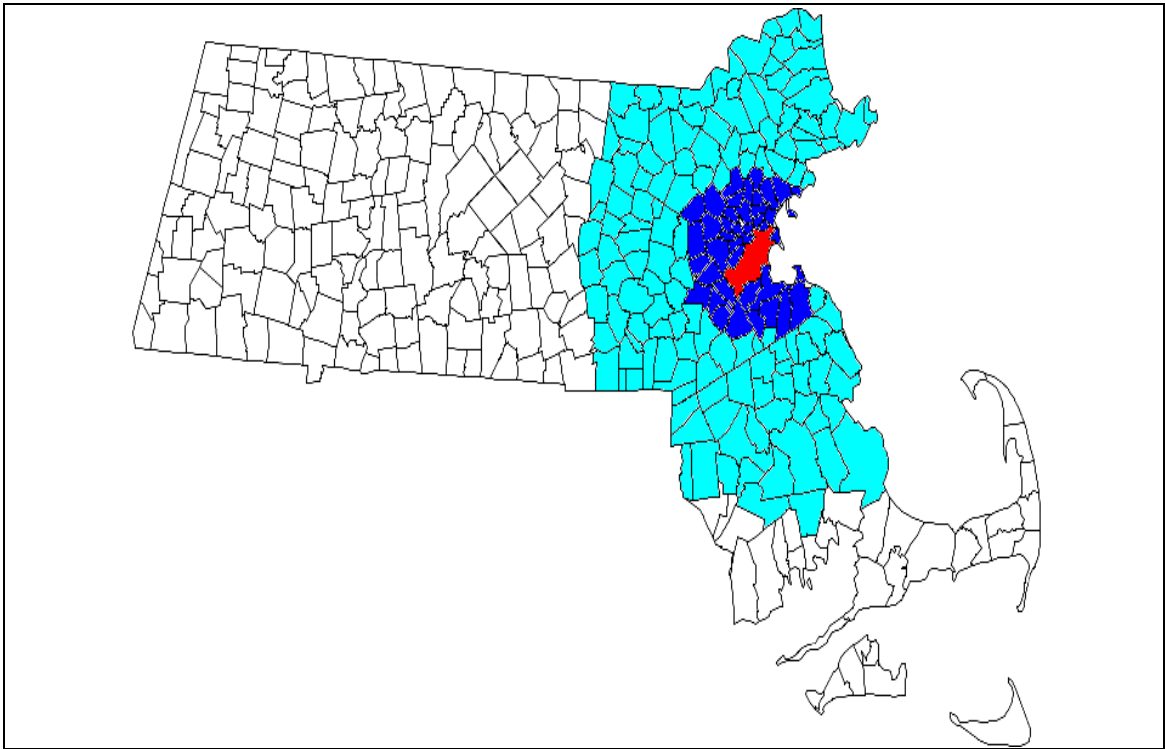
- **Greater Metropolitan Boston Area**ô A metropolitan area is defined by the U.S. Office of Management and Budget (OMB) according to the standards for defining areas as determined by the U.S. Census Bureau. The most current definition as of November 2013 for Metropolitan Boston Area available from the U.S. Census Bureau website: http://www.census.gov/population /www/ metroareas/metrodef.html includes Boston, Cambridge and Quincy, Massachusetts-New Hampshire Metropolitan Statistical Areas. In this study, the Greater Metropolitan Boston Area will be defined as the area identified as

Metropolitan Boston above for only within Massachusetts and also include the Greater Boston Area which will overlap with the North and South Shores, Metro-West, and the Merrimack Valley.

- **Performance**ô Job performance comprises leading, managing, and supporting learning in schools. Educators must have time and resources to develop the knowledge and skills they need to lead high performance schools. In addition, NLCB requires mentorship and recruitment programs within schools. School districts in most states support teachers on the first day of the job with the guidance of a skilled mentor, who continues coaching throughout a teacherøs tenure.

- **Adequate Yearly Progress (AYP)**ô This term not found in MERA but in NCLB is part of the main goal of having every child become proficient in English language arts, mathematics, science, and technology by the year 2014. Waivers were granted by the U.S. Department of Education granted in 2013 to 45 states, including Massachusetts. These states proposed new growth models to monitor their studentsø progress. Accountability remains in place, as the primary goal for students to become proficient is the same. In this study the AYP model was used during the administration of the general survey and in-depth principal interviews, it will be the definition used as stated below. Before the waivers, each stateøs department of education determined if schools and school districts were making adequate yearly progress (AYP) by developing monitoring systems. To meet AYP, schools and school districts had a student participation requirement, an additional attendance or graduation requirement, and either the stateøs

performance target or the school or school district's own improvement target. Schools and school districts have not made AYP for two or more consecutive years had to follow a required course of action to improve performance, either through Improvement, Corrective Action, or Restructuring, depending on their accountability status. Schools had to meet AYP targets for at least one grade span based on the three levels: grades 3-5, grades 6-8, and grades 9-12. In this study, AYP will be used as defined by NCLB.

- **Under-performance**ô refers to schools that are not making progress in raising students' achievement levels on standardized tests. In this study, the standardized assessment to determine performance was the Massachusetts Comprehensive Assessment System, also known as MCAS. MCAS was in place during the administration of the General Survey and In-depth Interviews to principals in this study.

- **Accountability**ô The Massachusetts Education Reform Act (MERA) of 1993 required the Massachusetts Department of Education to develop and improve student performance through a statewide monitoring system which is MERA's definition of accountability. NCLB later required all states to develop monitoring systems, but they were already in place in Massachusetts and other states. This monitoring system determined whether schools and school districts were making adequate progress towards the NCLB goal. In 2013 Massachusetts was granted a waiver by the U.S. Department of Education, and abandoned its former monitoring system for a new growth model. The main goal remains to have each student be proficient in English language arts, mathematics, science, and

technology by 2014. This is the NCLB definition of accountability. In this study, accountability will be used as defined by MERA and NCLB.

- **Achievement Gap**ô This phrase was coined in 1998 by the State Education and Environment Roundtable, a cooperative endeavor of education agencies from 12 states working to improve student learning by integrating the environment into K-12 curricula and school reform efforts (Lieberman & Hoody, 1998). The achievement gap is explained in the No Child Left Behind (NCLB) Act of 2001 as the need for all schools to focus on the academic achievement of traditionally under-served children, such as low income students, students with disabilities, English language learners, and students from racial and ethnic minorities.

- **Decision Making**ô The process of making decisions is defined in MERA, and requires site-based decision making that includes parents and stakeholders, i.e. business and service partners, on a variety of school and school district committees. Before NCLB was enacted, schools in Massachusetts had School Based Management or School Site Councils in place to serve as advisory council to the principal for decisions. In many sections, NCLB requires that parents and stakeholders be involved. Such involvement was identified as õconsultationö. Consultation often calls for õrepresentativesö of parents and/or the community to advise principals and school officials. For effectiveness, school communities are urged to collect data that will inform their decision making. In this study, decision making will be used as defined by MERA and NCLB.

- **Practices**ô This means actions and activities carried out by teachers or principals in a school conducive to learning and academic achievement outcomes (National

Association of Elementary School Principals, 2008). Practices cover:

1) Administrative practices which include the hiring of personnel, determining their salaries, ensuring that staff members are certified, establishing mentorship and recruitment programs, evaluating staff, and removing staff for a schooløs under-performance. Administrative practices include involving parents in making decisions, restructuring a school to become a public charter school, replacing all or most of the school staff, contracting a private educational management company to run the school, seeking out funding sources, and developing a school improvement plan; 2) Instructional practices which include increasing student academic performance, for example by implementing reading and mathematics programs, analyzing data to improve instruction, providing professional development, and training staff; 3) Curricular practices which deal with professional development training which not only focuses on learning but also on how to integrate technology into the curriculum. Of the former, aligning English language arts curriculum with the school library and other literacy resources; and 4) Operational practices include all those decisions and actions of a principal on the day to day functions of the school which ensure safety where they can expel, suspend students for assault of educational staff on school premises, or in possession of dangerous weapons or substances. Under operational practices, funds and resources can be sought to alleviate domestic violence. The definition of practices in this study is made explicit by principals in the areas of administration, instruction, curricular and operations on the basis of NCLB.

Principalsô Refers to the directors of Elementary Schools, Kindergarten through Grade 8 in U.S. educational settings.

- **Principal's Role**ô In this definition, the role ascribed to principals has shifted from being a manager of schools, ensuring that daily operations run smoothly, to also becoming an instructional leader for learning communities as defined by the standards published by the National Association of Elementary School Principals (2008) for what principals should be able to: õ 1) lead schools in a way that places student and adult learning at the center; 2) set high expectations for the academic, social, emotional and physical development of all students; 3) demand content and instruction that ensure student achievement of agreed upon standards; 4) create a culture of continuous learning for adults tied to student learning and other school goals; 5) manage data and knowledge to inform decisions and measure progress of student, adult and school performance; and 6) actively engage the community to create shared responsibility for student performance and development (p. 13).ö As used in this study, being a manager and an instructional leader is interchangeable.

- **Proficiency Level**—Each stateøs department of education determines a Proficiency Level as required by NCLB.   In Massachusetts, the administration of the Massachusetts Comprehensive Assessment System (MCAS) in English language arts, mathematics, science, and technology is overseen by the Department of Education (MA DOE), now renamed the Massachusetts Department of Elementary and Secondary Education (DESE). In the earlier AYP model, there were four levels for each content area and currently, there are now

five levels in the new growth model adopted by Massachusetts as of 2013. The earlier four levels were characterized by notifications of warnings (this was formerly termed failing), needs improvement, proficient, and advanced proficient. The current five levels for schools begin with Level One being highly performing to Level Five being consistently underperforming with a possible takeover by the state. Each level will be determined by the range of test score results. In this study, the definition of proficiency level will be the earlier AYP version as well and the current growth model which are requirements of the law.

- **Scientifically Based Research**ô The U.S. Department of Education 2006 defines scientifically based research as research utilizing systematic, empirical methods that draw upon observations or experiments; involves rigorous data analyses that are adequate to test the stated hypothesis, and justifies the general conclusions; relies on measurements or observational methods that provide valid data across evaluators and observers, and across multiple measurements and observations; and is acceptable to a peer review journal approved by a panel of independent experts through a comparatively rigorous, objective, and scientific review. Under NCLB, principals can only implement scientifically research based learning programs which is the definition used in this study.

- **Highly Qualified Teachers and Staff Members**ô NCLB determines that a õhighly qualified teacherö is an individual who holds at least a bachelorøs degree, has full state certification, and demonstrates knowledge in the taught core academic subjects through a set of competencies and academic indicators. Teacher preparation programs have become influenced by the requirements of

each state. Currently almost every state requires beginning teachers to

demonstrate knowledge of their subject area. Thus herein, the definitions of

highly qualified refers to teachers and also staff members as required by NCLB

who have a bachelorøs degree, and have full state certification in their specific

area to provide services.

- **Mainstream Population**ô defines the identification of the majority (numerical)

  and dominant group (in relation to power) of the population in the U.S. and tend

  to be mostly of European white descent as compared and contrasted to minority

  populations who may be numerical and otherwise (socially, politically,

  powerfully) underrepresented.

- **Non-Mainstream Population**ô refers to the identification of minority

  populations in the U.S., who are of non-European white descent, and include

  Asian Americans, African Americans, Latinos and Native Americans.

<center>Dissertation Chapters</center>

This dissertation is organized into the following chapters: Chapter 1) is an

introduction with an overview of the No Child Left Behind Law, the accountability of

principals, the problem statement of the changing leadership role of the principal, the

changing demographics of student populations in relation to their respective principals, the

underrepresentation of minority or non-mainstream elementary school principals vis a vis

mainstream principals, and the need to understand the influence of principals in highly

diverse schools with growing student populations. Chapter 2) is a description of the

historical context of which NCLB evolved and its covers from a Nation at Risk to the

introduction of different waves of reform to a researched based focus on schools with

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singular changes and the development of whole school systemic reform. It also covers the evaluation of the policies and practices in No Child Left Behind law identifying achievements, shortcomings, and its current status. Chapter 3) is a literature review of based on the implementation of No Child Left Behind and the Massachusetts Education Reform Act of 1993 with particular description of the policies and practices at the federal and state level, addressing their enactment, implementation, and the type of changes that ensued. More importantly, the chapter identifies the research on the policies and practices pertaining to principals, their effects on mainstream and non-mainstream principals, and particularly Asian American principals. Chapter 4) explains the methodology of the study, which used a quantitative and qualitative research design for data collection, reduction, and analysis. A generic survey was distributed by email to all elementary principals in Massachusetts; as well, European white, African American, Latino, and Asian principals were interviewed with a semi-structured interview in the city of Boston and surrounding areas. Chapter 5) reports on findings from the general survey distributed throughout Massachusetts and the in-depth interviews with 36 principals from the Boston public schools and surrounding areas and the types of results which numerically are shown and qualitatively described. Finally, Chapter 6) discusses the findings of both the quantitative and qualitative findings, their relationship of some of the leadership and cultural theories, as well as the implications, and concluding remarks suggesting recommendations for educational policy reform.

CHAPTER 2

HISTORICAL CONTEXT

This chapter: 1) describes the context for the NCLB law and MERA, and includes

the reforms and research that led to whole-school systemic reform models. These models

were linked to the actual development and implementation of NCLB through its

incorporation of õbest practices;ö 2) traces NCLB implementation at federal and state

levels, explaining how NCLB influenced standards, how organizations began to define

professionalism, and how state-level departments of education began to regulate teaching in

major content areas, through assessments, processes, and benchmarks; and 3) identifies

how the Commonwealth of Massachusetts responded to the standards movement and

enacted its own reform, the Massachusetts Education Reform Act of 1993,[1] which included

frameworks, curriculum, and specific directives for principals. Because MERA antedates

NCLB, many of its reforms were integrated into NCLB.

MERA is of particular significance along with the Massachusetts Comprehensive

Assessment System (MCAS), Adequate Yearly Progress (AYP) school assessment, the

data-driven principal accountability, and the delivery of quality, equity, and excellence in

education.

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[1] Massachusetts Educational Reform Act of 1993, M. G. L. Chapter 71, was referred to as MERA
throughout this literature review.

To guide this chapter, the following questions were used:

- What was the basis for the development and passage of the No Child Left Behind federal law? In other words, how did the law come into being and what were the reasons for its enactment? How did a Nation at Risk (NAR) influence the later passage of NCLB? How did evaluations of NAR evolve into systemic reform models, components of which were then integrated into NCLB?

- How has NCLB been implemented at federal and state levels in terms of professional standards, and policies and practices? Specifically, how did the Massachusetts Education Reform Act (MERA) of 1993 come into being and what were the reasons for it? Were any of the policies and practices set in place by MERA incorporated into NCLB mandates?

- What were the strengths and weaknesses of MERA? What challenges lay ahead regarding both student achievement and accountability?

- What were the strengths and weaknesses of NCLB? What challenges lay ahead regarding student achievement, accountability, and NCLB's proposed changes?

Organization of the Historical Context

This chapter deals with studies related to the enactment of NCLB, including its precursor, A Nation at Risk (NAR). It examines the reform movement, perspectives of proponents and opponents of NAR, and research from businesses and social sciences that affected education, particularly the systemic school-based models that were incorporated into NCLB.

Data Sources

Data sources include in the review were drawn from the following:

- Legal documents and reports such as A Nation at Risk (NAR) (U.S. Department of Education, 1983); the Massachusetts Education Reform Act (MERA) of 1993, M.G.L. Ch. 71 (See Appendix A); and the 670 pages of the No Child Left Behind (NCLB) Act of 2001, Public Law No. 107-110 (See Appendix B).

- Program reports on systemic models for schools: *Success for All* (Slavin, Madden, Dolan & Wasik, 1996; Slavin & Madden, 2000); *Accelerated Schools* (Levin, 1988, 2001; Finnan & Mezza, 2003); *School Development Program* (Comer, 1993, 1996, 1997, 2004; School Development Program, 2001; Payne & Diamond, 2003); *Coalition of Essential Schools* (CES) (CES Network, 2004, 2006); and *Smaller Learning Communities* (Cotton, 2001; Oxley, 2004).

- Reviews: 1) Educational leadership data bases that included journal articles, websites, and other documents: (Lambert, 1998; Seyfarth, 1999; Elmore, 2000, 2003; Jones, 2000; Marsh, 2000; National Association of Elementary School Principals, 2001; Anthes, 2002; Goldring & Greenfield, 2002; Madsen & Mabokela, 2002; Murphy, 2002; Cotton, 2003: Crow, Hausman, & Scribner, 2002; Datnow & Castellano, 2003; Knowles, 2003; Kouzes & Posner, 2003; Matthews & Crow, 2003; Pierce & Stapleton, 2003; Marzano, 2005; United States Department of Education 2005, retrieved April 28, 2007, from http://www.ed.gov/print/ about/overview/budget06/nclb/index.html; American Institutes for Research, 2005, retrieved April 9, 2007, from http://www/air.org/publications/pubs_ehd_schoo_ reform.aspx; Curriculum and Instructional Leadership Training Program, 2006, retrieved April 25, 2007, from http://www.uasa.ua.edu/Files/ Curriculum_modules/ modules63.pdf; Aspen Institute, 2007; Forum on Educational Accountability, 2007,

retrieved March 8, 2007, from http://www.eduaccountability.Org/pdf/FEA-Capacity Building_pdf); 2) Documentation of studies directed at NCLB included: (Darling-Hammond, 2004, 2007; Sizer, 2004; Meier & Wood, 2004; Kohn, 2004).

- Evaluation reports and critiques of the laws: 1) NCLB/MERA included: Nation at Risk Report and NCLB (Gordon, 2003); MERA (Massachusetts Education Reform Review Commission, 2001); NCLB (Educational Research Services, 2003; Jennings, 2003, 2005; Peterson & West, et al., 2003; Peterson, 2005; American Federation of Teachers, 2004; Meier & Woods, 2004; Ferrandino & Tirozzi, 2005; Hoxby, 2005; Poetter, et al., 2006; United States Government Accountability Office, 2006; Aspen Institute, 2007; Darling-Hammond, 2007; Hoff, 2007; Irons & Harris, 2007; McElroy, 2005, 2007; United States Department of Education, 2007; Reeves, 2008); 2) Standards included: Reports prepared for Mid Continental Regional Educational Library (MECREL): (MECREL, n.d., Marzano & Kendall, 1996a, 1996b, 1998) and Official Standards Document (Marzano, Kendall, & Chicchnelli, 1999, p.2); 3) Systemic Programs included: *Success for All* (Jones & Gottfredson, 1997; Slavin, Madden, et al., 1998; Powgrow, 2000; Wells, Blendinger, & Greene, 2000; Datnow & Castellano, 2003; Slavin & Malden, 2001a, 2001b, 2002, 2006); *Accelerated Schools* (Levin, 1988; Finnan, St. John, & McCarthy, 1996; Finnan & Mezza, 2003; Bloom, Ham, Melton, & OⱭBrien, 2001; National Center for Accelerated Schools, n.d.); *School Development Program* (Comer, 1997, 2004; Noblit, 2001; Noblit, Groves, Jennings, & Patterson, 2001); *Coalition of Essential Schools* (Muncey & MacQuillan,1993, 1996; Sizer, 1996, 2004; Letgers, Balfanz, & McPartland, 2002; Hall & Placier, 2003; Tung, Quimette,

& Feldman, 2004); and *Smaller Learning Communities* (Fine, Sommerville, et al., 1998; Meier, Sizer, & Sizer, 2004; American Institutes for Research & Scholastic Reading International, 2005; Edvisions, 2005).

While these data sources represented the state of the art regarding documentation through 2009, other sources were used as well, such as the Blue Print for Reform (2010), the U.S. Department of Education website (2010-2013), the Massachusetts Department of Elementary and Secondary Education website (2010-2013), the Center of Collaborative Education (2011), and the Mauricio Gaston Institute for Latino Community Development and Public Policy (2011), since reauthorization of NCLB was stalled in Congress through 2010, the Common Core State Standards were adopted, and waivers were granted by President Obama in 2013.

Context for Enactment

Figure 2 on the next page shows the conceptual framework for the historical developments.

Figure 2: Conceptual Frameworks for the Historical Context of NCLB
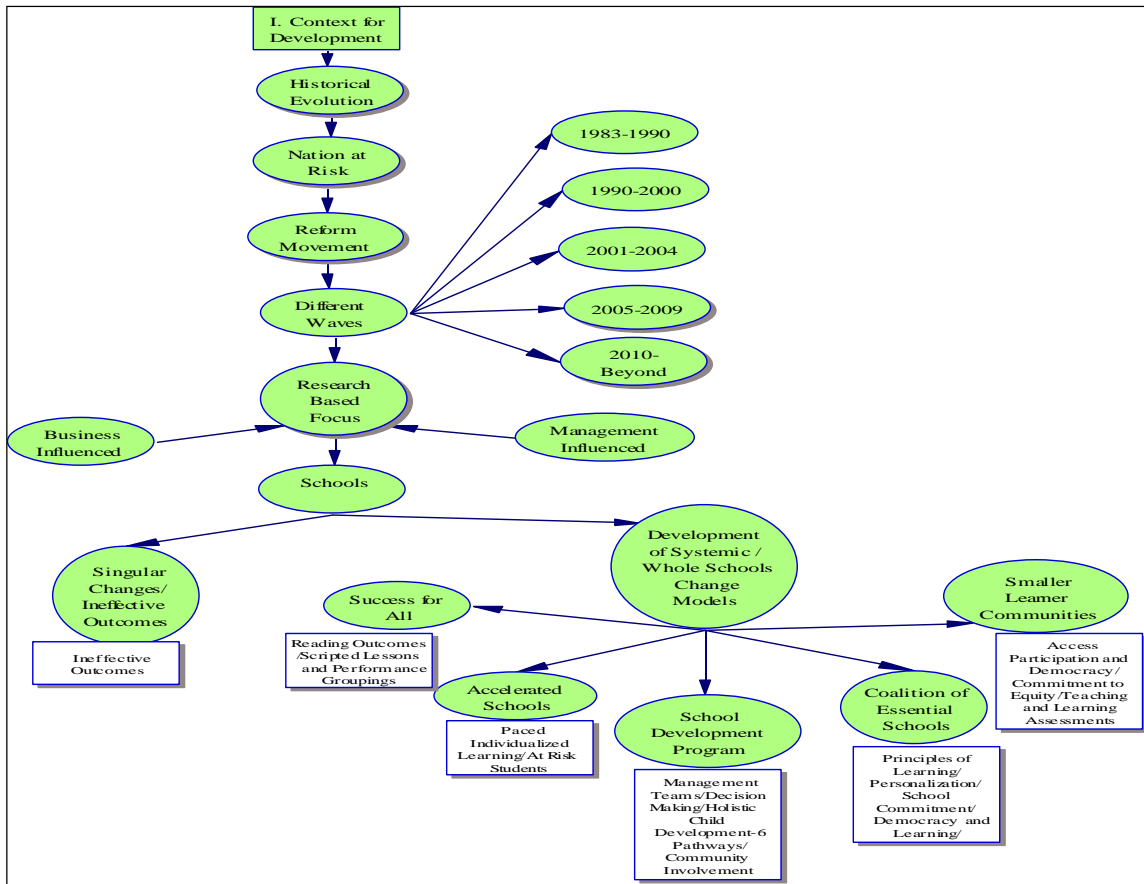
Historically, the No Child Left Behind (NCLB) Federal Act of 2001 was the reauthorization by Congress of the 1965 Elementary and Secondary Education Act (ESEA, or Public Law 89-10). This new statute was a reenactment of former President Lyndon B. Johnson's legislation as part of the õWar on Poverty.ö While President Johnson deeply believed that household poverty prevented many American children from succeeding in the educational system, James Guthrie and Matthew Springer (2004) have pointed out that the ESEA did not bring about paradigm shifts in American education; NCLB was more influential, as it shaped the landscape within which every

public school in the nation now operates. This begged the question, õHow did NCLB become the driving force behind every American public school?ö

In the early 1980s it became clear that many people saw the education system as failing, and concerns have continued to this day. Manufacturers and businesses considered U.S. education inferior to education in any other industrialized country. Lawmakers claimed that academic test scores for Americans were the lowest in the industrialized world (Furhman, 2003). Results from the Third International Math and Science Study (TIMSS) in 1996 reported that U.S. students tested lower than students in Singapore, Korea, Hong Kong, and Taiwan. National fears that the U.S. had lost its competitive edge, particularly to Japan in the automobile industry, made accusations against the õbackwardsö educational system even more virulent (National Center for Education Statistics, 1997).

In August 1981, then Secretary of Education T.H. Bell created the National Commission on Excellence in Education, sounding the call to action. At the time, the Reagan Administration had put educational policy on the bottom rung of the ladder in response to a serious recession and state budget deficits (Furhman, 2003). The National Commission on Excellence in Education was charged with making a report to the nation within 18 months on the quality of education in the United States. The commission was composed of men and women who were respected in their educational and scientific communities, and they imposed a high standard for the evidence to back their claims, which supported the public perception that something was seriously wrong with the educational system (U.S. Department of Education, 1983). With the publication of *A Nation at Risk* (NAR) in 1983, policymakers took up the challenge to reverse the õrising tide of mediocrityö in American schools.

The principal thesis of NAR was that a downward spiral in student performance was proof that the education system was failing, and threatened the nation's technological, military, and economic preeminence. The report asserted that only by raising academic achievement could the U.S. avoid becoming subordinate to economic competitors (Guthrie & Springer, 2004).

To support this thesis, NAR reported that nearly 23 million American adults were functionally illiterate in everyday reading, writing, and comprehension. According to the College Board, Scholastic Aptitude Test (SAT) scores had been declining from 1963 to 1980. Moreover, the verbal scores of students taking the SATs had dropped an average of 50 points, while math scores had dropped nearly 40 points. Science scores for 17 year-old Americans were also on the decline.

Business and military leaders complained that they were required to spend millions of dollars on remedial education and training programs in basic skills such as reading, writing, spelling, and computations (U.S. Department of Education, 1983). NAR was concerned primarily with preventing damage to the nation's productivity and scientific and military prowess by improving the skills of high school graduates who went to work in technologically advanced industries (U.S. Department of Education, 1983).

The way was paved for massive changes to American K-12 public schools. The solution to increasing student learning was seen as requiring governmental action on a large scale (Fullan, 1999; 2000; 2001; 2006). The National Commission on Excellence in Education saw the issue of accountability and the role principals play as a critical marker of success in an international context, stating that four areas of education needed to be

overhauled: content, expectations, time, and teaching (U.S. Department of Education, 1983).

NAR claimed that American students spent less time on English, science, mathematics, and history than students in many other nations, where the school day and school year were longer. The criticism was that students were faced with too many options to take courses that had been õhomogenized, diluted, or diffusedö (Ravitch, 2000). Meanwhile, grades, examinations, and graduation requirements had been considerably weakened by grade inflation, minimum competency examinations, and lowered requirements for high school graduation and college entrance.

The commission recommended that all high school graduates study four years of English, three years each of mathematics, science, and social studies, and a half year of computer science. It further proposed that college bound students study a foreign language for at least two years (Ravitch, 2000). Diane Ravitch explained that standards for teachers also needed to be sharply upgraded, since many teachers came from the bottom quarter of all college graduates. As well, teachersø salaries were low, so the profession could not attract higher achieving graduates. Teacher preparation programs had been more focused on methods than on academic subject matter, and less than half of all new teachers were qualified to teach mathematics and science (Ravitch, 2000).

Public fear grew widespread that the U.S. was becoming non-competitive in the world economy. Many states created task forces and commissions to reappraise their graduation standards, curriculum, length of school day and school year, and the qualifications of and compensations to their teachers (U.S. Department of Education, 1983). The U.S. Department of Education focused on diagnostic services, on improving

their statistics and analysis ó information that revealed what was wrong, but not how to fix it.

In 1986, the U.S. Department of Education claimed that NAR had helped immensely in identifying major problems in education, and delineated them as follows. America appeared to spend a lot more money on its schools than other nations. America also invested in schools that had not succeeded ó indeed, money was unrelated to school performance and increased expenditures for education had been wasted or had only gone into unneeded raises for teachers and administrators. The productivity of American workers was down, a reflection of their inadequate schooling. America produced far too few scientists, mathematicians, and engineers and as a result, the nation was losing its industrial leadership; and schools were not staffed by qualified teachers. The textbooks teachers used promoted immorality. Most American parents were dissatisfied with their local schools; and private schools were better than the public schools because they were subject to market forces (U.S. Department of Education, 1986).

Not everyone agreed with these conclusions. David Berliner and Bruce Biddle (1995) in *The Manufactured Crisis: Myths, Frauds, and the Attack on America's Public Schools,* argued that a *Nation at Risk* (NAR) was overly critical in its claims about the õfailuresö of American education, and low test scores. In fact, they argued that: 1) student achievement in American primary schools had not declined; 2) American college students performance had not fallen; 3) American youthøs intellectual abilities and abstract problem-solving skills had not declined (while NAR paradoxically believed that student intelligence and õgiftednessö were not only in decline, but were fixed and identifiable from an early age); 4) Americaøs schools did not always come up short when measured against schools in

other countries; 5) educational procedures were not deficient, and 6) educators were not reckless.

Guthrie and Springer (2004) reported some of the negative effects of NAR as being: 1) the federalization of education policy threatened the creativity and diversity of local school systems; 2) the willingness to define student achievement exclusively by standardized tests; 3) the õcrowding outö of social reform; and 4) the belief that all the nationøs social problems could be solved by improving schools alone, while tolerating the failure of other social institutions.

The reports that followed *A Nation at Risk* demonstrated that singular efforts at changing teachers or administrators were not effective in the long run. Needed instead was a whole school systemic change, where teachers, managers, administrators, staff, curricular and organizational structures, and assessments were integrated to promote student achievement. These became the school models that researchers proposed. Some elements of these models, specifically those adding accountability, assessments, and data-driven decision making, would later become part of NCLB evidence-based best practices. While many systemic reform models were used, those most closely associated with NCLB are included in this section. After NAR, several reform initiatives were implemented and are described in the next section.

Precursors to No Child Left Behind: Waves of Reform

In the period following the release of NAR, school reforms came in waves, each wave bringing innovations. While the initial reforms of the first and second waves targeted specific areas of education, such as outcome-based learning, total quality management, the professionalization of teachers and administrators, issues of excellence, and management

by objectives, all derived from business models, the reforms of the third and fourth waves focused on schools' organizational structures.

These latter reforms experimented with different levels of organization, from top-down to bottom-up, partial and whole school changes, smaller learning communities, curricular and systemic changes, decision-making by administrators and staff, classroom management, teaching and learning under "best practices," and addressing national and local standards as well as assessment, evaluation, and accountability (Montero-Sieburth & Batt, 2001).

First Wave (1983-1990)

From 1983 into the 1990s, major restructuring took place in public schools across the country and became the research basis for many of the reforms (Lockwood & Secada, 1999). According to Guthrie and Springer (2004), the first wave of reforms to follow NAR was characterized by immediate state reforms that included: longer school days and school years, more required courses, fewer electives, more mathematics and science, less shop mathematics, higher graduation requirements, and higher college admission standards. As each of these research-approved practices was implemented, educators realized they needed different approaches to educational reform; that was when school-wide systemic changes, curricular policies, and instructional programs came into being.

The first wave of reform began on the first anniversary of NAR when then Secretary of Education Bell presented former President Ronald Reagan with a comprehensive summary of reform initiatives in the previous 12 months. The report commissioned by the U.S. Department of Education, *The Nation Responds: Recent Efforts*

to Improve Education outlined national, state, and local reform initiatives, state by state reform profiles, and a sampling of local reform efforts (Guthrie & Springer, 2004).

The U.S. Department of Education (1986) reported that more than three-fourths of all states either had under consideration, had proposed, had approved, or had enacted reforms that altered graduation requirements and evaluation and testing; increased time for instruction; offered more academic enrichment programs; broadened teacher preparation and certification requirements; provided for more teacher and administration professional development; and addressed the possibility of a teacher shortage. In addition the U.S. Department of Education (1986) noted that 6 out of every 10 states had enacted or approved these initiatives by May 1984.

Second Wave (1990-2000)

In the second reform wave, from 1990 to 2000, according to Furhman (2003) systemic reform initiatives in states such as Texas, Massachusetts, Maryland, Michigan, Kentucky, South Carolina, and Connecticut had shown signs of success. The majority of states had developed high learning standards and curriculum frameworks, and assessments that were aligned with them. These states had shown the highest gains in student literacy and mathematics based on their annual state-mandated assessments. Texas had the most significant gains, but information later revealed that this was due to the large number of untested students who had dropped out of schools and were excluded from the tests. The score gains for African Americans and Latino students celebrated in Houston appeared in part to be a function of high dropout and push-out rates for these students (Darling-Hammond, 2004). As the low achievers left school, the group's average score increased. NCLB's requirement for disaggregating data and tracking progress for each subgroup of

students increased the incentive for eliminating those struggling learners at the bottom of each subgroup, especially in schools with a limited capacity to improve their quality of educational services (Darling-Hammond, 2004).

With accountability systems in place, voucher plans based on test results emerged in three city school districts. Milwaukee, Cleveland, and San Antonio offered financial assistance for public school students to attend private and sometimes denominational schools (Guthrie & Springer, 2004). Student achievement results from these voucher plans were the topic of energetic debates over the separation of church and state (Carnoy, 2000; Goldhaber, 1999; Peterson, 1999).

According to Guthrie and Springer, the market reform strategy in the 1990s was successful because it influenced policy on its own periphery, sometimes through variants on the conventional school model such as: open enrollment plans, charter schools, magnet schools, and home-schooling, which seemed to affect more students than did the voucher plans (Guthrie & Springer, 2004).

Third Wave (2001-2004)

The third wave of reform (2001-2004), according to Guthrie and Springer (2004), was characterized by measuring outcomes and constructing accountability systems for evaluation, assessment, and school improvement. *A Nation at Risk* provided the impetus for a change that became the controlling mechanism in American public education (Guthrie & Springer, 2004).

No Child Left Behind (NCLB) was the driving force behind this third wave, a tidal wave of accountability. When NCLB was reauthorized in 2001, it won wide bipartisan support. NCLB also distributed billions in federal dollars to states; to gain funding, states

had to comply with the act, which was close to seven hundred pages long, and had provisions for accountability throughout (Guthrie & Springer, 2004)

NCLB's principal focus was on improving academic performance for all students, from all backgrounds. Every state established standards in language arts, mathematics, and science, and developed assessments for student progress. NCLB required that all students met these state standards by the 2013-2014 school year. States were required to use their assessments and at least one other academic indicator in English language arts, mathematics, science and technology, to see whether schools were making Adequate Yearly Progress (AYP) toward 100 percent proficiency (Borkowski & Sneed, 2006).

In determining AYP, states also had to ensure that 95 percent of the total student population was assessed, and that 95 percent of students in various subgroups ó economically disadvantaged students, students from major racial and ethnic groups, students with disabilities, and students with limited English proficiency ó were all tested. Progress toward 100 percent proficiency had to be demonstrated in each subgroup. Thus under NCLB, a successful school or school district, by definition, ensured that all students, regardless of their backgrounds, were making progress (Borkowski & Sneed, 2006).

John Borkowski and Maree Sneed (2006) claimed that while the purported purpose of NCLB was to increase accountability, the act did not provide the federal government with any useful indicator of whether a particular school, school district, or state had used Title I funds to improve educational opportunities for low income children. As long as each state set its own standards, adopted its own assessments, determined its own level of proficiency, and established its own N-sizes (the minimum number of students in a group that needed to be present to determine whether the school or district had met AYP for that

group), the notion of adequate yearly progress remained a statistical construct with no consistent meaning (Borkowski & Sneed, 2006).

The state assessments were used to improve schools, and became the basis for the reports that followed *A Nation at Risk.* These reports demonstrated that a singular focus on teachers or administrators was ineffective; instead, the whole school system needed to integrate the behavior of teachers, managers, and staff with curricular and organizational structures, and with assessment, so that every aspect of schooling was geared toward student achievement. These school-wide systemic models were the ones researchers proposed.

Fourth Wave (2005-2009)

In the fourth wave (2005-2009), during the second term of former President George W. Bush, NCLB became more of a driving force. With the goal that õAll children will learn,ö NCLB already was a national policy. In 2005, the U.S. Department of Education claimed that its implementation was the highest priority of the Bush Administration. The 2006 budget requested increased funding for elementary and secondary education programs, such as Title I grants to local education agencies and Part B grants to states under the Individuals with Disabilities Education Act (IDEA).

NCLB allowed states and schools greater flexibility so they could channel resources for their own specific needs. Congress increased federal funding for education, from $42.2 billion in 2001 to $54.4 billion in 2007. NCLB received a 40.4% increase, from $17.4 billion to $24.4 billion. The funding for reading quadrupled from $286 million to $1.2 billion (U.S. DOE, 2006). Of this amount, Title I grants increased by $603 million, while IDEA state grants increased by $508 million for a new Choice Incentive Fund; supported

research received $164 million for development; scientifically based reading programs received over $1.1 billion for the Reading First and Early Reading First Programs; English language acquisition state grants received $676 million to assist non-English speaking students; and after-school programs received almost $1 billion (U.S. Government Accountability Office, 2006).

The U.S. Department of Education (DOE) pointed to growing evidence that NLCB had improved student achievement (Aspen Institute, 2007). Mathematics scores increased nationwide for 4th and 8th graders from 2003-2005, while the average scores improved for 4th graders in 31 states. Mathematics scores for African American and Hispanic students also improved slightly during that period. In reading, the national average of 4th gradersø scores also improved and the achievement gap in English language arts, math, science and technology between European white and African American and Hispanic 4th graders closed slightly. According to the U.S. DOE, student achievement was on the rise (Aspen Institute, 2007).

Since NCLBøs initial aim was to raise student achievement and close the achievement gap, its strategy for achievement was to set annual test score targets for student subgroups. During this fourth wave, and despite increased funding, many of NCLBøs shortcomings became apparent. In terms of the achievement, diverse schools needed to reach more than thirty separate targets, while a homogenous school with very few low-income students needed to show progress in only five or six categories, making it difficult to close the achievement gap. The process for determining Adequate Yearly Progress (AYP) was uneven across the nation, since each state decided upon its own process. AYP calculations assessed the progress of English Language Learners (ELL) and

students with disabilities, penalizing schools with the most diverse student populations. The more schools that served poor, minority, and limited English proficient (LEP) students, as well as those with a greater number of subgroups, the more they experienced a õdiversity penaltyö even when they showed large gains for low-income and minority students (Novak & Fuller, 2003; Kim & Sunderman, 2005; Sunderman, Kim, & Orfield 2005).

Despite these shortcomings, the law had substantial effects on schools, where teaching practices were changing. Principals and teachers had done their utmost to align curriculum and instruction with state academic standards. Using various data, such as standardized tests, student writing samples, and classroom assessments and observations, schools were better equipped to meet each studentøs individual needs.

Fifth Wave (2010 to 2014 and Beyond)

President Obama was faced with many challenges when he considered the reauthorization of NCLB in 2010. In the fifth and current wave (2010 and beyond), debate raged over the lawøs reauthorization in Congress. Dubbed õNo Child Left Untested,ö õNo School Board Left Standing,ö and õNo Childøs Behind Left,ö among other nicknames, the law had become highly unpopular with states and school districts.

Among its critics was Linda Darling-Hammond (2007), who previously claimed that a state and a national teachersø association had brought lawsuits against the federal government because of unfounded costs and unintentional side effects of the law. Darling-Hammond further claimed that multiple-choice testing had õdumb-downedö the curriculum, fostered a õdrill and killö approach to teaching, mistakenly labeled successful schools as failing, drove teachers and middle class students out, and harmed students with learning disabilities and English language learners, both through inappropriate assessments and

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efforts to push out low-scoring students to boost scores.

To give further background information, the American Federation of Teachers (2004) claimed that there were serious flaws with NCLB that needed to be fixed. They stated that the Adequate Yearly Progress (AYP) formula did not give schools sufficient credit for achievement, that NCLB did not allow schools to present valid and reliable evidence of student progress, and that the mandated interventions for schools not making AYP were not based on scientific research. They saw the measures as punitive rather than constructive, and stated that many of the so-called failing schools and districts were being identified as such for statistical rather than educational reasons.

The AFT also claimed that Title I regulations on assessing students with disabilities, although revised, remained problematic for two reasons. First, the regulations required that, except for the 1 percent of students with the most severe cognitive disabilities, the scores of students taking an alternative assessment had to be measured against grade level standards. This policy was unfair to students who were performing well below grade level but did not fall into the 1 percent category, as they were rated as not being proficient. These students showed improvement, but even with accommodations made to the regular assessment, their academic progress was not measured accurately. Second, as part of their AYP calculation, states and districts were only allowed to include the scores of students with severe cognitive disabilities who had been tested by alternative standards, until their total number reached one percent of all the students tested at that grade level. Setting a cap of how many scores could be counted was extremely arbitrary (American Federation of Teachers, 2004).

While improvements were being claimed in general terms for NCLB, James Crawford (2004), Executive Director for the National Association for Bilingual Education (NABE), stated that the law did little to address the most formidable obstacles to students with limited English proficiency (LEP), namely: resource inequities, the critical shortage of teachers trained to serve English language learners (ELLs), inadequate instructional materials, poorly designed instructional programs, and lack of family support. Crawford (2004) also claimed that NCLB was setting arbitrary and unrealistic targets for student achievement. Furthermore, the accountability system could not distinguish between schools that were neglecting ELLs and those that were making improvements. As achievement goals became harder to reach, virtually all schools serving ELLs were bound to fail.

According to Crawford, (2004), the failure to consider what was unique about these children accounted for many of NCLB's shortcomings. When the progress of ELLs was measured, confidence was not placed in tests that assumed fluency in English, and tests that were not designed with ELLs in mind. No one was certain if English language tests were valid for some ELLs but not others. The research in this area was extremely limited, which was one reason that researchers and advocates were suggesting new frameworks for studies to address the needs of Latino students (Viadero, 2005). Research indicated that it took five to seven years for ELLs to acquire enough fluency to perform on a par with their non-ELL peers (American Federation of Teachers, 2004). Under Title I regulations, ELLs were tested in mathematics from day one, and in reading/language arts after only 10 months in school. This was an arbitrary determination, without scientific backing; it inevitably yielded inaccurate data about the quality of ELL programs (Crawford, 2004).

In 2006, Darling-Hammond proposed several amendments to NCLB to achieve high

quality, equitable education for all youth. She cited that NCLB did not track students, their progression or graduation rates, but it required inappropriate testing of ELL and special needs children. So the most expedient options for schools were to increase their scores. Furthermore, she recommended that within a multiple-measures system, gains needed to be evaluated over time instead of solely by school averages. School averages were influenced by changes in who was assessed, which actually encouraged schools to push out low-scoring students.

Also in 2006, a study was done by Bryan Luizzi, then an assistant principal at a high school, on the accountability demands on principals and teachers in the State of Connecticut in meeting the NCLB expectations. Budgetary constraints and lack of remediation services were identified as primary obstacles to reaching their goal. The principals and teachers agreed that NCLB had little or no influence on class sizes and curriculum. In open-ended responses, they noted a narrowing of the curriculum, AYP determinations, and the consequences when schools failed to make AYP as the significant issues. They also identified Special Education Students as the subgroup at risk of underperforming. Their recommendations were to change the way schools were determined for school improvement, develop multiple and meaningful ways to determine growth, and include alternate ways to demonstrate mastery for all student subgroups, including those in Special Education.

When Congress stalled on reauthorizing NCLB in 2010, President Obama granted waivers to states that proposed growth models. While the new growth models were being approved, the Common Core States Standards (CCSS) were developed to align teaching standards across the country. The CCSS was issued by U.S. Education Secretary, Art Duncan, in June 2010, and was implemented fully by 45 states in the fall of 2013. The states

that adopted these standards also made changes to align the curriculum with assessments in their respective growth models.

<center>Research Based Focus</center>

Influencing much of the thinking behind NCLB was the use of a research based focus. Teachers and principals were being asked to prove the effectiveness of the programs and methods they used because NCLB required federally funded educational programs to be built on õscientifically-based researchö (SBR). Research that was defined by NCLB as õscientifically basedö: 1) employed systematic, empirical methods that drew on observation or experiment; 2) involved rigorous data analyses that were adequate to test the stated hypothesis, and that justified the general conclusions; 3) relied on measurements or observational methods that provided valid data across evaluators and observers, and across multiple measurements and observations; and was 4) accepted by a peer reviewed journal or approved by a panel of independent experts through a comparatively rigorous, objective, and scientific review (National Institute for Literacy, 2006).

The Reading First Program, for example, made federal funds available to help reading teachers in the early grades strengthen their existing skills and gain new ones that had proven effective. The program focused on putting proven methods of early reading instruction in classrooms. Through Reading First, states and districts received support to apply scientifically based reading research and instructional and assessment tools consistent with this research. The program ensured that all children would learn to read well by the end of third grade and provided formula grants to states that submitted an approved application. Only programs that were built on scientifically based reading research were eligible for funding through Reading First. Funds were allocated to states according to the proportion of

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children ages 5-17 who resided within the state and were from families with incomes below the poverty line (U.S. DOE, 2008).

The Influence of Management

Management became one of the driving forces in reform. Wayne Au (2009), a critic of the Reading First initiative was a prime example of NCLB's idea of õscientific management.ö Teachers' skills and knowledge were devalued; they were forced to provide scripted, directed instruction, and school districts were õencouragedö by the federal government's definition of acceptable, õscientifically-basedö instruction that came with a commercially packaged reading curriculum (Au, 2009).

Teachers in low-performing districts were required to use commercially packaged reading programs such as Open Court and Reading Mastery, which told them exactly when to be on which page, and scripted every word they were allowed to say as they taught (Gerstl-Pepin & Woodstock-Jiron, 2005; Land & Moustafa, 2005). These were prime examples of how outside experts conceived of the õbestö teaching methods, forced teachers to use them under threat of sanctions, and created an atmosphere that Coles (2003) called ending the õwiggle roomö in reading instruction. This scripted dialogue promoted cookie cutter teaching to produce cookie cutter learning.

The Business Influence

Just as leaders in business and industry used research to improve their products and services, school leaders used research to inform their decisions about school programs. Decision makers valued research as a way to evaluate effectiveness. They looked for evidence not only that a program had been successful, but that it had succeeded in schools like their own, with similar demographic characteristics such as socioeconomic status, race,

locale, student achievement levels, school size, and teacher experience. It was important to understand the *circumstances* in which a program or practice was most effective, even if it had a strong research base (Margolin & Buchler 2004).

Due to NCLB regulations though, many vendors touted their products and services as õevidence based.ö One pitfall was the unwarranted reliance on inadequate research designs to substantiate claims. For example, Darrell Morris and Robert Slavin (2003) claimed that there was likely to be confusion between programs that were based on scientific research and programs that had been rigorously tested. The individual components of a program might be supported by research, but the way that a program organized and emphasized its components ó the way it functioned ó might not have been (Morris & Slavin, 2003).

Kathleen Manzo (2004) cited the New York City school district as a case in point. School officials selected a reading program whose major components were amply supported by research. But the program itself had not been rigorously tested, so by NCLB definition it was not scientifically based. As a result, the school district had to change its reading program to qualify for federal funding (Manzo, 2004).

To increase awareness and assess the quality of specific studies, the U.S. Department of Education created a *What Works Clearinghouse* at http://whatworks.ed.gov/ (U.S. Department of Education, 2004). All school models or programs that showed evidence of raising student achievement will be described in the next section.

<p align="center">Whole School or Instructional Models</p>

In addition to the influence of business, the whole school or instructional models proved to be useful and were eventually fed into the future of NCLB in meeting all studentsø educational needs. Among these programs the following are salient.

Success for All

Success for All (SFA) was the largest single federal investment in schooling; it reached over 6 million children annually, primarily in the early elementary grades. SFA focused on reading in the early grades as the cornerstone for academic success in all content areas; one in every five first graders participated in it. Almost all SFA sites were high poverty, Title I schools with much-needed supplemental instruction in reading and mathematics. Where the incidence of poverty was high, supplemental instruction had become school-wide (Slavin and Madden, 2001a).

Title I identified the essential components of a reading program ó explicit and systemic instruction in phonemic awareness, phonics, vocabulary development, reading fluency (including oral reading), and reading comprehension strategies (Educational Research Services (ERS), 2003) ó and disbursed funds to meet such needs from the Elementary and Secondary Education Act (ESEA), Public Law 103-382. In this way SFA, through Title I, provided almost $7 billion to school systems across the country to improve education for children at risk of school failure and living in low-income communities.

Robert Slavin and his associates developed SFA in 1986. The program was instituted in the Baltimore Public Schools to ensure the success of every child in the (mostly urban) schools serving large numbers of disadvantaged students, including African American, Latino, and Asian students (Slavin and Madden, 2001b). SFA schools were initially established in five Philadelphia schools with a concentration of limited-English proficient students, most of them Cambodians.

The program was organized around a reading curriculum and cooperative learning strategies for K-6. Such a program was to be used school-wide as prevention and early

intervention, with restructuring that ensured every student would succeed (Stevens, Madden, Slavin, & Farnish, 1987). At every grade level, teachers began the reading time by reading children's literature out loud and then engaged students in discussion. This enhanced their understanding of the story itself, their listening and speaking vocabulary, and their awareness of story structure (Slavin and Madden, 2001a).

The model was composed of nine major components: 1) a reading curriculum that included at least 90 minutes of daily instruction, in classes regrouped across age lines according to reading performance; 2) continuous assessment of student progress (at least once every eight weeks); 3) one to one reading tutors; 4) an Early Learning Program for pre-kindergarten and kindergarten that emphasized language development and reading; 5) cooperative learning; 6) parent support and involvement based on family support teams; 7) local facilitators who provided mentoring, counseling, and support to the school; 8) staff support teams for teacher assistance during implementation; and 9) the Success for All staff who provided assistance and training on such topics as reading assessment, classroom management, and cooperative learning.

SFA was one of the researched based reading programs endorsed by NCLB. School districts modified their curriculum, programs, and methods of instruction to align with SFA and set annual achievement objectives for limited English proficient (LEP) students. SFA's reading programs, including Roots and Wings in mathematics and social studies, contributed to some of the "best practices" incorporated into NCLB. NCLB also mandated that administrators, teachers, and staff (including supervisors of instruction, librarians, library media specialists, teachers of subjects other than reading) also be responsible for fostering reading.

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A decade after its introduction, SFA had continuous data from the six original schools in Baltimore and Philadelphia, and varying years of data from seven other school districts, amounting to a total of 23 schools and their matched, controlled schools (American Institutes for Research, 1999). Evidence showed particularly high achievement for limited-English proficient students (in both bilingual and English as a second language programs) and for special education students. SFA also reduced special education referrals. Morris and Slavin (2003) claimed that allowing for some factors, such as the low achievement of disadvantaged children, an effective program such as SFA could be replicated. In this respect, SFA was closely aligned with and met the requirements of NCLB, that all students become proficient by 2014.

Of the criticisms made of SFA, several stand out. The American Institutes for Research showed that eight of the studies that found SFA effective were authored or co-authored by its developers at Johns Hopkins University, raising questions about objectivity and validity (American Institutes for Research, 1999). Slavin and Madden (2000) disputed this criticism and claimed that experimental control comparisons were made at eight universities and research institutions other than Johns Hopkins, in the U.S. and five other countries; they also asserted that in all cases the reading testers (the people who administered the reading tests) were unaffiliated with the project. The reading testers were trained to a high degree of inter-reliability, and observed on a sample basis to ensure they were administering the tests properly (Morris and Slavin, 2003). Every attempt was made to keep testers unaware of whether a school was a Success for All control school (American Institutes for Research, 1999).

A final criticism of the SFA Reading Program was its expense.[2] While the SFA website did not list a specific cost, it stated that SFA was more expensive than other programs because it provided more training, materials, and continuing support. Most SFA schools paid for the program with Title I and state compensatory education funding. Increasingly, SFA schools received grants through various sources, including the Comprehensive School Reform Demonstration, the Reading Excellence Act, or other federal and state revenues. Funds for special education, bilingual/ESL, professional development, early childhood, and other special purposes were combined with Title I to fully fund SFA in a school (Success for All Foundation, 2009).

Accelerated Schools

Henry Levin, at Stanford University School of Education, developed the approach called Accelerated Schools (AS). The AS project especially focused on schools with large numbers of at-risk students, who were relegated to remedial and special education programs. The drill and practice approach to learning had extremely negative consequences as students fell further and further behind the educational mainstream the longer they were in school. Thus was born a quest for a different kind of school, one that would accelerate rather than remediate.

The term õacceleratedö was used because at-risk students had to learn at a faster pace than more privileged students, since a slower rate would put them farther and farther behind. Only an enrichment strategy, not a remedial one, could reverse their plight (Levin & McCarthy, 1996). Accelerated Schools (AS) was first implemented in two San Francisco

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[2] Most of the cost of Success for All is in reallocations of staff from other functions to provide a facilitator and a better ratio of tutors. Beyond these costs, current costs (for the 2008ó2009 school year) for materials and training average $120,000 for the first year, $55,000 for the second year, and $45,000 for the third year for a school of 500 students.

Bay Area elementary schools in 1986. Twelve years later, there were over 1,000 schools in 40 states. AS's goal was to bring all students into the educational mainstream by the end of elementary schooling.

Early implementation of the AS approach and its impact on student achievement was part of a study conducted by Howard Bloom, et al., (2001), who suggested that schools needed to reform school governance and culture in the first two years, before changing curriculum and instruction in the third or fourth year. The findings indicated that the AS model improved standardized test scores in reading and mathematics once the schools in the study reached these goals. The researchers recommended that the results be interpreted with caution due to the smaller number of schools in the study and the focus on a single grade.

Two variables, though not the only ones, were offered by Levin (2001) to explain the schools' progress: the amount of time devoted to AS; and the quality of leadership. Another study by Christine Finnan and James Meza (2003) examined the interplay between organizational cultures, leadership, and school reform. Considerable positive change occurred in the first cohorts of this AS study, where schools embraced the AS philosophy because it was aligned with their existing school culture.

The model was built on three central principles: 1) unity of purpose, which meant that parents, teachers, students, and administrators strived toward common goals; 2) an empowered school-site, achieved by decision making joined with responsibility for results; and 3) an instructional approach that built on the strengths instead of weaknesses of students, teachers, administrators, staff, and parents (American Institutes for Research, 1999).

Putting all three principles into practice was crucial. No single feature made an accelerated program. Instead, a comprehensive integration of curricular, instructional, and

organizational practices consistent with the school's unique vision made an Accelerated

School (Levin, 1988).

The program's developer expected each school to make its own decisions about

curriculum, instructional strategies, and resource allocations (American Institutes for

Research, 1999). These choices were guided by the AS philosophy. For example, AS

literature emphasized educational philosopher John Dewey's belief that children learned best

through collaborative inquiry, working with others to solve shared problems. Schools were

expected to implement a curriculum that provided all students with opportunities to use

hands-on approaches to solve problems. Levin et al., encouraged schools to make curricular

and pedagogical choices that emphasized student strengths, language development across

subjects, problem solving, and higher-ordered thinking skills. Additionally, its developers

expected Accelerated Schools' decisions to be guided by common objectives for all students,

and hoped that schools provided opportunities for students to understand what they were

learning by grounding that learning within students' own communities and cultures

(American Institutes for Research, 1999).

The Accelerated Schools Program was flexible in that schools chose their own "best

practices" for increasing student achievement. In its repeated reference to scientifically

based research, NCLB both moved education closer to a "medical model" and put the

responsibility for determining how to increase student achievement on schools and school

districts, especially those receiving Title I funding. More importantly, principals were the

ones who ultimately ensured that their schools used instructional practices and materials that

had been proven effective by scientifically based research (Educational Research Services,

2003).

The study of AS by Bloom, et al. (2001) showed no positive effects from its first two years of implementation, and even a slight decline in student achievement in the third year – when schools began to modify their curriculum and instruction – but results gradually improved in the fourth and fifth years. The average third-grade reading and math scores in the fifth year exceeded predicted levels by a statistically significant amount. There were no uniform effects across all students or all schools. The researchers advised that the results should be interpreted with caution for several reasons: they were based on a sample of only eight schools; the positive effects took four to five years to emerge; and it was not known whether these effects persisted in later grades. Nevertheless, the findings evidenced that the Accelerated Schools approach improved academic achievement in a group of mostly-at-risk students (Bloom et al., 2001).

The Accelerated Schools (AS) model has improved since its inception in 1986. To date, there is little precise information about its costs. AS generally has been regarded as a relatively inexpensive school reform since most of the resources needed to implement it were obtained by reallocating the resources a school already had. Training faculty and staff and hiring a part-time coach were the only additional resources that were needed (Bloom, et al., 2001).

School Development Program

The School Development Program (SDP) was founded in 1968 by James Comer, a child psychiatrist at Yale University. SDP was committed to the total development of all children by creating learning environments that supported the children's physical, cognitive, psychological, language, social, and ethical development. The approach was based on the theory that children learn better when they form strong relationships with the adults in their

lives including parents, teacher, and members of church and other community groups. There

was a strong sense of community in the SDP, with structures and guidelines that improved

school governance, management, and relationships among all of its stakeholders (Comer,

2004). The climate was conducive to collaborative thinking, creative problem solving, and

parent engagement. In this setting staff behaviors toward parents and students became more

positive (Comer, 2004).

SDP addressed the above issues with ten elements grouped under three headings:

1) three mechanisms (the School Planning and Management Team, the Student and Staff

Support Team, and the Parent Team); 2) three operations (The Comprehensive School Plan,

the Staff Development Plan, and Assessment and Modification); and 3) four guiding

principles (no-fault, problem solving, consensus decision-making, and collaboration)

(Comer, 2004).

The School Planning and Management Team developed a comprehensive school

plan, set academic, social, and community relations goals, and coordinated all school

activities, including professional development programs. The team members included the

principal, teachers, support staff, and parents. The Student and Staff Support Team promoted

favorable social conditions and relationships, and connected all the student services within

the school. Members of the team included the principal and staff members with expertise in

child development and mental health, such as a counselor, social worker, psychologist, and

nurse. The Parent Team involved parents who developed their own activities to support the

schooløs social and academic programs. This team was composed of the same parents who

also served on the School Planning and Management Team (Comer School Development

Program, 2009).

SDP was first implemented in two elementary schools in New Haven, Connecticut. Since 1968, the model has been used in more than 1150 schools, both nationwide and abroad. In 2009, approximately 600 schools were at different phases of implementing the model (Comer School Development Program, 2009), which was primarily an approach for elementary schools serving disadvantaged students. SDP had the following components: 1) periodic assessments, which allowed the staff to modify the program to meet needs and opportunities; 2) problem solving by use of a õno faultö approach; 3) decisions through consensus rather than voting; and 4) collaboration between the school planning and management team, and principals, who were the team leaders (Comer School Development Program, 2009).

Although no particular curriculum was provided or required, Comer, et al., offered one called õLiteracy Initiativesö for improving reading skills at the elementary school level. Comer, et al., also conducted a literacy audit within each school that reviewed state and district standards. According to the developers, although this review was conducted in literacy it included all subjects, and test score patterns could be analyzed over several years. The school community was supposed to help the developers identify standards (American Institutes for Research, 1999).

The School Development Program (SDP) did not offer a set of prescriptions or a one-size-fits-all curricular approach. Instead, developers claimed that each classroom was a small-scaled version of the whole ten-component model. The Comer process established that children grew along six developmental pathways: physical, cognitive, psychological, language, social, and ethical (Comer, 1996). SDP had all of the components as defined by NCLB for Comprehensive School Reform efforts (an extension of past programs):

scientifically based research methods for teaching and school management, and comprehensive design, including instruction, assessment, classroom management, professional development, parental involvement, and school management (Educational Research Services, 2003).

SDP schools had significantly higher academic achievement than non-SDP schools in reading, mathematics, and language, as measured by the Iowa Test of Basic Skills and classroom grades (American Institutes for Research, 1999). Comer (2004) claimed that this was because schools created a comprehensive plan that contained both academic and social components. The social component suggested that a systemic focus on creating an improved school climate supported student development, teaching, and learning (Comer, 2004).

In particular, SDP had a strong parental involvement component; parents were viewed as partners in education. The program encouraged collaboration between the home, the school, places of worship, and the community to support the life of the schools. The schools that had all of these resources interconnected were well-organized and safe places (Comer, 1997). School safety was another provision of No Child Left Behind, which had several components that provided students and staff with a safe environment (ERS, 2003). SDP met the requirement of the Safe and Drug Free Schools and Communities Act as defined by NCLB.

The Comer School Development Program (2009) website link listed SDP costs of $1,000 for an administrative fee for each school. Four-day workshop trainings at Yale University were $850 per attendee. Site visits made by the Yale SDP staff were charged per day and per consultant.

<u>Coalition of Essential Schools</u>

The late Theodore Sizer, Professor of Education at Brown University, founded the Coalition of Essential Schools (CES) in 1984. CES was based on the findings of his widely read book, *A Study of High Schools,* from studies he conducted from 1979 to 1984. In his book, Sizer delineated a set of principles, derived from his observations of schools throughout the U.S., to guide reform in high schools. Since then, CES expanded to include elementary and middle schools. The CES Network included more than 600 schools and more than two dozen affiliate centers. Each was diverse in size, population, and programmatic emphasis. CES served students from pre-kindergarten through high school in urban, suburban, and rural communities; these schools were characterized by personalization, democracy and equity, and intellectual vitality and excellence (Coalition of Essential Schools, 2006).

Improving teaching and learning was one of the key principles behind the Coalition of Essential Schools, which met all NCLB requirements for evidence-based education. There was an integration of professional wisdom with the empirical evidence in making decisions about how to deliver instruction. Both were needed: professional wisdom was the judgment that came from experience and consensus; empirical data was the basis for monitoring student progress. Without empirical data, educators would not be able to resolve competing approaches or generate cumulative knowledge without avoiding fad, fancy, and personal bias (Educational Research Services, 2003).

The CES model was exemplified by small, personalized learning communities with a climate of trust, respect, and high expectations between teachers and students. CES schools worked to create academic success for every student by sharing decision-making with all

those affected. Additionally, CES schools focused on helping all students use their minds well through standards-aligned interdisciplinary studies, community based õreal worldö learning, and performance based assessment (Coalition of Essential Schools, 2006).

Instead of creating a õmodelö to be õimplemented,ö the Coalition of Essential schools developed a set of õCommon Principlesö to guide school reform. They were as follows: 1) schools focused on helping children learn to use their minds well; 2) school goals were kept simple: each student mastered a limited number of essential skills and areas of knowledge; 3) school goals applied to all students; 4) teaching and learning was personalized as much as possible; 5) the governing metaphors of the school were student-as-worker, teacher-as-coach; 6) the diploma was awarded upon demonstration of mastery of the central skills and knowledge of the schooløs program; 7) the tone of the school was relaxed expectation, trust, and decency; 8) the principal and teachers perceived themselves as generalists first and specialists second; 9) teacher loads were 80 or fewer pupils, and per pupil costs did not exceed traditional school costs by more than 10 percent; and 10) the school demonstrated non-discriminatory and inclusive policies, practices, and pedagogies.

The Coalition of Essential Schools (CES) Network reported the following on their work with the Comprehensive School Reform Demonstration (CSRD) Schools: The percentage of students in CES CSRD schools passing state achievement tests increased substantially from the initial year of testing. CES CSRD schools made significant progress in closing the gap between the percentage of their students who were passing and the state average of students passing the tests. On four tests in two states, CES CSRD schools not only narrowed the gap but surpassed state averages (Coalition of Essential Schools, 2006).

The CES Network (2006) later reported that schools working with CES regional

centers through the Comprehensive School Reform initiative made significant progress in offering more rigorous and individual opportunities for students. Teachers collaborated with each other as well as with parents, and administrators ensured that all students were learning and explored strategies for improving instruction.

The Coalition of Essential Schools (CES) reform effort focused on improving classroom instruction through the õtriangle of learningöóthe relationship between teacher, student, and subject matter (Muncey & McQuillan, 1993). According to CES, the triangle of learning was the schooløs top priority, and structural changes were aimed at this goal. Muncey and McQuillan (1993) claimed that the Common Principles that underpinned this reform were general, leaving schools to interpret them within their own cultural and institutional context.

The twelve schools in the initial group included several that had received publicity, such as Central Park East Secondary School in East Harlem, New York, where the reform was designed and launched by Deborah Meier, and Thayer High School in Winchester, New Hampshire, which was õrestructuredö by Dennis Littky. Others such as the R. L. Paschal Essential School in Fort Worth, Texas, a small school within a larger high school, survived and flourished by keeping a low profile. As others joined the Coalition of Essential Schools Network, many had difficulty with the two hardest principles to implement, the diploma based on a public õexhibitionö and the õno more than 80-1 student-teacher ratioö (Stateuniversity.com, 2009).

The Brown University based staff observed and reported on these matters in the former case with workshops, pamphlets, and books by Grant Wiggins and Joseph McDonald, and in the latter with Theodore Sizerøs *Horace's School* (the chronicle of a fictional school

implementing the Common Principles) and *Horace's Hope* (Sizer's take on what he had observed and its implications for education). Due to the instability of leadership and the direction of the Coalition of Essential Schools Network, reform efforts became controversial and difficult to sustain (Stateuniversity.com, 2009).

There were no specific costs available from the developers of the CES Program. The costs were dependent on what resources were already in place in the school. From there, the schools needed to add components recommended by the CES Program to have it become a model of their network. While CES Principle Nine stated that per pupil costs were not to exceed traditional school costs by more than 10 percent, public online documents revealed that CES schools were exceeding this amount.

The Coalition of Essential Schools evolved into models of Smaller Learning Communities by the time the NCLB was reauthorized in 2001. Federal funding to public school districts was slated to create smaller learning communities within schools, create alternative school programs, and develop clear linkages to career skills and employment.

Smaller Learning Communities

One of the striking innovations was the smaller learning communities approach. Nearly 25 years of research demonstrated that Smaller Learning Communities (SLCs) were superior to large ones on many measures, and equal to them on the rest (Raywid, 1996; Cotton, 2001). These findings, together with strong evidence that SLCs narrowed the achievement gap between white/middle class/affluent students, and ethnic minority and poor students, led to the creation of hundreds of small schools in cities around the U.S., including Boston, Chicago, Denver, Los Angeles, New York, Philadelphia, San Francisco, Seattle, and others (Cotton, 2001).

Research findings on the effectiveness of small schools, the start up of new small schools in urban settings, and the availability of grant money to stimulate further school downsizing were heartening to those who believed small schools were a powerful way of improving education (Cotton, 2001). Supporters conceded that the growth of the õsmall schools movementö was a mixed blessing (Cotton, 2001). Small-school practitioner and author of *The Power of Their Ideas: Lessons for America from a Small School in Harlem* (1995), Deborah Meier, was concerned that poorly executed school downsizing led to situations where õmost will water down their innovations or give up altogetherö (1995, p. 86).

Meier wrote in 1995 about her personal experiences and the program at Central Park East (CPE) School in Harlem, a new elementary school in New York City District Four, where test scores were the lowest in the city. Meier experimented with several practices and found that Smaller Learning Communities were significant because: 1) the size of school or their smallness made democracy feasible in schools; 2) faculty was individually and collectively held responsible for their work, making access to otherøs work possible; 3) they also contribute to better student work; 4) they offered ordinary physical safety; 5) they also allowed for school accountability, both to parents and the public, as a matter of access, not through complex governing bodies or monitoring arrangements; and 6) such schools could help students become immersed in a culture they had shaped (Meier, 1995).

Meier claimed that Smaller Learning Communities (SLCs) needed autonomy to be effective, to use their smallness as an advantage. With autonomy, smaller schools re-established the experience of community, of conversations between adults and children, and made the connection to public as well as academic life (Meier, 1995).

Within the next 12 years, Meier founded two other Central Park elementary schools and the Central Park East (CPE) Secondary School in collaboration with the Coalition of Essential Schools. At these schools, Meier succeeded by fostering a more democratic community, thereby giving teachers greater autonomy in running the school, and promoting a family-oriented system (Meier, 1995). Meier applied these lessons in Boston, where she established Mission Hill Academy. Considered the founder of the smaller schools movement, she was not alone in her efforts as the movement spread to cities throughout the United States.

A decade later, a multiple measure report was prepared by the American Institutes for Research and SRI International (2005), where the nature of teaching practices and the quality of student work in Smaller Learning Communities were explored. Funded by the Bill and Melinda Gates Foundation,[3] this study found that, compared to conventional high schools the new small high schools had: 1) more rigorous assignments;[4] 2) assignments that emphasized learning opportunities in real-world settings and gave students a voice in shaping these opportunities; 3) assignments where rigor and relevance were compatible; 4) more informative teacher feedback on student work in English language arts (ELA), math, science and technology; 5) higher quality work in ELA; 6) higher quality work in mathematics; 7) rigor and relevance in assignments which led to higher quality student work, especially in

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[3] The Bill and Melinda Gates Foundation is a philanthropic foundation. Nine years ago, the foundation decided to invest in helping to create better high schools, and awarded over $2 billion in grants. The goal was to give schools extra money for a period of time to make changes in the way they were organized (including reducing their size), in how the teachers worked, and in the curriculum.

[4] õRigor is the goal of helping students develop the capacity to understand content that is complex, ambiguous, provocative, and personally or emotionally challenging. The decision to withhold rigor from some students is one of the most important reasons why schools fail.ö From: Strong, R., Silver, H., Perini, M. (2001). Teaching what matters most: Standards and strategies for raising student achievement. Alexandria, VA: Association for Supervision and Curriculum Development (ASCD).

mathematics; and 8) higher student achievement on standardized tests (American Institutes Research and SRI International, 2005).

Another review by research and development specialist Sarah Dewees cautioned that, õwithout full implementation, many of the benefits of small-scale schoolingí cannot be realizedö (1999, p. 2). She, along with other experts, had already observed cases of downsizing gone wrong. Mary Anne Raywid (1996), after describing a failed effort, noted:

> With such piecemeal and partial implementationí there were minimal improvements in student performance and virtually no gains in authentic achievement, equity, empowerment, the establishment of a learning community, the stimulation of reflective dialogue, or accountability (p. 36).

In other words, not all small school restructuring outcomes were equal; care needed to be taken to insure that these resources and efforts were productive. Some schools were limited in their ability to implement the small school concept not only because of financial constraints, but also because of regulations imposed by the administrators of the building where they were located, or because of their relationship with the school district and other schools within it (Cotton, 2001).

In response to evidence of the benefits of small schools, both government and private funding sources made millions of dollars available to large schools, so they could create small learning communities within the buildings they already inhabited. The federal Smaller Learning Communities initiative allocated $165 million in late 2001 for this purpose. The Carnegie Foundation of New York, the Bill and Melinda Gates Foundation, the Annenberg Challenge, the Joyce Foundation, the Pew Charitable Trust, the Annie E. Casey Foundation, and others provided additional millions for reforms that included school downsizing (Cotton, 2001).

Under No Child Left Behind, these grants were made available to local educational agencies (LEA) for specific activities that included: 1) the study of organizational and instructional strategies to be used in smaller learning communities; 2) research, development, and implementation of changes in curriculum and instruction that met state academic standards; 3) professional development for faculty and staff in the smaller learning community; and 4) strategies to include parents, business representatives, community-based organizations, and other community members in the smaller learning community (Educational Research Services, 2003). Each of these systemic reforms contributed elements of their conceptual frameworks to NCLB mandates. NCLB has incorporated smaller learning communities, reading programs and innovative, high quality teaching as part of its own agenda.

As mentioned earlier, these educational reform initiatives caught fire after *A Nation at Risk* (NAR) was published. Some states led the way in implementing initiatives, such as Massachusetts with the passage of MERA. This may explain why Washington was reluctant to initiate and support reform efforts ó the states were already leading the way. Another possible reason that the federal government was hesitant to get involved may have been that school systems were diverse and the schools dependent on their communities for resources (Gordon, 2003).

<div align="center">Goals 2000</div>

Educators set out to change what they could through new policies, state by state, after NAR. In the publicøs perception, the nationøs financial security and economic competitiveness were dependent upon the educational system (Marzano & Kendall, 1996b). Amid growing concerns about the education of the nationøs youth, former

President George H. Bush and the nation's governors called an education summit, Goals 2000, in Charlottesville, Virginia, in September 1989. This summit established six broad educational goals to be met by the year 2000, as follows: 1) all children in America were to start school ready to learn; 2) high school graduation rates were to increase by at least 90 percent; 3) all students were to leave grades 4, 8, and 12 having demonstrated competency in challenging subject matters; 4) U.S. students were to rank first in the world in math and science; 5) every adult was to be literate and possess the knowledge and skills needed to compete in a global economy; and 6) every school was to promote partnerships with parents (Walberg, 2005). Some of these goals were incorporated into NCLB. This was the beginning of schools being held accountable, not only for academic achievement in the school as a whole, but for every individual child. Clearly the time had come for subject area guidance, to determine what students needed to know and what they were able to learn (Marzano & Kendall, 1996b).

<div align="center">National Organizations</div>

To secure higher standards, two groups were formed, the National Education Goals Panel (NEGP) and the National Council on Education Standards and Testing (NCEST), to answer questions such as: õWhat subject matter should be addressed? What assessments should be used? What performance standards should be set?ö (Marzano & Kendall, 1996a). Their efforts created a flurry of activity within the nation's professional organizations in math, social studies, English language arts, and science and technology as the NEGP and NCEST defined national standards for their disciplines, encompassing what students should know and be able to do from grade K-12.

The National Academy of Sciences used the success of National Council of

Teachers of Mathematics (NCTM) to urge then Secretary of Education, Lamar Alexander, to underwrite national standards-setting in other content areas (Marzano & Kendall, 1996a). The National Science Teachers Association and the American Association for the Advancement of Science responded with independent attempts to identify standards in science (Marzano & Kendall, 1996a). Other standard-setting soon followed in the fields of civics, dance, theater, music, art, language arts, history, social studies, and others (Marzano & Kendall, 1996a).

Steven Zemelman, Harvey Daniels, and Arthur Hyde (1998) stated that teaching recommendations from NCTM were congruent with those from the Center for the Study of Reading, the National Writing Project, the National Council for the Social Studies, the American Association for the Advancement of Science, the National Council of Teachers of English, the National Association for the Education of Young Children, and the International Reading Association (IRA). These organizations helped put national standards into place; then states developed accountability systems through their own standards, curriculum frameworks, and assessments of student achievement. This proved to be helpful for some states, such as Massachusetts, where an accountability system was already in place by the time NCLB was reauthorized.

<div align="center">National Standards</div>

The job of raising student achievement through high academic standards shifted from national policies to their enactment by individual states. In 1996 governors, business leaders, teachers, school superintendents, and parents attended the National Education Summit. The summit resulted in the statesø commitment to put into place academic standards and assessment methods. The state governors agreed that within two years, they

would establish state standards to reflect new, higher academic goals for all elementary and secondary school students. Business leaders pledged to support the governors by requiring academic transcripts, portfolios, or certificates of mastery from high school graduates seeking jobs. The summit also called for an independent, non-governmental entity to gauge the statesø progress, make comparisons among states, and help strengthen accountability (Walberg, 2005).

What first appeared as broad bipartisan support for clear state and local goals was short-lived as a movement, although it resulted in the Goals 2000: Educate America Act, which was signed into law by former President William J. Clinton in 1994 (Elmore, 1997). But in 1996, The Omnibus Consolidated Recessions and Appropriations Act contained several amendments to Goals 2000. This was a complete reversal of federal action on achieving previously set goals since the actøs focus no longer seemed to be on developing national standards. Despite this, professional organizations and individual states and districts continued to plod ahead, defining standards for student achievement (Elmore, 1997). The failure to create national standards revealed deep fissures within academic content areas, as well as the wide gap between progressive thinkers in the academic world and the general public (Ravitch, 2000). Many independent organizations developed their own version of national standards. See Table 1 as follows.

Table 1: National Standards (Marzano, Kendall & Chicchinelli, 1999, p. 2)

Subject Area	Documents
Science	National Research Council. (1996). *National Science Education Standards.* Washington, DC: National Academy Press.
Foreign Language	National Standards in Foreign Language Education Project. (1996). *Standards for Foreign Language Learning: Preparing for the 21st Century.* Lawrence, KS: Allen Press.
Language Arts	National Council of Teachers of English and the International Reading Association.

	(1996). *Standards for the English Language Arts.* Urbana, IL; National Council of Teachers of English.
History	National Center for History in the School (NCHS). (1994). *National Standards for History for Grades K-4: Expanding Children's World in Time and Space.* Los Angeles: NCHS.
	National Center for History in Schools (NCHS). (1994). *National Standards for United States History: Exploring the American Experience.* Los Angeles: NCHS.
	National Center for History in Schools (NCHS). (1994). *National Standards for World History: Exploring Paths to the Present.* Los Angeles: NCHS.
	National Center for History in Schools (NCHS). (1996). *National Standards for History: Basic Edition.* Los Angeles: NCHS.
Arts	Consortium of National Arts Education Associations. (1994). *National Standards for Arts Education: What Every Young American Should Know and Be Able to Do in the Arts.* Reston, VA: Music Educators National Conference.
Health	Joint Committee on National Health Education Standards. (1995). *National Health Education Standards: Achieving Health Literacy.* Reston, VA: Association for the Advancement of Health Education.
Civics	Center for Civic Education (CCE). (1994). *National Standards for Civics and Government.* Calabasas, CA: CCE.
Economics	National Council on Economic Education (NCEE). (1994). *Voluntary National Content Standards in Economics.* New York: NCEE.
Geography	Geography Education Standards Project. (1994). *Geography for Life: National Geography Standards.* Washington, DC: National Geographic Research and Exploration.
Physical Education	National Association for Sport and Physical Education. (1995). *Moving Into the Future: National Standards for Physical Education: A Guide to Content and Assessment.* St. Louis: Mosby.
Mathematics	National Council of Teachers of Mathematics (NCTM). (1989). *Curriculum and Evaluation Standards for School Mathematics.* Reston, VA: NCTM.
Social Studies	National Council for the Social Studies (NCSS). (1994). *Expectations of Excellence: Curriculum Standards for Social Studies.* Washington, DC: NCSS.

The documents listed in Table 1 were either funded by the U.S. Department of Education or identified themselves as representing the national consensus in their subject areas. Collectively, these documents articulated the õofficialö version of voluntary national standards for the K-12 subject areas (Marzano, Kendall & Chicchinelli, 1999).

The statesø standards, aligned with their own respective curriculum frameworks, were uneven; so too were their assessments. The point of developing national standards was to assure that American students could compete with students in other countries, and that children in families who moved from state to state would get a consistent education, covering

the same content in each grade (Ed Source, 2007). But states had the option to implement the national standards; they did not have to do so.

One of the problems was that far too many standards were identified. The Mid-continent Research Education and Learning (McREL) study identified over 200 standards and 3,093 benchmarks. McREL researchers claimed that there was not enough time in the school year to meet them all (Marzano & Kendall, 1998).

States had the job of setting standards and used the documents on the list in Table 1. Every state was in the process of adopting or had adopted content standards, at least in the core academic areas of English language arts, mathematics, history/social science, and science. From these content standards educators developed a curriculum framework, a blueprint that guided the selection of teaching materials and methods (Ed Source, 2007).

This job of setting academic standards was largely taken over by the states. Progress in getting each state to determine and adopt academic standards was in part fueled by The Omnibus Consolidated Rescissions and Appropriations Act of 1996, which contained many amendments to the Goals 2000 Act. This federal law required states that received Title I funds to develop standards (Ed Source, 2007).

Title I legislation called for adopted state assessments to be aligned with their academic standards; in other words, states were to test only what students were expected to have learned. This law required that all pupils, including Special Education and bilingual students, be included in the statewide assessment. Title I provided funding to schools with the highest percentage of children from low-income families. Schools for the most part were to use this money for pupils who were failing or at risk of failing. Beginning in 1998, to qualify for these funds, states needed to have challenging content and performance standards

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in place, as well as an assessment system with multiple measures of student performance. Many states found it difficult to comply (Ed Source, 2007).

In 1999 the Fordham Foundation study noted that 21 states had weak accountability or no standards. Only eight states ó Alabama, Arizona, California, Massachusetts, North Carolina, South Dakota, South Carolina, and Texas ó merited a grade of *A* or *B* for their solid standards (Walberg, 2005). A later study in 2004 conducted by the Fordham Foundation and Accountability Works that evaluated accountability systems in 30 states, gave states õmediocreö marks if their accountability systems were not based on solid academic standards or was not up to par with states leading the way with standards (Cross, et al., 2004). The work to improve statesø learning standards continued.

Curriculum Frameworks

To meet standards, states needed to adopt curriculum frameworks that could be interpreted at a local level. A state curriculum framework detailed where a student needed to show competency using benchmark measures in a particular discipline and provided a structure for organizing the curriculum. Curriculum frameworks were developed at the state level, while a curriculum guide was developed at the district level. The curriculum guide was more detailed than the curriculum framework and presented specific content and activities (Curry & Temple, 1992). School districts used curriculum frameworks for each grade level, as a common reference point for state, district, and local educators. A curriculum framework provided direction for schools while remaining flexible; also, it held teachers and staff accountable. Curriculum frameworks were part of the paradigm shift where educators determined how the curriculum was envisioned and implemented (Curry & Temple, 1992).

Changes in Standards

According to the Ed Source (2007), the focus on raising academic standards for every student led to an ambitious agenda for improving schools. Fundamental to that agenda was the expectation that the entire education system – state and local policies, curriculum and instruction, testing, teacher professional development, and financial resources – be aligned to help students meet the standards.

Massachusetts's curriculum frameworks for mathematics and science were cited as exemplars for internal consistency. In addition, Massachusetts had been recognized as a state with one of the highest standards in both literacy and mathematics. Professional development in Massachusetts had shifted to include training in models of collaborative learning for teachers and administrators (Neufeld and Roper, 2003).

Many organizations and researchers evaluated states' standards-setting efforts (Ayres, 2004). Each evaluation reflected the evaluator's perspective and constituents, using different criteria to determine what made a good standard; their conclusions tended to disagree somewhat. Opponents of the standards movement claimed it was failing because it was unfair to ethnic minorities and the poor (Ayres, 2004). Educational researcher Alfie Kohn (2004), a critic of the standards movement, claimed that it was flawed for five reasons: 1) preoccupation with performance undermined the interest in learning, the quality of learning, and the desire to be challenged; 2) state standards models were outdated; 3) scores on standardized tests were flawed; 4) "accountability" usually turned out to be a code word for tighter control over what happened in classrooms by people who were not in classrooms; and 5) tests, texts, and teachers could not be judged on the single criterion of difficulty level.

Further critiquing the standards for state testing, Deborah Meier (1995) claimed that

there were no obvious ways for states to agree upon a reference base for the tests, as there were on traditional norm-based standardized tests.[5] This was why reference-based tests could not deliver what they promised. Meier asserted that while it was easy to spot the controversies over õfactsö in the fields of social science and history, such controversies also abound in mathematics, science, and literature. She noted that Californiaøs effort to implement such a test was derailed in 1992 by the inclusion of certain multicultural texts, as well as by assignments that students write about personal experiences (Meier, 1995).

While the standards had slight modifications, the most recent in 2013 was the Common Core States Standards, developed at the Federal Department of Education level. These standards were implemented in the fall of 2013 by 45 states, the District of Columbia, four territories, and the Department of Defense Education Activity. The Common Core States Standards website (2013), described the standards as providing a consistent clear understanding of what students were expected to learn, so teachers and parents knew what to do to help them. The site further described the standards as being designed to be robust and relevant to the real world, reflecting the knowledge and skills that young people need.

Massachusetts Educational Reform Act (MERA) of 1993

The Massachusetts Educational Reform Act predated No Child Left Behind. As education became a critical issue, federal and state governments stepped in, spelling out more rules of the game. See Figure 3 on the next page.

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[5] The major reason for using reference-based tests is to classify students by ranking them in order from high to low achievers. Traditional norm-based tests determine what students can do and what they know, not how they compare to others (Bond, 1996).

Figure 3: Conceptual Frameworks for the Massachusetts Education Reform Act
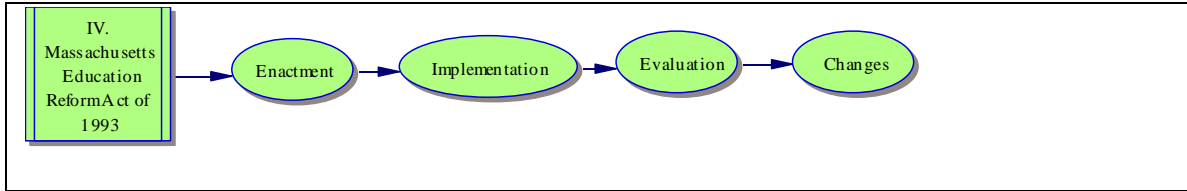
In Massachusetts, the 1993 Education Reform Act paved the way for implementing standards and frameworks. In June of that year, former Governor William Weld signed the MERA, increasing aid to local school districts to launch comprehensive reforms.

Since MERA was enacted in 1993, it helped establish: 1) learning standards; 2) a student assessment system; 3) an accountability system for school and district performance; 4) local education governance and management; 5) coherent state level policies; 6) data-gathering to improve the educational system; 7) professional credentials for teachers and staff; 8) early childhood education programs; 9) choice and charter schools; and 10) equalize funding for public education across the state.

MERA changed the ways schools and districts were funded. First, all schools were supposed to have school councils. The school committee's power over personnel issues was reduced, while superintendents and principals were given more authority. Thus MERA not only changed the structure of the K-12 public education system, but did so in a systematic and coherent way, consistent with standards-based reform (Massachusetts Department of Elementary and Secondary Education (MA DESE), n.d.).

In the summer of 2001, a few months before NCLB reauthorization, the University of Massachusetts-Amherst, at their Center for Education Policy, conducted a study on the implementation of MERA in its 8th year. The study was sponsored by the

Education Reform Review Commission (2001). The study revealed that the state's

policymaking structure had been in flux, since the Board of Education had changed from

17 to 9 members, the Secretary of Education position had been abolished, and the Board

Advisory Committee was unclear in its direction. The Massachusetts Department of

Elementary and Secondary Education (MA DESE) had spent a significant amount on

technology and information systems, but still did not know what schools students

attended, what courses they took, or how they performed on assessments. There was no

commission within the state with the capacity for such data collection (MA DESE, n. d.).

The state DESE had few professional development resources of its own to train

teachers or principals; most state funds for professional development went to local

districts. Also, the commonwealth's student assessments and teacher testing for licensure

took precedence over professional development support. Between 1996 and 1999,

spending on the early childhood education component of MERA increased by 24 percent,

but a report by the State Auditor concluded that monitoring and evaluation capacities did

not keep pace with the spending increase (MA DESE, n.d.).

The Massachusetts Education Reform Review Commission (2001) recommended

increasing funds for DESE operations to improve data collection and management,

research and evaluation, and assessment. Other recommendations were to: increase

involvement and communications with educators about implementing reform; resolve

uncertainty over responsibility for accountability, monitoring, and oversight; and expand

the use of sampling in data collection and program evaluation. Table 2 on the next page

lists the major provisions of the Massachusetts Educational Reform Act (MERA) and the

No Child Left Behind (NCLB) Federal Law:

Table 2: Major Provisions of MERA and NCLB.

Massachusetts Educational Reform Act	No Child Left Behind Act
Superintendent hires principals and determines their salaries	Principals and schools are held accountable for student progress
Principal may be removed immediately for school⁄s under-performance	Principals and staff receive individual student reports to determine student needs
Principal can remove teachers who have professional status with good cause	Provides national and state program to assist in recruiting and training principals
Principal may dismiss or demote any teacher or person subject to review and approval	Provides merit pay to principals and educators in schools where students made significant gains in academic achievement
Principal serves as chairperson for professional team to train and supervise provisional teachers	Provides funds to recruit and retain highly qualified principals and teachers
Principals along with staff are to be certified	Provides funding for state to reform teacher and principal certification program.
Principals award professional status to teachers with three consecutive years of service	Promotes programs to recruit and train highly qualified teachers and to reduce class sizes
Principals can expel or suspend students for assault of educational staff on school premises	Provides grants to alleviate the impact of experiencing or witnessing domestic violence
Principals can expel or suspend students in possession of dangerous weapon or substances	Provides funding for professional development to for integrating technology into the curriculum
Academic	**Academic**
Principals are to purchase texts and instructional supplies	Provides assessment and professional and funding for Limited English Proficient and Immigrant Students
Principals hire and fire teachers	Provides training for principals and staff on the causes, effects, and resolutions of hate crimes
Community Outreach	**Community Outreach**
Principals are to establish school councils and develop school improvement plans	Parents are to be involved in the development of training teachers, principals, staff
Principals are to recruit business partners	Principals are to develop a comprehensive school improvement plan with parents and the school community

<u>School Districts</u>

At the school district level, learning standards were aligned with curriculum. Prior to 1993, the only history and physical education had statewide educational requirements. The Massachusetts Education Reform Act called for statewide curriculum frameworks and learning standards in all content areas. School districts had to align their instruction with the state standards and assessments to show evidence of achievement.

By the end of 1995, the Massachusetts Department of Education had begun to adopt curriculum frameworks in foreign languages. Later, it added frameworks in: comprehensive health and arts (1999); math (2000); English language arts; science and technology (2001, updated 2004); history and social sciences (2003); and science technology and engineering (2006). These frameworks became blueprints for content development, guides for teachersø daily lesson plans and for districtsø curriculum planning (Orfei, 2007).

Driven by concerns about inequalities from an over-reliance on (widely differing) local taxes to support education, states such as Massachusetts took a greater role in õequalizingö school funding. Lawmakers wanted to see better test results as a way of holding school systems accountable for the state funds they received. A back-to-basics movement got under way, claiming in large part that the curriculum was too expensive and that schools needed to narrow their range of offerings. The movement sparked a growing debate about what constituted basic knowledge for an educated person (Marx, 2006), as well as about the possibility that testing be used to show that public school students were not doing well. Concern grew that the õgotchaö game some teachers applied to students might now be applied to whole schools (Marx, 2006).

As the stakes rose, fears grew that schools might be õteaching to the tests.ö Incidents of alleged and actual cheating seemed more frequent. Many teachers argued that tests should determine what students had or had not learned, and in that way help teachers guide the instruction, not to sort students and schools into winners and losers (Marx, 2006).

Massachusetts Comprehensive Assessment System (MCAS)

The Massachusetts School and District Accountability System was designed to gauge the progress of schools and districts toward getting all students in Massachusetts to show proficiency in English language arts, math, and science and technology by 2014, the principal goal of the No Child Left Behind Federal Law. The test enabled policymakers, parents, and the public to assess the effectiveness and monitor the improvement of all public schools and districts, to hold school leaders accountable for that performance and improvement, and to identify where state intervention was needed (MA DESE, n. d.).

For this specific purpose, the Massachusetts Legislature created the Office of Educational Quality and Accountability (EQA) in July 2000, to provide independent and objective programmatic and financial audits of the 350-plus school districts in Massachusetts, and be the accountability component of the Massachusetts Education Reform Act of 1993. EQA worked under the direction of a five-person citizen council appointed by the governor and known as the Educational Management Audit Council (EMAC) (MA DESE, n. d.). Starting with the first district visit in 2002, the EMAC team examined over 150 school districts in Massachusetts, some more than once. Using MCAS results, the EQA was data driven and standards based. The õexaminationö

process the team used for school districts was a close review of six essential components of education management: 1) leadership: curriculum and instruction; 2) assessment and evaluation systems; 3) student academic support systems; 4) human resource management; 5) professional development; and 6) financial systems and efficient asset management (MA DESE, n. d.). MCAS testing held schools and school districts accountable for all their studentsø progress toward proficiency in reading and math by 2014 (Massachusetts Department of Elementary and Secondary Education, 2009). Like many state education authorities, the Massachusetts Department of Elementary and Secondary Education (DESE) used a test contractor to administer the MCAS. All students enrolled in special education programs for students with disabilities; or in public or charter schools, educational collaboratives, or institutional settings; or in the custody of either the Department of Social Services or the Department of Youth Services were required to take the MCAS. Only private and parochial school students were exempt. The MCAS also had to be administered to public school students with limited English proficiency. These students had to pass the grade 10 tests in English language arts, math, and science and technology, as well as their local requirements, to receive a high school diploma (MA DESE, n. d.).

All of the MCAS assessments were administered annually in selected grades. Then DESE reported on the performance of individual students, schools, and districts, and determined whether a school district or a school had made Adequate Yearly Progress (AYP) according to a pre-set formula. Lastly, DESE rewarded schools that met these goals and levied sanctions on those that did not (MA DESE, n. d.).

According to the Massachusetts DESE, students with disabilities had to be

included in statewide MCAS testing in Massachusetts because federal laws governing Title I, Goals 2000, and Special Education, as well as the state's Education Reform Act of 1993, required participation by virtually all students in statewide assessments. This was because students with disabilities were more likely to receive the resources and support other students were getting to improve their test performance when everyone's results were counted. In the past, when students with disabilities had been excluded from testing or their scores not counted, they were less likely to be considered in decisions that affected all students (MA DESE, n.d.).

The 1997 federal Individual with Disabilities Education Act (IDEA) gave students with disabilities the right to participate in the õgeneral curriculum.ö The Massachusetts Department of Education (DESE) involved those in the field of special education in local-level discussions to develop, align, and improve instruction for all students, while the new state IEP form for identifying academic goals and objectives increased awareness of the state's curriculum frameworks. Recent statewide training on the new MCAS Alternate Assessment provided educators with an understanding of how to link instruction for students with significant disabilities to state learning standards (MA DESE, n. d.).

The Department of Elementary and Secondary Education claimed that student performance data was necessary to determine whether, and to what degree, students with disabilities were learning; such information had been scant or non-existent. Diagnostic assessments, progress reports, annual reviews, and periodic evaluations typically focused on a student's disability, and the learning needs resulting from their disability, rather than on their progress. Additionally, educators received guidance on documenting student

performance through the creation of alternate assessment portfolios (MA DESE, n. d.).

In 2009, there were over 65,000 English language learners (ELL) in Massachusetts, whom the Massachusetts DESE defined as a õstudent whose first language is a language other than English and who is unable to perform ordinary classroom work in English.ö In keeping with federal and state laws, ELL students had to participate in MCAS and the Massachusetts English Proficiency Assessment (MEPA) tests scheduled for their grades (MA DESE, n. d.). MEPA consisted of two assessments: the Massachusetts English Proficiency Assessment-Reading/Writing (MEPA-R/W), which determined proficiency in reading and writing at grade spans K-2, 3-4, 5-6, 7-8, and 9-12; and the Massachusetts English Proficiency Assessment-Oral (MELA-O), which assessed proficiency in listening (comprehension) and speaking (production) from grades K-12. The DESE replaced the MEPA and MELA-O for ELLs with a new assessment titled Assessing Comprehension and Communication in English State to State (ACCESS) beginning the 2012-2013 school year.

World-Class Instructional Assessment and Design (WIDA)

The Massachusetts Department of Elementary and Secondary Education adopted the World-class Instructional Assessment and Design (WIDA) English Language Development (ELD) standards in June 2012. This became part of the Rethinking Equity and Teaching for English Language Learners (RETELL) initiative. The WIDA standards were implemented in the 2012-2013 school year as the stateøs language proficiency standards. School districts were required to begin integrating WIDA ELD standards into their ELD curriculum and content area curricula of classes where English Language Learners (ELLs) participate. WIDA is described in the DESE (2013) website as follows:

WIDA provides a rigorous system of standards and assessments to advance the language development and academic achievement of ELL students. The WIDA English proficiency standards and assessments were developed by national English language experts and are already in use in 27 other states. The WIDA standards promoted academic language development for ELL students in four content areas ó language arts, mathematics, science, and social studies ó and thereby facilitated studentsø success in school. Of particular significance was that these standards aligned with the 2011 MA English language arts curriculum frameworks (which incorporated the Common Core State Standards) and were embraced by professional associations such as TESOL[6] and MATSOL.[7] Our current English language proficiency benchmarks and outcomes (ELPBOs) did not reflect the new standards (DESE, 2013, website).

Joining WIDA helped English language learners in Massachusetts schools advance in their language development and academic achievement. From 2000 to 2010, ELL enrollment soared to over 70,000 students, an increase of 57% from approximately 45,000. Based on the projections made by the Department of Elementary and Secondary Education (DESE), if this trend continues, by 2021 approximately 20% of all Massachusetts students K-12 will be ELLs (Department of Secondary and Elementary Education, 2012).

A study by Miren Uriarte, Faye Karp, Laurie Gagnon, Rosann Tung, and Sarah Rustan (2011) at the Mauricio Gaston Institute at the University of Massachusetts, Boston, found that while the ELL population of Boston and in general for Massachusetts increased steadily, ELL education changed gradually. A shift to õEnglish onlyö in 2002 meant that instruction in the studentøs native language disappeared virtually overnight in schools that had been offering bi-lingual education (Center for Collaborative Education (CCE); the Mauricio Gaston Institute for Latino Community Development and Public Policy (MGILCDPP), 2011). During the same year, the Sheltered English Immersion (SEI) became the dominant mode of instruction for ELLs and the Massachusetts Comprehensive

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6 Teachers of English Speakers of Other Languages
7 Massachusetts Association of Teachers of Speakers of Other Languages

Assessment System (MCAS) was used for accountability under No Child Left Behind of 2001 (CCE & MGILCDPP, 2011). Limited English Proficient (LEP) identification, program participation, and outcomes all plummeted (Tung et al., 2009). Since then the Department of Elementary and Secondary Education finally realized that strengthening teaching and learning for English language learners was central to closing the proficiency gap and a new initiative was born.

> Rethinking Equity and Teaching for English Language Learners (RETELL), [is] a department initiative to improve and support the academic achievement of English language learners in our Commonwealth. RETELL brings a systemic approach that combines professional development for Sheltered English Immersion (SEI) teachers designed to enable them to make rigorous content accessible to their English learners. Moreover, new curriculum standards and assessment for ELLs will undergird RETELL. RETELL will require that SEI teachers and the administrators who supervise them complete updated SEI professional development or its equivalent, with high priority placed on teachers with ELLs currently in their classes. This ambitious undertaking will involve tens of thousands of educators at various stages in their careers as well as the organizations that prepare, support, and employ them (DESE, 2013, website).

The Federal Office of Civil Rights mandated DESE to properly train all of its educators in Sheltered English Immersion strategies, a huge undertaking but much needed. The study by the Gaston Institute documented the practices of schools with ELL students who had succeeded academically and professionally. The findings shared detailed information on four in-depth school case studies and a synthesis of cross-cutting findings so that staff in other schools could consider the lessons and practices for adaptation in their own schools (CCE & MGILCDPP, 2011).

Together, with the RETELL initiative, including the WIDA system of standards, assessments, and resources, along with the sharing of best practices as reported by the researchers at UMass Boston and the Gaston Institute, the hope was that the teaching and

learning for ELLs would finally be enhanced and the playing field leveled. This was a

start toward achieving equity in educational services for all students including English

language learners.

Adequate Yearly Progress

In Massachusetts the MCAS test results determined Adequate Yearly Progress,

measuring student proficiency in English language arts, math, science and technology.

For each content area there were multiple AYP determinations ó one for all students (õthe

aggregateö), and ones for the student subgroups, which included students with

disabilities, students with limited English proficiency, economically disadvantaged

students (eligible for free or reduced priced school lunch), and African American/Black,

Hispanic, Asian, White, and Native American students (MA DESE, n. d.). To receive an

affirmative AYP determination, schools and districts had to meet a student participation

requirement, an additional attendance or graduation requirement, and either the stateøs

performance target or the groupøs own improvement target. Schools and districts that had

not made Adequate Yearly Progress (AYP) for two or more consecutive years had to

follow a required course of action, determined by their accountability status, to improve

performance. Accountability status designations were: Improvement, Corrective Action,

and Restructuring. To be assigned to the positive No Status category, schools had to

make AYP in a subject for all student groups for two or more consecutive years, and

districts had to meet AYP for at least one grade span in a subject for two consecutive

years, as based on three grade spans: grades 3-5, 6-8, and 9-12 (MA DESE, n.d.).

In 2010, President Obama sent the Elementary and Secondary Education Act

(ESEA) to Congress for reauthorization under a new name, A Blueprint for Reform

which will be described more fully in the following chapter. The reform addressed critical issues created by the No Child Left Behind law. Under the Blueprint, state accountability systems were asked to set the bar high for graduating high school students, so they would succeed in college and careers. The Blueprint also asked states to recognize and reward impoverished schools and districts that showed improvement and supported their students. States and districts focused on closing the achievement gap, and, in schools persistently failing to narrow the gap, implemented interventions. The states were able to be flexible, and allow all schools to determine their own standards for adequate improvement as well as support options. Most important, the Blueprint asked states and districts to develop meaningful ways to measure teacher and principal effectiveness. Massachusetts, one of the front runner states, adopted a new growth model and implemented it in the fall of 2012.

By the spring of 2012, the Obama administration had allowed districts and states to develop their own plans to improve student achievement outcomes, close achievement gaps, and improve the quality of teaching. Furthermore, it allowed schools and teachers to develop ways of giving students the skills they would need in the job market, while maintaining high standards of success for all. To be allowed this leeway, states had to adopt a strong plan to implement college and career ready standards. States had to create comprehensive systems of teacher and principal development, evaluation, and support that not only included test scores but also principal observation, peer review, student work, and/or parent and student feedback.

The Obama Administration granted waivers from No Child Left Behind to 10 states, including Massachusetts, in 2012 (Masslive.com, 2012). By the spring of 2013, a

total of 37 states including the District of Columbia had been granted waivers (U.S. Dept. of Ed., 2013). The main requirement of NLCB was that all students be proficient in English language arts and mathematics by 2014. States with waivers were given more time to meet this main requirement. These states showed that they had a growth plan in place for all students to become proficient and a new teacher evaluation model. Many of these states, including Massachusetts, currently have been implementing new growth model and teacher evaluation initiatives in 2014.

CHAPTER 3

LITERATURE REVIEW

The previous chapter examined the parameters and domains of the No Child Left

Behind (NCLB) Federal Law and Massachusetts Education Reform Act (MERA) and how

both have affected education. Such analysis is critical because of the high visibility and the

changes both laws have wrought on education, but most importantly because both have so

markedly changed the principal's role from that of a manager to that of an instructional

leader, with responsibilities to analyze student test data and make changes to raise and

maintain students' test scores.

This chapter identifies, describes, and explains the achievements and shortcomings of

NCLB since its inception in 2001, and for MERA since its implementation in 1993. It also

shows the evaluations that have been conducted by social scientists and educational policy

makers about NCLB since MERA was integrated into NCLB. In these evaluations,

proponents or opponents demonstrated the challenges that NCLB faced, and identified

needed changes in student assessment, accountability, equity, and financial support to be

considered under reauthorization by President Obama in 2010. Such reauthorization did not

take place; instead under Executive Power, the administration has granted waivers from the

main goal of NCLB, that all students be proficient by 2014.

As a consequence of NCLB, the role of the principal shifted from that of being an instructional leader defining a school's mission and setting its goals (Elmore, 2000; Marsh 2000) to being a cultural change leader with sustainability (Fullan, 2001) a notion which Andy Hargreaves (2006) has termed as sustainable leadership. The leadership of principals had no doubt shifted from a bureaucratic top down model to a more inclusive bottom up and collective action model (Marzano, 2005).

<center>Organization of the Literature Review</center>

This literature review is organized into three sections: <u>Section I</u> addresses the implementation of NCLB and describes how the standards movement grew out of the associations and organizations that upheld professional criteria across the United States. Furthermore, how the guidelines that became standards and frameworks at the state level were developed is explained as well as the Commonwealth of Massachusetts' Educational Reform Act (MERA) of 1993 was introduced and many of its components incorporated into NCLB. Among these components are the Massachusetts Comprehensive Assessment System (MCAS), Adequate Yearly Progress (AYP), and leadership requirements for principals.

In addition to NCLB's implementation, this section highlights the policies and practices that resulted in achievements or shortcomings of the law, the current status of student assessment, further accountability, evaluation and proposed changes to the re-authorization of the No Child Left Behind Federal Act. See Figure 4 on the next page.

<center>84</center>

Figure 4: Conceptual Frameworks for the Implementation of NCLB
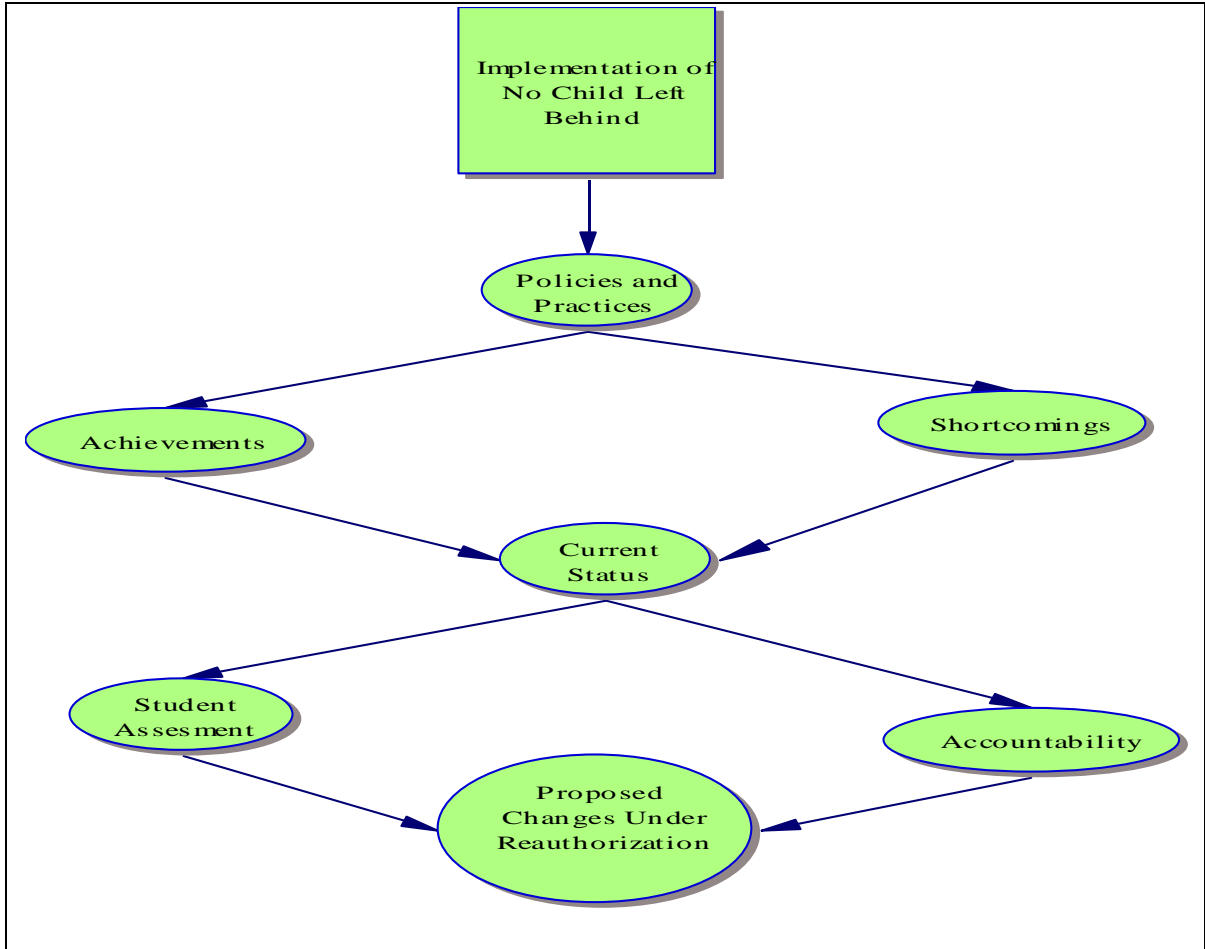
Section II characterizes how the principalsø leadership roles have changed at various stages of NCLB and MERA development and implementation from the 1980s through 2014, citing the policies and practices that pertain to such roles. Explained are the achievements or shortcomings NCLB in targeted state level evaluations dealing with the accountability of schools, student assessment, and professionalization of teachers. Especially targeted are decision-making, instructional and administrative practices, leadership qualities of principals and the legislative changes that have taken place. See Figure 5 on the next page.

Figure 5: Conceptual Frameworks for the Evaluation of No Child Left Behind and the Federal Policies and Practices Affecting Principals
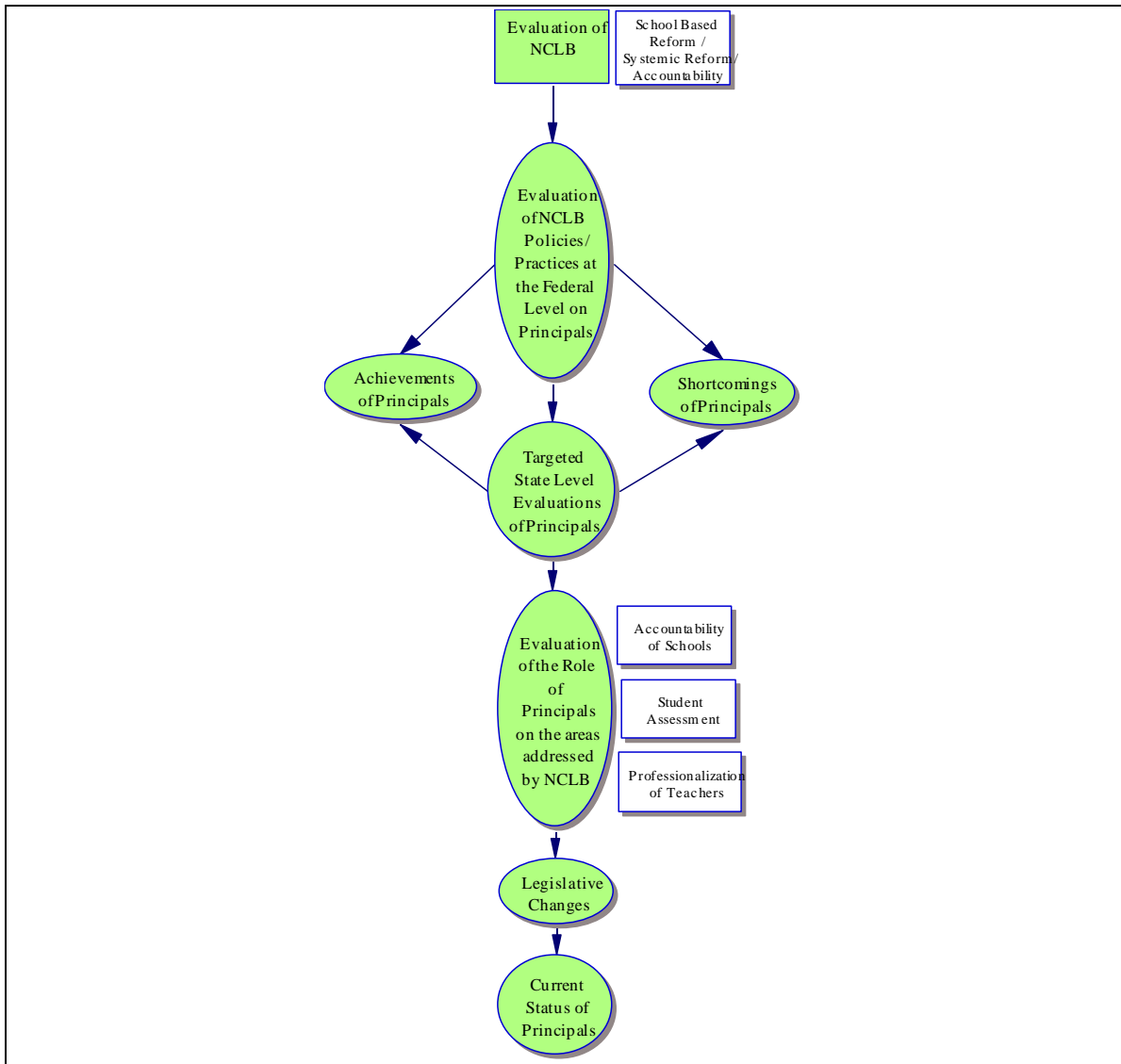
Finally, Section III identifies the changes in NCLB policies and practices proposed for educational reform through 2014 and attempts to explain how they affect the achievements, shortcomings and the leadership of principals of European whites, Latinos, African Americans, and particularly Asian Americans. The role of culture and ethnicity is specifically addressed in relation to the ways principals perform their jobs. See Figure 6 on the next page.

Figure 6: Conceptual Frameworks for Accountability Affecting the Leadership of Mainstream and Non-Mainstream Principals
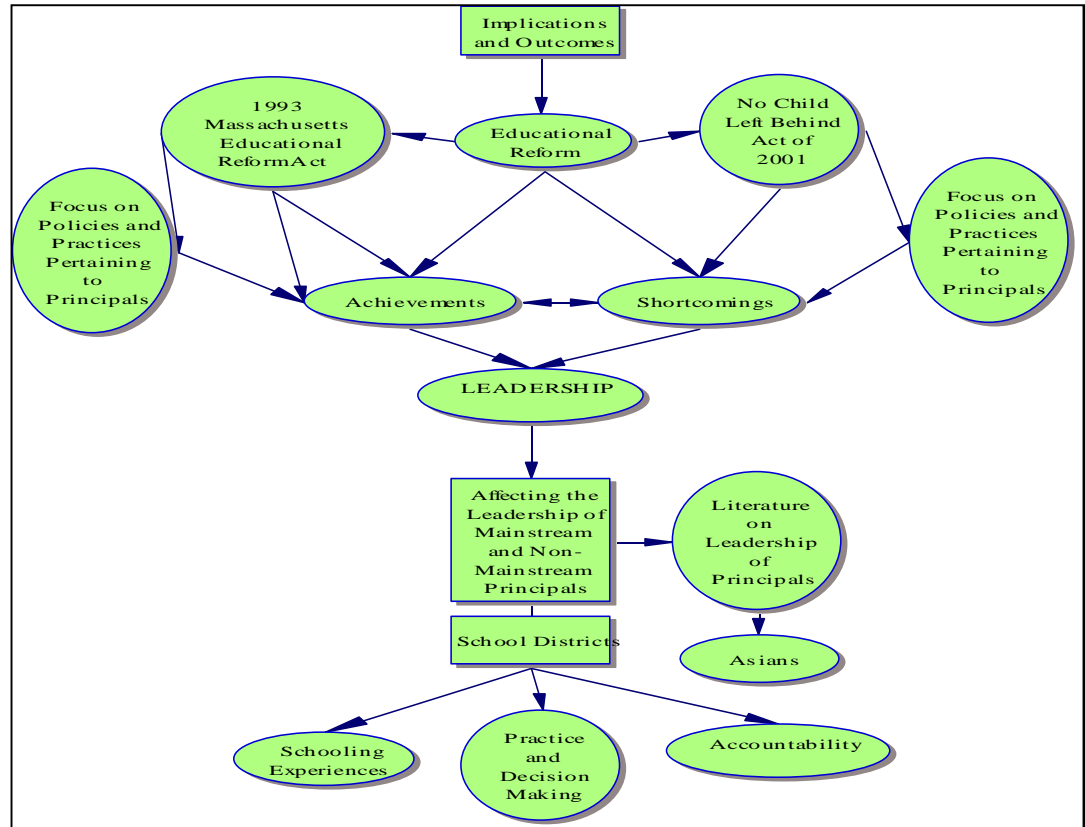
<u>Evaluation of No Child Left Behind Policies and Practices at the Federal Level</u>

During its first seven years of operation, NCLB made fundamental changes in testing students, providing supports, expanding parental involvement, upgrading teacher professionalization, and demanding data-driven evidence of achievement. The results were both positive and negative (U.S. Government Accountability Office (GAO), 2006). See Figure 7 on the next page.

One of the positive results was that the academic achievement of minority students, which had been characterized as poor, had increased from previous years. The Department of Education reported that the National Assessment of Educational Progress (NAEP) results in July 2005 showed improvement in reading.

Figure 7: Conceptual Frameworks for NCLB being Institutionalized and the Focus on Policies and Practices pertaining to Elementary School Principals
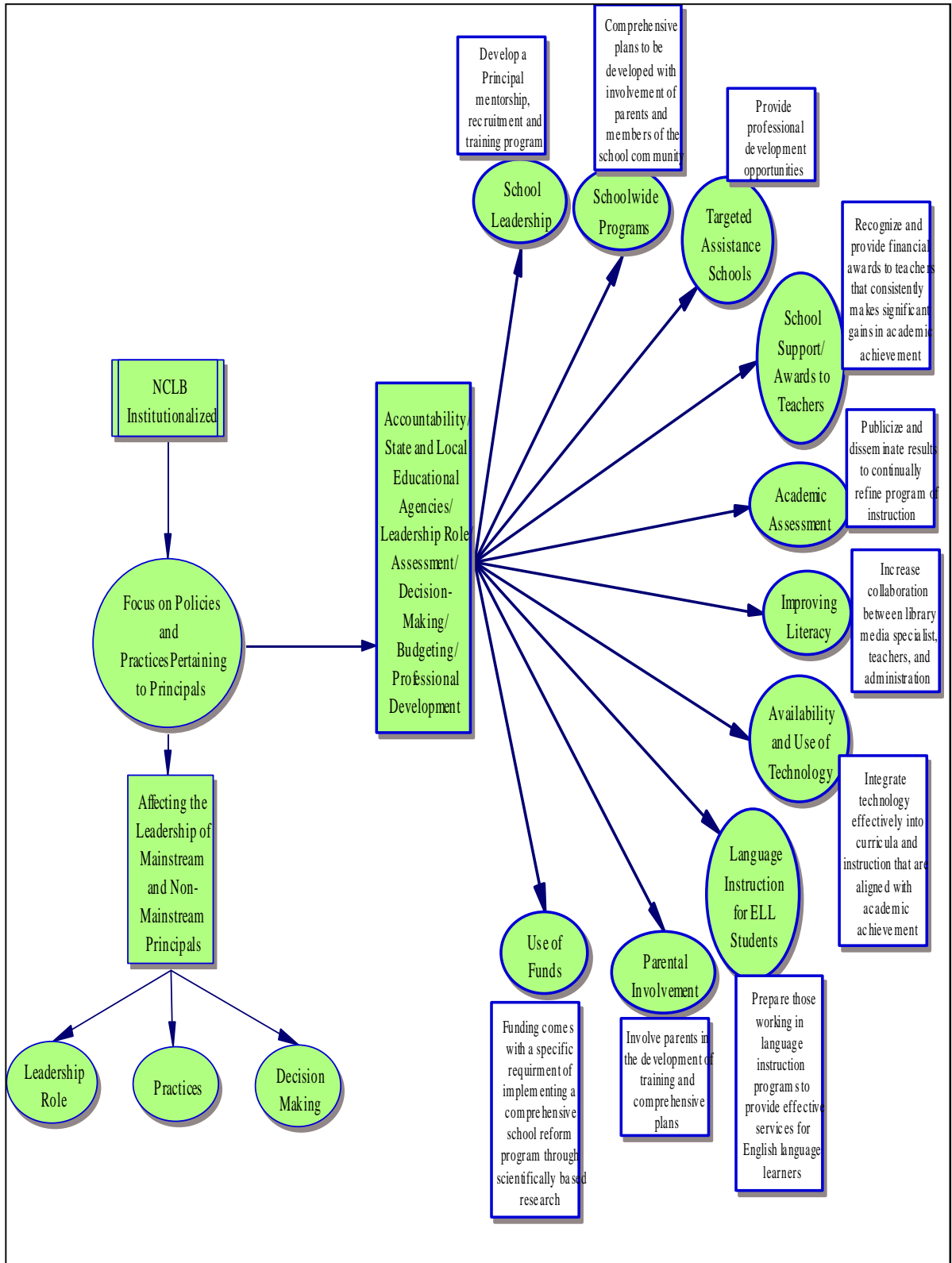
But in an April 2012 brief from the National Center for Education Statistics (NCES) at the U.S. Department of Education, non-Hispanic language minority students who were English proficient either when they started or when they completed kindergarten in 1998-1999, scored higher than their Hispanic peers in reading, math, and science in grade eight. The same pattern was seen for non-poor language-minority students who were English language proficient either when they started or when they completed kindergarten compared to their peers who were poor (NCES, 2012).

Additionally, of the ELLs who were not proficient by the spring of kindergarten, non-Hispanics and non-poor students performed better on the reading assessment than their Hispanic or poor peers (NCES, 2012). Regardless of home language or English proficiency, the highest scores in all three subjects were those of students with the most highly educated mothers, while the lowest scores were from those students with the least educated mothers (NCES, 2012).

Proponents of NCLB claimed that, in addition to encouraging accountability in public schools, the legislation offered parents more educational options for their children and helped close the achievement gap mentioned above. Noteworthy is that most of NCLB's successes have been reported by the U.S. Department of Education or organizations commissioned by the DESE. In addition proponents also claimed that NCLB: 1) linked state academic-content standards with student outcomes; 2) measured student performance; 3) provided parents with detailed report cards for schools and districts on their Adequate Yearly Progress; 4) required schools to inform parents when their child was being taught by a teacher or paraprofessional who was not "highly qualified"; and 5) enhanced parental involvement and improved

administration by using assessment data to make decisions on instruction, curriculum, and business practices (U.S. GAO, 2006).

NCLB also sought to narrow class and racial gaps through its common expectations for all children, and by requiring schools and districts to focus on the academic achievement of traditionally under-served children, such as low-income students, students with disabilities, and students of racial and ethnic subgroups. Previous state-created accountability systems have only measured average school performance, allowing schools to be highly rated if they had large achievement gaps between the subgroups (U.S. DOE, 2005).

Proponents showed that NCLB has improved educational quality by implementing scientifically based practices[8] in the classroom, parent involvement programs, and professional development activities. NCLB also emphasized early literacy, and reading, writing, mathematics, and science as core academic subjects. At the same time, NCLB gave students the option to choose a better school if their own had failed to meet AYP targets two or more years running. Eligible children could then transfer to a higher-performing local school, receive free tutoring, and attend after-school programs (U.S. DOE, 2005).

NCLB also provided funding for school technology through the Enhancing Education Through Technology Program. Funding was used for equipment, professional development and training, and updated research. In addition, NCLB increased state and local agenciesø flexibility in their use of federal education money, and provided more resources to schools (U.S. GAO, 2006).

Despite the support of proponents and the Department of Educationøs claims of success, public perceptions of NCLB indicated that that the results fell short of expectations.

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[8] The NCLB definition of scientifically based research can be located on p. 16. It was called õscientific based practicesö for the remainder of the literature review.

Opponents claimed that the system of incentives and penalties set up a strong motivation for schools, districts, and states to manipulate test results. Linda Perlstein (2007) argued that the National Assessment of Educational Progress (NAEP) statistics were misleading because they compared 2005 with 2000, but No Child Left Behind had not taken effect until 2003. Perlstein claims that the scores between 2000 and 2003 showed roughly the same increase as that between 2003 and 2005, begging the question of how any increase could be attributed to No Child Left Behind. She further claimed that some of the subgroupsø scores remained the same or actually fell (Perlstein, 2007).

Diane Ravitch stated that the goal of 100% proficiency for every student in the U.S. was unattainable, and that no nation or state has ever achieved it. She suggested that the only way to reach this goal was to redefine õproficiencyö as functional literacy, since an unattainable goal virtually guaranteed that more and more schools would be declared õfailingö. Many good schools across the nation have found themselves on this list and seen their reputations unfairly tarnished when only one subgroup fell behind schedule (Ravitch, 2009).

Critics of NCLB saw the response to schools that did not make AYP as punitive, and this encouraged states to set standards lower rather than higher (Ohanian, 2007). The U.S. DOE 2007 study indicated that differences in statesø reported scores were largely due to differences in their standards. States produced their own standardized tests to make it easier to increase test scores, so test scores improved but standards were lowered (Ohanian, 2007). Critics further argued that standardized testing encouraged teachers to focus on a narrow subset of skills to raise test scores instead of deepening their studentsø understanding of the subject matter (International Reading Association, 2007). For example, if the teacher knew

that all the questions on a reading test were on comprehension, the teacher might not spend any time on vocabulary; he or she might "teach to the test." To make matters worse, many teachers who practiced this strategy misinterpreted the educational outcomes the test was designed to measure (Wiggins & McTighe, 2005).

Educators criticized the practice of giving all students the same test, under the same conditions, as showing inherent cultural bias since different cultures value different skills. Students learning English were supposed to have up to three years to take assessments in their native language, and then had to take tests in English. But only 10 states have chosen to test their English language learners in their native language (mostly Spanish). The remainder of these learners were administered the assessments in English (Crawford, 2004).

The "one size fits all" assessment may also have been in conflict with the Individuals with Disabilities Education Act (Cohen & Spenciner, 2007). Students with cognitive learning disabilities were administered the same test with the same expectations of being proficient even when their learning disabilities set them up for failing the tests. While the 2008 National Council on Disability Report's definition of what should be assessed was limited, the council itself recommended that testing be broadened to include occupational, employability, and life skills. The practice of testing these students for academic achievement was called into question.

Other unintended consequences were for schools that did not make AYP. Schools increased segregation by class and race by pushing low performing students out of schools (Ryan, 2004). Some local schools were only funding instruction for core subjects such as reading, writing, and arithmetic, or for remedial special education. Programs not essential to providing mandated skills, such as fine arts or music, were closed down (Cloud, 2007).

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NCLB's focus on mathematics and English language skills elevated skills in these two content areas but lost the benefits of a broad curriculum. In addition, physical education in schools with reduced cuts contributed to child obesity (Trickey, 2006). Surveys of public school principals indicated that 71% believed that instructional time had increased for reading, writing, and mathematics but significantly decreased for the arts, social studies, and foreign languages (Lynch, 2007).

Ravitch (2009) claimed that only a tiny proportion of students (often less than 5% of those eligible) had availed themselves of the option to transfer schools or to get tutoring. In many districts, there were simply not enough placements in better schools, students did not want to leave their school, or schools were not making the information available. Few students took advantage of tutoring (Ravitch, 2009). The õscientifically based research standard,ö coupled with the sanctions for not meeting AYP, has limited the ability of schools to look at other educational predictors and make systemic changes to improve student achievement (Ravitch, 2009).

Legislative Changes in the Law to the Present

In 2002, civil rights advocates praised No Child Left Behind for its emphasis on minority students, students living in poverty, English language learners, and students with disabilities. States, school districts and schools since then have been working harder than ever in õimplementingö NCLB. The evidence from the early evaluations was promising, according to the U.S. Department of Education (2005). Studies of state achievement tests showed that reading and mathematics went up in most states and that achievement gaps among racial and ethnic groups began to narrow. A majority of states reported that more schools had met their AYP goals (U.S. DOE, 2005).

By 2005, federal funding had increased substantially. There had been an $8 billion, or 46 percent, increase for NCLB programs, a $10.3 billion increase in overall funding for federal elementary and secondary education programs, a $4.6 billion, or 52 per cent, increase in Title I grants for economically disadvantaged students, which went directly to local education agencies, and a $4.8 billion, or 75 per cent, increase for grants to states under the Individuals with Disabilities Education Act (IDEA) Part B (U.S. DOE, 2005).

The U.S. DOE assessed whether a state was making a good-faith effort to reach the Highly Qualified Teacher (HQT) goal or not by examining the state's definition of a "highly qualified teachers;" and the steps the state took to ensure that experienced and qualified teachers were equitably distributed among classrooms, especially those with poor and minority children. In addition, the U.S. DOE looked at all of the states' efforts to recruit, retain, and improve the quality of the teaching force. If the states met the law's requirements and the Department of Education's expectations but did not have highly qualified teachers in every classroom, they had the opportunity to negotiate a revised plan for meeting the HQT goal by the end of the 2006-07 school year. However, for states that either were not in compliance or making a good-faith effort, the DOE reserved the right to take appropriate action, such as withholding funds (U.S. DOE, 2007).

Since then, the U.S. Department of Education has released and periodically updated non-regulatory guidance on the HQT provisions, visited every state to provide technical assistance, and, thus far, monitored over 30 states. As a result, the U.S. DOE has remained confident that states have understood and have been able to implement the law, set satisfactory definitions of "highly qualified," and made accurate determinations of which teachers met the HQT requirements (U.S. DOE, 2007).

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The law specified that a "highly qualified teacher" was someone who held at least a bachelor's degree, had obtained full state certification, and had demonstrated knowledge in the core academic subjects he or she taught. The Individuals with Disabilities Education Improvement Act of 2004 (IDEA) reinforced this goal by aligning requirements for special education teachers with NCLB requirements. There was evidence that states were improving the quality of their teaching forces. School districts changed their hiring policies and states reported that a significant majority of their teachers were highly qualified. Districts began taking steps to ensure that highly qualified teachers were distributed equitably among classrooms with students from affluent and disadvantaged families by offering extra training or financial incentives to teach in hard-to-staff schools. States raised standards for teacher preparation programs, and nearly every state required beginning teachers to demonstrate knowledge of their subject area. Reaching the goal that every child be taught by a highly qualified teacher by the end of the 2007-2008 school years was not that easily attained. Personnel decisions were made at the state and local levels, and the law had to rely on state education leaders (U.S. DOE, 2007).

States and districts that demonstrated a commitment to NCLB principles were given increasing leeway in meeting its requirements and these included: 1) alternate assessments based on modified academic standards for some children with disabilities; 2) alternate achievement standards for students with the most significant cognitive disabilities; 3) flexibility and accountability for limited English proficient students; 4) growth model[9]

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[9] In Massachusetts, the new growth model includes a Student Growth Percentile (SGP) and answers the question, "How much did a student grow over the previous year compared to his or her academic peers?" For ten years previous to this time, the Massachusetts Comprehensive Assessment System (MCAS) scaled scores and performance levels answered the question, "How much has this student achieved compared to the state's grade level-learning standards?" (MA DESE, 2010).

pilots; 5) supplemental education service pilots; 6) highly qualified teacher flexibility;

7) flexibility ; and 8) waivers under NCLB (U.S. DOE, 2007).

The U.S. DOE allowed states to develop modified academic achievement standards and alternate assessments based on grade level content. For students with disabilities who could achieve high standards but not reach grade level in the same timeframe as their peers, this was also allowed. States could count proficient and advanced test scores on these alternate assessments, for up to 2.0 per cent of all students included in AYP. Additionally, states could be exempted from the 1.0 per cent cap on the number of proficient scores from alternate assessments to be included in AYP calculations (U.S. DOE, 2007).

In 2007, the U.S. Department of Education announced a new Title I regulation to help LEP students learn English and other subjects, while giving states and local school districts leeway on assessment and accountability (U.S. DOE, 2007). The final regulations dealt with LEP students who were recent arrivals to the United States and these were: LEP student who attended schools in the United States for 12 months or less. It also permitted a state to exempt these LEP students from the state English language arts, math, science and technology assessments; required the state to include them in state mathematics and science assessments beginning in 2007-2008; but allowed the state to exclude their scores on state mathematics and/or reading/language arts assessments when calculating AYP, on the condition that the state publicly report the number of students so exempted. It also made clear that states and local education agencies (LEAs) were still responsible for providing instruction to these students so they could gain English language skills and be able to master content knowledge in reading/language arts and other subjects (U.S. DOE, 2007).

The U.S. DOE regulations also addressed the issue of giving states, districts, and schools credit for the progress of their LEP students in AYP determinations. Since LEP was a classification that changed as a student became fluent in English, it was difficult for states, districts, and schools to demonstrate these students' academic gains on state assessments (U.S. DOE, 2007). In response, the new rule: 1) permitted a state to include "former LEP" students within the LEP category in making AYP determinations for up to two years after these students no longer met the state's definition for LEP; and 2) clarified reporting for former LEP students on state or LEA report cards. A state or local educational agency (LEA) could only include former LEP students as part of the current LEP subgroup for reporting AYP, and not for any other purpose on state or LEA report cards (U.S. DOE, 2007).

Improvement plans known as growth models were also promoted as a means to improve plans for closing the achievement gap for states that were already raising achievement and following the bright-line principles[10] of the law to strengthen accountability (U.S. DOE, 2007). Through annual assessment and disaggregating data, a growth model tracked individual student achievement from one year to the next, giving schools credit for student improvement over time.

The pilot program enabled the U.S. DOE to rigorously evaluate growth models and ensure their alignment with NCLB (U.S. DOE, 2007). The DOE recommended the Supplemental Educational Services (SES) of free tutoring and after-school assistance, if a school missed AYP goals for two or more years in a row. This provided low-income parents with real options to improve their children's academic performance. This extra help was

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[10] "Bright-line" actions of NCLB included annual assessments in reading, mathematics, science and technology and maintaining disaggregate data on student achievement by subgroup.

offered to students õin need of improvementö for at least two straight years (U.S. DOE, 2007). Setting up a successful SES program required close coordination and cooperation between a state, its school districts, SES providers, and parents. Unfortunately, there has been evidence from across the country that the SES provision had not been fully implemented. According to several studies, only about 10 to 20 per cent of eligible students participated during 2003-04 (U.S. DOE, 2007).

In April 2005, then Secretary of Education Margaret Spellings defined the mandatory õbright-lineö actions of NCLB, which had to be performed. These included annual assessments in reading and mathematics for all students in grades 3-8, at least once in high school, and maintaining disaggregated data on student achievement by subgroup. The data had been provided in a timely manner to parents and the public, policy makers and other stakeholders, in school and district report cards.

Christina Payne-Tsourpros (2010), attorney, contended that in NCLB, students who have very little chance of passing the tests might be passed over. Schools might ignore these students to focus on students at the threshold of proficiency. She pointed out that more students fall into this failing groups as the standards rose and that these students were viewed as õthreatsö or liabilities to schools. She identified this process as part of educational triage and admitted that findings of this kind were not widespread, but findings of educational triage prevail were prevalent (Payne-Tsourpros, 2010).

Payne-Tsourpros (2010) proposed an equity approach that would be comparative and benefit all students, since poor and affluent schools could be differentiated. She contended that such an approach could alleviate the cycle in which the same schools were perpetually underperforming and weakening the positional opportunities for students. Lastly, she stated

that public policy decisions should not exacerbate already existing inequalities. The Obama Administration took these under suggestion.

In 2013, the Obama Administration granted waivers to states who proposed growth models to meet state standards for proficiency in reading, mathematics, science and technology sometime after the NCLB 2014 deadline. States had to include all students in school accountability systems and set new targets for all students to reach proficiency. Additionally, states were responsible for ensuring that teachers were highly qualified. Finally families, especially those with children attending persistently low-performing schools, had access to tutoring services, charter schools, and the option to transfer to better performing schools (U.S. DOE 2013).

Recommendations for Change

A 2007 report by the Aspen Institute Commission titled *Beyond NCLB: "Fulfilling the Promise to Our Nations' Children,"* reaffirmed the law's core principles, including accountability, high standards, and having all students reading and doing mathematics at grade level by 2014. The report supported many key proposals from former President George W. Bush's *"Building on Results: A Blueprint for Strengthening the No Child Left Behind Act"* (U.S. DOE, 2007).

The recommendations from the Aspen Institute focused on NCLB-specific teacher and principal professional development and identified the needs of both principals and teachers more accurately by requiring principals to be included in the needs assessment conducted before allocating Title II funding. The recommendations further discussed quality education for all children, quality teachers for all students and requiring that all schools, whether Title I or not, had similar expenditures for teacher salaries and comparable numbers

of highly qualified effective teachers (HQET), allowed principals in Title 1 schools to refuse the transfer of a teacher into his or her school if that teacher had not obtained HQT or HQET status. The recommendation stipulated an increase in the supply of effective teachers (Aspen Institute, 2007**).**

The Obama Administration

Reauthorization of the No Child Left Behind Act was put on hold pending the presidential election in November 2008. After Barack H. Obama was elected president, he proposed to reform the No Child Left Behind Act in K-12 by funding high quality schools, mathematics and science education, addressing the dropout crisis, expanding afterschool programs, supporting college outreach programs and college credit incentives, supporting ELL students, supporting teacher programs, and funding and enforcing the Individuals Disabilities Education Act (Education Week, 2009). Organizations and researchers made suggestions to his administration so that quicker action could be taken and NCLB would become more effective.   One of the first issues President Obama addressed was waivers.

The Path for Waivers

Congress had been stalling to reauthorize NCLB since President Obama took office. Yet interested parties made suggestions to make it a better law. In 2004, the American Federation of Teachers (AFT) made the following recommendations for amending NCLB:

- implement an accountability system that gives credit for progress and/or proficiency;
- create levels for making AYP that distinguish struggling schools from those needing limited assistance;
- prohibit unnecessary and duplicate student testing;
- reduce schoolsøexclusive focus on reading and mathematics;

- require that assessment data be provided to teachers and parents in a timely and user-friendly manner;

- include English language learners appropriately in assessment and accountability systems;

- include student with disabilities appropriately in assessment and accountability systems;

- provide schools and districts with the resources and the flexibility to implement research-based interventions;

- develop interventions for schools that have not made AYP targeting students who were not proficient;

- support schools that receive help over the years that continue to decline; they need to be redesigned;

- allow schools to receive interventions for at least three years after they have exited the õin need of improvementö category;

- require states to develop a õlearning environment indexö for all schools, and mandate that districts and states address the problem areas identified by the index for schools not making AYP;

- require districts to develop incentives to attract and retain qualified teachers in low-performing schools, including increased compensation, improved working conditions, meaningful professional development, a safe environment, and other instructional supports;

- refocus the law improving the quality of instruction by incorporating research-based professional development and curricular supports for teachers and paraprofessionals;

- require that paraprofessionals be provided in-service and pre-service training and professional development that fully prepares them to support instruction in the classroom;

- offer grants for voluntary consortia of states to develop common academic standards, curriculum, and assessments to provide more consistency in the definition of proficiency and growth across participating states;

- ensure that state accountability systems are fair and have accurate measures of student progress and achievement; and

- fund NCLB at the level promised in the 2001 reauthorization.

Researchers such as Linda Darling-Hammond (2004) proposed that NCLB be amended so that states had the flexibility to use thoughtful performance assessments, and that tests be used diagnostically for informing curriculum improvements rather than for punishing students or schools.

John Borkowski and Maree Sneed (2006) proposed that the federal government come up with national standards that were consistently assessed or at least had some valid basis for comparing standards across the states. Agreeing that national standards and administering national exams in major content areas were needed, Ravitch (2009) went further and proposed that the federal government made the results available to states and school districts so that they learned from successful and unsuccessful experiences. Furthermore, they all recommended that Congress refrain from mandating any particular school improvement measures and school reform initiatives as there were no compelling research studies that suggested that schools actually improved (Borkowski & Sneed 2006; Ravitch 2009).

The No Child Left Behind Act remained a top education priority up to the 111th Congress. While the late U.S. Senator Ted Kennedy (D-MA), then Chairman of the Health, Education and Labor and Pensions (HELP) Committee, and Representative George Miller (D-CA), Chairman of the Education and Labor Committee, hoped to complete the reauthorization process during the 110th Congress, most experts speculated that the new administration did not want to take its time in debating and drafting legislation to truly õfixö the implementation problems of the current law (Washington Partners, 2009). Thus changes were not made even though several issues needed attention: funding, assessment, AYP calculations, and performance-based sanctions for schools, Highly Qualified Teacher provisions, international competitiveness, early childhood education reform, and the role of federal government in K-12 education (Washington Partners, 2009).

Instead, Congress considered the newly developed Obama-Biden Education Plan which was considered. Differences were ironed out and efforts were made to completed changes before 2010 (Washington Partners, 2009) and they were on target.

The Blueprint for Reform: The Reauthorization of the Elementary and Secondary Education Act

In 2010, while Congress stalled to reauthorize the No Child Left Behind Federal Act of 2001, the Obama Administration rolled out *A Blueprint for Reform: The Reauthorization of the Elementary and Secondary Act* in March. The blueprint re-envisioned the federal role and focused primarily on preparing students for college and then careers.   To do so, the blueprint proposed a) raising standards for all students; b) developing better assessments; and c) providing a complete education including literacy, math, science and technology. Secondarily, the blueprint aimed to have excellent teachers and leaders in every school by:

a) building a program for teachers and principals of evaluation, support, professional development; b) placing the best teachers and leaders in schools where they were needed most; and c) strengthening teacher and leader preparation and recruitment programs. In addition, the blueprint wanted to achieve equity and opportunity for all students by: a) developing a rigorous and fair accountability for all levels; b) meeting the needs of diverse learners; and c) moving toward comparability in resources between high and low poverty schools (U.S. Department of Education, 2010).

The Obama Administration wanted to raise the bar and reward excellence, so it fostered a Race to the Top to encourage ambitious reform by supporting, recognizing, and rewarding local innovations and student successes (U.S. Department of Education, 2010). As well, the administration made commitments that were to meet the needs of English language learners, students with disabilities, migrant students, homeless and impoverished children, neglected and delinquent children, rural students and Native American, Native Hawaiian, and Alaskan Native students. Such commitments attempted to improve programs for English language learners and encourage innovative programs and practices to support English language learnersø success and build the knowledge base about what works. The administration also tried to maintain and strengthen formal grant programs for indigenous, homeless, migrant and neglected or delinquent students, as well as for students in rural districts and non-mainstreamed students. ESEA was supposed to meet the needs of students with disabilities, as was the Individuals with Disabilities Education Act (U.S. Department of Education, 2010).

The blueprint provided incentives for a Race to the Top among states and districts that were willing to take on ambitious, comprehensive reforms; it developed and scaled up

promising and proven educational strategies: and it expanded educational options within the public school system through high performing new schools (U.S. Department of Education, 2010). The blueprint also proposed Investing in Innovation, to provide additional competitive grants for furthering student outcomes. The blueprint further expanded educational options by supporting charter schools and magnet school assistance programs (U.S. Department of Education, 2010).

The message behind the blueprint was that the administration was redefining the federal role in education, shifting away from mere compliance and towards allowing the local innovations that would improve student outcomes; expanding programs, projects, and strategies that showed results; and focusing on priorities across programs (U.S. Department of Education, 2010)

Among the innovations offered by the blueprint were technology programs: programs that used resources efficiently; programs supporting English language learners and students with disabilities; and programs supporting rural and other high needs areas (U.S. Department of Education, 2010).

After the Blueprint for Reform, as Congress continued to delay reauthorization of NCLB, President Obama announced that states could apply for a waiver from the NCLB goal of proficiency for all by 2014. The waiver also would give more flexibility to spending, label schools as a priority or focus instead of failing, and include other measures of teacher and administer success beyond student scores (Shannon-Baker, 2012). For states to be eligible they had to set õhigh barö but achievable standards based on college and career preparedness (Shannon-Baker, 2012) and establish accountability systems with teacher and principal input. The National Association of Elementary School Principals released a report in 2001 titled:

"Leading Learning Communities: Standards for What Principals Should Know and Be Able to Do." This document introduced six standards for redefining instructional leadership: 1) leading schools in a way that puts student and adult learning at the center. In addition, the principal serves as lead learner and teacher; 2) promoting the academic success of all students by setting high standards and organizing the school environment around achievement; 3) creating and demanding rigorous content and instruction that ensures student progress toward agreed-upon academic standards; 4) creating a climate of continuous learning for adults that is tied to student learning; 5) using multiple data sources to assess, identify, and apply instructional improvement; and 6) engaging the community to share responsibility for student and school success.

A report by the National Association of Secondary Principals (2001) focused on leadership stated the following:

> For principals to balance their time as building managers with their responsibilities as instructional leaders, they must have relevant preparation and pre-service and in-service professional development; organizational structures to support faculty professional development. Leadership will vary from school to school, depending upon the experience, the skills, and the will of the principal as well as the support available in the community. But the focus of every school leader must be teacher instruction and student learning (p. 11).

Principals already were accustomed to being instructional leaders in the school; now they had to weave together the needs of all the stakeholders in a school and be accountable to them in new ways. The principal was not only accountable for students' academic progress but also for how progress would be measured, and how data such as test scores would be analyzed, disaggregated, and publicized (ERS, 2003).

Since the 1980s, the principal's role has evolved and dramatically changed when the

ideal principal became an instructional leader who focused on the four elements of reform (Murphy, 1990). First, principals were supposed to define the schooløs mission and set its goals. Second, principals had to manage what Joseph Murphy (1990) called education production function: coordinating the curriculum, promoting quality instruction, conducting clinical supervision and teacher evaluations, aligning instructional materials with curriculum goals, allocating and protecting instructional time, and monitoring student progress. Third, principals were to promote an academic learning climate by setting high standards for student behavior and academic achievement, maintaining high visibility, and providing incentives for teachers and students. Finally, principals were to develop a strong culture at the school. This included a safe and orderly work environment, opportunities for meaningful student involvement, strong staff collaboration and cohesion, outside resources to support the school goals, and stronger links between home and school.

The tendency during 1980 to 2001 was to improve the principal as the õstrong instructional leaderö in the school. The job has become much more difficult now that a new repertoire of skills and behavior have become necessary to do the job (Marsh, 2000). A meta-analysis by Robert Marzano (2005) found 21 areas of responsibility for the principal: affirmation; change agent; contingent rewards; communication; culture; discipline; flexibility; focus; ideals/beliefs; input; intellectual stimulation; involvement in curriculum, instruction, and assessment; knowledge of curriculum, instruction, and assessment; monitoring/evaluating; optimizer; outreach; relationship; resources; situational awareness; and visibility. Kathleen Cotton (2003) identified similar responsibilities, as did Alexander Pope (2002) in his investigation on synthesizing responsibilities in school leadership. The research concluded that leading a school required a complex array of skills. This raised the

question of how to proceed when mastery of so many skills was beyond the capacity of most people?

<div align="center">Leadership Role</div>

The role of principals was highly linked to leadership. Such leadership was to be shared among a team of individuals, each with their own skills. If school leadership was the responsibility of a õleadership teamö as opposed to a lone leader, the various responsibilities of the job was adequately addressed (Marzano, 2005).

Among those who followed the concept of shared leadership was Robert Marzano (2005), who felt that a leadership team could best be developed and maintained within a õpurposeful community.ö   He argued that a strong leadership team was the natural outgrowth of a purposeful community, and a necessary condition for designing an effective leadership team (Marzano, 2005). Schmoker was another who believed that the right kind of continuous, structured teacher collaboration improved the quality of teaching and paid big dividends in student learning and professional morale in virtually any setting (Schmoker, 2005).

Richard Elmore (2000) stated that the purpose of leadership was to guide and direct instructional improvement in schools. He defined leadership in terms of instruction as far more focused than most conceptions, and went on to suggest that literature on the principalsø role was overwhelming in assuming that principals should embody all the traits and skills to remedy every defect in their schools. He posited that the principals should be: 1) in close touch with their communities, inside and outside of school; 2) masters of human relations, attending to all the conflicts and disagreements that might arise among students, among teachers, and among all school community members; 3) respectful of the authority of district

administrators and crafty at deflecting administrative instructions that disrupt teachersø autonomy; and 4) maintain an orderly school, and so on (Elmore, 2000).

Elmore asked, õWhy not focus leadership on instructional improvement, and define everything else as instrumental to it?ö The skills and knowledge that would matter then would be connected to the improvement of instruction and student performance. As standards-based reform forced this question, leadership became instrumental to improvement. The dissemination of knowledge was required for large-scale improvement, and imperative for developing models of distributed leadership, and was based on five principles: 1) leaders that improved instructional practice and performance, regardless of their role; 2) instructional improvement that required continuous learning; 3) learning that required modeling; 4) expertise that required learning and improvements, not from the formal dictates of the institution; and 5) authority that required reciprocity of accountability and capacity (Elmore, 2000).

This kind of leadership was based on multiple sources of guidance and direction, following the expertise in an organization (Elmore, 2000). It meant that the job of administrative leaders was primarily to enhance the skills and knowledge of people in the organization, creating a common culture of expectations around the use of those skills and knowledge, holding the various pieces of the organization together in a productive relationship to each other, as well as holding individuals accountable for their contributions for the desired result (Elmore, 2000).

 Irvin Buchen (2004) agreed that the new reality accounted for the increase in distributed leadership. He stated that schools had to become more cooperative, collective, and collaborative. Principal and teacher leadership teams have absorbed and solved many

problems (Buchen, 2004). Leadership required a different way of looking at the roles and responsibilities of the major actors in a school district. Those that have adopted this approach have shown great gains on students' scores, as administrators shifted their attention from monitoring to discussing student outcomes and expectations on a regular basis (Castallo, 2001).

<div align="center">Decision Making</div>

The types of data collected have determined the kinds of decisions principals and school communities needed to make. Most schools have collected three primary types of data, schools with a fourth, perception or attitudinal data, collected these sporadically: 1) demographic data such as gender, ethnicity, identification number, number of years in the district, attendance, teacher certification, and school enrollment; 2) achievement data including student results on state assessments, district tests, and teacher-developed tests; and 3) instructional processes including information about the curriculum, interventions the students experienced, the teachers, and so on; 4) perception data including individual views, values, and beliefs about where people work and learn, which could be gathered through questionnaires, interviews, and observations (Armstrong & Anthes, 2001).

The school principal has become "sandwiched" between faculty, parents, and students on one side and the central office, superintendent, and board on the other (Owen, 2006). The advent of empowered parents and high standards for all, accompanied by shrinking resources and societal pressure to "fix schools," has moved the job of the principal close to "undoable" (Owen, 2006). Site-based decision-making, mandating the inclusion of parents and community members on a variety of school and district committees was a component of the Massachusetts Educational Reform Act of 1993. In some cases, this practice has been

beneficial, resulting in positive collaboration and greater community support. The push to incorporate the community into schools has resulted in parents willing to challenge the schooløs actions, thereby increasing conflict and creating power struggles that diverted attention from the primary task of education.

Decision making needed to be understood according to Amy Gutman (1987) as the politicization of education. Gutman (1987) stated, õTo prevent education from being repressive, we must defend a principled limit on both political and parent authority, a limit that in practice required parents and governments to cede some educational authority to professional educators.ö The exact amount of educational authority to cede to professional educators was difficult to identify and negotiate (Owens, 2006). Part of this was the principaløs balancing act between autocratic and distributive leadership as elaborated below.

An administrator quoted anonymously by Arthur Blumberg (1986) vividly described the principaløs dilemma in decision making:

> It is always a balancing act because there are so many pressure groups. More so than ever before, and the funny thing is that we have made it happen that way. We have really pushed the idea that everyone should be involved in the schools. So now I have so many different constituencies out there with so many different interests that my problem is to try and keep them appeased.

The educational administrator has been caught in the middle, working within an emotionally charged environment to satisfy the constituency while raising test scores and balancing the budget (Owens, 2006). Jane Armstrong and Katy Anthes (2001) identified schools successful in using data for decision-making and improvement, as being schools that used their district resources, created a school structure where data use was embedded in the daily schedule, and utilized staff expertise to develop data analysis skills.

Practices

As part of the newly assumed responsibilities, principals were to ensure that the
instructional methodology, instructional materials, and professional development and training
at school met NCLBøs definition of scientifically based research. They had to ensure that
students received state assessments, such as the Massachusetts Comprehensive Assessment
System (MCAS). Testing accommodations for students with disabilities had to be written in
their Individual Educational Plans or a .504 Learning Accommodations Plan. Students with
limited English proficiency were allowed to take tests in their native language for up to five
years (from the maximum three allowed by NCLB) if the school district believed this to
better represent the childøs academic progress (ERS, 2003).

Principals worked with teachers and parents through school site councils that were
mandated, by MERA, in Massachusetts. Principals were expected to study studentsø
individual diagnostic, descriptive, and interpretive reports to address studentsø specific needs.
At the suggestion of the DOE, principals also used this data for teacher evaluation and
professional development; but teachersø unions condemned this as unfair. They claim that
the playing field was not level, since student demographics differ between communities. The
DOE also advocated that parents use these reports to communicate with their children (ERS,
2003). Since NCLB assessments have high stakes, the National Association of Secondary
School Principals recommended that principals help their staff use data for diagnosis and
instructional improvement, as well as identifying the best way to allocate resources (ERS,
2003).

Principals whose schools did not made Adequate Yearly Progress (AYP) had to
develop a two-year plan with parents, staff, the school district, and outside experts. The local

educational agency had to approve the plan within 45 days. The plans had to detail how the school intended to strengthen core academic subjects and addressed specific academic issues. These improvement plans had to include annual, measurable progress goals to show how students would meet AYP. The school district had to provide technical assistance for the school to implement its two-year plan. Districts had to use different approaches, such as partnerships with colleges or universities, to move schools forward (ERS, 2003). In some school districts, these schools were called Turnaround Schools. Districts also had to do at least one of the following: 1) replace any school staff who had contributed to the school's failure to make AYP; 2) select and implement a new curriculum supported by appropriate professional development activities for staff; 3) significantly decrease the principal's management authority; 4) appoint an outside expert to advise the school on improvement strategies; 5) extend the school year or school day; or 6) restructure the school. Restructuring could mean opening the school as a public charter school, replacing all or most of the school staff (including the principal), or contracting a private educational management company to run the school (ERS, 2003). If a school exceeded AYP for two years in a row, the state rewarded the school, the principal, and/or the teachers, either financially or with a "distinguished" school designation (ERS, 2003).

By the 2005-2006 school year, each state developed a plan whereby all teachers of core academic subjects were highly qualified. Local school districts receiving Title I funds reported their progress to their state DOE. Paraprofessionals were included as part of the largest teacher quality improvement effort in American history (ERS, 2003). When states did not meet their goals, the DOE issued waivers and extensions.

NCLB authorized funding opportunities while holding schools and school districts

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accountable for using these funds to improve student achievement. School districts, not schools, had the opportunity to apply for sub grants from their states. These funds had to be used for professional development aligned with state standards, and curricula based on scientific research. School districts were to use the funds on schools with the lowest proportion of highly qualified teachers and the largest class sizes, or those identified as needing improvement. Principals were to participate in their school district's planning effort for staff development. The funds were to recruit and retain highly qualified personnel, particularly for schools with high percentage of low-achieving students (ERS, 2003).

NCLB specified that the goal of the two latter programs was to facilitate employing non-traditional teachers as certified teachers in schools with a shortage of highly qualified teachers in subject areas like mathematics, science, special education, and vocational or technical education. Both programs focused on alternative routes to teacher certification that allowed individuals to become certified in a reduced period of time, because of their experience or other factors. This had an impact on their effectiveness and the amount of supervision they needed (ERS, 2003). NCLB recognized that professional development of staff and administrators was necessary to help students meet state academic goals. Principals assessed their school's specific needs, ensured that staff development meet those needs, scheduled time for teachers to participate, and provided them with opportunities to practice and receive help with new instructional practices (ERS, 2003).

Michael Schmoker (2006) supported the idea that principals had to look at what was being taught and how it was being taught; he claimed that this was not being done. He reported that all schools could be teaching students higher-order learning skills, such as authentic literacy and critical thinking; the cheapest way to accomplish this was to use

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teacher-led teams. Schmoker suggested that leaders at all levels shift their focus to doing all they could to support high-order learning.

Principals had to include these measures when evaluating the performance of their staff. Ultimately, principals were responsible for their schoolsøuse of instructional practices and materials that had been proven effective through scientifically based research. Additionally, there were competitive grants for improving literacy through school libraries and other programs to enhance the curriculum. The DOE provided summaries of research on particular instructional methodologies, curricula, and/or staff development programs; the list included: *Success for All, Accelerated Schools, School Development Program, Coalition of Essential Schools* and *Smaller School Communities* (ERS, 2003).

NCLB viewed the educational environment, meaning the school building itself, as a contributing factor to childrenøs academic success if it was a safe, healthy place. In cases where a school was deemed unsafe, NCLB gave students the opportunity to transfer to another public school. Principals could apply NCLBøs Principles of Effectiveness to all school-based health and safety initiatives, and set up procedures to assess and analyze data on risk factors and conditions, and the consequences of violence and illegal drug use in the school, as well as create specific performance measures to show the degree to which the school had a safe, orderly, and drug-free environment. School districts could assist schools with initiatives but the responsibility for record keeping and monitoring effectiveness usually fell on principals, with input from parents (ERS, 2003).

These were the major NCLB provisions. Obviously, they had an impact on principals. Principals have been key players in getting the job done in the context of often-limited resources. Warren Hope (2002) offered principals this advice: 1) embrace the

educational policy because it is the law, and a negative attitude makes efforts to comply even

more difficult; 2) õtake a leading role in creating a vision of the policy and its meaning for

the school.ö The vision õshould highlight the benefits to be derived from its implementation

and embody benchmarks that are practical and attainable;ö 3) understand the policy and how

it will be implemented to be better able to work toward successful implementation;

4) provide staff development for policy implementation; 5) develop policy implementation;

and 6) monitor and evaluate policy implementation.

Mainstream and Non-Mainstream Principals

Clearly, the leadership of principals was a defining element in improving education

for all children. As a body of literature on this topic exists, but the role of Asian Americans

has remained relatively unknown, I raise the question, õHow would non-mainstream, Asian

American principals implement the policies of No Child Left Behind?ö To begin to answer

this question, I conducted a review of the research to supplement the other literature on

European white, African American, Latino, Native American, and Asian American principals

through several databases and online websites including Sage Publications, Highbeam

Research, and ProQuest. I also included papers from the repository of the American

Educational Research Association.

Carolyn Riehl (2000) stated that educational practice was connected to the identity of

the administrators. Studies on the beliefs and behavior of women and persons of color who

were school administrators provided new insights into the dynamics of practice (Benham &

Copper, 1998; Bloom & Munro, 1995; Dunlap & Schmuck 1995; Lomotey, 1989). Yvonne

Spicerøs (2004) findings suggested that neither administrators themselves nor others involved

with schools should ignore the particular knowledge, values, styles of action, and ways of

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being that diverse administrators brought to their work. Riehl (2000) claimed that schools would move farther and faster in becoming inclusive if they capitalized on the contributions of their diverse leaders.

The research on European white principalsø leadership roles, while it may be more extensive is rather limited. Sharon Chubbuck (2004) cited examples of õWhitenessö in school practice. Although difficult to define, most Whiteness scholars have agreed that the term was connected to the institutionalized power and privileges that benefit White Americans (Ignatiev & Garvey, 1996; Kincheloe & Steinberg, 1998; Roediger, 1991; Winant, 1997). The term õWhitenessö was important and relevant as policies and procedures were developed and implemented by and for the European white mainstream.

Chubbuck (2004) stated that focusing on discriminatory outcomes against people of color hid the White privileges being dispensed through institutional structures, and consequently produced little to challenge those privileges. She stated that acknowledging the reality of White privilege and its material effects clarified an erroneous belief in meritocracy. One example she offered was the practice of school tracking programs, where students of color were strikingly over-represented in lower levels and under-represented in upper levels. Placement in secondary tracking programs were determined, in large part, through structures that privileged White norms, such as biased testing, and evaluations based on the academic performance of students of color. This process whereby White ability was normalized further strengthens unexamined beliefs of White õsuperiorityö (Chubbuck, 2004).

Chubbuck agreed that Whiteness was a social construction intimately linked to hegemonic issues of power and privilege, which could be disrupted by two different approaches: by an õabolitionistö approach of ending race-based privilege; and by re-

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articulating Whiteness as an anti-racist White identity. She admitted that her research may have added to the complexity of the theory of Whiteness, but that it had implications for the practices of White educators. One of these educators, Annegret Staiger (2004), cautioned educators to not equate giftedness with whiteness and whiteness with giftedness. She suggested that schools have discussions about race, target the racial achievement gap, and make clear and decisive interventions against racial discrimination (Staiger, 2004).

Although the growing percentage of the nation's K-12 student population were composed of students of color, the overwhelming majority of the nation's school principals and teachers were White (Foster, 2005). African American principals in schools where high expectations were routinely met adopted leadership styles that included race and color as important features of teaching and learning. Patricia Marshall (2002) suggested that "African Americans share a common culture and world view that teachers need to learn about in order to gain appreciation for the legitimate similarities that bind the members of this collective population" (p. 82). Signithia Fordham and John Ogbu (1986) conceptualized this worldview as a "fictive kinship system" engendering a collective sense of "brotherhood" and "sisterhood" in all African Americans. African American principals perpetuated this fictive kinship for the success of the community's prized possession, its children (Marshall, 2002).

Vanessa Walker and Kim Archung (2003) termed this type of leadership as interpersonal caring and institutional caring. They defined interpersonal caring as "a form of meeting the needs that teachers and principals perceived the students to have" (p. 33). Walker and Archung (2003) used the term "institutional caring" to refer to "the system in the school whereby school leaders identified the academic, social, and psychological needs of

students (much as a caring individual teacher might) and through the schooløs policy, arranged for those needs to be metö (p. 34).

Linda Tillman (2004) also noted the importance of African American principalsø cultural perspectives and interpersonal caring. Tillman (2004) found that same-race affiliations shaped African American leadership styles: a commitment to the development of African American students and a resistance to the õideologies and individuals opposed to the education of Black childrenö (p. 131). Tillman (2004) revealed that African American principals led under extremely adverse circumstances; in many instances their leadership was defined by oppressed community and educational settings. Tillman (2004) described African American principals as resilient, resourceful, and dedicated. These African American principals were diligent in their commitment to the education of Black children.

In addressing the leadership of Latino principals, one study was on the assessment of pay for male elementary school principals with varying Hispanic vs. non-Hispanic surnames (Young & Castaneda, 2008). While there were related articles in teaching and higher education for Latinos, there were no studies for Native American Principals. An extensive search on the literature of school principals, which included Native American Principals, was done as stated on the previous page.

Leonard Valverde (2003) claimed that Latino leaders in higher education developed a certain leadership style because of the many challenges and dilemmas they faced. This style stressed group goals, served community aspirations and purposes that benefited the greater good. He claimed this type of leadership would be termed as õservantö leadership by the research literature. õUnder this style, the Latino leader does not see himself as articulating new ideas so much as addressing community needs, not staying ahead of the issues as much

as getting power brokers to respond to group issuesö (Valverde, 2003, p. 101).

A study by the National Community for Latino Leadership (NCLL) in 2001 surveyed over three thousand Latinos about their leadership. The findings revealed that Latinos regard leadership directly with community service and compassion. Furthermore, while other cultural groups emphasize individualism, Latino culture focuses on collectiveness, belonging, and group benefits. The NCLL study and the research of Valverde (2003) showed that Latinos in executive roles who were committed to increasing Latinosø access to higher education or improving the lot of Latinos acted as agents for change and served the õagenda of democracyö (p. 101).

Valverde (2003) also discussed Latina administrators. He claimed that they suffered from the negative perceptions of their peers, superiors, and students, and emphasized that a self-fulfilling prophecy was at work. After an interview with one of the Latina administrators, he noted that from the start, faculty and board members had had an unfavorable (and inaccurate) view of the Latina administrator, and they went on to õfindö things to support this view (Valverde, 2003). Faculty misinterpreted the administratorøs actions and ascribed their own ideas of her motives to her. Soon, she was seen not as whom she was, but as the faculty and board members thought she was. This distorted view became part of her annual evaluation (Valverde, 2003).

While this kind of self-fulfilling prophecy applied to all women, Valverde (2003) claimed that this was because the self-fulfilling concept was nothing more than a stereotype being reinforced in the minds of people. He offered this example: If a certain ethnic/racial group was stereotyped as õowningö a negative trait, such as õbeing late or never on time,ö then when a member of this group was late once or twice, what was remembered at the time

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of the annual evaluation was the few times she was late, instead of the times she was early or stayed very late to finish a project or job (Valverde, 2003).

Valverde (2003) claimed that women and people of color, who traditionally were forced to paint themselves over in White to be accepted, have pushed back. These groups have said that social institutions, like public schools and higher education campuses, instead must be transformed to accept them. The number of women administrators of color are growing and their challenges continue.

The National Association of Elementary School Principals (2008) stated that the number of minority principalsô principally black and Hispanic[11]ô in public schools increased between 1993-1994 and 2003-2008 from 9,000 to 12,000. However, because the number of European white principals increased as well, there was no substantial change in the proportion of principals from minority groups. These disproportions of mainstream vs. non-mainstream principals where 11 percent were African American, 6 percent were Hispanic, and 2 percent were Native American, Alaskan Native, or Asian/Pacific Islander, might also explain why there was a gap in the literature on Native American and Asian American principals.

Asian American principals of varying Asian countries have a historical model which begins to explain not only their variability but differences within group. At the turn of the century in the U.S., there were two million Chinese, with equal numbers of Filipinos. The remaining six million Asian Americans consisted of Japanese, Korean, Vietnamese,

[11] From the monthly bilingual, cultural publication for Puerto Ricans, EL Boricua, July 28, 2013, on Latinos or Hispanics: õIn the U.S. the term Hispanics (Hispano) gained acceptance after it was picked up by the government and used in forms and census to identify people with Spanish heritage. Hispanic is not a race but an ethnic distinction. Hispanics come from all races and physical traitsí Latin America is a geographic location. People from Latin America are all Latin but not all are Hispanics. Brazilians speak Portuguese, which makes them Latin but not Hispanic.ö

Cambodian, Laotians, Indians, and Pakistanis. They were overrepresented in higher

education institutions, given their typically studious nature in public schools (Valverde,

2003). Even with this over-representation, few Asian Americans have been employed as

administrators. While Asians are the second-largest number of faculty, they are fourth in

executive administrative roles (Valverde, 2003). Almost a decade later in 2009, of the 20.5%

minority school principals, there were 2.6% of Asian American school principals (U.S. Dept.

of Labor 2010).

Existing research on Asian American administrators, which also included principals,

has been fairly recent and limited. A study by Florence Pu-Folkes (1993) explored Chinese

Americansø experiences as public school administrators. Her underlying assumption was that

perceptions of the participantsø assimilation and ethnic identity experiences were related to

how they define their roles as administrators. This study revealed that assimilation was

related more to intrinsic motivational factors that were values-based and largely unconscious.

These values also shaped participantsø adjustment and strategies for coping in their work

environment.

Yoko Suzuki (1994) compared the leadership orientations of California Asian

American principals with a group of non-Asian American principals and found differences in

orientation among Asian American male and female principals, as well as foreign born and

American born principals. Additionally, there was a significant difference in the numbers of

Asian American principals who used a primary leadership versus a multiple leadership

orientation, as defined under Lee Bolman and Terrance Dealø four frames of leadership

(1991).[12]

Fay Lee's study **(**1998) provided another glimpse into and an overview of the experiences of Asian American women in educational administration. Her major findings considered three interrelated experiences: 1) socialization to the administrative role, or the experiential process that led women to become administrators. This process was often attributed to role models, mentors, and sponsors, but could be self-directed; 2) opportunity and circumstances that widened and supported women's candidacies for positions as principals; and 3) sponsorship, which took different forms. In their narratives õsponsorshipö was often woven into discussions about opportunity, since it might have involved the direct intervention of a superior, or the symbolic sponsorship that created an opportunity due to community advocacy or the political circumstances surrounding a particular position.

Within their patterns of experience, the women described career histories that included multiple roles as educators; high professional achievement expectations for themselves; and great personal satisfaction in helping others (Lee, 1998). As Asian American women, they sometimes encountered obstacles to advancement, but their narratives revealed that Asian ethnicity was not always an obstacle, and could widen opportunities in the administrative field (Lee, 1998).

Kristal Chin (1998) conducted a similar study, wherein the majority of Chinese American principals experienced very few internal or external barriers to advancing from classroom teacher to principal. Three-fourths of the males and slightly more than half of the female principals reported that one external barrier they had to overcome was the stereotype

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[12] The four frames of leadership changes included: 1) structural: focused on strategy, implementation, or adaptation; 2) human resources: focused on people; 3) political: focused on political realities within and outside of organizations; and 4) symbolic changes on vision and inspiration (Bolman & Deal, 1991).

of Asians as nonassertive. These aspiring Chinese American administrators did not find their cultural values and traditions to be barriers, but stereotypes about the Chinese American administrators were. Chinese American principals used networking to become more visible and gain support (Chin, 1998).

The research of Chang-Lin Tien (1998) focused on administrators in higher education. Tien found that people of color established academic careers that did not necessarily exclude them from various positions so much as track them separately from white males. First, people of color were tracked away from research and doctoral granting institutions to community colleges. Second, they were tracked away from researching, publication, and administration to teaching and service. Third, they were expected to represent and remain attached to their ethnic group as they occupied their position.

Patricia Neilson (2002) conducted a qualitative study exploring the career paths and mobility of Asian Americans in senior administrative positions, in public four-year and two-year higher education institutions in the U.S. Her findings yielded a thematic category in the participantsøcareer paths that centered on the influence of Asian and Asian American cultures and values. The three principal internal values were identified as: hard working, with honor, legacy, and moral obligation; collaborating as interconnection in the present; and risk-taking for the sake of the children. Neilson (2002) suggested that these foundational cultural values provided Asian Americans with the sustained direction and dedication that compensated for not having clearly articulated career plans. Her study made a major contribution to the literature by identifying the influence of culture and values as central in the career path and mobility stories of Asian American senior administrators, adding more breadth to the historical perspectives of earlier writings.

Valverde (2003) profiled two Asian American academic administrators in higher education and made claims that what they experienced was transferable to other so-called "lesser" minority groups. He claimed that Asian Americans were referred to as the "model minority" because they worked to learn the language, studied hard in school, earned good grades, were considered industrious, and were seen as persons who wanted to assimilate. But he believed that they were treated about the same as other so-called lesser minority populations – African American, Latino, and Native American. Valverde (2003) further argued that all people of color faced a paradox when assimilating: the American dream was supposed to be the reward for working hard, adopting an American identity, speaking English, doing well in school, serving your country, following the rules. Yet when Asian Americans did all this, they were still treated like other "less able" minorities. Valverde stated that the American dream of upward mobility was elusive, and an exercise in delayed gratification, always just out of reach.

Peter Kiang (2004), Stacey Lee, and Kevin Kumashiro (2005) insisted that the history curriculum needed to reflect the whole past, including the contributions by and experiences of all Americans. They suggested that the curriculum be written by, or at least include the views of people of color.

Discussing Asian American as members of distinct and stable cultural groups provided factual descriptions and concrete recommendations (Lei, 2006). Jennifer Ng, Sharon Lee, and Yoon Pak (2007) claimed that a great deal of educational literature on Asian Americans discussed their experiences and needs through the lens of "cultural differences." The strength of this approach was that it provided educators with a body of literature to help them understand Asian Americans.

Immigration to the United States rose to a record number of children, regardless of birthplace, being raised in immigrant families. The 1990 U.S. Census reported that 15 per cent of all children in the U.S. were immigrant children or children of immigrants (Zhou, 1997). Of that percentage, 59 per cent were Latino-American and 90 per cent were Asian American children of the first or second generation, compared to 6 per cent non-Latino African American children and 5 per cent non-Latino European American children (Zhou, 1997). The 2010 U.S. Census reported that the nation's foreign-born population was 37 million; more than one in five people in the U.S. were first or second generation immigrants. This suggested that the children of immigrants assimilated over time, as they have in past generations (U.S. Census, 2010). (Only estimated percentages were available for 2010 through 2020, when the next census will take place.)

Because the focus of this thesis was on Asian American principals, the literature review had the additional goal of identifying the leadership styles and beliefs that arise from different ethnic groups. In addition concepts such as white privilege (McIntosh, 1993); white identity (Chubbuck, 2004); cultural perspectives (Tillman, 2004); and common culture (Marshall, 2002) were included as well as studies of fictive kinship systems (Fordham & Ogbu, 1986); interpersonal and institutional caring (Walker and Archung, 2003); and õservantö leadership (Valverde, 2003). Of particular importance was the myth about the model minority (Valverde, 2003); and the influence of culture and values (Neilson, 2002).

While the literature on the above topics is extensive and useful in this thesis in addressing principals in elementary schools, less is known on how these principals, especially those from under-represented groups such as Asian American, African American, Latinos, and Native Americans, interpret such laws in the decisions they make, the

curriculum, instruction, assessment, and professional development they undertake and the leadership they manifest. There are no prior studies on the leadership practices and decision making of Asian American principals.

Most Asian American principals are assigned to urban schools with the large populations of Asian American Students. Asian Americans and Latinos are the two fastest growing under-represented groups in the U.S., but hardly any literature exists on how Asian American principals fare in terms of their leadership and implementation of MERA and NCLB. Both these laws promise among other things, quality changes in schooling to equalize the playing field by providing equitable education to all students. Thus, understanding the full force of the impact of these two policies over time and from the mouths of principals daily engaged in the follow through on their initiatives is a necessary and appropriate study worthy of examination.

In this respect, the research of Min Zhou, a Professor of Sociology at the University of California, Los Angeles and the founding chair of the University's Department of Asian American Studies, was used to help determine the interaction of culture and structure of Asian Americans specifically for the Vietnamese and Chinese (2000 and 2009), differences between immigrants of the first and the second generation of Asian Americans (2009), and the attributions of Asian Americans specifically Chinese Americans (2011).

The research of Min Zhou is significant here, in studying the Asian (particularly Chinese) community and culture (2000 and 2009), generational differences between the first and second generations of Asian Americans (2009), and the leadership attributes of problem solving through the use of social capital and other resources (2011).

An earlier study in 2004 by Vivian Louie, Associate Professor of Education at

Harvard University, also revealed some findings of 1.5 and second generation Chinese. She defined 1.5 generation as those who were born in China and immigrated to the U.S. before the age of 12. 1.5 and second generation grew up realizing they were Chinese. There were important cultural gaps with respect to childhood and adolescent socialization. Louie explained that the second generation, õ having been born in the enclave in the United States, the lexicon and norms of their youth culture did not have much in common with the youth culture known to be first generation immigrants of their age groupö (p. 31).

Regarding cultural differences, the research of Min Zhou and Carl Bankston (2000) drew attention to the cultural gap between the Vietnamese and Americans. When Vietnamese first immigrated to the United States the first generation retained traditional Vietnamese culture and family relationships; the second generation straddled two social worlds (Zhou, 2000). At home or within their ethnic community they heard that they needed to do well in school in order to move up in the world, but on the street they learned to rebel against authority and reject such goals (Zhou, 2000). These contradictory messages produced a variety of responses; while Vietnamese children were gaining a reputation for outstanding academic achievement, they were also becoming notorious for their youth gangs (Zhou, 2000).

In *Contemporary Chinese in America,* Min Zhou (2009) focused on the role of ethnicity in immigrant adaptations to American society. Zhou stated that first generation immigrants did not usually articulate their adaptation to their new homeland in terms of assimilation (Zhou, 2009). Instead, average immigrants said simply that they wanted to be like other Americans. Specifically, they wanted to hold jobs that paid well, own homes, raise children who would be educated and successful, and have financially secure retirements

(Zhou, 2009).

Zhou (2009) suggested that if we looked beyond the first generation for successful immigrant adaptation, Chinese Americans did remarkably well. Research on the new second generation repeatedly showed that high school students of Chinese ancestry outperformed non-Hispanic white students, who in turn outperformed black and Hispanic students by a considerable margin. She showed that the children of Chinese restaurant workers or seamstresses outperformed the children of middle class whites in school. They also scored higher than other groups on a series of belief and behavioral measures that included the conviction that schooling pays off, attribution style, and peer group association ó which were all considered important determinants of school success. She also stated that Chinese Americans attended college at a rate significantly higher than that of whites and other racial minority groups, and were overrepresented at the most prestigious schools, such as UC Berkeley and UCLA, as well as at Harvard, MIT, Caltech, and Stanford.

As the children of Chinese immigrants assimilated, their cultural values for strong families, webs of moral obligation, delayed gratification, personal sacrifice for the nurturing of children, education, hard work, discipline, respect for others, responsibility, temperance, and good citizenship ó were considered virtues that Americans used to regard highly, but seemed to be losing. Zhou (2009) stated that:

> These traits according to Fukuyama are actually prerequisites for successful assimilation.   Thomas Sowell uses õhuman capitalö to describe this õwhole constellation of values, attitudes, skills, and contactsö; he believes that group differences in IQ tests and scholastic achievement represent real differences in the cultural assets with which groups are endowed. In dissent, John Ogbu argues that group specific cultures do not emerge from the homeland, or from poverty or ghetto life; they come from unique structural conditions associated with the groupøs initial mode of entry and societal reception. Ogbu finds that minority groups may accept and internalize a socially imposed inferiority as part of their collective self-

definition, thereby fostering an oppositional outlook toward the dominant group and mainstream institutions; or else they create a positive view of their heritage on the basis of cultural and ethnic distinctions, thereby establishing a sense of collective dignity. The latter approach yields survival strategies that enable members to cope psychologically with structural barriers, keeping the host society at armøs length ó precisely the ethnic patterní   The former approach often produces a different strategy, that of reacting to structural disadvantages by constructing resistance to assimilation. In this case, symbolic expressions of ethnicity and ethnic empowerment may hinder rather than facilitate social mobility. That pattern is exemplified by the forced-choice dilemma confronting black, Chicano, and Puerto Rican youth studied by Signithia Fordham, Margaret Gibson, and Phillipe Bourgois, all of whom find that black, Chicano and Puerto Rican students who do well in school are forcefully excluded by their co-ethnic peers as õturnoversö who act õwhite.ö After all, assimilation can also trap immigrant children at the bottom of American society, via integration into the underclass, as elucidated in my work with Alejandro Portes on õsegmented assimilationö (Zhou, 2009, pp. 225-226).

Min Zhou explained that in segmented assimilation there were three main

assumptions, as follows: 1) there is a natural process by which diverse ethnic groups come

to share a common culture and gain equal access to the opportunity structure of the host

society; 2) this process entails the gradual abandonment of old-world culture and

behavioral patterns in favor of new ones; and 3) this process, once set in motion moves

inevitably and irreversibly toward assimilation (2011, p. 76).

Zhou (2011) argued that ethnicity could not be viewed simply as either a structural

or cultural measure; rather it encompassed values and behavioral patterns that constantly

interacted with internal and external structural exigencies. She stated that unpacking

ethnicity necessitated a conceptual framework from a community perspective and that

concepts of ethnic conclaves, institutional completeness, social capital, and ethnic capital

were most helpful. She also showed that among the characteristics of native-minority

neighborhoods, the distinctive ones they shared were a large number of noncitizen

immigrants, both legal and undocumented; diverse national origins and social class

backgrounds; and the significance of immigrant entrepreneurship.

In Zhou's (2011) views, "an ethnic enclave's institutional completeness, along with a significant presence of the co-ethnic middle class, positively influences immigrant adaptation through tangible resources provided by ethnic institutions and intangible resources, such as social capital formed by institutional involvement" (p. 42). Thus, she stated, "ethnicity interacts with local institutions to affect the formation of social capital and other forms of resources" (p. 42).

The new second generation of Asian Americans different from their parents generally embraces American culture. Growing up in an immigrant family could be stressful for U.S. born children, as parents often placed multiple pressures on their children to "do and say the right things" or even to "act white" as a way of moving into the mainstream and accessing resources typically reserved for "insiders" (Zhou, 2011). As the children made inroads into the American mainstream by educational and occupational achievements, they became the objects of yet another stereotype, being held up as the "model minority" in contrast to other, downtrodden minorities (Zhou, 2011). Zhou (2011) stated that this set Asian Americans apart not only from other minorities, but also from whites.

Vivian Louie conducted a comparison study between Latino and Chinese immigrant families in 2012. She shared several ideas that Latino families typically did not value their children's education, the working class Colombians and Dominicans were confirming a popular explanation for the Latino achievement gap. One of the ideas was that the Latino-Asian achievement gap was often attributed, for instance, to weak Latino parental involvement compared to the strong involvement of Asian immigrant parents (Louie, 2014).

Another idea the comparison revealed was a shared immigrant working-class cultural model of education. This was based on moral and emotional support and that conveyed the importance of studying hard and deferring gratification to avoid the parents' lives of manual labor. In the study, the respondents expressed support for the idea that ethnic cultures drove academic performance or that ethnic culture trumps social class (Louie, 2014).

U.S. born children of Asian ancestry who have lived all their lives amidst the white middle class speak accent-less English and English only, interact, inter-date, and even intermarry with whites, and consider themselves an indistinguishable part of white middle-class suburbia (Zhou, 2011). "The common colloquial term for them is banana – yellow on the outside, white on the inside" (Zhou, 2011, P. 112). Zhou claimed: "But when they suddenly have their American identity questioned, they often find that they lack a homeland or an immigrant culture on which they can fall back and an ethnic space in which they can express their fear and vent their frustration. In the process of vacillating between the outsider's and insider's worlds, U.S.-born Asian Americans are increasingly ambivalent about their identities" (Zhou, 2011, p. 112).

Zhou (2011) raised the question: "Is Asian American identity truly significant or is it merely symbolic of an emergent ethnic consciousness?" (Zhou, 2011, p. 112) She claimed that ethnic identity associated with a homeland became blurred among the second or third generations, who lost their ancestral languages, intermarried at rates far exceeding the national average, and no longer involved themselves with their communities on a daily basis, thus making their ethnicity "symbolic" (Zhou, 2011).

Conclusion

This chapter identified and described the context of the NCLB, including the reforms and research that led to whole-school systemic reform models. Reviewed was how reform was linked to actual development and implementation of NCLB through its incorporation of õbest practices.ö The research tracked NCLBøs implementation at federal and state levels, along with the adoption of the Common Core States Standards, and the definition of highly qualified teachers (HQT). The research described the regulation of teaching in major content areas, through student assessments and benchmarks that became frameworks or standards at state-level departments of education. The response of the Commonwealth of Massachusetts to the standards movement and how it enacted the Massachusetts Education Reform Act (MERA) of 1993, which included frameworks, curriculum programs, and specific directives for principals, was also identified. MERA was of particular significance along with the implementation of the Massachusetts Comprehensive Assessment System (MCAS), Adequate Yearly Progress (AYP) school assessment, the leadership and data-driven principal accountability, and the delivery of quality, equity, and excellence in education. Through evaluations by social scientists and educational policy makers we also noted the achievements and shortcomings of NCLB since its inception in 2001 and MERA since 1993.

The proponents or opponents who clarified the challenges that NCLB faced, also identified the changes needed in student assessment, accountability, equity, and financial support under the new reauthorization, which President Obamaøs administration set for 2010. As we saw, when Congress stalled in 2013, President Obama granted NCLB waivers to many states. The research also tracked the changes in principalsø leadership roles

through various stages of NCLB and MERA development and implementation, from the 1980s through 2013, especially in the areas of decision-making, instructional and administrative practices, and identified leadership qualities.

What was not identified were how the changes in NCLB policies and practices proposed for 2014 affected European white mainstream, as well as African American, Latino, Asian American, and Native American principals. This gap in the literature on how principals, in particular Asian American Principals, specifically interpreted and implemented the federal mandates of No Child Left Behind into their practice was broached by introducing the roles of diverse ethnic groups in the principaløs role. The research of Min Zhou was especially important on the cultural perspectives and first generation immigrant and second generation children of immigrant differences.

Notably the review has added new information on viewing diversity within the principalship, and understanding the influence of ethnicity and culture on the leadership of Asian American principals as well as European white, African American, and Latino principals in educational reform.

Moreover, the review has also provided a perspective on the enormity of the accountability demands placed on principals because of these requirements. It also provided this researcher with questions for a general survey and a protocol for the study to answer the main research questions.

CHAPTER 4

METHODOLOGY

This dissertation investigated the responses of elementary school principals in the greater Boston Metropolitan area and throughout Massachusetts on the policy demands of the Massachusetts Education Reform Act of 1993 and the No Child Left Behind Federal Law of 2001 and what they required of principals. The study focused on the perceived effects of these two laws on a principal's leadership role, decision making, and practices as reported by elementary school principals. In addition, a more in-depth study of principals chosen by ethnicity shed light on the cultural influences that principals brought to their position. Of particular interest in the study was its focus on the realities of the principal's accountability for school improvement.

A design of this study evolved after a long and arduous process, emerging from the research questions and the literature review. The study used quantitative (general survey) and qualitative (open ended interviews) methods with principals of elementary schools throughout Massachusetts, and with selected principals, particularly in the greater Boston metropolitan area.

This chapter addresses the research design, describes the stages of development for the interview protocol, describes the interview participants, and gives the time line for the data collection. It also included the development of instruments for the quantitative

study of the general survey,[13] which describes the participants. A rationale for the use of in-depth interviews is also provided.

Research Design

The design in this study used a mixed methods approach of quantitative and qualitative research, and focused on:

1) The development of a generic survey which was mailed to over 1,350 elementary school principals in the Commonwealth of Massachusetts to ascertain what had been their roles as principals, both before and after the passage of the Massachusetts Education Reform Act (MERA) of 1993 and the enactment of the No Child Left Behind (NCLB) Federal Law in 2001. Anticipated was a return rate of 60%.

2) The use of in-depth interviews with elementary school principals, which included Asian American principals in the Commonwealth of Massachusetts, and an equal number of Latino, African American, and European white principals in the greater metropolitan area. The total survey had no less than 36 principals to determine the coping strategies, alternatives, or basic ways in which they were meeting, changing, or reframing MERA and NCLB in their schools.

Use of the Survey

The survey was used because it was the best possible way to obtain data at a macro level on how principals in the Commonwealth of Massachusetts implemented MERA and NCLB. The survey provided the backdrop and at the same time pertinent,

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[13] The general survey was developed with the guidance of Dr. Luis Carro, at the Universidad de Valladolid, in Valladolid, Spain (See Appendix F). The Lime Survey program was run by Marcek Minke, head of support. The services used for this study was the Lime Survey templates and coding.

specific data about principals' decision-making, practices, and leadership roles. The survey was set at a macro level to answer the research questions.

<p align="center">Instrumentation and Stage Development of the General Survey</p>

<u>Stage 1: The General Survey</u>

A semi-structured general survey asked open ended questions which focused on the demographics of principals who answered the emailed survey as follows:

- Educational background of principals

- Employment experience in current and past schools

- School demographics

- MERA responses

- Principal's roles and practices

- NCLB responses

In this study, the general survey questions were modified with permission from questions in a survey developed by Bryan Luizzi (2006) from his study on the effects of accountability on middle school principals in Connecticut (See Appendix F). His study was based on a survey developed in 2003 by Timothy Waters, Robert Marzano, and Brian McNutlty used in "Balanced Leadership," a research article on 30 years of leadership on student achievement. In Luizzi's study, he described the extent of NCLB's influence on the practice of leadership behaviors by principals.

However, the survey for this study included not only NCLB's but also the Massachusetts Education Reform Act's (MERA, 1993) influence on the leadership of principals. A total of 105 questions included 15 multiple choice demographic questions; 80 multiple choice questions on the influence of MERA and NCLB on principal's

<p align="center">137</p>

decision making and practice of leadership; and 10 open ended questions for principals on MERA and/or NCLB. The survey window closed in August 2010.

Survey Participants

- Using demographic data on the numbers of principals in elementary grade levels, principals were electronically invited to participate through an email sent individually to approximately 1,350 elementary schools K-8 throughout the Commonwealth of Massachusetts (Appendices C and D). This corresponds to the total number of principals at that grade level at the time of this study. Reminders were sent every two weeks after the initial email and a month later (Appendix E). Expected was at least a return of 350 email surveys.

- Subjects were recruited via email, and the generic survey took approximately 60-90 minutes to complete (Appendix F). Each survey was coded to assure the anonymity of subjects. However, because of the nature of the study, the ethnic background of each of the principals was known, since this was the significant criterion for analyzing the relationship of ethnicity to the role of principals, and for follow up interviews.

- In June 2010, more than 1,350 invitations to participate in the General Survey were sent via email to public school principals across the Commonwealth of Massachusetts. In order to assure principal participation, the letter of recruitment offered an incentive ó a 7.0 oz. bag of Lionøs Hawaiian coffee for the first 350 participants who returned the survey. (Participants had to give their addresses to receive the coffee, but were informed that afterwards all addresses would be destroyed.)

Rationale for Use of Interviews

The rationale for using in-depth interviews was based on: 1) principals at a micro level of analysis from the greater Boston area could be specifically targeted; 2) more specific and pertinent data could be gathered about how they made decisions, carried out instructional and administrative practices, assured accountability, and developed their leadership roles; 3) using a qualitative approach complemented the quantitative approach of the survey; 4) greater access to Asian American principals and other ethnically diverse principals could be obtained to learn how they perceived their changes under MERA and NCLB using their own adaptations and cultural strategies.

Stage Development for the Interviews Protocol

<u>Stage II: The Interviews</u>

In-depth interviews with elementary school principals targeted the following:

- Identification of implementation of MERA and NCLB in terms of what principals understood were their roles and the changes they had undergone

- Identification and description of practices used in schools

- Identification of accountability factors and practices used in schools

- Identification and description of decision making processes used in schools

- Description of leadership roles in their everyday school life and strategies used, including cultural repertoires

- The identification of the advantages and challenges in the implementation of MERA and NCLB

- Identification of cultural repertoires and strategies used by Asian American principals compared to other ethnically diverse principals

- Suggestions by principals for MERA and NCLB in its future reauthorization

- Implications that emerged from the in-depth interviews for policy and research

Interview Participants

When the approximately 1,350 principals of public elementary schools in the Commonwealth of Massachusetts were invited by email to participate in the general survey (Appendix D), they were informed that they might be selected to participate in an in-depth interview that would help identify and describe the personal and professional changes principals experienced and the interpretation and implementation strategies they undertook as a consequence of the MERA and NCLB. Of particular importance were principals who were Asian Americans, among African Americans, Latinos, Native Americans, and European whites. These principals were selected from the Massachusetts and the greater Boston area in schools with Grades K-8 using purposive sampling. No less than nine principals per each ethnic group were identified from the previous research, sent a letter and consent form (Appendices G and H), and then a total of 36 principals were interviewed (Appendix I). A purposive sample[14] was used based on typicality of school populations to ascertain: the degree of implementation of MERA and NCLB being conducted by each; the types of strategies being used for such implementation; the role of ethnicity and cultural background in determining specific decisions and practices; the alternatives they substituted for some of the requirements and

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[14] In purposive sampling, researchers handpick the cases to be included based on their typicality or possession of particular characteristics (Cohen, Manion, & Morrison, 2007). In this way, a sample is built up that meets specific needs (Cohen, Manion, & Morrison, 2007). In this study, the purposive sample was chosen from principals who identified themselves as African American, Asian American, European white, and Latino on the survey.

demands of MERA and NCLB; and the supports they had for implementing MERA and NCLB.

From the signed consent forms (Appendix H) returned by mail, the researcher scheduled a mutually agreeable time and place to meet. Upon arrival for the interview, the participant signed a consent form to have the interview audio-taped (Appendix L). Once consent was given, the interview got under way.

The in-depth 60ó90 minute interviews were conducted from the fall of 2010 and into the spring of 2011. Since the sample of principals could not be representative, recruitment of principals was based on numbers first of Asian principals, followed by similar numbers of European white, African American, and Latino principals for the total of 36 principals.

The responses of the principals were coded from the taped and transcribed interviews derived from the audio taped recordings using Johnny Saldanaøs (2009) *The Coding Manual for Qualitative Researchers*.   The analysis of each transcript yielded categories which were then coded and their relationships made in order to arrive at emerging themes. These themes are collectively on issues that arose from all the interviews and their commonalities as well as differences were described.

Throughout this study, the stages that this research undertook comprised the following.

- Sending introduction and consent forms to all participating principals via email on survey

- Distribution of general survey through email with directions and timeline for completion, with subsequent reminders to participants within a monthøs period

- Compilation of surveys conducted by technical consultant to identify descriptive statistics for analysis by researcher

- Analysis of results from survey and identification of implications for findings

- Analysis of in-depth interview with targeted principals of Asian American, Latino, African American, and European white principals in the greater Boston area using a purposive sample, from the summer of 2010 and into February 2011

While the research process was primarily controlled by the researcher, additional persons were involved for several purposes. They: 1) transcribed the interviews for analysis, 2) conducted the interviews with some of the principals known by the researcher in order to maintain objective distance from these subjects, and 3) developed the program and processed the items for each of the surveys, and provided technical support. Each person was asked and agreed to maintain confidentiality.

Limitations of the Study

While the study was ambitious, several limitations arose, and the major issue was the return rate on the numbers of principals who responded to the survey. Of the 1,350 principals invited to participate, only 137 principals responded. The researcher, as previously stated, sent out reminders after two weeks and follow up notices at the end of the month. There was also an incentive offer made of a 7.0 ounce of Lionøs Hawaiian coffee to the first 350 principals who returned the survey. Even with this offer, principals did not respond. This may have been due to several factors. One reason might have been the summer time sending of the survey, plus the high level intensity of the role of principals in their schools. Curiously, of those who did respond, the majority were

European white principals, while the targeted Asian American principals had very low participation return. No doubt the time constraint was a huge factor in the return rates.

In addition, the design of the general survey may have contributed to the low returns. The survey contained 105 questions. Twenty of the 137 principals did not complete the survey, which suggests that the survey itself was quite demanding. Moreover, although the general survey was piloted, the three volunteer participants may have given the researcher too conservative estimates of the amount of time they needed to complete the survey, and/or they may not have given effective critical feedback on their understanding of the survey questions.

CHAPTER 5

FINDINGS DERIVED FROM THE GENERAL SURVEY

AND IN-DEPTH INTERVIEWS

The first half of this chapter reports on the findings of the general survey as well

as the patterns and themes that emerged; the second half reports on the in-depth

interviews. The findings from the survey covered the principals' demographics,

including gender, age, ethnic background, language spoken, level of education, and

information on the schools where they were principals. It also includes the ethnic

background of teachers and support staff, the number of years principals were at their

current school, their future career paths, and their responses to open ended questions

about being principals. Included in the second section findings are also general survey

questions on the Massachusetts Education Reform Act (MERA) of 1993, followed by

findings on the No Child Left Behind (NCLB) federal law enacted in 2001.

Within this section are the findings of the perceived effects of both MERA and

NCLB on school leadership, school wide programs, targeted assisted schools, support and

awards to teachers, academic assessments, literacy improvement, availability and use of

technology, instruction for all students, parental and community support, and budgeting.

Also presented are findings on decision making and the degree to which educational

reform mandates principals to perform as leaders, as well as the expectations placed upon

principals by the state department of education regarding accountability, the role of

principals, and issues and concerns regarding MERA and NCLB not covered in the

survey.

<div align="center">The General Survey</div>

<u>Demographics of the School Principals</u>

More than 1,350 invitations were sent via email to public school principals across

the Commonwealth of Massachusetts to participate in the general survey. The survey

was comprised of 105 questions that had multiple choice answers with the last 10 being

open ended. Only 137 principals responded, or more than 10% of principals in

Massachusetts; twenty of them, or 9% of the respondents, did not complete the survey.

The survey began with demographic questions. The majority of principals, three

out of four, or 75%, were female, and 25% were male. More than two thirds of the

combined total (137) or 67% were between the ages of 50-69 years of age. The ethnic

background of principals who completed the survey was identified and is represented in

the Table 3 inserted below.

Table 3: Principals Identified by Ethnic Group

ETHNIC GROUP	F	%
African American	8	6.84
Asian American	2	1.71
European white	96	82.05
Latino	9	7.69
Native American	2	1.71

There were 99% who were fluent English speakers, with another 12% who

identified themselves as fluent Spanish speakers and 11% as fluent in another language

such as Arabic, French, Haitian, Cape Verdean, or Portuguese. Regarding the frequency

with which they spoke languages other than English, 73% replied that they did not, while

14% spoke another language less than one fourth of the time; the lowest percentage was for other languages spoken more than one fourth of the time. Regarding the frequency with which the principals spoke languages besides English in their schools, 77% replied that this did not apply to them, 12% that they did so less than one fourth of the time, nine percent between one fourth and one half of the time, two percent at three fourths of the time, and less than one percent spoke another language 100 % of the time.

It should be noted that these findings show that although most participants were English speakers, there were Spanish speakers and other languages represented. But close to three quarters did not use languages other than English, including a strong speaking population of principals who were Latinos.

Three percent of the responding principals held Bachelorøs Degrees, 89% held Masterøs Degrees or Certificates of Advanced Studies, and eight percent held Doctoral Degrees, indicating strong academic credentials among participants. The majority of principals were at schools that offered kindergarten to fifth grade. About 32% were from schools Grades 6-8. Close to 50% were from suburban schools, 39% were from urban schools, and 11% were from rural areas. There were 34% who oversaw schools serving more than 500 students, 40% from schools with 300-500 students, 25% from schools with 100-300 students, and 2% from schools with less than 100 students.

These principals administered a range of schools, from suburban in the majority to urban and rural schools in lesser numbers. Also one third were in schools with 500 students, more than one third in schools with 300-500 students, and about only a quarter in schools of median numbers, 100-300 students, and only a few in small schools with

less than 100 students. Principals reported having mostly European white students, then African American students, then Asian American students and Latino students.

Close to 33% of the principals were in their schools for 4 to 6 years, 25% for 7 to 10 years, 29% for three or fewer years; meanwhile, 10% were in their schools for 11 to 20 years and 3% in their schools for 20 or more years. Close to 45% of the principals had been principals somewhere else, while 55% of the respondents had been at only one school. The findings indicated that only a few principals in the survey had been at their schools for a long time, 20 years or more, and that close to 58% of the principals had been in their schools for more than 10 years.

When they were asked about their career intentions, more than half or 54% said they would continue as principals in their current school as long as they were able to do so. There were 12% who said they would stay at least for the next three years, 16% who would continue only until a better opportunity came along, 9% who would leave the job of principal for another administrative or teaching position, and 6% who wanted to leave education entirely. Despite the high accountability placed on them, most principals remained very dedicated to their schools.

Within the open questions responses, a total of 36 principals made comments which are summarized herewith:

- Principals were all for accountability but they felt that their role as principal was more than the job of one person.
- Those who were principals before MERA and NCLB had seen dramatic changes in the job responsibilities.

- The responsibilities had become more and more time consuming as the needs of schools kept changing.

- Among the changes have been the increases in languages within their schools. One principal claimed there were 38 different languages and dialects spoken by the English Language Learners in the school.

- Principals who wished to diversify their staff with regard to ethnicity were unable to do so because of the lack of funding for advertising, recruiting, and hiring.

- Principals claimed that the resources for public schools kept dwindling down so budgets had to be slashed and programs needed to be cut.

- Yet, despite many of the challenges the principals faced, they felt overall that their jobs were rewarding because they were able to be effective.

- Some felt that there was little or no research on principal leadership, practice and decision making and so they welcomed the study.

Responses for the Massachusetts Educational Reform Act (MERA) of 1993

The major educational reform acts which have impacted principals has been the Massachusetts Educational Reform Act (MERA) passed into law in 1993; and the No Child Left Behind Federal Law of 2001 signed into law by then President George W. Bush in January 2002. The responses of principals on the influence of MERA on practices are reported in Table 4 as follows:

**Table 4: Influences of the Massachusetts Educational Reform Act of 1993
on Principals' Practices**

Practices involving principals	Somewhat or Strongly Positive Influence	Somewhat or Strongly Negative Influence
Superintendent hiring principals and determining their salaries	61 (68%)	11 (12%)
Principals being removed immediately for a schooløs underperformance	29 (28%)	53 (51%)
Principals being able to remove teachers with professional status with good cause	75 (78%)	2 (2%)
Principals being able to hire and fire teachers	83 (86%)	2 (2%)
Principals being able to dismiss or demote any teacher or person subject to review and approval	73 (76%)	2 (2%)
Principals serving as chairperson for a professional team to train and supervise	72 (76%)	1 (1%)
Principals and staff being certified	89 (93%)	2 (2%)
Principals being able to award professional status to teachers with three consecutive years of service	73 (75%)	7 (7%)
Principals being able to expel or suspend students for assault of educational staff on school premise	70 (74%)	2 (2%)
Principals being able to expel or suspend students in possession of dangerous weapon or substances	74 (80%)	1 (1%)

What is striking about Table 4 was that under MERA, principals were most
positive about being able to hire and fire teachers, and about staff being certified. What
the principals were least excited about was that principals could be removed immediately
for a schooløs underperformance. More than half of the principals felt that the enactment
and implementation of MERA had an overall positive effect on their roles, and they also
felt school practices had improved under this law. The participants who became
principals after 2002 were unable to answer the questions on MERA, since they had
become principals in the era of No Child Left Behind and could not compare pre- or post-
MERA and pre-NCLB school practices.

There were 53 principals who responded to questions about changes made after MERA was implemented. Before the law, it was a rite of passage for a principal to rise above the ranks of teaching, into the position. Many were unqualified as administrators; as well, there was no accountability for raising student achievement. After MERA the principals lost their former job security; they were now directly evaluated by the superintendent, who could fire them for a schooløs underperformance. Some principals thought MERA was created to give principals more autonomy, but in reality the school district still dictated what could and could not be done in the school.

What many reported was that MERA brought an instructional focus to schools to start addressing the needs of the students. Districts began to look at data more closely, hence the term õdata drivenö in teaching and learning was coined. The culture of schools according to many principals shifted from being operational to being instructional and focused on children.

Responses for the No Child Left Behind (NCLB) Federal Law of 2001

A summary of the responses of principals regarding the influence of NCLB on practices is shown in Table 5 as follows.

Table 5: Influences of the No Child Left Behind (NCLB) Act on Principals' Practices

Principals' Practices	Somewhat or Strongly Positive Influence	Somewhat or Strongly Negative Influence
Principals and schools being held accountable for student progress	77 (81%)	15 (16%
Principals and staff receiving individual student reports to determine student needs	90 (96%)	1 (1%)
National and state programs being provided to assist in recruiting and training principals	57 (64%)	3 (2%)
Merit pay being provided to principals and teacher in schools where students make significant gains in academic progress	22 (14%)	29 (31%)
Funds being provided to recruit and retain highly qualified principals and teachers	51 (55%)	6 (7%)
Funds being provided for states to reform teacher and principal certification programs	62 (45%)	7 (8%)
Programs being promoted to recruit and train high qualified teachers and to reduce class sizes	64 (70%)	3 (3%)
Grants being provided to alleviate the impact of experiencing or witnessing domestic violence	44 (50%)	1 (1%)
Training being provided for principals and staff on the causes, effects, and resolution of hate crimes	47 (60%)	0 (0%)
Funds being provided for professional development for integrating technology into the curriculum	74 (80%)	2 (2%)
Assessments and professional development funding being provided for teaching limited English proficient and immigrant students	72 (80%)	5 (6%)
Assessments and professional development funding being provided for teaching students with learning disabilities and impoverished students	77 (83%)	3 (3%)

More than three fourths of the principals in the survey stated there was a strong positive influence on their roles from the influence of NCLB. Most strikingly, principals reported that the biggest influence was the practice of receiving individual student reports

to determine student needs. The next two factors identified by principals as positive were

that principals and schools were being held accountable for student progress and funds

were being provided for professional development for integrating technology into the

curriculum.

In assessing the enactment and implementation of the No Child Left Behind

(NCLB) Act, the principals reported the effects the law had on their leadership role and

changes in school practices prior to and after the passage of the law as quite positive. In

responding to the changes that took place after the implementation of NCLB, several

stand out.

One principal characterizes this well:

I believe that accountability is essential and that it is the principaløs responsibility
to ensure that the school meets AYP, that kids are learning, and that teachers are
highly qualified. It is also the principaløs responsibility to work with teachers
who are underperforming.

More than one half of the principals surveyed reported being positive about

assessing the effects the enactment and implementation of NCLB had on the role of

principals and leadership. They also reported being positive on the changes in schools

prior to and after the passage of the law. Several or many reported that while MERA

brought accountability, NCLB defined more of the leadership role the principal had to

take in ensuring that a school would be highly performing.

Assessment of the Influence of MERA and/or NCLB on the Ability of Principals to
Perform Leadership Tasks

The responses of principals on the influence of the Massachusetts Educational

Reform Act (MERA) of 1993 and the No Child Left Behind (NCLB) Federal Law of

2001 regarding school accountability, leadership roles, assessment, decision making,

budgeting and professional development are presented in Table 6 below.

Table 6: Influences of MERA and/or NCLB on Accountability

Accountability	Somewhat or Strongly Positive Influence	Somewhat or Strongly Negative Influence	Influence of MERA	Influence of NCLB	Influence of Both MERA and NCLB	Not Sure
School Leadership— developing specific leadership programs to turn school around	N=83 63 (67%)	N=83 3 (4%)	N=73 7 (10%)	N=73 12 (16%)	N=73 43 (59%)	N=73 1 15%)
Developing a mentorship, recruitment, and training program for principals and teachers	N=83 74 (89%)	N=83 0 (0%)	N=73 12(16%)	N=73 4 (6%)	N=73 42 (58%)	N=73 15 (20%)
Staying informed of the continually changing context for teaching and learning	N=83 69 (83%)	N=83 1 (1%)	N=70 9 (13%)	N=70 7 (10%)	N=70 37 (53%)	N=70 17 (24%)
Aligning operations to support student, adult, and school	N=83 68 (82%)	N=83 2 (2%)	N=71 6 (9%)	N=71 6 (9%)	N=7 40 (56%)	N=71 19 (26%)

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learning needs						
Being an advocate and spokesperson for the school ensuring that policies are aligned to effective teaching and learning	N=81 67 (83%)	N=81 4 (5%)	N=67 6 (9%)	N=67 10 (15%)	N=67 39 (58%)	N=67 12 (18%)

More than half of the principals in the survey reported that assistance from the Massachusetts Department of Elementary and Secondary Education was not very effective. More than two-thirds of the principals felt that the overall influence of MERA and/or NCLB on their practices as a principal and a leader was quite positive. Many principals reported that the changes they underwent as a consequence of MERA were based on accountability and the use of data driven decisions, which was even more positive than accountability. Principals were more in tune with data to establish goals, recruit staff, design professional development, and establish professional learning communities.

Overall, the principals reported that they should be held accountable to ensure that all teachers were highly qualified and that all students were learning. Many saw the NCLB 2014 deadline for achieving the main goal as unrealistic. Most principals felt that using achievement data to improve teaching practices was the most important change brought on by NCLB. It forced principals to look at students and how they learn, which resulted in principals becoming instructional leaders in their schools.

Other principals thought that this focus on bringing all students to proficiency was a detriment. The reality was that they spent far too much time on paperwork and less and less time in classrooms as instructional leaders. Still other principals stated that they had little or no ability to select or train staff due to union constraints.

In this study of principals, 46% of them worked in schools that were meeting adequate yearly progress, 20% were in need of improvement, 6% were in corrective action, and 26% were restructuring. Among the schools not meeting AYP, there were 39% in Year 1, 20% in Year 2, 12% in Year 3, 12% in Year 4, and 17% beyond Year 5.

A school or school district that did not meet the state's definition of AYP for two straight years (school-wide or in any subgroup) was considered to be õin need of improvement.ö Schools in need of assistance to improve were required to develop a school improvement plan and increase professional development for teachers. Schools beyond two years were required to undergo a restructuring of instructional programs including the possibility of replacing the administration and teaching staff. Schools beyond four years were placed under the receivership of the Department of Elementary and Secondary Education (DESE) (MA DESE, n. d.).

Regarding consistent assistance from the DESE to turn around or improve student performance, the principals overall rated the DESE as follows: 13% were very positive, 20% average, and 55% poor. As to how principals rated their own leadership and accountability, the response indicated that 90% considered it positive, 10% average, and 0% poor. When asked to rate the overall influence of MERA and NCLB on their practices as principals and leaders of their school, 66% were very positive, 21% average, and 10% poor.

In fact, principals were overall quite positive about the changes brought about by MERA and NCLB and they were positive about being held accountable for school improvement. But principals were not positive about the lack of financial support from the Department of Elementary and Secondary Education.

The open questions in the survey covered ways principals changed as a result of NCLB; current status of their schools and the attempts being made to meet Adequate Yearly Progress (AYP); positive changes due to MERA and/or NCLB; negative changes due to MERA and/or NCLB; changes principals deemed necessary; and accountability measures of NCLB as positive or negative influence on their work. In addition, they were asked if they considered themselves better leaders as a result of NCLB, and how they would counsel a new principal regarding leadership.

It was important to note here that almost half of the participating principals did not respond to the open questions at the end of the survey. There are several reasons one one can surmise these did not take place. Whether this was because it was an extensive survey and they were tired, or whether it demanded too much of them remained unknown.

Most principals shared in their open responses that MERA had a tremendous impact on their role as a principal. They became instructional leaders as they had to be more aware of learning standards, look at how students were achieving, use data in driving instruction, establish goals, recruit staff, design professional development, and develop a professional learning community. They had to change the way they communicated with parents and listen to what they had to say in shared decision-making. But with shared decision-making, principals appreciated the autonomy to do what they

thought best for students in their schools. Some found that the challenge in becoming an instructional leader was the avalanche of paperwork required by the Department of Elementary and Secondary Education.

Much of what principals already stated about the influences of MERA were also stated about the NCLB. As to their changes as principals as a consequence of the NCLB, they stated that the law had influenced the way they viewed student learning and greater accountability. Some principals stated that they finally made the connection between data analysis and driving the instruction to have higher expectations for all students. Most principals felt negatively about the time spent on mandated assessments, particularly those with a high percentage of English language learners, students with learning disabilities, and impoverished students in their schools. One principal stated that the joy of teaching and learning was diminished by being so focused on having teachers teaching to the tests and students passing them.

In terms of meeting Adequate Yearly Progress (AYP) many principals reported their accomplishments. One principal instituted an õMCAS Boot Campö for Grades 3, 4, and 5. The teachers modeled weekly skills-based lessons and then provided authentic samples to students; with this strategy the school achieved AYP for the first time in 5 years. Principals of schools that were not meeting AYP stated factors such as: transient populations; students from low income households; and students with learning disabilities. One principal with a large special education subgroup was proud to share that the school made continual progress each year, even though, according to the formula set by the Department of Elementary and Secondary Education (DESE), that progress was not deemed adequate.

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Principals also reported on negative changes in their schools as a result of MERA and NCLB in: merit pay; bonuses for test scores; lack of funding; teaching to the test; narrowing of the curriculum; unrealistic goals; inequities of funding urban schools versus suburban schools (explained below); paperwork (as stated previously); and a restructuring (underperforming) label being put on one's school, which some principals found very punitive.

When asked what changes they deemed necessary, principals reported that there was a need to ensure that all teachers were highly qualified and that the playing field be equalized for all students. This, they explained, could be brought about through equitable funding, which was one of their major concerns. Principals expressed concerns for funding of non-Title I schools, stating that schools needed to be funded by other means and not only local property taxes, which were uneven throughout the state. Principals stated that a school's growth should not be measured only by the results of standardized tests, since these results were supposed to be used as information to help schools and not to rank-order them. Lastly, principals thought it was time to implement a standard national curriculum.

The majority of principals reported that they were all for accountability as demanded by NCLB. Many recognized it as necessary since NCLB had raised the bar for student achievement. The majority of principals also noted that parents and staff had become more aware of the schools' progress and attempts to meet the individual needs of students. Those principals who were negative about accountability reported that there was too much pressure on teachers for testing and paperwork and that the high stakes placed on assessment were inappropriate, demoralizing, and time consuming. Principals

saw the law as punitive rather than supportive for under-performing schools. One principal described accountability as a double edged swordô it was positive for student achievement but created a high level of anxiety in the school community.

Most principals reported on their leadership as a result of NCLB. Many principals mentioned they had become better instructional leaders and had learned õon the job.ö Many saw a need for collaboration, formative assessments, and ensuring students were moving to higher levels of achievement. Those who did not believe that NCLB had helped their leadership did not feel any better about their leadership role. One principal felt frustrated by paperwork, testing, and these responsibilities kept him out of the classroom. Another principal stated that, õ[NCLB] has not allowed me to provide a holistic education, which is fundamental for the students at our school.ö Several principals replied that they were not sure if they were better leaders today as a result of NCLB because they had become principals after the law had been enacted.

Based on their own experiences with MERA and NCLB, principals gave what they saw as valuable advice to new principals, as follows. They thought that new principals needed to: read the law; know effective best practices and how to use data driven decision making; know the needs of their student population and match these needs with their service delivery; share information about studentsø test results; take curriculum and assessment seriously; align instruction with the needs identified; continually learn; be consistent and trust your instincts when making decisions; take everything in stride; develop a thick skin; work very hard; do not expect quick results; and stick to a long-range plan.

Most principals added that having continual high standards was critical, yet the manner in which accountability occurred was very important. Most principals also emphasized that all mandates needed to be funded. One principal stated: ðTo some extent, I wish MERA had taken affect earlier than 1993 and I am still not convinced that NCLB is here to stay. It will remain in bits and pieces in some form but as it now exists, I foresee a rather limited shelf life.ö

<center>Results of the In-Depth Interviews</center>

Since the survey was limited by the number of questionnaires returned, the research focused on first-hand interviews of principals in the greater metropolitan Boston area to gain more fine line analysis. A total of 36 principals were recruited to participate. They came from each of the prevailing ethnic groups in Boston and the greater metropolitan areas, including suburbs and rural areas, and consisted of nine principals each of Asian American, African American, Latino, and European white ethnicity. Since there were only two principals who were Native American, they could not be a comparative group, so they were not included. The principals were identified using the following codes: As A for Asian American, Af A for African American, L for Latino, and EW for European white. See Table 7 as follows.

Table 7: Statistics of Principals who Participated in the In-Depth Interviews

Ethnic Group & Assigned Number	Gender	Years as Principal	School Size (Small <250, Midsize 250-500, Large>500)	Urban/Suburban/Rural	AYP/No AYP
Asian American					
As A1	F	15+*	Midsize	Urban	No AYP
As A2	M	16	Large	Urban	No AYP

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As A3	F	4	Large	Urban	No AYP
As A4	F	15+*	Large	Urban	No AYP
As A5	F	15+*	Small	Urban	No AYP
As A6	F	3	Large	Suburban	AYP
As A7	M	15+*	Large	Suburban	No AYP
As A8	M	1	Large	Suburban	No AYP
As A9	F	20	Midsize	Urban	No AYP
African American					
Af A1	F	8	Large	Urban	AYP
Af A2	M	15+*	Midsize	Urban	No AYP
Af A3	F	18	Large	Suburban	No AYP
Af A4	F	15+*	Small	Urban	No AYP
Af A5	F	1	Small	Urban	No AYP
Af A6	M	15+*	Midsize	Urban	No AYP
Af A7	F	15+*	Small	Urban	No AYP
Af A8	M	2	Small	Urban	No AYP
Af A9	M	17	Small	Urban	No AYP
Latino					
L1	F	3	Large	Urban	No AYP
L2	F	5	Large	Urban	No AYP
L3	F	10	Large	Urban	No AYP
L4	F	15+*	Small	Urban	AYP
L5	F	7	Large	Urban	No AYP
L6	F	20+	Small	Urban	No AYP
L7	M	17	Large	Urban	No AYP
L8	F	15+*	Large	Urban	No AYP
L9	F	3	Small	Urban	No AYP
European white					
EW1	F	18	Small	Rural	AYP
EW2	F	19	Midsize	Suburban	AYP
EW3	F	5	Large	Urban	No AYP
EW4	F	15+*	Small	Urban	No AYP
EW5	F	18	Large	Urban	No AYP
EW6	F	9	Small	Suburban	AYP
EW7	M	8	Large	Suburban	No AYP
EW8	M	14	Midsize	Urban	No AYP
EW9	M	21	Large	Urban	No AYP

*Principals with 15+ years had not specifically identified the number of years they had served but they were in a principaløs role when Massachusetts Educational Reform Act of 1993 was legislated.

Of these 36 principals, 25 were women, and nine were men. In terms of job

experience, two were in their first year, 12 were in their first 10 years, 20 had 10 to 20

years of service, and two principals had more than 20 years. There were 18 who served large schools of 500 or more students, six served mid-sized schools of more than 250 but less than 500 students, and 12 served small schools of less than 250 students. Of the 36 principals, 28 were from urban inner city schools, seven were from suburban schools, and one was from a rural school. There were six principals from schools meeting Adequate Yearly Progress (AYP) while 30 were in schools not meeting AYP.

Of the Asian American principals, six were women and three were men. One was a first year principal, two were within their first 10 years, and the other six had served more than 10 years. Only one of the nine schools was meeting AYP

Some of the principals were candid and humorous about their experiences and cultural perspectives, and within their own cultural groups, there was some ethnic diversity. Among the Asian Americans, one principal was Hmong, the other eight were Chinese. Four of them were first generation Chinese, the other four were second generation. The Hmong principal was born in Laos and came to the United States as a young child. The Hmong are from the mountainous regions of China, Vietnam, Laos, and Thailand. Hundreds of thousands of Hmong refugees fled to Thailand seeking political asylum in the mid-1970s and were resettled in the United States. The Hmong principal was unique within the Asian American group because her culture was different from that of the rest of her colleagues:

> My ethnic culture is Hmong and the Hmong culture is a very male dominant society. [On a rubric] I would probably be a two out of four because I am not married, I donøt have kids, I live on my own, everything that a young Hmong daughter shouldnøt be. So thatøs what is really interesting.

There were three first-generation Chinese American principals who were born and raised in Hong Kong, while one was born in China but raised in Japan and went to French speaking private schools. There were four second-generation principals of Chinese descent who were born in the United States and assimilated well into American culture. Two of them came from families who owned businesses in Chinatown.

The Asian American principals had had different experiences while growing up.

My father was shot and killed over a bag of change in front of the grocery store where we lived. In spite of that, because we had an extended family, etc., my brothers and I still grew up to have professional and successful livesô in spite of poverty, trauma, and language [differences].

Another remembered the following:

My dad died when I was kind of young, so I watched my mom struggle with nine kids, and I was the youngest of nine. She worked in a restaurant business that was family owned. She entered the work world when women just did not work. And I watched her overcome real ethnic barriers.

The Asian American principals said that these experiences had influenced them and shaped them as people.

Of the African American principals, there were five women and four men. One was a first year principal, another was within her first 10 years, and seven had served more than 10 years. Two principals served in large schools, two in mid-size schools, and five in small schools. All but one principal were from urban inner city schools. All African American principals in the study were born in the U.S. Two of the principals were of immigrant parents who came from Jamaica and Cape Verde. The principal of Cape Verdean descent explicitly asked to be identified and included with the African American group of principals.

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The African American principals used some interesting expressions in their interviews. One African American Principal in his first year shared about his experiences on the job as follows:

> There's been a time when I'm in meetings with teachers and parents and the teachers look at me and say I don't talk a lot. They know that I'm the hood. Whereas those teachers don't necessarily have those experiences, it's been good to see that and be accepted. [By] the same token, it's tough because inherent in the African culture, at times there's crabs in the barrel. [It's a] metaphor that we use where certain folks don't necessarily want to see an African American succeed, [let alone] an African American male.

Another African American principal with years of experience said:

> I hear the words of my grandmother, "Act like a lady but work like a dog." Those things still sit with me. I think that has more to do with experience and age. I have more in my make up that I had when I first began, meaning that when you are 20, you've only had 20 years of living. When you are this wonderful age that I am, you add another 30 or 40 years to that. But seriously, in our country, what you look like: gender, color, height, eyes, weight… still has an impact initially of what is your present rank.

The Latino principals had the highest percentage of women principals, with only one man in the group. Two were first year principals, another was within the first 10 years and 6 had served more than 10 years. One of the principals had served over 20 years at the same school. Six served in large schools and three in small ones. All of the Latino principals worked in urban inner city schools.

Of the nine Latino principals, five were Puerto Rican and were born in the U.S. (including Puerto Rico, which is U.S. territory). One was born in Cuba but raised from early school age in the U.S., one was from the Dominican Republic, one from Costa Rica, and one from Chile. They spoke about the cultural influences on their work as principals:

As a Latina, I know that we love to eat. We love food. There is [something] we used to do [in my school]. We used to do an awards ceremony that wasnøt just about high honor roll; it was about kids who had shown the most improvement. We had the awards first so we had the smell of wonderful foods in the background.

Another principal stated:

I use everything in my bag of cultural-ness and Latina-ness to support my student and familiesí if I have a very irate parent in my office and Iøll be like õletøs have little coffee first,ö and that would be very appropriate for me to do before I even address the issue.

Yet another said:

I had someone I always respected very highly say that when you have a difficult conversation with a teacher, sometimes the best place is to sit down and have coffee with them and I think itøs a cultural thing, that perhaps someone might not do it that way.

The European white principal group had six women and three men; three principals in their first 10 years, six with more than 10 years, and one had served 21 years. Four were from large schools, two from mid-size schools, and two from small schools. Five principals served urban schools, two suburban schools, and one a rural school. Unlike the other ethnic groups, the European white principals were from schools where three of the nine were meeting AYP.

Among the nine European white principals, one was a Jewish woman raised in Brooklyn, NY, one was a man who identified himself as an Irish Catholic Democrat who grew up in South Boston, one was an Irish Catholic woman from a large family with 11 brothers and sisters, one man was an Italian American with blue collar mill-town roots, and one woman identified herself as õprobably being the last livingö WASP (White Anglo Saxon Protestant). She lived and worked in a predominantly European white community.

Because of such differences, there was also a diversity of cultural influences among the European white principals. The Jewish woman noted that:

In my culture, arguing is good. Arguing is actually a sign of respect. Sitting quietly with someone and not disagreeing with them is actually a sign that you don¢t respect them enough to even care to argue with them. It is a different way of looking at the world than is true in other cultures. In other cultures, arguing would be very disrespectful.

The Italian American principal offered this:

My family [members] were anarchists. They were involved with Sacco and Vanzetti and knew all those people. So it¢s in many ways the Italian cultural values that are things I have had to overcome in order to be successful in my job. Particularly just interviewing [with you] because you are not supposed to talk about yourself. It¢s a cultural norm; you¢re not supposed to do it. So I don¢t know how I have drawn on it. Do I go by the book? I kind of write my own book half the time.

Of the themes that stood out for all of the principals, several are significant: 1) accountability; 2) various duties and responsibilities; 3) communications; and 4) concerns principals had on the re-authorization of the laws.

Accountability was one of the major themes in all the interviews. For principals, accountability was about making Adequate Yearly Progress in meeting the primary requirement of the laws, with the aim of having all students become proficient in English language arts and mathematics.   Many of the responses were about meeting this main goal.

The second theme was regarding their varied duties and responsibilities. There were four kinds of responsibilities which appeared and which can be linked to what has been written about principals: administrative, instructional, curricular, and operational. Administrative responsibilities dealt with hiring, firing, evaluating, funding, and developing school improvement plans. Circular decisions were about aligning the curriculums, for example, with the library and literacy resources and about making schools run smoothly and safely.

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The third theme was that of communication which meant insuring that parents and stakeholders were included and involved in the process. As well, school communities collected data to inform their decisions. The fourth theme was that of the concerns principals had about the re-authorization of the laws.

Responses on Accountability

Accountability was at the forefront of the minds of all the principals. The principals stated that accountability added more responsibility to their roles. Asian American and European white principals had equal numbers of responses regarding accountability for the first questions on what came to mind when they thought about MERA and NCLB and how it had affected their role as principals over the past 17 years.

Eighteen out of 36 or 50% of the principals thought that policies and procedures had had the greatest impact on their role as principals. Most of these principals were Asian Americans. MERA and NCLB gave more autonomy, but principals argued that many of the mandates of the laws were unfunded, and many of the initiatives, though well intended, were ineffective.

In making changes in accountability over the years, most principals were concerned with assessment results or test data; others were concerned with just meeting the requirements for Adequate Yearly Progress. For half or 50% of the principals the issue was not about meeting the goals of the laws but about being in compliance with them. These principals stated that the goals were unattainable.

In the question regarding challenges in implementing some of these laws, some of the principals felt that they needed to maintain a positive school climate. They had to be knowledgeable about the laws and the various interpretations, as well as where their

students were in academic levels. The principals were also concerned about finances and stated that mandates had no financial backing, resources were scarce, and sustainability was hard to maintain. One of the principals stated that funding in his school had been pulled when the school attained AYP.   The principalsø greatest concern was that money was not available to hire additional teachers and staff for intervention, even when there was greater accountability placed on the school for improving student achievement.

Some principals claimed that there was no plan in place and meeting goals were hit or miss. They felt that there were too many standards to align the teaching. Teachers and principals had learned to take big risks in order to meet the expectations of the laws without having to go through õred tape.ö One European white principal stated that he was viewed as the hero of the school because he took risks that had paid off handsomely as far as raising student achievement. He shuddered to think what would have happened if the results had been otherwise.

Almost all principals from all cultural groups responded to the ways the laws served to make their schools a better school and them better leaders. They reported that one of the major outcomes of the laws was that data was being used to set goals. Goals were clearer and targets were identified. Many felt that the curriculum was now aligned with the high stakes assessments. Additionally, one fourth of the principals felt that more time should have been spent helping schools to improve rather than having punitive actions taken against them. Since expectations were the same for all students, the entire school community should be held accountable for increasing student achievement.

The African American and Latino principals, compared to European whites and Asian Americans, were most concerned with issues regarding their leadership roles.

They stated that knowing and being familiar with the laws and being compliant were high priority. These laws made a principal more strategic and deliberate, and helped improve schools, a job which took time, commitment, money, and dedication. They believed there were no quick fixes. In fact, they argued that these laws also made principals better at dealing with public relations because there was a sense of urgency to increase student achievement.

African Americans principals stated what the laws did for their school and how they became more reflective in their practices. They were able to better understand teaching and reaching out to students. In addition, they said that they were forced to get into classrooms in order to share leadership and overcome challenges to student achievement. Among these principals there were those who established Instructional Leadership Teams (ILT)[15] in English language arts and mathematics. These principals stated that the laws aligned curriculum and student achievement. One of the Asian American principals said:

> I like the fact that [there is a] high accountability component. Although I am not sure how it [implementation] is portrayed in the public, is not necessarily how I would do it. I also like the fact that it has made us align curriculum [to student achievement].

The achievement gap was one of the most notable things about the two laws, as it made educators pay attention to subgroups of students who were not performing – special education, Title I, English language learners (ELL), and various ethnic groups as well (such as African American, Latinos, and Cambodians). Also, principals were now

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[15] Instructional Leadership Teams share leadership responsibilities and participate in decision making that advances the school's mission. (The Essential Supports for School Improvement; Consortium on Chicago School Research, 2006: http://ccsr.uchicago.edu). This model was already in place in some school districts across the Commonwealth of Massachusetts to increase student achievement prior to the No Child Left Behind Federal Law of 2001, in response to the Massachusetts Educational Reform Act (MERA) of 1995.

looking at data, not only from mandated assessments but from other sources, to chart

studentsø progress. Many principals expressed a need for common standards and aligning

the curriculum with these standards.

A European white principal thought the laws had equalized the playing field

because of learning standards. This principal went on to say that the content of what was

being taught to students was being equalized and that ELL populations were being

underserved.   An Asian American principal said the law had not equalized the playing

field because of the odd funding formula in Massachusetts that no one seemed to

understand. One Asian American principal emphasized that the neediest of students

remained the neediest, sometimes with very limited financial support. Another Asian

American principal said:

> [Laws have not] equalized [the playing field]. Thatøs because [schools] donøt
> have the same resources í [some] school systems spend $8.00 per child and
> another system $10.00 per childí .if you are in a poorer district, you have to
> provide a lot more.

A European white principal acknowledged the disparity between schools and said

that there were very few public schools that served a large population of poorer kids that

were meeting the requirements of MCAS and NCLB. Some principals emphasized how

much was sacrificed of studentsø joy in learning, because schools were so focused on

getting better at administering and taking tests to meet the requirements of the laws. A

European white principal noted that:

> [Accountability] takes the focus off some of the real issues weøre trying to deal
> with and puts it on to things that are not real issues. The number of middle
> schools in Massachusetts that are listed as underperforming is not [fair]. Weøre
> actually doing a very good job and the last thing we need in an institution is
> negative press when we donøt deserve it.

Some of the African American and Latino principals noted that the laws helped to ensure staffing highly qualified teachers, pushed professional development for teachers so they could increase student achievement, and enacted equity because of the perspective that all students could achieve proficiency. Some African American and Latino principals expressed skepticism about charter schools, and thought they were creating an inequity in the way funds were dispersed within a district, when schools should be paying attention to special education students, ELLs, children of color, or minority children. These principals recognized that the laws gave them a direction to follow but not access to what they needed to help students succeed, namely funding and resources.

The European white principals responded to both the MERA and NCLB laws. The principals stated that the laws made everybody look at every child, addressed the studentsø individual needs, made equity a major component, and upheld the primary requirement of having all students become proficient in ELA and math by 2014. One of the principals admitted a past practice in schools, where they avoided testing SPED and ELL students by õhidingö them. Another European white principal said that NCLB was leaving *all* children behind, so in reality, no one group of students was being singled out:

> I think thereøs a real shortage of ideas for how to help kids who are really struggling, kids who are really falling behindí an enormous amount of resource seems to be going into testing, monitoring, punishing, compliance, and not nearly enough into serving kids, and learning how to serve kids best, and learning how to serve the kids that you really have to [serve].

In the area of accountability, most principals responded that MCAS was not really measuring the education system. Some principals stated that parents theoretically could

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transfer out of an underperforming school but the schools they wanted to transfer into had long waiting lists. Thus, transferring was not a readily or easily exercised option.

Regarding instruction, most principalsø responses indicated that data was used to identify areas of challenge. It was important to take the time to interpret the data which drove the instruction along. Good quality teaching needed to be in place with individualized and differentiated instruction. Teachers needed to be teaching what students had to learn in order to move to the next level.

The regulations for the reauthorized Individuals with Disabilities Act (IDEA) became effective in October 2006; this was known as Response to Intervention (RTI)[16] (U.S. Department of Education, 2007). More than one quarter of the principals interviewed mentioned these RTI strategies specifically, as a tool which could be used to equalize the playing field for all students through instructional practices and specific interventions. The law held all principals accountable in ensuring that the RTI strategies and interventions were in place in their respective schools.

<u>Practices</u>

Responses from principals about their practices focused on several issues. One was the use of coaches, which they saw as vital. Coaches needed to work with teachers on improving their teaching. Thus coaches were needed to work systematically throughout the school building. Principals noted that hiring coaches was expensive but

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[16] These RTI tools enable educators to target instructional interventions to studentøs areas of specific need as soon as those needs become apparent. The RTI model has a three-tier continuum of school wide support: tier one (Primary Intervention), for all students using high quality scientific research-based instruction in their general education setting; tier two (Secondary Intervention), for specialized small group instruction of students at risk for academic and behavioral problems; and tier three (Tertiary Intervention) for specialized small group instruction of students with intensive needs (U.S. Department of Education, 2007, p. 14).

would be highly effective. Another principal response was that teachers needed to try different ways of teaching.

The majority of principals reported that they needed more time to get schools to think differently, and to get the districts to think differently about serving students. Most principals stated it would take some creative thinking and financing since more ELL teachers and instructors were needed. Teachers also needed common planning and grade level team meeting times. Principals and teachers both needed to learn to be culturally competent. Teachers needed peer observations to look at best practices. At a small school each staff member focused on a student as a way to try to deal with the NCLB mandate.

Leadership styles and the way principals manage was another issue that fell in the practices category. The interview statements on leadership styles were about the same for all cultural groups. They all stated that school leaders had to be reflective and understand students. They also needed to be able to look at student work and move students to the next level. These principals considered that teachers needed to help students not only in developing academic skills but also in developing social and emotional skills. More time for teacher to teacher collaboration was needed. Some principals stated that they needed to have more support in the area of evaluations, with clear guidelines of what was acceptable and unacceptable. They needed to learn how to analyze data and how to bring it back to the teachers and classrooms. Principals needed to spend more time with students and be in charge of promoting learning and developing study habits. It was the principals who were responsible for everything that happened in the school.

Another issue under practice the principals discussed was professional development (PD). All of the principals responded in the same manner. They stated principals needed to create a learning culture where teachers desired to learn themselves, where they liked studying, solving problems, and collaborating on problems together. They also considered that teachers needed to be committed to PD and needed to be organized. Schools needed to have more PD in differentiating instruction. Schools needed to have PD based on their specific needs instead of having a õone size fits allö program. Most considered PD time needed to be used efficiently instead of having it turn into a gripe session. Funding needed to be in place for RTI training. Finally, these principals stipulated that schools needed to have a mandate for PD to meet the needs of all students.

What seemed to work was enumerated by all principals as follows: 1) Principals needed to empower and encourage teachers to take on leadership roles; 2) they needed to value and view their teachers and staff as members of their family; 3) principals needed to work on the social climate and morale in their schools; 4) they especially needed good interpersonal skills to work with their teachers and staff to accomplish goals; 5)principals needed to ensure that the infrastructure of the school was in place and that staff had a shared vision with the school community.

Of all the principals, only one of the Asian American principals discussed how he was using the research of Michael Fullan (2007) in his school. This principal claimed he re-cultured the school to establish learning communities. The purpose of this was to build a strong professional learning community. Next, he restructured the school so everyone would have shared responsibilities. Lastly, he rescheduled the school day for

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longer hours. Fullan articulated clearly that core values and practices of leadership were

required at all levels of any organization (2007). In point of fact, this principal expressed

some dynamic and valuable insights about bringing about lasting, positive, systemic

change for continual school improvement:

> So if your focus is about good teaching, it¢s a focus about growing a professional
> learning community, and called the student¢s learning community… Intervention
> is [about] articulation and artistically using the time and resources rather than
> having to go with them and then to do a lot of intervention.

On further practices, principals felt that they needed to observe, evaluate, and

have honest conversations with teachers. They needed to build a child centered

environment and earn the trust of teachers in doing so.   Principals also needed to identify

best practices within their own building and possibly re-time schools for longer hours in

the school day. They needed to look at resources that were needed and identify strategies

that were effective and could be implemented. Principals needed to be highly visible.

Lastly, they needed to celebrate their successes (as well as teacher and student successes).

Regarding instruction and the use of data, principals felt that: instruction should

be for all students in RTI Tier One; teachers should play a significant role in student

performance; teachers needed good lesson plans and thematic units; schools needed to

come together to create a system of sharing information, especially on data to drive the

instruction; and the targeted areas of challenge needed to be identified and supports put in

place for students.

As to practices that did not work, a few principals responded that common

planning time had not worked because of the impossibility of scheduling around so many

programs. Also what did not work were instructional leadership teams where teachers

didn¢t buy in to looking at student work as a path to improving academic achievement,

and thus resisted change. Relying heavily on teacher leadership when there wasn't any

follow up did not work either. Developing a program with so many different schedules

was another recipe for disaster. Lastly, blaming students, parents, and teachers was

unproductive and only made everyone angry. A European white principal talked about

inspiring staff rather than blaming them:

> I think it's important to have credibility with your staff in terms of being able to
> do yourself what you are asking them to do, working as hard or harder than you
> are asking them to, lead them rather than blame them, inspire them rather than
> blame them, look at the standards and see if there's a way to help folks reach the
> standards without losing the soul of what they're doing and without losing the
> facts that kids are more than just a test score.

The principals' responses to what had not worked in the area of principal

leadership included: giving top down directions; being authoritarian and forceful; being

too invested; and taking things personally. "Beating ourselves up" was not a useful

response to failure. Instead, principals needed to see poor test results and/or not meeting

AYP as an opportunity to learn and grow from mistakes. What definitely did not work

was "beating around the bush" by being too careful about what needed to be said, rather

than being direct and up front. But "pushing the envelope" and not being compliant

definitely did not work either. Flexibility and honesty were both necessary. An Asian

American principal said:

> I think I am skilled enough now that I've learned how to deliver the
> messages… even to students in the worst case scenarios, and they still walk out
> thanking me. It's really in the delivery of those particular messages. I'm pretty
> transparent about my expectations and [people] rarely walk out of the room and
> wonder what I'm thinking. I try to be pretty honest. Sometimes to a fault, I
> guess.

Responses about what had not worked in the area of school-wide reform were instructional rounds where teachers observed one another and discussed peer observations instead of just the principal observing and evaluating teachers and piecemeal tutoring programs. Principalsø responses for what had not worked in the area of data driven instruction were spending too much time looking at last yearøs data, not obtaining new information on how to proceed with data collection, using data to rank order school districts and schools, and collecting data needlessly.

Other areas that most principals identified as not working included placing students in subgroups including Special Education, Title One, and English language learners (ELLs). One of the European white principals summed up the ELL Program in his school as follows: õEnglish Language Learning has been a disaster. We donøt have enough staff.ö For years, principals with ELL populations in their schools have lacked staff and resources and sought support. Hopefully, these issues finally will be resolved.

Principals responded to how they came up with strategies and where they were drawn from. There were equal numbers of responses from the four cultural groups. The principalsø responses on practice included integrating work, setting goals, and thinking strategically. Principals borrowed strategies, as they saw no need to õre-invent the wheel.ö One of the principals shared that his strategies came from experience, including at the Boston Plan for Excellence, on the recommendation of colleagues. Best practices that have worked included holding conversations with people who were highly regarded. Principals encouraged learning and observing on the job. They used hands-on instructional materials; they listened, reflected and let people know they cared. In terms of leadership, the principals spent time looking at research on adult learning as this

impacted their teaching. They let teachers have ownership of ideas. They wanted to be

the change agent models; they read what researchers, including Michael Fullan, wrote on

leadership. Additionally principals wanted to understand the change process and how to

motivate teachers and students.

Overall, most of the principals credited their mentors, and the professional

literature they read, to helping them understand the learning strategies they used:

> First I had an Assistant Principal, I worked in Bridgewater. Second year of doing
> 5-8 middle school and the principal I worked for had 30 years of experience as a
> change agent. I learned a ton from that experience. I had a great mentor. I was
> involved with decision making. He put me in situations where I was way over my
> head, sink or swim, and I learned. I really focused my career on the inner change
> agent. I read a ton of Michael Fullan and did a lot of reading about leadership,
> corporate leadership, presidential biographies, been really a student of leadership,
> in particular [of] change.

As well as being mentored and reading professional literature, principals got help

from educational organizations, courses, summer institutes, and networking with other

principals. Principals also learned from professional development, conferences,

researchers and authors who shared their work, and great leaders who served as role

models. Personal relationships with other principals and colleagues, and getting

connected with highly performing schools and college professors helped them with

strategies. Principals also developed a commitment for personal growth.

A few of the principals had worked with instructional coaches, who showed them

how to assess strengths and needs and use academic support as early intervention. These

principals had worked with instructional coaches in English language arts and

mathematics and shared that it was beneficial in raising student achievement levels in

their schools. These principals also worked with their instructional coaches to put

support teams in place to work on strategies for helping students and determining

eligibility for special education services. Some principals evaluated teacher performance

and the process of dismissing non-performing teachers. They collaborated, discussed,

and used whatever means they could to get people on board. In return, they understood

and supported staff and were inclusive. Principals had teachers talk to their students and

encouraged great conversations and took learning walksô looking at instruction, student

work, teacher talk vs. student talk, new content learning. They used higher level words

(according to Bloomøs Taxonomy), incorporated specific practices into math instruction,

and knew a variety of interventions. A few principals in the Boston Public Schools

implemented and sustained the Collaborative Coaching Learning Model,[17] improved on

personal growth, were patient and appreciative, and took time to listen.

For specific interventions in regard to the leadership role, the largest number of

responses came from the Latino principals. The job of the principal had become more

than one person could manage. One principal could not work alone and had to back

down a bit to let others lead. Many principals had to delegate responsibilities and find

people who could reinforce them. They needed to understand the difference between

questioning and giving advice. Most principals had to know the history of the school,

build confidence, and influence people. They reported that every principal had to have a

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[17] The Collaborative Coaching and Learning (CCL) model was derived from the best available research about teacher learning and from the experience of teachers and literacy coaches across Boston. A CCL cycle brings together a team of teachers and an instructional coach for a six-to-eight week period. Each cycle contains three main components: 1) inquiry: the team meets to review and discuss reading related to the course of study and relate it to classroom practice; 2) lab site: participants take turns observing and teaching demonstration lessons. Participants review the lesson in a pre-conference. Next they observe the demonstration and analyze the effects of the practice on students during a debrief session; 3) one-on-one support: during the cycle and between cycles, the coach and/or participants make visits to individual classrooms to support teachers as they implement new practices. Though this approach to teacher learning has evolved, many schools continue to run their school-based professional development using some or all components of this model. CCL has been emulated and adapted by districts and schools around the country (Boston Plan for Excellence, 2012).

shared vision with his entire community, continue to learn since one cannot assume anything, and be familiar with the structural needs of the school as well as what was going on in the classrooms and in the building. Finally, a few principals were most effective when they did one or two things well. One principal said that sometimes good managers were lousy leaders.

An Asian American principal described his thoughts about interventions as follows:

> I think the intervention is that if you do things right, you don¢t need to have a lot interventions. You have to guard it so that energy is not used to be wasted in other so- called programs. So if your focus is about good teaching, it¢s a focus about growing a professional learning community. Like that is a different take to it. Intervention is the articulation and is artistically using the time and the resources rather [than] having to go [ahead] with and then do a lot of intervention.

Half the principals said that principals and teachers used formative assessments to know how students were doing at any given time. Principals were not afraid of keeping expectations high. They kept the learning focus on English language arts and math, as subject areas being tested on the Massachusetts Comprehensive Assessment System (MCAS). The test items were aligned with their unit assessments.

Cultural and Ethnic Responses as Leaders

Principals were asked the question: What are some of the social and cultural domains that you have used or drawn from in your role as principal? That is, because you are of a given ethnic group, do you use some of the ways things are done within your own group in your leadership role as a principal? If so, to what extent? Or do you õgo by the book?ö

Because Asian American principals were the focus in this study, it is important to relate their cultural views to the other ethnic groups in the study and to interpret what Asian Americans have stated are unique traits, or ones they have in common with others. There were several responses from the nine Asian American principals, not only on the social and cultural domains they have drawn from in their role as principal, but on their cultural influences while growing up. Seven Chinese American principals felt that they had used their social and cultural domains with students of the same ethnic background; as well, they were able to speak to these studentsø parents in their native language.

An Asian American principal said:

Well, that was my growing up experience. My ethnic group is Chinese and there are thousands of years of history of scholarship in China. My life, my upbringing, is also related to that value of scholarshipô tens of thousands of years of being a respected country.

Another Asian American principal talked about always having to prove herself:

If you are female, and non-white, you have to prove yourself over and over again that you can do the job. So thatøs pretty high internal pressure that we place on ourselves. Thatøs pretty exciting internal motivation.

An Asian American principal said about ethnicity:

What is important for people to start realizing is what their strengths are and what theyøre made up ethnically.

The Hmong principal talked about her using her social and cultural background in her role as principal:

I just think of myself as wanting to make a difference and how do I rally people to make a difference? I am sure that my ethnic background has a lot of bearings as to whom I am.

The majority of Asian American principals considered being able to speak

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the native language to parents very helpful, while the majority of the African

American principals felt that just by being in their schools, they brought exposure

to a new culture. I am who I am as an African American woman, a result of my

ethnicity, the people who raised me, the people who gave me values and morals

and gave me my first perspectives of life and learning.

Another African American principal felt he could relate to parents because

he was from their ethnic group:

I focus on being of African American descent as I bring a lot of that into my experiences in terms of leading the school.

Another principal pointed out that:

Because I am African American, I can go into the deeper levels of economic issues.

In other words, he had had the same economic issues as his students and their

parents.

All of these Asian American principals addressed issues of culture and ethnicity,

but European white and Latino principals mostly in terms of their students or their

teachers instead of themselves. The African American and Asian American principals

spoke about themselves in terms of their culture and their roles as leaders.

Latino principals stated that being able to speak to parents in their native

language, and sharing the same background was helpful in their role:

My personal experience of being a second language learner has helped me to deal with second language learner students and teachers from other cultures.

Another African American principal talked about speaking to parents in their

native language:

I try to be conscious of cultural differences and try to have meetings with parents. If I don't speak their language, I want to get someone who can speak their language.

Latino principals also felt they could relate to parents and teachers because of being familiar with each other:

In my Hispanic culture we are much more social. That might not be the right word. We are more familiar with each other. We are not as formal with each other. I can use that not only with the parents in my school but my staff but again, in getting to know my staff, I'll know how familiar I can get with them. Still as an administrator, I still want to keep a certain level of my respect with my staff.

Another Latino principal talked about feeling connected to those from the same ethnic group:

I am a Latina, a female and minority. I work with Latino families making connections, bonding with people in my own culture.

The responses for the European white principals focused more on ethnicity than on the social and cultural domains that they used or drew on in their leadership role. One of the principals said he was a European white Caucasian from the majority. Another stated that she was Jewish and claimed to have used Yiddish stories and homilies on the opening day of school. An Irish Catholic woman said that her culture treated others cordially and were influenced by their parents to do so, particularly their mothers. One man, as a third generation Italian American who grew up in a blue collar mill town, brought attention to the overlooked issue of classism.

The Italian American principal said:

Sometimes there are people if they feel like upper middle class families, they don't value poor families and I figure the upper and middle class families that I work with have the same needs of all the families.

In response to õHow they alter or adopt changes using the ways things are in their own ethnic or cultural group in their leadership roles as principals?ö Some of their responses were very moving. Included are some of these. The first response was the principal from the Hmong culture.

(As A): So I think in terms of leadership, partly my operation to be a leader is to provide role models to younger girls. This is what our [Hmong] culture has to give to us. That doesnøt mean that this is the road to follow. You know what I said to my teachers on the first day of school is, without education, I wouldnøt be here today. I grew up on the south side of Providence. If you know Providence at all, itøs a very tough neighborhood. There was a group of about 11 girls that I grew up with. Three of us went to college and have careers. I would have to say 6 of us were married by the time it was a year out of high schoolí and itøs the choices that I make and the consequences for that. But my dad is a leader within our community and I saw his leadership style and I say heøs a great, great man. I love him immensely. But we just have really completely opposite views on leadership. Growing up, I saw the impact he had on people by being a great leader, having the informal role as leader. I really wanted to make that impact on people.

(As A): What is good for me is that my parents are immigrants. Their first language is not English. My family is an extended family and we were not wealthy. We lived in a slum. I grew up on the top of a grocery store. The business was on the first floor and we lived on the second floor, and we lived in the cityí My job is to make sure that teachers understand that they have so much power over the fate of the kids in our school and not waste any time because every minute is precious. I had trauma and violence in my family and in our neighborhoods. My father was shot and killed over a bag of change in front of the grocery store where we lived. In spite of that, because we had an extended family, etc., my brothers and I (the three of us), still grew up to have professional and successful livesô in spite of poverty, trauma and language [differences]. So, I want the same for every single kid that comes through this door in my school to have that opportunity and access to education that will bring them to a different place in their lives. So that is how we are going to level the playing field.

(As A): I have always in my cultureí not one of your best but go beyond thatí Society looks at me as a member for a certain group. Therefore, if I succeed or not succeed has a huge impact on who comes after me. Because if I made a mistake, it will be oh, those people are like that. If I succeed, then it might be individualí So you better do your best because people do not expect you to fail. Not expect but they will be happy if you

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fail. It's like the norm, if it's a white male principal, if they make a mistake; it's probably just a slip. You know, or is it that this particular person, this individual, did not know how to do it? But if you are female, and non-white, unless you can prove, you have to prove and prove yourself over and over again and again that you can do the job.

(As A): This is an interesting question to me because I don't know how to answer that question. Both of my parents are Chinese. I, on the other hand, because my father had a business in Japan, moved [there] when I was 9 years old. In that sense I grew up in Japan but when I lived there I went to a French and English speaking school. So in terms of my ethnicity, I don't have such a strong ethnic identity.

(As A): So I grew up with Chinese parents who spoke Chinese at home. I was considered to be very traditional because of my family. But as I got older, the values that they taught me and my brothers were perhaps typically Chinese values. And that has helped me, I think, helped create this bi-cultural learning. It helps to talk to the Chinese teachers, little, subtle things, in terms of language, how you would say something to another Asian teacher, you have to be conscious of this. Asians can be less direct although at times, it can be very direct. It can be, it's hard to describe, but some of the things, I feel may come more naturally to me than someone who is not of Chinese descent.

(As A): I think from an ethnic perspective, I grew up, [and] my dad died when I was kind of young, so I kind of watched my mom struggle with nine kids, and I was the youngest of the nine. You know, where she worked in a restaurant business that was family owned. And I watched her overcome some real ethnic barriers, and that, so she has kind of a õno quitö and õyou can't beat meö attitude, and I think that those are some things I've adopted from her, whether it's cultural, you know, or ethnic, but I think that clearly, those are some of the things that I've learned from her. What I've learned from other people is that it really takes a village when you talk about education. I always see it as collaboration and cooperation.

One of the Asian American principal's responses was on the acknowledgement

and awareness of one's own heritage.

(As A): I think the most effective people are the people who acknowledge and also are aware of their own heritageí What is important is for people to start realizing what their strengths are and what their makeup [is] ethnically. Those are the things I view that would be helpful to me.

The following were responses from two African American (Af A), two Latinos

(L), and two European white (EW) principals on race, cultural influences, heritage, and

growing up experiences.

(Af A): [My staff] had no idea how old I was, they thought I did three
years of teaching and on into leadership but they don¢t know that black
folks don¢t age. People of color, we don¢t age. We never age. So I
shared the story with them when I was in Grade One in Jamaica and in my
classroom were 60 students to one teacher. It was the first marking term
and I was excited because I told my mom I was number five in the
classroom. And I was all excited as a six year old. You know of all the
kids, I ranked number five. My mom looked me straight in the face. So
the next marking term, I was home and I said to my mom, õOh guess
what, I am number one in my class.ö She looked me dead in the face and
said, õGood, stay there.ö So from a very early age, I learned that
education was very important and I bring that to my role as leader.

(Af A): I am who I am as a result of my ethnicity, the people who raised
me, the people who gave me value, morals and gave me my first
perspective of life and learning. But that has also been influenced by the
books I have read, the ethnic groups I have met, by the experiences that I
have had over time. I do not think there is a professional me that has
evolved where my ethnicity does not get in the way. I am very much
aware of who I am as a black woman. I am very much aware that I still
find myself in 2011 in situations where I am the only person of color. It
still baffles me but it no longer hinders me from being outspoken, from
being comfortable, and from saying yes, I belong here, that¢s why I am
here.

(L): I think my culture influences how some of [the] meetings go. I had
someone I always respected very highly and he always said when you
have to have a difficult conversation with a teacher, sometimes the best
place is to sit down and have coffee with them and I think that¢s a cultural
thing, that perhaps someone else might not do it that way. I try not to let
my culture get in the way but I am sensitive also if I feel that someone is
being wronged because they are ethnic and sometimes I point it out
because I have a certain amount of sensibilities to that.

(L): I absolutely embrace my social ethics and heritage. I absolutely
believe that kids need to understand who they are, where they come from
because that¢s what they do to some kids. If it¢s a [Latino last name]
guess what, you will always be identified Latino, Hispanic of some sort.
You need to understand your last name. You need to create and
understand what Ramos is. You need to create and understand your

ethnicity and feel proud about who you are in order to get ahead in the world.

(EW): In my culture, arguing is good. Arguing is actually a sign of respect. Sitting quietly with someone and not disagreeing with them is actually a sign that you don¢t respect them enough to care to argue with them. It is a different way of looking at the world than is true in other cultures, where in other cultures arguing would be disrespectful. This is part of the explanation for why Jews would be louder, more argumentativeí So anyway, the other values of my ethnic group in education is how you get ahead. For Jews in America, education is valued and you get ahead by availing yourself with all education opportunities. So, that having been said, I subject my staff to many of these predispositions because I think it¢s really hard to separate yourself from whom you are.

(EW): [I] grew up in a blue-collar mill town. I have been able to, I think [because of] the way I grew up and how I was brought upí I have a greater understanding, [of] different people from different socio-economic backgrounds. I think that¢s very much a skill or a valuable set of experiences to have. I think having grown up on a farm, relatively poor, gives you a different perspective on thingsí .I grew up as an Italian American. You¢re taught to really take a back seat role, be a strong advocate for yourself or humility. It plays against a lot of things you have to do as a leader.

Responses to how principals alter or adopt changes using some of the ways things are their own ethnic or cultural group showed several issues. An Asian American principal stated that you have to show you can do it better for people to respect you ó longer working hours, being accessible, going out of your way to show people you know what you are talking about, learning to stand your ground, even though the Asian American culture expects its members to be humble and not brag about themselves. Another Chinese American principal stated that he adopted a more typical American approach both with language and with wisdom. The family approach was adopted by another principal, õIf you take care of people, people will take care of you.ö

An African American principal responded:

We constantly altered and adopted changes in the way we did things. [For African Americans,] what was important was for people to start realizing what their strengths were and what they're made up of ethnically.
Principals had to be culturally and ethnically comfortable with people they worked with every day.

One principal stated that her own ethnic and cultural group showed in who she is and how she deals with things.

Responses on Reauthorization

From the above, the role of culture is not salient but residual and is mostly kept as a personal issue which arises only when in contact with ethnic parents of the same group. However, all of the principals had something to say about the reauthorization.

When principals were asked what helped them comply with MERA and with NCLB at a level they were satisfied with, they claimed that there were more student subgroups in urban schools— every race, every language, and a range of economic groups. What helped with compliance was making Adequate Yearly Progress (AYP), but AYP determinations did not take into account a school's population changes. Principals were pleased that Massachusetts did not lower the bar on the standards.

From the principal's responses, what helped principals comply were meeting the district goals and taking advantage of the professional development programs that were offered from year to year. One principal gave a teacher the flexibility to deviate from the mandated curriculum from her school district because she thought that was what good teachers do, taking risks to see what really worked. For some principals it was really about changing culture and climate, about building relationships.

Here are ways principals have responded to questions on compliance.

(Af A): What helps me to comply? It's because I recognize that our children have to compete in the real world. They have to meet the

standards that everybody else meetsí We expect the best from our children. What they decide to do after they graduate, thatøs up to them and thatøs up to their parents. But in terms of educational experiences, we work with all of them as though they are going to be lawyers, doctors, brain surgeons, airplane pilots, and engineers

(As A): I think my experience has helped me most to comply. You know itøs what you learn. I think that itøs always helpful to have supportive people around you especially a superintendent that is supportive of some of the things that you do. Iøve been in situations where the superintendent has been less supportive and itøs virtually an impossible jog to do if your superintendent is not a strong advocate for what your desires are.

(As A): I have a superintendent who just came out of a principalship into the superintendency and itøs very clear, heøs made it very, very clear that the most important role in education is the principalship. So he has given a lot of the power that hasnøt been back to principals. This year, heøs making longer changes. I think he is going to continue making those changes. He does that because he was a principal and he understands the frustration of the principalship. So [it helps me] comply with all these laws to have a superintendent who is complying with all these laws.

Principals were asked if being a principal under MERA and NCLB made them leaders in their schools. Were there other attributes that are not encompassed by these laws that should be considered? The principals claimed that no law made you a school leader ó it was more than just the law. The laws helped in a lot of ways but there were so many attributes that were not encompassed by the laws, which told people they had to use common sense to do the job. The laws had not made anyone an operational leader; it made principals instructional leaders instead. Principals had to earn the respect of their staff. Leadership was something principals had to work at all the time. Finally, a school was run in partnership ó everyone had a stake.

NCLB and MERA gave principals parameters to follow but not the solutions. NCLB and MERA do not define principals. It was their principles, personal commitment, and values that defined principals. Principals had to do their best because the law

required it; they could be removed if their schools were underperforming. For principals, meeting AYP was a personal gratification, a part of professionalism. Principals had to do more than what their job requirements entailed.

Two principals responded on whether the laws made principals leaders of their schools.

> (As A): It's hard to say but I think definitely the attributes over and over again, is like human piece. I don't know how you have created a law to encompass that. I really think that when you work with so many groups of people that we have to have an understanding of how the human mind, of how the human heart works and try to rally that all together. It's in everything that we do. I don't think there's any principal that can say that it's not on their minds one way or the other. These laws that are out there that impact you on the work that we do on a day to day basis.

> (L): Nickleby (NCLB) just looks at the accountability and yes, it gives parents choices... It's about [a] personalization piece that is missing. They think they can bring in business people to come and lead a school. Leading a school is not just about tests, not just about the money, not just about having kids in the classroom, having a book in front of them and having the seats there. It's about the personal connections that you need the commitment, the time, and the heart that goes not only into teaching but into leading as well.

It was interesting to note that the above principal referred to NCLB as Nickleby.

Only principals who had been in their job for fewer than 10 years referred to the law this way. Principals discussed their leadership and the responsibility that came with it. Principals claimed that once their focus was too much on the letter of the law, they were less human. Assessment and data analysis helped to understand the community of learners.

The following sums up how principals understood their community after NCLB.

> (EW): I already understood my community of learners. It [NCLB] has brought into high relief that people are either wildly optimistic in terms of

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really believing that even the most severely disabled kids can all be proficient, have proficient skills, and go to college, that all kids are going to be proficient, including my kids. Either people are being wildly optimistic or in fact they are being incredibly cynical and basically throwing my kids away. Basically, my kids are not part of the 100% that they are considering and they're not valuing things that students can do. They are valuing the student who works incredibly hard and takes five or six years to accomplish what other kids are accomplishing in four, or they're not valuing the student who works incredibly hard and goes from being a non-reader to having skills at third or fourth grade level who can actually be a contributing member to society, [but] not by going to college and having a college job. It really devalues a lot of kids. It's not easy. It's complicated. I wouldn't want anyone to say, õWell, you're selling kids short, really everyone can accomplish.ö Yeah, a lot of kids can accomplish but there's a chunk of kids, we don't know what [they can do], yet.

Principals claimed that while standards were needed and welcomed, tests didn't tell them anything they didn't know about their students beforehand.

The use of data was one way, but not necessarily the only one, to understand a community of learners, and data could be used without the law. Principals looked at all of the data, at every student, and also at every teacher. They asked that teachers collaborate with each other instead of teaching alone in the classroom. Principals had to focus on all the learners in their schools, whether those learners were adults or children.

Most of the principals indicated that they needed to have taken a course in law in order to understand MERA and NCLB. They wanted to comply with guidelines and they realized that there was a lot to inspiring teachers and running a school. Principals had to know their limitations, or their strengths would become weaknesses. New principals needed to be aware of rules and regulations. A new principal needed a mentor, a sounding board, and subject area coaches. Some principals wanted to make the law

practical. Leadership was making the document come alive. Principals were mindful of

different strategies, and aware that they needed to make connections with others and not

go it alone. They also needed to learn the district expectations. A few principals

protected themselves from discouragement over test scores that didn't reflect the growth

teachers and students were making.

The following principal talked about following the letter of the law.

(As A): Once your focus is too much on the letter of the law, it makes you less human. You need to have a lot of humility in doing the work we do. There are times just like when you know you say I cannot demand that everybody be a 100% highly effective teacher because there will be times in their lives when they cannot do it… But NCLB and all that stuff kind of makes you forget that you're dealing with human being here, it's not just numbers. So really [my] advice [to] principals: you should do this work because you are committed, that this is the right thing to do because you are committed to building a better society.

Here is a principal's response on giving counsel to a new principal under

NCLB:

(Af A): I wouldn't counsel them under this act to use anything in it to govern who they become as leader. If they were to do this, they would become a leader who would be very robotic and a leader who is emotionally detached. You would become a leader who only sees test scores and that's it. You would not develop a school where when you walk in there's a warm feeling that is inviting, that is trustworthy.

Although NCLB was about being responsible for all children, the principals in

the survey felt that the people who had developed the laws were not educators. They

may have been intelligent and well educated, but they still could not teach. Concerning

reauthorization, most principals, particularly the Asian Americans, stated that the

political climate had changed and they hoped that legislators would listen to educators

about the issues.

All principals said that requiring every student to be 100% proficient by 2014 was unrealistic. MERA made a mistake by providing instability in leadership positions. Principals needed to be on the job for longer periods of time in spite of changing superintendents. Principals felt that the high stakes testing should be dropped as MERA and NCLB placed unrealistically high expectations on schools. States needed to recognize the differences between and among schools. A majority of principals waited for the development of a national common assessment.

While principals were held accountable they believed that all of a school's stakeholders also should be held accountable. They felt that the federal government needed to be held accountable as well. Most of the principals wanted support and not punitive action taken against them. They did not look favorably at bureaucracy, as there seemed to be more people sitting in the central office than were necessary. They suggested that the corporate model be studied and merit pay considered, even though there seemed to be pushback from teachers on this issue. Most of the principals declared that whoever set 2014 as the year for all students to be proficient was a little bit crazy. They felt that this date was arbitrary and just the fact that there were students on individualized education plans with alternative assessment portfolios meant that educators needed extra time to properly assess these students. Most of the principals also felt that there needed to be a better plan for special subgroups of kids, especially students in special education and English language learners.

Principals stated that both reform laws needed to be revised and updated to align with common standards the majority of principals could agree on. Then schools would have one common assessment, instead of each state having its own and trying to calibrate

and do their own testing. A few principals stated that they had to figure out the balance between the urgency of the law and what it really took to get students to become lifelong learners. They felt that standards shouldn't be lowered, but states had to understand that some students took more time than others to reach proficiency. Principals also noted that some students did not have access to the small group or one on one instruction that they needed in specialized reading programs.

The needs of the students often exceeded a school's resources in a down economy. Too many resources seemed to be going into testing, monitoring, punishing, compliance, and not enough into teaching students and learning how to meet their needs. In terms of MERA, the state needed to reassess its funding formula; and lastly, NCLB needed to be modified and reauthorized. All of the principals thought overall that NCLB needed to be modified or abolished.

Lastly, most principals learned to build systems of capacity, to take care of the students they had. They felt that expectations needed to be kept high as they continued to examine the data on student test results and student work, but that the cookie cutter approach didn't work anymore.

All of the principals made some recommendations. Among these were: 1) create a plan of action; 2) remove punitive labeling of schools; 3) allocate resources so that the law is fully funded in its entirety; 4) have the Department of Elementary and Secondary Education look at other forms of assessment and incorporate them into school performance evaluations; 5) use a different growth model that compares each student to his or her own growth performance; 6) make assessments available in the ELL student's native language; 7) support teachers' unions to see that their responsibility is not always

to the teachers' rank and file but to students; 8) negotiate new teacher contracts; 9) set common standards for all states; and 10) hire additional staff to provide supports at all levels so that all students could reach proficiency.

Most of the principals stated that it was very important to hold people accountable in terms of equity and a few dubbed this "the access gap." They felt that their students did not have equal access to the technology that they needed, or to field trips and other enriching experiences as compared to students in wealthier communities. Overall, principals were strong proponents of high standards and high expectations of students; so that everyone would become proficient, but the amount of time that went into the work of alternately assessing students with portfolios was too time consuming for teachers to complete the task. An Asian American principal defined accountability as the opportunity for children to have the ability to demonstrate their knowledge; it was not supposed to be such a cumbersome burden to the teachers, or to the students.

One principal suggested that the idea of a turnaround principal was unrealistic. He questioned whether there were such people, who could turn a school around in two years. The principals suggested that legislators listen to "those in the trenches" about accountability. Their expectations had to be realistic (as 100% proficiency was not). States needed to provide better access to schools that parents wanted to transfer their children to. At the same time, comparing schools based on their deficiencies penalized certain schools; principals had a difficult time with this, and the punitive nature of MERA and NCLB, because they "don't choose their customers."

In responding to whether there were other issues the principals wanted to raise about MERA and NCLB, most thought the laws needed to focus on policies and practices

pertaining to principals, and to outcomes of the law. The principals stressed their leadership role; accountability; language instruction for ELL students; and better use of funds.

There had been lots of political debate over MERA and NCLB and their inevitable loopholes. All principals believed that MERA and NCLB needed more details, and a plan to ensure student success. These laws had affected schools profoundly, but educators and legislators needed õto be on the same pageö regarding goals and student achievement. Some principals also felt that educational reform had removed their job protection and made them vulnerable. Overall, this did not decrease effectiveness as principals continued to work harder than ever.

Some principals wanted to know how to motivate students. They knew that the growth model was forthcoming and approved of it. They suggested that publishing companies present diverse families in their books, and pointed out that there were not enough books on Native Americans. An Asian American Principal said the following about NCLB:

> (As A): The problem is that we do not have the best to teach. These rules [the law] might give us a little better [idea of our goals] but it [learning] is not about that, it is about the motivation, the love of teaching, the esteem and all those things have to be in there. This law does not give that way.

Principals needed more leverage and autonomy but they felt that a principal could not lead if he or she did not know the work. Considering all the pressure they were under, principals also needed a sense of humor to do the job, as well as more authority to maintain high expectations and ensure that teachers were doing their jobs.

In regards to language instruction for ELL students, principals wanted to look at the practices in place to help ELL students, as well as the research on second language learners, and advocate for more studies. Some of them brought up the UNZ Initiative or what the Department of Elementary and Secondary Education had implemented for second language learners

All principals felt strongly that they needed more resources in order to get the job done. They wanted to know who at the district level should make decisions about resources. They felt there was no direct correlation between the laws and school accountability with regard to resources. In other words, there were many mandates but the financial support to meet them was lacking.

CHAPTER 6

DISCUSSION OF FINDINGS AND CONCLUSION

This study began in 2004, two years after the NCLB Federal Law had been re-authorized and implemented in the public schools across the U.S. The study followed the changes and further developments of the law, paying particular attention to its effect on the leadership roles of principals. Its intent was to analyze how principals understood and responded to the MERA and NCLB laws, to define the leadership roles of principals and their everyday practices, how they made decisions, and how they used strategies that extended, changed, or created alternative opportunities for students and teachers in their schools. Using a macro level general survey and in depth interviews at the micro level with principals of different ethnic groups, the end result was to capture generic themes that arose from the data such as:

- The specific leadership roles of principals, and how their decision-making and practices were influenced by NCLB.

- How principals' backgrounds and culture influenced their leadership practices, whether they were from a mainstream or a minority background (including European whites, Latinos, African Americans, and Asian Americans).

- What implications from this study might prove useful in future policy reforms for MERA in Massachusetts and for NCLB in its reauthorization.

The results of the survey sent to principals had a limited return rate even though the survey had been piloted for issues regarding time and clarity. While a total of 137 principals returned a completed survey, twenty principals did not answer the open-ended questions at the end. The principals interviewed had positive feelings about participating in a study about elementary principalsø leadership, decision-making, and practices. It was the first time some of them had been invited to participate in such a study; and the interviews presented a different picture than the survey. Some of the principals were well informed on the forthcoming changes, yet it was clear from the survey that many principals passed up that opportunity to comment on educational reform.

Discussion of Findings

In the general survey several issues stood out: Principals identified budgetary constraints to meeting NCLB goals, and many of them expressed dissatisfaction with the lack of resources and actual, available funding. In addition, principals identified subgroups at risk of underperforming, and signaled in particular: English language learners, learning disabled and impoverished students. Many of the principals had not had the type of training which would allow them to see these students in terms of their specific needs; they could only adopt a color blind policy, and treat them as students without particular needs. Many principals identified the lack of educational services as another challenge, which made their jobs more difficult and meant that those with the most know-how or savvy might be able to perform the basic services, while those without access to such services could only try to do their best. But all the principals agreed that NCLB had had a positive influence on professional development and increasing student achievement.

Regarding MERA, principals felt positive about being held accountable, hiring and firing teachers, evaluating teachers, having professional development and certified staff, awarding professional status to teachers after three successful consecutive years of service, and expelling students for dangerous and destructive behaviors. These aspects of the reform were welcomed respites in their everyday work with youth and their families; and they agreed wholeheartedly that MERA had begun to put some teeth into the role of principals as leaders and not simply managers. However, most principals were negative about principals being removed immediately for a school's underperformance, seeing this as not only unfair but unethical given in the face of teaching students in different subgroups without proper funding. They noted that such a situation did not level the playing field or advance their leadership.

The majority of principals regarded NCLB influences on principals' practices as positive; they were learning about being held accountable, addressing the individual needs of students, providing funds for professional development, and meeting the needs of English language learners, students with learning disabilities, and impoverished students. The principals were not happy about giving merit pay to teachers whose students made significant academic progress because this put other teachers in a negative light. Teachers' unions also had condemned merit pay as an unfair way to judge teachers, since student demographics differed so greatly, thus the playing field was not level and teachers could not be identified by their students' achievement. As a better response to NCLB's high stakes, principals' associations recommended that principals help their staff use data, for diagnosis and instructional improvement, and to identify the best way to allocate resources (Educational Research Services, 2003).

The principals were in total agreement on the alignment of standards introduced by the National Association of Elementary School Principals' report in 2001, called *Leading Learning Communities: Standards for What Principals Should Know and Be Able to Do.* Principals believed standards were effective not only for students, but more importantly for teachers, for using data and maintaining strong instructional programs across the curriculum.

Most of the principals felt more positive about their roles as principals and the quality and extent of school practices after NCLB, although they noted a narrowing of the curriculum, where principals only focused on what was being tested on the state assessments, which they regarded negatively. The majority of principals stated that their roles had evolved and changed dramatically from the 1980s, where the ideal principal was an instructional leader to a more data driven, scientific researcher and incredible labor intensive type of leader.

Overall the majority of principals considered that accountability and the influence of MERA and/or NCLB had had positive influences on school leadership, mentorship, professional development, and student and adult learning. More importantly, they had helped align policies to effective teaching and learning. Principals also remarked that both laws had had positive influences on school wide programs because they were able to target assisted schools, provide school support and awards to teachers, use academic assessments, improve literacy, make use of technology, provide instruction for all students, conduct outreach for parental and community involvement, and allocate funds. Additionally, principals remarked that both MERA and NCLB had had positive influences on their leadership in decision making and practices.

The majority of principals alleged that MERA and NCLB had changed them as principals, yet in addressing whether their schools were meeting Adequate Yearly Progress targets, they had mixed responses. Principals whose schools were meeting this goal were very positive; those who weren¢t expressed frustration. Time and again, the issue of the uneven õplaying fieldö was reiterated, especially when comparing urban, suburban, and rural schools. Most principals believed that the ante for trying to level the playing field was higher in urban schools than in suburban or rural schools, where additional funding could be obtained.

Also they had uneven outcomes of accountability, professional development, differentiated instruction, formative assessments, data driven instruction, and attention to student subgroups (mainly English language learners and learning disabled students) after NCLB. Most principals found that merit pay, limited funding, bonuses being paid out for test scores, teaching to the test, narrowing the curriculum, having to meet unrealistic goals, and doing excessive paper work were disheartening at best, and counterproductive at worst. In addition, the particular difficulties of urban school principals created inequalities, as did being notable as a school in need of improvement.

Most principals considered their leadership depended upon the need to ensure that all teachers were highly qualified and to try to level the playing field as their most significant tasks. Most principals thought that equalizing funding would help bring about equity. They also thought that a schooløs growth should not be measured only by standardized test results; and they agreed that these tests results would best be used as information to support schools, rather than as a weapon to punish them.

Lastly, all of the principals believed that it was time for national standards. Their statements were no doubt in support of the development and implementation of the Common Core State Standards that came out in the fall of 2013 (U.S. Department of Education, 2010). Many of the principals stated that they had become better instructional leaders, and agreed on the need for collaboration, formative assessments, and in-place systems that would ensure students had higher levels of academic achievement.

However, not all principals regarded the changes from the laws as for the better. Some principals cited that increased paperwork, data, and testing added so much work to their role as principals that one person could not handle it all. Still others were not sure that they had become more effective because of the NCLB.

Principals had multiple suggestions for new principals which included that new principals read the law, and become familiar with best practices and data driven decision-making. In addition, they recommended that new principals needed to know their students; align instruction with standards; have their teachers take teaching and learning seriously, trust their instincts and needed to have the mandates funded. One principal was not convinced that NCLB was here to stay and foresaw a rather limited shelf life for the law.

Although principals stated that new principals should become familiar with the laws, the No Child Left Behind federal law covered over 700 pages by itself. Some of the principals admitted to not having read the laws in their entirety, but only those sections pertaining to the basic requirements of the laws, and those addressing principals.

The in-depth interviews revealed a deeper insight of the principals, their roles, and the importance of their cultural backgrounds since 36 principals, of which 9 each from

European white, Latino, African American, and Asian American responded with their own perspectives.

Most of the principals cited the significance of accountability arising about MERA and NCLB as the most critical impact. Accountability was closely linked to leadership, decision making, instructional practices, data driven information, and technology integration. With regard to the ways the laws made schools better and principals better leaders, the themes that emerged focused on the significance of leadership, decision-making, and instructional practices.

<div align="center">Leadership Roles</div>

Principals looked at their leadership roles in terms of the ways they could support students in collaboration with the school community. This was in line with the research of Michael Schmoker (2006), and his study on methods of teaching and learning. Schmoker advocated teaching higher-order learning, such as authentic literacy and critical thinking, through teacher-led teams, and suggested that principals, and leaders at all levels support this higher-order learning to increase student achievement (Schmoker, 2006).

Principals indicated they could not do their jobs alone anymore, and had to rely on their staff and on teachers to help them do their job. The fact of teachers taking on leadership roles to accomplish goals was corroborated by the research of Irvin Buchen (2004), who called this distributed leadership. Schools had to become more cooperative, collective, and collaborative to create such a culture. In fact, such principal and teacher leadership teams have absorbed and solved many problems according to Buchen (2004), and in this respect, the research supported the perspective of the principals in this study.

Practices

The thinking of the majority of these principals also agreed with the empirical studies of Richard Castallo (2001), who claimed schools that adopted this kind of approach showed greater gains in their studentsøscores, as administrators shifted their attention from monitoring to discussing student outcomes and expectations on a regular basis. For professional development, principals wanted to create a learning culture where teachers learned, solved problems, examined methods of instruction, and undertook professional development based on their needs.

Other key responses about their practices included a focus on children, collaboration, creating professional learning communities, identifying best practices within their own school, and using data to drive teaching and learning. Of the strategies that did not work for these principals, several stood out: blaming teachers, parents, students; identifying teachers who resist change; and developing programs with heavy schedules. One principal had at least 6 different schedules to consider.

Decision Making

For greater accountability, most of the principals said they used data to set goals, identify targets, align high-stakes assessments, and improve schools by increasing time allotted for classes. Overall, school improvement was about using data to drive instructional practices. A data analysis would be used to decide on an instructional program or school model such as Success for All (Slavin), Accelerated Schools (Levin), or School Development (Comer), etc. To launch a new program, money and training were needed for teachers and staff. Then the instructional program or school model had to be reviewed. If proven effective, these programs had to be sustained through a budget

process where all stakeholders were asked for input and/or approval on the amount of money to spend, etc.

While all of the principals supported NCLB in general, and accountability in particular, several issues stood out: 1) Asian American principals were concerned with the policies and procedures of NCLB and MERA, since their decision making and practices were driven by greater accountability; 2) European white principals also stated the importance of accountability as a measure of their roles; 3) African American and Latino principals, on the other hand, were more concerned with compliance with the laws; 4) African Americans based their expectations for principals on their cultural norms of ethnic connections and folk culture; 5) Latinos were more community oriented, focused on being part of their community and working through the community. Most Puerto Ricans understood the system, yet identified themselves as Latinos. Those who were Columbian, Cuban, etc., did not revert to their cultural roots necessarily, but used the community structure of what the community members expected as a way to deliver services; 6) European whites, as the mainstream or dominant ethnic group, knew their power domains and how to collaborate with diverse ethnic groups, especially in terms of the populations they served.

The research of Min Zhou (2011) was useful in explaining the similar perspectives of European white and Asian American principals. Her research indicated that Asians born in the U.S. who have lived their lives amidst the white middle class, speak accent-less English and English only, interact with whites, and consider themselves as an indistinguishable part of white middle class suburbia (Zhou, 2011). This assimilation into mainstream culture by the second generation accorded with the

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backgrounds of most of the Asian-American principals in the study, of whom all were Chinese, except for one Hmong. While two Chinese-American principals of the second generation told moving stories about how their childhood experiences had shaped them, references to the influence of their childhoods were noticeably absent when these same principals responded to whether they had drawn from their social or cultural domains in their role as principals. Zhou (2011) stated that õethnic identity associated with a homeland has become blurred among the second or third generations, who have lost their ancestral languages, inter-married at rates far exceeding the national average, and are no longer involved with their communities on a daily basis, thus making their ethnicity symbolicö (p. 112).

Of the total number of principals, the African American and Latino principals were the most concerned with meeting the Adequate Yearly Progress requirements. Due to greater accountability and in order to be in compliance, these principals changed their leadership roles profoundly over the years. The majority of African American and Latino principals thought they needed more familiarity with the laws because it would make them more strategic and deliberate in improving schools. They sensed the urgency in increasing student achievement. The African American principals were the largest among all the cultural groups to state that the laws affected their practices and affected their communities. These principals had become became more reflective; gained a greater sense of leadership, especially shared leadership; used data to drive their decisions; and sustained instructional leadership teams in English language arts and math; and had learned to align curriculum with assessments.

At least eight of the 36 principals stated that one of the challenges in implementing the laws was that there was no plan or blueprint in place so principals would know how to achieve the goal of having all students be proficient. Principals also complained about sustaining school programs without adequate funding. The Blueprint for Reform (2010) was supposed to be exactly that, a blueprint to reform the NCLB. At the time of the study it was still too soon to tell how effective this blueprint had been, although the Obama administration claimed that student achievement had increased.

Mostly the African American and Latino principals noted that there were very few public schools serving large populations of poor students that had been able to meet the requirements of MERA and NCLB. Yet of all of the principals who expressed concern that policies and procedures were not working to equalize the playing field, the Asian American principals were the most outspoken. One stated: õThe laws have made us aware of an achievement gap and when not implemented correctly, the law has become a bully.ö

The majority of principals, with African Americans and Asian Americans in equal numbers, believed that MCAS was not really measuring the educational system. They thought that the theory of school choice did not match the reality; parents who wanted to transfer their children from underperforming schools faced long waiting lists to get into schools deemed high performing. Even the notion of equalizing the playing field by providing similar funding so that all students got a quality education received multiple responses.

One of the European white principals stated the laws had equalized the playing field due to the establishment of common standards. He went on to say that ELL

populations were being underserved. An Asian American principal thought the law had not promoted equity because of the odd funding formula in Massachusetts, which no one seemed to understand. The neediest of students, among them the ELLs, remained in most need because of limited resources and support.

The majority of principals mentioned *Response to Intervention* specifically, as a tool to enact equity for all students. To improve student performance and increase teacher professionalism, principals advocated using coaches for teachers. The principals noted that coaches were expensive but effective, since teachers needed support to look at student work and help students socially and academically. Principals also addressed practices in which English as a Second Language (ESL) teachers and instructors collaborated in developing curriculum, professionalizing highly qualified teachers, and developing a cultural understanding of the curriculum.

Practices that Undermined Leadership

The Latino principals mostly discussed specific interventions in leadership roles; they indicated that it was important to recognize shortcomings; find people to compensate for them; understand how adults learn; make sense of information, learn how to be an instructional coach; understand and build relationships; understand the difference between questioning and giving advice; focus on continual school improvement; and influence and lead people so they could understand the big picture.

What was striking about the list of interventions the Latino principals suggested was that they centered on building relationships among people. Such a tendency was clearly aligned with the study conducted by the National Community for Latino Leadership in 2001, which surveyed three thousand Latinos. That study revealed that

while other cultural groups emphasized individualism, Latino cultures focused on collectiveness, belonging, and group benefits. This may explain why Latino principals dealt with an irate parent or angry teacher by having coffee with them and listening to their issues and concerns, instead of trying to impose their own view of the situation on the parent or teacher, through reasoned argument.

The principals all discussed cultural differences. Many of them worked in schools where the majority of the students were from their own cultural background. Although their cultures influenced them as people, their cultural backgrounds did not seem to enter into their decision making.

The Asian American principals, mostly Chinese, mentioned the differences between first and second generation Asian American principals. First generation principals had high internal pressures to be successful; they wanted to be educational leaders. One principal stated, õI am much more an out of the box thinker ó I see that change is always a good thing, not just for the sake of change, but the change to make it better.ö

One of the Asian American principals with predominantly Chinese students in his school spoke of the work there based on the research of Michael Fullan (2007). Fullan claimed learning communities have to be established to re-culture and restructure the school, so everyone could share the responsibilities. Zhou (2011) described this as õmoving into the mainstream and accessing resources typically reserved for ̳insidersøö

The second generation Asian American principals discussed their immigrant parentøs ethnicity and cultural values rather their own. Zhou (2011) stated that U.S. born

Americans had become increasingly ambivalent about their identities as they assimilated into American culture.

African American principals discussed their cultural and social norms in schools. One principal stated that just by being in his school, he exposed his school to an African American culture. African American principals stated they were redefining their leadership styles, and that the principal played a number of roles. The most interesting one was to teach children, mold them, and help them develop, which was the true calling ó that is why staff was for the most part was considered culturally proficient.

Principals from the ethnic background of the majority of their students knew how to communicate with families, and were in a position to ensure that policies and practices enabled staff members and student to interact easily and well. In this way the non-mainstream principals were valuable resources to their schools, but the Asian Americans rarely had time to share their effective best practices with each other. On the other hand Latinos and African Americans, with their stronger focus on community, did get together and share practices.

Principals responded that they altered or adopted changes using behavior from their own ethnic group as principals. Asian American principals did not want people to think badly of them as an ethnic group. One principal, who was second generation, adopted a more typically American approach, both with language and with wisdom. Another Asian American principal took a family approach ó take care of people and they will take care of you. Some African American principals constantly altered and adopted changes in the way they did things. One African American principal used cultural experiences to build connections with people by appreciating the differences and giving

them room to grow. Another principal felt that being of African American descent, she had experienced institutional racism, where racism resides within the structure of the organization and is implicit, and she tried to be culturally sensitive to this matter. Latino principals reported that Latinos are known to be expressive and loud and Latino cultures were more familiar and less formal with each other. Their culture made it easier for principals to deal with some teachers and parents. At the same time, Latino groups raised the issue of not being assertive as a culture.

Depending upon their own sub-culture, principals varied in how they interacted with each other. One European white principal said that she was probably the last living WASP. Another said he had been trained by the old (white) boys' network. Other European white principals reported that their own ethnic and cultural groups reflected who they were, how they dealt with things; that courtesy, respecting language, respecting differences, and sharing were all qualities that they valued as a culture. One principal was Jewish and stated that in the end you came up with a plan where everyone agreed on next steps, and that was great.

The Asian American principals alleged they were efficient in getting tasks done. It appears they used what Ricardo Stanton-Salazar (1997) called cultural capital, to rally the school community to complete the tasks that would lead to student achievement. One of the Asian American principals did this by facilitating collaborative work and collective decision making, which gave teachers and staff a sense of ownership in the school. The principal stated that by doing this, he trusted that the process would take care of whatever came up that needed attention.

African American principals were role models to their African American students.

Linda Tillman (2004) found that same race affiliations shaped African American leadership roles and provided commitment to the development of African American students

One Latina principal talked about being perceived not only as the leader in the school but in the Latino community. This aligned with the Latino Leadership study (NCLL, 2001), which revealed that Latinos regarded leadership as emphasizing community service and compassion (NCLL, 2001). When it came to discussing really difficult issues with emotional parents, teachers, or staff, Latino principals seemed able to resolve problems by having coffee in one on one meeting. This practice related to a finding about networking in the working class racial minority from Stanton-Salazar (1997).

For European white principals, different ethnic traditions influenced their leadership role. One European white principal felt that his working class background would prevent him from even seeking a job in an affluent European white community. Another said that as an Italian American he followed the traditions of his culture. On a more humorous note, a European white principal said that she was Jewish and that it was common for members of her family to argue all the time, that arguing was a sign of respect, and that this was why she always argued with the teachers and staff in her school.

The European white principals did not speak of minority issues in their school; this may relate to the study by Susan Chubbuck (2004), who cited examples of Whiteness in school practice although they were difficult to define, because they were hidden. She proposed that when schools discriminated against people of color, the White privilege

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(McIntosh, 1993) inherent in institutional structures kept those privileges from being challenged.

Two African American principals stated that publishing companies needed to present a diversity of people in their books; along with a national curriculum and a national agenda. This aligned to what researchers such as Peter Kiang (2004), Stacy Lee, and Kevin Kumashiro (2005) stated about the history curriculum needing to be inclusive, reflecting the whole past, including contributions and experiences of all Americans. The researchers also agreed that the curriculum needed to be written by or at least include the views of people of color and non-mainstream people.

Recommendations, Implications, and Conclusion

Many of the changes that have occurred since MERA and NCLB were passed into law were supported by the principals in this study. All principals saw the value of accountability, but they wanted to be supported instead of punished in their school improvement efforts, even when they had underperforming students. All principals wanted to have the playing field equalized with more equitable ways of determining growth in their respective schools, especially in student subgroups like special education, Title I, and English language learners. Principals wanted more autonomy in the hiring and firing of staff and the ability to use resources at their discretion. All principals wanted to shift from being focused on day to day operations to becoming instructional leaders in their schools.

The majority of principals recommended the need for curriculum coaches for teachers to increase learning outcomes, even though such coaches were expensive. The practice of working with content area coaches in English language arts, math, etc., was

brought forth in an earlier program in the mid-1980's titled Accelerated Schools that was founded by Henry Levin at Stanford University. This model is appealing as it does not utilize the õcookie cutter approachö or a õone size fits allö for students. Instead, schools are encouraged to make curricular and pedagogical choices that emphasized student strengths, language development across the subject areas, problem solving, and the development of higher ordered thinking skills. With the results that were reported of increased student academic achievement, it is a model worthy of re-exploring for schools with at-risk populations. One Asian American principal suggested that since the role of principals had shifted to that of instructional leaders, it then made all the more sense to train principals to be coaches.

Some principals wanted to re-culture their school communities, to look at student work and assessment data to drive teaching in their schools. Principals wanted to have continual improvement and reach the goal of student proficiency in language arts and math by the year 2014 or beyond as specified in the state's growth model plan. Many principals also wanted a cultural shift in their schools that included Professional Learning Communities (PLC) and Response to Intervention (RTI) strategies to ensure that no child fell through the cracks. Principals wanted on-going professional development for themselves, their teachers, and their staff members.

Another critical recommendation that surfaces from this study is the issue of leadership related to gender. The general survey 75% of the principals were women and 25% were men; while for the in-depth interviews, close to ¾ or 25 of the 36 principals were women. This corroborated the research of Margaret Barber and Debra Meyerson (2007), who noted that the shift to instructional leadership has altered the role of the

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principal. In the past, traditional gender roles within education put women in instructional, classroom-based roles and men in administrative ones. Barber and Meyerson claimed that by emphasizing instructional expertise, principal preparation programs began to attract more women into what had been a traditionally masculine domain.

Margaret Grogan and Carol Shakeshaft (2011) proposed that women lead schools and school districts, and characterized the approaches women used most frequently as: leadership for learning; leadership for social justice; relational leadership; spiritual leadership; and balanced leadership. By attending to the ways women leaders got things done, these researchers noted the power of collective leadership. Furthermore, they claimed that since women essentially were outsiders in the realm of leadership, and women of color even more powerless than white women, having women as leaders would ensure diverse perspectives. Thus the researchers concluded that womenøs leadership of schools across the U.S. suggested a new leadership style, one that relied on diverse perspectives to craft new solutions. Women principals facilitated a shift in how issues were framed and addressed, by deliberately tapping into assumptions that were not included in the past. Grogan and Shakeshaft claimed that õNew directions emerged as outsiders ó voices from the margin ó made decisionsö (p. 3).

One of the Asian American principals, a woman, claimed that she always needed to prove herself as a leader. She is first generation Chinese and her thinking could be explained by Leonard Valverdeøs (2003) claim that women and persons of color have been forced to transform themselves by painting themselves over in white so they would be accepted. A future study then might be the exploration of decision making and

practices of elementary school principals by gender, along with the cultural influences on their leadership roles.

Moreover, research on the role of the Hmong community in its different generations among the leadership of principals is without doubt needed. The Hmong principal in this study, as a woman coming from a male-dominant Asian culture, was challenged not only by the usual role conflicts in being a woman, but because traditional leadership roles in her ethnic group were reserved for males. Of the many Hmong communities in urban settings in the U.S., the second generation (or those who relocated from other countries at a young age) was like their Chinese counterparts, and had assimilated into the U.S. culture. What was strikingly different about this woman's in-depth interview was that childhood influences were evident in her responses to what she had drawn from her social and cultural domains in her role as principal. Could this mean that in the Hmong culture, the second and third generations remain very much involved in their communities? The study of other Asian ethnic groups such as Vietnamese, Filipinos, Taiwanese, South East Asians, Cambodians, etc., would be valuable in understanding cultural issues pertinent to their respective second generations as they assimilate into U.S. society.

A major policy implication from this study was that diverse perspectives, influenced by culture, have shaped the leadership roles of Asian American, African American, Latino, and European white principals. Patricia Neilson (2002) claims that culture and values are brought to the job role. Yvonne Spicer (2004) findings are aligned with Neilson in that she argues that the particular knowledge, values, styles of actions and ways of being that diverse administrators bring to their work, should not be

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ignored. Thus, being aware of the differences in how principals lead schools, make decisions, and implement programs, and how they are influenced by their cultural backgrounds, may be helpful in developing a plan of action to close the achievement gap between cultural groups.

Most non-mainstream principals served school communities where they are from the same cultural background as the majority of the population. With an understanding of the cultures they serve, these principals may be role models for their students as they are able to relate to how their students learn and retain knowledge.

Another implication for future training is that principals and teachers need to have planning time, to discuss best practices for students from different cultural backgrounds. Finding time to meet and collaborate with teachers and their principal colleagues had become more challenging for principals as they were loaded with more responsibilities, and the attendant and inevitable time constraints. For this study it was extremely difficult for principals to find time to talk about leadership, decision making, and so on.

Asian American and Latino principals especially expressed their concerns for English language learners (ELLs), because they did not have the resources for adequate academic services for them. Principals were concerned about talking to their ELLøs parents about how to engage in their childrenøs education, particularly as many schools had to provide translation services for their ELL parents. Communicating with parents was especially important, since for Massachusetts to be granted a waiver from the NCLB requirement of student proficiency by 2014, the state had to develop a growth plan that showed continual student achievement. Principals from the ethnic background of the majority of their students knew how to communicate with families, and ensure that

policies and practices enabled staff members and students to interact effectively. These

non-mainstream principals were valuable resources but rarely had time to share their

effective best practices with each other. Thus time was an issue again. Furthermore,

veteran principals suggested that new principals needed to be ethnically comfortable with

those they served. The evaluation model used in the fall of 2013 assumed that principals

knew what cultural competency meant as defined by the Massachusetts Department of

Elementary and Secondary Education (MA DESE).

My recommendation for future research is defining cultural competency for

educators and what this means especially for the U.S. Department of Education and the

MA DESE in their use of cultural competency and as an indicator in teacher evaluation.

Another is tracing the effects of the new educator evaluation system, with its cultural

competency indicators, over a period of time, to collect evidence on the academic

achievement of students, especially those who are English language learners,

impoverished, and/or learning disabled.

Some principals expressed the need to have studies such as this one and to invite

principals to participate. Most research on this topic has been conducted by educational

researchers, teachers at universities and colleges, among them educator and researcher

Diane Ravitch, who initially was one of NCLBøs strongest proponents, but became one of

its fiercest critics. Others include foundations and organizations, such as the Annenberg

Foundation and the Aspen Institute, that report about NCLB, rarely do the voices of

principals emerge as such. This study has given voice to many of the principals at

elementary schools in Massachusetts. Their view of NCLBøs accountability, principal

roles, and practices should be crucial in determining the direction the reform will take.

APPENDIX A

MASSACHUSETTS EDUCATIONAL REFORM ACT OF 1993:

SECTIONS PERTAINING TO PRINCIPALS

MASSACHUSETTS EDUCATIONAL REFORM ACT 1993-sections pertaining to principals and schools in decision making on interpretation and implementing the law

CHAPTER 71

SEC. IJ. (1). The **principal** of the school shall be immediately removed and shall not be assigned to the school for the following school year unless the board finds that the **principal** did not play a significant role in the under-performance of the school.

SEC. IJ. (2). The superintendent may designate a new **principal** for the school. Any **principal** of a chronically underperforming school shall have such extraordinary powers, including the power to dismiss, in accordance with paragraph (4), any teacher or other employee assigned to the school without regard to the procedures set forth under sections forty-one and forty-two of chapter seventy-one or the provisions of any collective bargaining agreement. Such dismissed teachers shall otherwise retain such rights as may be provided under law or any applicable collective bargaining agreement, except that they shall not have the right to displace any teacher in any other school.

SEC. IJ. (3). In order to recruit and retain talented personnel, the commissioner may make available funds, subject to appropriation, to permit the superintendent during the period of remediation to increase the salary of any **principal** or teacher assigned to the school not more than one percent for every ten percent of the enrollment of the chronically under-performing school comprised of low-income students, as that term is used in chapter seventy.

SEC. IJ. (5). A **principal** appointed to a chronically under-performing school may dismiss a teacher with professional teacher status for good cause, provided that the teacher has received five school days written notice of the decision to terminate. The teacher with professional teacher status may seek review of a termination decision within five school days after receiving notice of his termination by filing a petition for expedited arbitration with the commissioner. An arbitrator shall be selected according to the procedures set forth in section forty two of chapter seventy-one. In reviewing dismissal decisions, the arbitrator shall consider the chronic under-performance of the school to the degree that such under performance is not due to factors beyond the control of the teacher, and the arbitrator shall consider any report from the fact-finding team that evaluates the teacher's performance. The arbitrator's decision shall be issued within ten school days from the completion of the hearing.

SEC. 37H. The superintendent of every school district shall publish the district's policies pertaining to the conduct of teachers and students. Said policies shall prohibit the

use of tobacco products within the school buildings, the school facilities, or on the school grounds, or on school buses by any individual, including school personnel. Copies of these policies shall be provided to any person upon request and without cost by the **principal** of every school within the district.

SEC. 37H (a). Any student who is found on school premises or at school-sponsored or school-related events, including athletic games, in possession of a dangerous weapon, including but not limited to, a gun or a knife, or a controlled substance as defined in chapter ninety-four C, including, but not limited to, marijuana, cocaine, and heroin, may be subject to expulsion from the school or school district by the **principal.**

SEC. 37H (b). Any student who assaults a **principal**, assistant principal, teacher, teacherøs aide or other educational staff on school premises or at school-sponsored or school related events including athletic games, may be subject to expulsion from the school district by the principal.

SEC. 37H (c). Any student who is charged with a violation of either paragraph (a) or (b) shall be notified in writing of an opportunity for a hearing, provided, however, that the student may have representation, along with the opportunity to present evidence and witnesses at the hearing before the **principal.** After said hearing, a **principal** may, in his discretion, decide to suspend rather than expel a student who has been determined by the principal to have violated either paragraph (a) or (b); provided, however, that any **principal** who decides that said student should be suspended shall state in writing to the school committee his reasons for choosing the suspension instead of the expulsion as the most appropriate remedy. In this statement, the **principal** shall represent that, in his opinion, the continued presence of this student in the school will not pose a threat to the safety, security and welfare of the other students and staff in the school.

SEC. 38g. (i). Training and supervision of provisional teachers in state-approved alternative programs shall be provided by a professional support team comprised of a school **principal,** a mentor teacher, a college faculty member and a curriculum advisor. District schools which do not employ curriculum supervisors or have been unable to establish a relationship with a college or university shall provide for comparable expertise on the team. The school **principal** shall serve as the chairperson for the team.

SEC. 38g. (m). All applications for certificates shall be accompanied by a fee to be determined annually by the commissioner of administration under the provisions of section three B of chapter seven. Said fees shall be established so as to allow the departmentøs bureau of teacher certification to operate at no cost to the commonwealth. No person shall be eligible for employment by a school committee as a teacher, **principal,** supervisor, director, guidance counselor and director, guidance counselor and director, school psychologist, school nurse, school librarian, audio-visual media specialist, unified media specialist, school business administrator, superintendent of schools or assistant superintendent of schools unless he has been granted by the board a certificate with respect to the type of position for which he seeks employment; provided however, that nothing herein shall be construed that prevent a school committee from

prescribing additional qualifications; provided, further, that a school committee may upon its request be exempt by the board for any one school year from the requirement in this section to employ certified personnel when compliance therewith would in the opinion of the board constitute a great hardship in securing teachers for the schools of a town. During the time that such a waiver is in effect, service of an employee of a school committee to whom the waiver applies shall not be counted as service in acquiring professional teacher status or other rights under section forty-one.

SEC. 43. For the purposes of this section, a teacher, a school librarian, school adjustment counselor, or school psychologist who has served in the public schools of a district for three consecutive years shall be considered a teacher, and shall be entitled to professional teacher status as provided in section forty-two. The superintendent of said district, upon the recommendation of the **principal**, may award such status to any teacher who has served in the principal's school for not less than one year or to a teacher who has obtained such status in any other public school district in the commonwealth. A teacher without professional teacher status shall be notified in writing on or before June fifteenth whenever such person is not to be employed for the following school year. Unless such notice is given as herein provided, a teacher without such status shall be deemed to be appointed for the following school year. School **principals,** by whatever title their positions may be known, shall not be represented in collective bargaining. School **principals** may enter into individual employment contracts with the districts that employ them concerning the terms and conditions of their employment. Except as provided herein, section forty-two shall not apply to school principals, assistant principals or department heads, although nothing in this section shall deny to any principal, assistant principal or department head any professional teacher status to which he shall otherwise be entitled. A **principal**, assistant principal, department head or other supervisor who has served in that position in the public schools of the district for three consecutive years shall not be dismissed or demoted except for good cause. Only a superintendent may dismiss a **principal**. A **principal**, assistant principal, department head or other supervisor shall not be dismissed unless he has been furnished with a written notice of intent to dismiss with an explanation of the grounds for the dismissal, and, if he so requests, has been given a reasonable opportunity within seven days after receiving such notice to review the decision with the superintendent at which meeting such employee may be represented by an attorney or other representative to present information pertaining to the basis for the decision and to such employee's status. A **principal**, assistant principal, department head or other supervisor may seek review of a dismissal or demotion decision by filing a petition with the commissioner for arbitration. Except as provided herein, the procedures for arbitration, and the time allowed for the arbitrator to issue a decision, shall be the same as that in section forty-two. The commissioner shall provide the parties with the names of three arbitrators who are members of the American Arbitration Association. The arbitrators shall be different from those developed pursuant to section forty-two. The parties each shall have the right to strike one of the three arbitrator's names if they are unable to agree upon a single arbitrator from amongst the three.

SEC. 42. A **principal** may dismiss or demote any teacher or other person assigned

full-time to the school, subject to the review and approval of the superintendent; and subject to the provisions of this section, the superintendent may dismiss any employee of the school district. In the case of an employee whose duties require him to be assigned to more than one school, and in the case of teachers who teach in more than one school, those persons shall be considered to be under the supervision of the superintendent for all decisions relating to dismissal or demotion for cause. A teacher who has been teaching in a school system for at least ninety calendar days shall not be dismissed unless he has been furnished with written notice of intent to dismiss and with an explanation of the grounds for the dismissal in sufficient detail to permit the teacher to respond and documents relating to the grounds for dismissal, and, if he so requests, has been given a reasonable opportunity within ten school days after receiving such written notice to review the decision with the **principal** or superintendent, as the case may be, and to present information pertaining to the basis for the decision and to the teacher's status. The teacher receiving such notice may be represented by an attorney or other representative at such a meeting with the **principal** or superintendent. Teachers without professional teacher status shall otherwise be deemed employees at will.

SEC. 42D. The superintendent may suspend any employee of the school district subject to the provisions of this section. The **principal** of a school may suspend any teacher or other employee assigned to the school subject to the provisions of this section. Any employee shall have seven days written notice of the intent to suspend and the grounds upon which the suspension is to be imposed; provided, however, that the superintendent may, for good cause, require the immediate suspension of any employee, in which case the employee shall receive written notice of the immediate suspension and the cause therefore at the time the suspension is imposed. The employee shall be entitled (i) to review the decision to suspend with the superintendent or **principal** if said decision to suspend was made by the **principal**; (ii) to be represented by counsel in such meetings; (iii) to provide information pertinent to the decision and to the employee's status.

SEC. 48. The **principal** at each school, subject to the direction of the superintendent, shall, at the expense of the school district, purchase textbooks and other school supplies, and consistent with the district policy, shall loan them to the pupils attending such school free of charge. If instruction is given in the manual and domestic arts, the **principal** may so purchase and loan the necessary tools, implements and materials. The **principal** shall also, at like expense, procure such apparatus, reference books and other means of illustration, as may be needed. Said purchases shall be made in accordance with chapter thirty B and within the purchasing guidelines adopted by the municipality where such purchases are made if such guidelines exist.

SEC. 59B. The superintendent of a school district shall appoint **principals** for each public school within the district at levels of compensation determined in accordance with policies established by the school committee. **Principals** employed under this section shall be the educational administrators and managers of their schools and shall supervise the operation and management of their schools and school property, subject to the supervision and direction of the superintendent. **Principals** employed under this section shall be responsible, consistent with district personnel policies and budgetary restrictions

and subject to the approval of the superintendent, for hiring all teachers, instructional or administrative aides, and other personnel assigned to the school, and for terminating all such personnel, subject to review and prior approval by the superintendent and subject to the provisions of this chapter. This section shall not prevent one person from serving as the **principal** of two or more elementary schools or the use of teaching **principals** in such schools. It shall be the responsibility of the **principal** in consultation with professional staff of the building to promote participatory decision making among all professional staff for the purpose of developing educational policy.

SEC. 59C. At each public elementary, secondary and independent vocational school in the commonwealth there shall be a school council consisting of the school **principal**, who shall co-chair the council; parents of students attending the school who shall be selected by the parents of students attending such school who will be chosen in elections held by the local recognized parent teacher organization under the direction of the **principal**, or if none exists, chosen by a representative process approved by the school committee. Said parents shall have parity with professional personnel on the school councils; teachers who shall be selected by the teachers in such school; other persons, not parents or teachers of students at the school, drawn from such groups or entities as municipal government, business and labor organizations, institutions of higher education, human services agencies or other interested groups; and for schools containing any of the grades nine to twelve, at least one such student; provided, however, that not more than fifty percent of the council shall be non-school members. The **principal**, except as otherwise provided herein, shall have the responsibility for defining the composition of and forming the group pursuant to a representative process approved by the superintendent and school committee and for convening the first meeting no later than forty days after the first day of school, at which meeting a co-chairman shall be selected. School councils should be broadly representative of the racial and ethnic diversity of the school building and community. For purposes of this paragraph the term õnon-school membersö shall mean those members of the council, other than parents, teachers, students and staff of the school. Nothing contained in this section shall require a new school council to be formed if an existing school council fulfills the intent of this section, the parent and teacher members thereof were selected in a manner consistent with the provisions of this section and the membership thereof complies with the aforesaid fifty percent requirement. Meetings of the school council shall be subject to the provisions of sections twenty-three A, twenty-three B and twenty-three C of chapter thirty-nine. The school council shall meet regularly with the **principal** of the school and shall assist in the identification of the educational needs of the students attending the school, in the review of the annual school budget, and in the formulation of a school improvement plan, as provided below. The **principal** of each school, in consultation with the school council established pursuant to this section shall adopt educational goals for the schools consistent with the goals and standards including the student performance standards, adopted by the board pursuant to section one D of chapter sixty-nine, and consistent with any educational policies established for the district, shall assess the needs of the school in light of those goals, and shall formulate a school improvement plan to advance such goals, to address such needs and to improve student performance. The plan shall include an assessment of the impact of class size on student performance, and shall consider

student to teacher ratios and other factors and supportive adult resources, and may include a scheduled plan for reducing class size. The plan shall address professional development for the school's professional staff, the allocation of any professional development funds in the annual school budget, the enhancement of parental involvement in the life of the school, safety and discipline, the establishment of a welcoming school environment characterized by tolerance and respect for all groups, extracurricular activities, the development of means for meeting the diverse learning needs of as many children as possible, including children with special needs currently assigned to separate programs, within the regular education programs at the school, and such further subjects as the **principal**, in consultation with the school council, shall consider appropriate. In school districts with language minority student populations the professional development plan under this section shall specify how the plan will address the need for training and skills in second language acquisition and in working with culturally and linguistically diverse student populations. Each school improvement plan shall be submitted to the school committee for review and approval every year. If said school improvement plan is not reviewed by the school committee within thirty days of said school committee receiving said school improvement plan, the plan shall be deemed to have been approved. Nothing contained in this section shall prevent the school committee from granting a school council additional authority in the area of educational policy; provided, however, that school councils shall have no authority over matters which are subject to chapter one hundred and fifty E.

SEC. 59D. Superintendents and **principals** in every school district in the commonwealth shall pursue opportunities to establish school-community partnerships that may advance policy development, staff development, curriculum development, instructional enrichment and may provide material and financial support. The commissioner of education shall assist in and facilitate with the establishment of school-community partnerships. Subject to appropriation, the board shall establish a grant program to assist school districts in developing and implementing such partnerships.

SEC. 67. A school district shall neither (i) employ a member of the immediate family of a superintendent, central office administrator, or school committee member, nor (ii) assign a member of the immediate family of the **principal** as an employee at the **principal's** school, unless written notice is given to the school committee of the proposal to employ or assign such person at least two weeks in advance of such person's employment or assignment. As used in this section, õimmediate familyö shall have the meaning assigned by sub-section (e) of section one of chapter two hundred and sixty-eight A.

SEC. 79 There shall be appointed no later than July first, nineteen hundred and ninety-three, an education reform review commission consisting of fifteen members, five of whom shall be appointed by the governor, one of whom shall be designated to chairman the commission by the governor; provided, however, that they shall not be employees of the executive branch; provided, further, that at least two of whom shall be parents of children attending public schools, one of whom shall be the president of the University of Massachusetts, who shall furnish reasonable staff support to the commission, one of

whom shall be an educator at an institution of higher education who is knowledgeable in the field of public education and one of whom shall be selected by the Association of Independent Colleges and Universities of Massachusetts, one of whom shall be appointed by the president of the Massachusetts Association of School Committees, one of whom shall be a teacher selected by the Massachusetts Federation of Teachers, one of whom shall be a teacher selected by the Massachusetts Teachers Association, one of whom shall be a superintendent of schools selected by the Massachusetts Association of School Superintendents, one of whom shall be a **principal** selected by the Massachusetts Elementary School Principalsø Association, two of whom shall be public school principals selected by the Massachusetts Secondary School Principalsø Association; provided, however, that one of whom shall be a vocational-technical education administrator; and one of whom shall be a parent selected by the Massachusetts Parent Teacher Student Association.

SEC. 89. A student may withdraw from a charter school at any time and enroll in a public school where said student resides. A student may be expelled from a charter school based on the criteria determined by the board of trustees, and approved by the secretary of education with the advice of the **principal** and teachers.

NO CHILD LEFT BEHIND LAW: SECTIONS PERTAINING TO PRINCIPALS

NO CHILD LEFT BEHIND ACT OF 2001--- sections pertaining to principals and schools in decision making on interpretation and implementing the law

Sec.1000. (a) STATEMENT OF PURPOSE.
The purpose of this title (Title 1-Improving the Academic Achievement of the Disadvantaged) is to ensure that all children have a fair, equal, and significant opportunity to obtain a high-quality education and reach, at a minimum, proficiency on challenging State academic achievement standards and state academic assessments. This purpose can be accomplished by ensuring that high-quality academic assessments, accountability systems, teacher preparation and training, curriculum, and instructional materials are aligned with challenging State academic standards so that students, teachers, parents, and **administrators** can measure progress against common expectations for student academic achievement.

Sec.1000. (4) STATEMENT OF PURPOSE.
Holding schools, local educational agencies, and States accountable for improving the academic achievement of all students, and identifying and turning around low performing schools that have failed to provide a high-quality education to their students, while providing alternatives to students in such schools to enable the students to receive a high-quality education.

Sec.1000. (7) STATEMENT OF PURPOSE.
Providing greater decision-making authority and flexibility to **schools** and teachers in exchange for greater responsibility for student performance.

Sec. 1111. (A)(1) STATE PLANS.
In General--For any State desiring to receive a grant under this part, the State educational agency shall submit to the Secretary a plan, developed by the State educational agency, in consultation with local educational agencies, teachers, **principals,** pupil services personnel, administrator (including administrators of programs described in other programs other this title), other staff, and parents, that satisfies the requirements of this section and that is coordinated with other programs under this Act, the Individuals with Disabilities Education Act, the Carl D. Perkins Vocational and Technical Education Act of 1998, the Head Start Act, the Adult Education and Family Literacy Act, and the McKinney-Vento Homeless Assistance Act.

SEC. 1111. (3)(xii) STATE PLANS and ACADEMIC ASSESSMENT.
Produce individual student interpretive, descriptive, and diagnostic reports, consistent with clause (ii)* that allow parents, teachers, and principals to understand and address, the specific academic needs of students, and include information regarding achievement on academic

assessments aligned with State academic achievement standards, and that are provided to parents, teachers, and **principals,** as a practicality possible after the assessment is given, in understandable and uniform format, and to the extent practicable, in a language that parents can understand; *(ii) be used for purposes for which such assessments are valid and reliable, and be consistent with relevant, nationally recognized professional and technical standards.

SEC. 1111. (d)(1) STATE PLANS; PLAN DEVELOPMENT AND DURATION; and CONSULTATION.

Each local educational agency plan shall be developed in consultation with teacher, **principals, administrators** (including administrators of programs described in other parts of this title), and other appropriate school personnel, and with parents of children in schools served under this part (PART A--IMPROVING BASIC PROGRAMS OPERATED BY LOCAL EDUCATIONAL AGENCIES).

SEC. 1114. (B)(ii) SCHOOLWIDE PROGRAMS; and PLAN DEVELOPMENT.

The comprehensive plan shall be developed with the involvement of parents and other members of the community to be served and individuals who will carry out such plan, including teachers, **principals,** and **administrators** (including administrators of programs described in other parts of this title), and, if appropriate, pupil services personnel, technical assistance providers, school staff, and if the plan relates to a secondary school, students from such school.

SEC. 1115. (F) TARGETED ASSISTANCE SCHOOLS.

In accordance with subsection (e)(3) and section 1119, provide opportunities for professional development with resources provided under this part, and, to the extent practicable, from other sources, for teachers, **principals,** and paraprofessionals, including, if appropriate, pupil services personnel, parents, and other staff, who work with participating children in programs under this section or in the regular education program.

SEC. 1116. (C) ACADEMIC ASSESSMENT AND LOCAL EDUCATIONAL AGENCY AND SCHOOL IMPROVEMENT.

Publicize and disseminate the results of the local annual review described in paragraph (1) to parents, teachers, **principals**, schools, and the community so that the teachers**, principals**, other staff, and schools can continually refine, in an instructionally useful manner, the program of instruction to help all children served under this part meet the challenging State student academic achievement standards established under section 1111(b) (1).

SEC. 1116 (F) (B) ACADEMIC ASSESSMENT AND LOCAL EDUCATIONAL AGENCY AND SCHOOL IMPROVEMENT; TRANSFERS; and EVIDENCE.

If the **principal** of a school proposed for identification under paragraph (1), (5) (A), (7), or (8) believes, or a majority of the parents of the students enrolled in such school believe, that the proposed identification is in error for statistical or other substantive reasons, the principal, may provide supporting evidence to the local education agency, which shall consider that evidence before making a final determination.

SEC. 1117. (2) SCHOOL SUPPORT AND RECOGNITION; and AWARDS TO TEACHERS.

A State program under paragraph (1) may also recognize and provide financial awards to teachers teaching in a school described in such paragraph that consistently makes significant gains in academic achievement in the areas in which the teacher provides instruction, or to teachers or **principals** designated as distinguished under subsection (a)(4)(A)(iii).

SEC. 1115. (e)(6) PARENTAL INVOVLEMENT and BUILDING CAPACITY FOR INVOVLEMENT.

May involve parents in the development of training for teachers, **principals,** and other educators to improve the effectiveness of such training.

SEC. 1251. (e) IMPROVING LITERACY THROUGH SCHOOL LIBRARIES.

Provide professional development described in section 1222(d) (2) for school library media specialists and activities that foster increased collaboration between school library media specialist, teachers, and **administrators**.

SEC. 1606. (B)(5) COMPREHENSIVE SCHOOL and REFORM; LOCAL USE OF FUNDS.

A local educational agency or consortium that receives a sub grant under this part shall provide the sub grant funds to schools that are eligible for assistance under part A and served by the agency, to enable the schools to implement a comprehensive school reform program that--is supported by teachers, **principals**, **administrators**, school personnel staff, and other professional staff.

SEC. 1606. (B)(6) COMPREHENSIVE SCHOOL REFORM and LOCAL USE OF FUNDS.

A local educational agency or consortium that receives a sub grant under this part shall provide the sub grant funds to schools that are eligible for assistance under part A and served by the agency, to enable the schools to implement a comprehensive school reform program that-- provides support for teachers, **principals**, **administrators**, and other school staff.

SEC. 1606. (B)(11)(A)(B) COMPREHENSIVE SCHOOL REFORM; LOCAL USE OF FUNDS.

A local educational agency or consortium that receives a sub grant under this part shall provide the sub grant funds to schools that are eligible for assistance under part A and served by the agency, to enable the schools to implement a comprehensive school reform program that--has been found, through **scientifically based research** to significantly improve the academic achievement of students participating in such program as compared to students in schools who have not participated in such programs; or has been found to have strong evidence that such program will significantly improve the academic achievement of participating children.

SEC. 2101. (A) PURPOSE.

ठThe purpose of this part (TITLE II--PREPARING, TRAINING, AND RECRUITING HIGH QUALITY TEACHERS AND PRINCIPALS); TEACHER AND PRINCIPAL TRAINING RECRUITING FUND is to provide grants to State educational agencies, local educational

agencies, State agencies for higher education, and eligible partnerships in order to--increase student academic achievement through strategies such as improving teacher and principal quality and increasing the number of highly qualified teachers in the classroom and highly qualified **principals** and assistant principals in schools.

SEC. 2113. GRANTS TO STATES; STATE USE OF FUNDS; and STATE ACTIVITIES.
The State educational for a State that receives a grant under section 2111 shall use the funds described in subsection (a) (3) to carry out one or more of the following activities, which may be carried out through a grant or contract with a for-profit or nonprofit entity; Reforming teacher and principal certification (including re-certification) or licensing requirements to ensure that--(ii) **principals** have the instructional leadership skills to help teachers teach and students learn.

SEC. 2113. (2) GRANTS TO STATES and STATE USE OF FUNDS.
Carrying out programs that establish, expand, or improve alternative routes for
State certification of teachers and **principals**, especially in areas of mathematics and science, for highly qualified individuals with a baccalaureate or masterøs degree, including mid-career professionals from other occupations, paraprofessionals, former military personnel, and recent college or university graduates with records of academic distinction who demonstrate the potential to become highly effective teachers or **principals**.

SEC. 2113. (6) STATE USE OF FUNDS.
Providing professional development for teachers and **principals** and in cases, in which a State educational agency determines support to be appropriate, supporting the participation of pupil services personnel in the same type of professional development activities as are made available to teachers and **principals**.

SEC. 2113. (9) GRANTS TO STATES and STATE USE OF FUNDS.
Funding projects to promote reciprocity of teacher and **principal** certification or licensing between or among States, except that no reciprocity agreement developed under this part may lead to the weakening of any State teaching certification or licensing requirement.

SEC. 2113. (10) GRANTS TO STATES and STATE USE OF FUNDS.
Encouraging and supporting the training of teachers and **administrators** to effective integrate technology into curricula and instruction, including training to improve the ability to collect, manage, and analyze data to improve teaching, decision making, school improvement efforts, and accountability.

SEC. 2113. (A) GRANTS TO STATES and STATE USE OF FUNDS.
Providing assistance to local educational agencies for the development and implementation of professional development programs for principals that enable the **principals** to be effective school leaders and prepare all students to meet challenging State academic content and student academic achievement standards, and the development and support of school leadership academies to help exceptionally talented aspiring or current **principals** and superintendent become outstanding managers and educational leaders.

SEC. 2122. (4) LOCAL APPLICATIONS and NEEDS ASSESSMENT.
A description of the professional development activities that will be made available to teachers and **principals** under this subpart and how the local educational agency will ensure that the professional development (which may include teacher mentoring) needs of teachers and **principals** will be met using funds under this subpart.

SEC. 2122. (c) SUBGRANTS TO LOCAL EDUCTIONAL AGENCIES; LOCAL APPLICATIONS AND NEEDS ASSESSMENT; and REQUIREMENTS.
Such needs assessment shall be conducted with the involvement of teachers, including teachers participating in programs under Part A of title 1, and shall take into account the activities that need to be conducted in order to give teachers the means, including subject matter knowledge and teaching skills, and to give **principals** the instructional leadership skills to help teachers, to provide students with the opportunity to meet challenging State and local student academic achievement standards.

SEC. 2123 (4) (A) LOCAL USE OF FUNDS
Developing and implementing initiatives to promote retention of highly qualified teachers and principals, particularly within elementary schools and secondary schools with a high percentage of low-achieving students, including programs that provide--teacher mentoring from exemplary teachers, **principals**, or superintendents.

SEC. 2123 (4) (B) LOCAL USE OF FUNDS
Developing and implementing initiatives to promote retention of highly qualified teachers and principals, particularly within elementary schools and secondary schools with a high percentage of low-achieving students, including programs that provide--induction and support for teachers and **principals** during their first 3 years of employment as teachers or **principals**, respectively.

SEC. 2123 (4) (d) LOCAL USE OF FUNDS
Developing and implementing initiatives to promote retention of highly qualified teachers and principals, particularly within elementary schools and secondary schools with a high percentage of low-achieving students, including programs that provide--incentives, including financial incentives, to **principals** who have a record of improving the academic achievement of all students, but particularly students from academically disadvantaged families, students from racial and ethnic minority groups, and students with disabilities.

SEC. 2123 (5) (A) (D) LOCAL USE OF FUNDS
Carrying out programs and activities that are designed to improve the quality of teacher force, such as--innovative professional development programs (which may be provided through partnerships including institutions of higher education), including programs that train teachers and **principals** to integrate technology into curricula and instruction to improve teaching, learning, and technology literacy, are consistent with the requirements of section 9101, and are coordinated with activities carried out under part D; merit pay programs.

SEC. 2123 (6) LOCAL USE OF FUNDS
Carrying out professional development activities designed to improve the quality of **principals** and superintendents, including the development and support of academies to help talented aspiring or current **principals** and superintendents become outstanding managers and educational leaders.

SEC. 2134. (A) SUBGRANTS TO ELIGIBLE PARTNERSHIPS USE OF FUNDS.
Professional development activities in core academic subjects to ensure that---teachers and highly qualified paraprofessionals, and, if appropriate, **principals** have subject matter knowledge in the academic subjects that the teachers teach, including the use of computer related technology to enhance student learning.

SEC. 2134. (1)(B) SUBGRANTS TO ELIGIBLE PARTNERSHIPS and USE OF FUNDS
Professional development activities in core academic subjects to ensure that---**principals** have the instructional leadership skills that will help such principals work most effectively with teachers to help students master core academic subjects.

SEC. 2141. (c)(1) TECHNICAL ASSISTANCE and ACCOUNTABILITY
After the third year of the plan described in section 1119(a)(2), if the State educational agency determines, based on the reports described in section 1119(b)(1), that the local educational agency has failed to make progress toward meeting the annual measurable objectives described in section 1119(a)(2), and has failed to make adequate yearly progress as described under section 1111(b)(2)(B), for three consecutive years, the State educational agency shall enter into an agreement with such local educational agency on the use of that agencyøs funds under this part. As part of this agreement, the State educational agency shall develop, in conjunction with the local educational agency, teachers, and **principals**, professional development strategies and activities, based on scientifically based research, that the local educational agency will use to meet the annual measurable objectives described in section 1119(a) (2) and require such agency to utilize such strategies and activities.

SEC. 2151. (b)(D) NATIONAL ACTIVITIES OF DEMONSTRATED EFFECTIVENESS and SCHOOL LEADERSHIP.
In general, the Secretary is authorized to establish and carry out a national **principal** recruitment program to assist high need local educational agencies in recruiting and training **principals** (including assistant principals) through such activities as providing incentives that are appropriate for teachers or individuals from other fields who want to become **principals** and that are effective in retaining new **principals**.

SEC. 2404. (4) ENHANCING EDUCATION THROUGH TECHNOLOGY; PURPOSE; and GOALS.
To promote initiatives that provide school teachers, **principals**, and **administrators** with the capacity to integrate technology effectively into curricula and instruction that are aligned with challenging State academic content and student academic achievement standards, through such means as high quality professional development programs.

SEC. 2404. (5) ENHANCING EDUCATION THROUGH TECHNOLOGY; PURPOSE; and GOALS.

To enhance the ongoing professional development of teachers, **principal** and **administrators** by providing constant access to training and updated research in teaching and learning through electronic means.

SEC. 2414. (B) STATE AND LOCAL TECHNOLOGY GRANTS and LOCAL APPLICATIONS.

Provide ongoing, sustained professional development for teachers, **principals**, **administrators**, and school library media personnel serving the local educational agency, to further the effective use of technology in the classroom or library media center, including, if applicable, a list of the entities that will be partners with the local educational agency involved in providing the ongoing, sustained professional development.

SEC. 2415. (3)(B)(ii) STATE AND LOCAL TECHNOLOGY GRANTS and STATE ACTIVITIES.

Assisting recipients of funds under this subpart in providing sustained and intensive, high-quality professional development based on a review of relevant researching the integration of advanced technologies, including emerging technologies, into curricula and instruction and in using those technologies to create new learning environments, including training in the use of technology to enable teachers to review Internet-based learning resources.

SEC. 2416. (8) STATE AND LOCAL TECHNOLOGY GRANTS and LOCAL ACTIVITIES.

Using technology to collect, manage and analyze data to inform and enhance teaching and school improvement efforts.

SEC. 2421. (3) NATIONAL TECHNOLOGY ACTIVITIES; NATIONAL ACTIVITIES; and STUDY.

Using funds made available under section 2404(b) (2), the Secretary shall consult with other interested Federal departments or agencies, State and local educational practitioners and policy makers (including teachers, **principals**, and superintendents), and experts in technology, regarding the study.

SEC. 2441. (c) LIMITATIONS ON AVAILABILITY OF CERTAIN FUNDS FOR SCHOOLS; INTERNET SAFETY; and DISABLING DURING CERTAIN USE.

An **administrator**, supervisor, or person authorized by the responsible authority under subsection (a) may disable the technology protection measure concerned to enable access for bona fide research or other lawful purposes.

SEC. 3115. (2) LANGUAGE INSTRUCTION FOR LIMITED ENGLISH PROFICIENT AND IMMIGRANT STUDENTS; and SUBGRANTS TO ELIGIBLE ENTITIES.

To provide high-quality professional development to classroom teachers (including teachers in classroom settings that are not the settings of language instruction educational programs), **principals**, **administrators**, and other school or community-based organizational personnel.

SEC. 3116. (5) LANGUAGE INSTRUCTION FOR LIMITED ENGLISH PROFICIENT and IMMIGRANT STUDENTS LOCAL PLANS.
Contain an assurance that the eligible entity consulted with teachers, researchers, **school administrators**, and parents, and, if appropriate, with education-related community groups and nonprofit organizations, and institutions of higher education in developing such plan;

SEC. 3222. (b)(1) RESEARCH, EVALUATION, AND DISSEMINATION; RESEARCH; ADMINISTRATION; and REQUIRMENTS.
The Secretary shall conduct research activities authorized by this subpart through the Office of Educational Research and Improvement in coordination and collaboration with the Office of English Language Acquisition, Language Enhancement, and Academic Achievement for Limited English Proficient Students. Such research activities shall have a practical application to teachers, counselors, paraprofessionals, school **administrators**, parents, and others involved in improving the education of limited English proficient children and their families.

SEC. 3231. (a)(1) PROFESSIONAL DEVELOPMENT GRANTS; and PURPOSE.
The purpose of this section is to provide assistance to prepare educators to improve educational services for limited English proficient children by supporting professional development programs and activities to prepare teachers, pupil service personnel, **administrators**, and other educational personnel working in language instruction educational programs to provide effective services to limited English proficient children.

SEC. 3231. PROFESSIONAL DEVELOPMENT GRANTS; and AUTHORIZED ACTIVITIES.
Grants awarded under this section shall be used to conduct high-quality professional development programs and effective activities to improve the quality of instruction and services provided to limited English proficient children including implementing pre-service and in-service professional development programs for teachers who serve limited English proficient children, **administrators**, and other educational personnel who are preparing to provide educational services for limited English proficient children to attain English proficiency.

SEC. 4115. (iii) 21ST CENTURY SCHOOLS; SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES; AUTHORIZED ACTITIVITIES; and LOCAL EDUCATIONAL AGENCY ACTIVITIES
Create a well disciplined environment conducive to learning, which included consultation between teachers, **principals**, and other school personnel to identify early warning signs of drug use and violence and to provide behavioral interventions as part of classroom management efforts.

SEC. 4123. (D) NATIONAL PROGRAMS; HATE CRIME PREVENTION; and USE OF FUNDS.
Professional training and development for teachers and **administrators** on the causes, effects, and resolution of hate crimes or hate-based conflicts.

SEC. 5101. (b) PROMOTING INFORMED PARENTAL CHOICE AND INNOVATIVE PROGRAMS; INNOVATIVE PROGRAMS; and PURPOSES, STATE AND LOCAL RESPONSIBILITY.

The State educational agency shall bear the basic responsibility for the administration of funds made available under this part, it is the intent of the paperwork and that the responsibility for the design and implementation of programs assisted under this part be mainly that of local educational agencies, school superintendents and **principals**, and classroom teachers and supporting personnel, because local educational agencies and individuals have the most direct contact with students and are most likely to be able to design programs to meet the educational needs of students in their own school districts.

SEC. 5131. (4)(1) LOCAL INNOVATIVE EDUCATION PROGRAMS; LOCAL USES OF FUNDS; and INNOVATIVE ASSISTANCE PROGRAMS.

Funds made available to local educational agencies under section 5112 shall be used for innovative assistance programs, which may include any of the following: Programs to recruit, train, and hire highly qualified teachers to reduce class size, especially in the early grades, and professional development activities carried out in accordance with title II, that gives teachers, **principals**, and **administrators** the knowledge and skills to provide students with the opportunity to meet challenging State or local academic content standards and student academic achievement standards.

SEC. 5133. (b)(7) LOCAL INNOVATIVE EDUCATION PROGRAMS LOCAL APPLICATIONS; and CERTIFICATION AND CONTENTS OF APPLICATION.

Provision, in the allocation of funds for the assistance authorized by this and in the planning, design, and implementation of such innovative assistance programs, for systematic consultation with parents of children attending elementary schools and secondary schools in the area served by the local educational agency, with teachers and **administrative** personnel in such schools, and with such other groups involved in the implementation of this part (such as librarians, school counselors, and other pupil services personnel) as may be considered appropriate by the local educational agency.

SEC. 5245. (a)(1)VOLUNTARY PUBLIC SCHOOL CHOICE PROGRAMS REQUIREMENTS AND VOLUNTARY PARTICIPATION; and PARENT AND COMMUNITY INVOLVEMENT AND NOTICE.

In carrying out a program under this subpart, an eligible entry shall develop the program with individuals who will carry out the program, including **administrators**, teachers, **principals**, and other staff.

SEC. 5431. (h)(1) PARTNERSHIPS IN CHARACTER EDUCATION PROGRAM; EVALUATION AND PROGRAM DEVELOPMENT; and STATE AND LOCAL REPORTING AND EVALUATION.

Each eligible entity receiving a grant under this section shall submit to the Secretary a comprehensive evaluation of the program assisted under this section, including its impact on students, students with disabilities (including those with mental or physical disabilities), teachers, administrators, parents, and others.

SEC. 5431. (2)(B)(iv (IV) PARTNERSHIPS IN CHARACTER EDUCATION PROGRAM; NATIONAL RESEARCH, DISSEMINATION, AND EVALUATION; and USES.
Compiling and disseminating, through a national clearinghouse or other means any other information that will be useful to character education program participants nationwide, including educators, parents, and **administrators**.

SEC. 5541. (4)(C) GRANTS TO IMPROVE THE MENTAL HEALTH OF CHILDREN; GRANTS FOR THE INTEGRATION OF SCHOOLS AND MENTAL HEALTH SYSTEMS; and APPLICATIONS.
To be eligible to receive a grant, contract, or cooperative agreement under this section, a State educational agency, local educational agency, or Indian tribe shall submit an application to the Secretary at such time, in such manner, and containing such information as the Secretary may reasonably require. The application shall include each of the following: An assurance that teachers, **principal administrators**, and other school personnel are aware of the program.

SEC. 5564. (a)(1) (C) PARENTAL ASSISTANCE AND LOCAL FAMILY INFORMATION CENTERS and USES OF FUNDS.
In general, grant funds received under this subpart shall be used for one or more of the following: To assist parents in participating effectively in their childrenøs education and to help their children meet State and local standards, such as assisting parents and to communicate effectively with teachers, **principals**, counselors, **administrators**, and other school personnel.

SEC. 5571. (c)(1) COMBATTING DOMESTIC VIOLENCE ; GRANTS TO COMBAT THE IMACT OF EXPERIENCING OF WITNESSING DOMESTIC VIOLENCE ON ELEMENTARY AND SECONDARY SCHOOL CHILDREN; and USES OF FUNDS.
Funds made available to carry out this subpart may be used for one or more of the following purposes: To provide training for elementary school and secondary school **administrators**, faculty, and staff that addresses issues concerning elementary school and secondary school students who experience domestic violence in dating relationships or who witness domestic violence, and the impact of such violence on those students. **(budgeting and professional development)**

SEC. 6132. (3) IMPROVING ACADEMIC ACHIEVEMENT; STATE AND LOCAL FLEXIBILITY DEMONSTRATION; and PURPOSE.
The purpose of this subpart is to create options for selected State educational agencies and local educational agencies to better empower parents, educators, **administrators**, and schools to effectively address the need of their children and students.

APPENDIX C

INTRODUCTION LETTER FOR THE SURVEY
[This letter was sent to principals electronically by email.]

Wesley P. S. Manaday
[Return Address]
[Date of letter]

Dear Principal,

I am an Asian American doctoral student studying under the guidance of Dr. Martha Montero-Sieburth in the Department of Leadership in Education at the University of Massachusetts Boston. I would like ask your help in my study for my dissertation titled, *Leadership of Elementary School Asian American Principals in Massachusetts and the Greater Boston Metropolitan Area in the Implementation of the Massachusetts Educational Reform Act (1993) and the No Child Left Behind Law (2001).*

As an elementary school principal for the past 14 years, I have personally been affected by the demands made by the Massachusetts Educational Reform Act (MERA) of 1993. I have had to balance between the day to day operations in my school building while becoming a leader to continually improve instruction. With the enactment of No Child Left Behind (NCLB) in 2002, schools are now expected to make õAdequate Yearly Progress.ö This is determined by each stateøs department of education to measure schooløs progress toward meeting NCLBøs main goal.

It has become clear to me that the leadership of principals will be a defining element in improving education for all children so I chose this topic for my dissertation. The body of research on the leadership role of principals interpreting and implementing the policies of MERA and NCLB is limited, even more so for principals who are Asian American, Latino, African American, and Native American. It is my hope that this study, a first of its kind, will help to fill in this gap in the research as I intend to focus on the leadership roles of Asian American principals in the context of MERA and NCLB.

I have enclosed a consent form and survey. The consent form states that you give your consent by responding to the survey that should take approximately 30-45 minutes to complete. The survey is designed to learn how principals have interpreted, responded, and implemented the provisions made by the educational reform laws. Participating in this study is your choice.

In appreciation for responding to the survey, the first 350 principals will receive a 7.0 oz. bag of Lionøs Hawaiian Coffee. At the end of the survey, a separate on-line form requesting your mailing information for shipment will be provided. This form will be separate and not be attached to your survey responses to ensure confidentiality. This separate on-line form will be destroyed when the shipment has been mailed.

If you have questions or would like to discuss the research study, I can be reached via telephone (7 81) 440-5961 or email wmanaday@norwood.k12.ma.us. Or you can reach Dr. Martha Montero-Sieburth, doctoral advisor via telephone 011 (3135) 698-4780 or email Martha.Montero@uva.nl or Martha.Montero.Sieburth@casema.nl Thank you in advance for your support of the study.

Sincerely,

Wesley P. S. Manaday

Doctoral Candidate

APPENDIX D

CONSENT FORM FOR THE SURVEY
[This consent form was sent to principals with the introduction letter electronically by email.]

Wesley P. S. Manaday
[Return Address]
[Date]

Consent Form For: Survey

Title: *Leadership of Elementary School Asian American Principals in Massachusetts and the Greater Boston Metropolitan Area in the Implementation of the Massachusetts Educational Reform Act (1993) and the No Child Left Behind Law (2001)*

Introduction and Contact Information:

The researcher is Wesley Paul S. Manaday, a doctoral candidate in the Leadership in Schools Program. Please read this form and feel free to ask questions. If you have further questions Mr. Manaday will discuss them with you. His telephone number is (781) 440-5961.

You are being asked to take part in a research project survey of all K-8 School Principals in the Commonwealth of Massachusetts and the Boston Metropolitan Area on the interpretations and implementation the Massachusetts Education Reform Act (MERA) of 1993 and the No Child Left Behind (NCLB) Act of 2002. Your role as school leader, decision maker, and practice-oriented principal is the focus of this study.

Your willingness to participate in this study will allow new information to be gathered on how principals interpret and implement MERA and NCLB mandates while responding to the day-to-day demands made by accountability.

Description of Project:

This study contributes to the macro understanding of how principals across the Commonwealth of Massachusetts are attempting to interpret MERA and NCLB mandates. It also contributes to the micro level of how diverse principals interpret such in terms of the decision-making processes they undergo, the focus on instructional, curricular, and assessment practices they are engaged in and the leadership they maintain.

Of significance is whether principals follow through on the dictates made on them by the MERA and NCLB mandates or whether they create their own alternatives in implementing these at their schools.

Confidentiality:

The information gathered in this project is confidential and will not be published or presented in a way that would allow anyone to identify you. Information gathered for this project will be stored on USB flash drives stored in a locked cabinet where only the researcher will have access to the data. The data will be kept for three years, after which

if the researcher wishes to conduct follow-up studies, he would then need to contact you in writing to seek permission to use the information and gain your specific consent for other educational purposes. Otherwise all materials will be destroyed after the project is finished.

Voluntary Participation:

The decision whether or not to take part in this research study is voluntary. If you decide to take part in this study, responding to the email by answering the survey questions means that you have given consent to participate in this study. You may terminate participation at any time without consequence. Whatever you decide will in no way affect your status as a professional.

In appreciation for answering the survey, the first 350 principals to respond will receive a 7.0 oz. bag of Lionøs Hawaiian Coffee. At the end of the survey, a separate on-line form requesting your mailing information for shipment will be provided. This form will be separate and not attached to your survey responses to ensure confidentiality. This separate on-line form will be destroyed once the shipment has been mailed.

Rights:

You have the right to ask questions about this research before you give consent to participate and at any time during the study. You can reach Mr. Manaday by phone or email, (781) 440-5961 or wmanaday@norwood.k12.ma.us or his advisor Dr. Martha Montero-Sieburth at 011 (3135) 698-4780 or Martha.Montero@uva.nl or Martha.Montero.Sieburth@casema.nl

If you have questions or concerns about your rights as a research participant, please contact a representative of the Institutional Review Board (IRB), at the University of Massachusetts, Boston, which oversees research involving human participants.

The Institutional Review Board may be reached at the following address: IRB. Quinn Administration Building-2-015, University of Massachusetts Boston, 100 Morrissey Boulevard, Boston, MA 02125-3393. You can also contact the Board by telephone or e-mail at (617) 287-5370 or at human.subjects@umb.edu.

APPENDIX E

SECOND INTRODUCTION LETTER FOR THE SURVEY

[This letter was sent electronically by email after 2 weeks to principals who had not responded.]

Wesley P. S. Manaday
[Return Address]
[Date of letter]

Dear Principal,

Two weeks ago, I emailed you this letter and a consent form to participate in my research study. As a fellow principal, I can appreciate how busy you are and the constraints of your time. Your participation is vital as this study is one of the few of its kind involving elementary (K-8) principals in educational reform. Therefore, I respectfully request that you re-consider participating.

I am an Asian American doctoral student studying under the guidance of Dr. Martha Montero-Sieburth in the Department of Leadership in Education at the University of Massachusetts Boston. I would like ask your help in my study for my dissertation titled, *Leadership of Elementary School Asian American Principals in Massachusetts and the Greater Boston Metropolitan Area in the Implementation of the Massachusetts Educational Reform Act (1993) and the No Child Left Behind Law (2001).*

As an elementary school principal for the past 14 years, I have personally been affected by the demands made by the Massachusetts Educational Reform Act (MERA) of 1993. I have had to balance between the day to day operations in my school building while becoming a leader to continually improve instruction. With the enactment of No Child Left Behind (NCLB) in 2002, schools are now expected to make õAdequate Yearly Progress.ö This is determined by each stateøs department of education to measure schooløs progress toward meeting NCLBøs main goal.

It has become clear to me that the leadership of principals will be a defining element in improving education for all children so I chose this topic for my dissertation. The body of research on the leadership role of principals interpreting and implementing the policies of MERA and NCLB is limited, even more so for principals who are Asian American, Latino, African American, and Native American. It is my hope that this study, a first of its kind, will help to fill in this gap in the research as I intend to focus on the leadership roles of Asian American principals in the context of MERA and NCLB.

I have enclosed a consent form and survey. The consent form states that you give your consent by responding to the survey that should take approximately 30-45 minutes to complete. The survey is designed to learn how principals have interpreted, responded, and implemented the provisions made by the educational reform laws. Participating in this study is your choice.

In appreciation for responding to the survey, the first 350 principals will receive a 7.0 oz. bag of Lionøs Hawaiian Coffee. At the end of the survey, a separate on-line form

requesting your mailing information for shipment will be provided. This form will be separate and not be attached to your survey responses to ensure confidentiality. This separate on-line form will be destroyed when the shipment has been mailed

If you have questions or would like to discuss the research study, I can be reached via telephone (781) 440-5961 or email wmanaday@norwood.k12.ma.us. Or you can reach Dr. Martha Montero-Sieburth, doctoral advisor via telephone 011 (3135) 698-4780 or email Martha.Montero@uva.nl or Martha.Montero.Sieburth@casema.nl Thank you in advance for your support of the study.

Sincerely,

Wesley P. S. Manaday

Doctoral Candidate

SURVEY

[This survey was sent electronically by email to principals with the introduction letter and consent form.]

Completion of this on-line survey is voluntary. By completing this survey, you are giving your consent to participate in this study. Completing this survey is completely voluntary and you may quit at any time.

Section I: Principal Profile

1. Gender
   a) Female; b)Male

2. What is your age range?
   a) under 30 years of age; b) 30-39; c)40-49; d) 50-59; e)60-69; f)70 and over

3. How do you identify yourself by ethnic group?
   a)African American; b)Asian American; c) European white; d) Latino; e)Native American

4. What languages do you speak fluently? Check all that may apply.
   a)English; b)Arabic; c)Cambodian; d) Chinese; e)French; f)Haitian Creole; g)Portuguese; h)Russian; i)Spanish; j) Vietnamese; k) No other language; l)Other_____

5. Do you use any language(s) beside English and with what frequency do you speak the language(s) specified?
   a) Does not apply; b) 100%; c)75%; d) 50%; e)25%; f)Less than 25%

6. Do you use any language(s) beside English in your school and with what frequency do you speak the language(s) specified?
   a) Does not apply; b) 100%; c)75%; d) 50%; e)25%; f)Less than 25%

7. What is the highest degree you have attained? And in what field?
   a) Bachelors; b) Masters; c) Doctorate; d) Other_____

8. How many years have you been a principal at this school?
   a) First year; b) 2-3 years; c) 4-6 years; d) 7-10 years; e) 11-20 years; f) 20+ years

9. Have you been a principal elsewhere?
   a) No; b) Yes   For how long? _____

10. What best describes your future intentions for your professional career?
    a) Continue as a principal at my current school as long as I am able to; b) Continue as a principal at my current school until a better opportunity comes along; c) Continue as a principal, but leave this school as soon as I can; d) Continue as a principal, but leave this

district as soon as I can; e) Leave the principalship for another administrative or teaching position; f) Leave education entirely; g) Stay for the next 3 years

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Section II: Educational Reform

There were two major educational reform acts placing more accountability and changing the role and practices of the school principal: The Massachusetts Educational Reform Act (MERA) of 1993 and the No Child Left Behind (NCLB) Act of 2001. Please indicate your perception on the initiatives for principals in both laws.

The Massachusetts Educational Reform Act (MERA) of 1993

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11. Superintendent hiring principals and determining their salaries

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

11. Principal being removed immediately for a schooløs underperformance

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

12. Principals being able to remove teachers with professional status with good cause

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

13. Principals being able to hire and fire teachers

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

14. Principals being able to dismiss or demote any teacher or person subject to review and approval

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

15. Principal serving as the chairperson for a professional team to train and supervise provisional teachers

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

16. Principals along with staff are to be certified

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

17. Principals being able to award professional status to teachers with three consecutive years of service

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

18. Principal being able to expel or suspend students for assault of educational staff on school premises

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

19. Principal being able to expel or suspend students in possession of dangerous weapon or substances

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

20. What best describes the MERA initiatives about principals?

Very poor	Poor	Average Good	Very good	Not sure

21. What best describes the principal's role **prior** to MERA?

Very poor	Poor	Average Good	Very good	Not sure

22. What best describes the changes in the principal's role **after** MERA?

Very poor	Poor	Average Good	Very good	Not sure

23. What best describes school practices **prior** to MERA?

Very poor	Poor	Average Good	Very good	Not sure

24. What best describes the changes in school practices **after** MERA?

Very poor	Poor	Average Good	Very good	Not sure

The No Child Left Behind (NCLB) Act of 2001

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25. Principals and schools being held accountable for student progress

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

26. Principals and staff receiving individual student reports to determine student needs

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

27. National and state programs being provided to assist in recruiting and training principals

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

28. Providing possible merit pay to principals and teachers in school where students make significant gains in academic progress

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

29. Providing funds to recruit and retain highly qualified principals and teachers

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

30. Providing funding for state to reform teacher and principal certification programs

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

31. Promoting programs to recruit and train highly qualified teachers and to reduce class sizes

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

32. Providing grants to alleviate the impact of experiencing or witnessing domestic violence

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

33. Providing training for principals and staff on the causes, effects, and resolution of hate crimes

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

34. Providing funds for professional development for integrating technology into the curriculum

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

35. Providing assessment and professional development funding for teaching limited English proficient and immigrant students

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

36. Providing assessment and professional development funding for teaching students with learning disabilities and impoverished students

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

37. What best describes the NCLB initiatives about principals?

| Very poor | Poor | Average Good | Very good | Not sure |

38. What best describes the principal's role **prior** to NCLB?
Very poor   Poor   Average Good   Very good   Not sure

39. What best describes the changes in the principal's role **after** NCLB?
Very poor   Poor   Average Good   Very good   Not sure

40. What best describe school practices **prior** to NCLB?
Very poor   Poor   Average Good   Very good   Not sure

41. What best describes the changes in the school practices **after** NCLB?
Very poor   Poor   Average Good   Very good   Not sure

Section III: Accountability

The following section deals with school accountability which involves state and local educational agencies, leadership roles, assessment, decision making, budgeting and professional development.

Please indicate your perception of the influence of MERA and/or NCLB has had on your ability to perform the following leadership tasks:

School Leadership—developing specific leadership programs to turn schools around

42. Developing a mentorship, recruitment, and training program for principals and teachers

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

43. Staying informed of the continually changing context for teaching and learning

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

44. Aligning operations to support student, adult, and school learning needs

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

45. Being an advocate and spokesperson for the school ensuring that policies are aligned to effective teaching and learning

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not applicable |

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

School-wide Programs---using specific strategies for school improvement

46. Implementing a developed comprehensive school plan with the involvement of the members of the school community

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

47. Ensuring alignment of curriculum and district and school goals, standards, assessments and resources

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

48. Establishing clear goals and keeping those goals in the forefront of the school's attention

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

49. Ensuring rigorous, relevant and appropriate instruction for all students

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

Targeted Assistance Schools---supporting schools in meeting their goals

50. Recognizing and acknowledging the challenges of the school community

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

51. Providing teachers with the professional development necessary for the successful execution of their jobs

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

52. Supervising and evaluating teachers (non-professional and professional teacher evaluation cycles, criteria and tools for evaluation, etc)

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

53. Developing a culture that is adaptive, collaborative, innovative and supportive

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

School Support/Awards to Teachers---providing resources and recognition for increasing student achievement

54. Providing time, structures and opportunities for adults to plan, work, reflect and celebrate together to improve practice

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

55. Involving teachers in designing and implementing important decisions and policies

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

56. Recognizing and celebrating the positive accomplishments of the school community through newsletters, website, assemblies, and school presentations

Strongly negative applicable influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

57. Recognizing and rewarding individual accomplishments with teacher and student recognition awards, compensations, stipends and/or possible merit pay for teachers

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

58. Making performance data a primary driver for school improvement

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

59. Assessing student performance (frequency of assessments, use of assessments, etc)

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

60. Monitoring the effectiveness of school practices based on student achievement

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

61. Publicizing and disseminating data results to continually refine instruction

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

62. Increasing collaboration between library media specialist, teachers and administration

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

63. Acquiring and using advanced technology that is integrated into the curricula to develop and enhance the information literacy, information retrieval, and critical thinking skills of students

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

64. Facilitating internet links and other literacy information resource sharing networks

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

65. Building capacity of adults and students to use information effectively to make decisions

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

Availability and Use of Technology-- integrating technology into the curriculum, enhancing education through technology, and improving students use of technology

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66. Building a solid electronic infrastructure for access to technology and information

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

67. Providing technology integration and technology literacy for all students including student with learning disabilities, racial and ethnic minorities, low-income students, migrant populations, and English language learners

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

68. Integrating technology effectively into curricula and instruction aligning it with student achievement

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

69. Providing technology training and accessibility for parents so they may support the academic achievement of their children

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

Instruction for all Students-- providing high quality academic instruction for all students to meet the achievement goals

70. Using research-based knowledge about how children learn best

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

71. Integrating proven strategies for acquiring and reinforcing knowledge for students

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

72. Providing quality instruction for all students including student with learning disabilities, racial and ethnic minorities, low-income students, migrant populations, and English language learners

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

73. Closing the achievement gap between groups of students that historically perform poorly and their higher performing peers

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

Parental and Community Involvement---involving parents and the community in school programs

74. Establishing strong lines of communications with the community including parents

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

75. Creating and maintaining a vision for the school (articulating a mission statement that is accepted by the school community, creating a vision for what the school could become)

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable

This is due to: MERA   NCLB   Both MERA and NCLB   Not sure

76. Sharing information on change initiatives/improvement efforts at the school with the school community including (whole-school change initiatives, district sponsored directives for the school, etc)

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable

This is due to:	MERA	NCLB	Both MERA and NCLB		Not sure

77. Shaping partnerships to ensure multiple learning opportunities for students, in and out of school

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to:	MERA	NCLB	Both MERA and NCLB		Not sure

Use of Funds--- using federal, state, and district funding to improve student achievement

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78. Targeting funds for programs that are effective in addressing specific student needs

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable

This is due to:	MERA	NCLB	Both MERA and NCLB		Not sure

79. Using funds to support extended learning time

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable

This is due to:	MERA	NCLB	Both MERA and NCLB		Not sure

80. Funding education programs and practices that have been proven to be effective as measured by scientifically based research

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable

This is due to:	MERA	NCLB	Both MERA and NCLB		Not sure

81. Actively engaging the community in budgetary decisions to create shared responsibility for student performance and development

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure

This is due to:	MERA	NCLB	Both MERA and NCLB		Not sure

(Adapted with permission from an NCLB survey developed by Bryan Luizzi, 2006.)
Decision making is a key component in educational reform. Educational reform required that parents and stakeholders of a school serve in an advisory capacity to the principal when decisions needed to be made. Ultimately, it is a principal in leadership role as a manager and instructional leader, who has the final say.

82. Budgeting and allocating resources (request for spending on the arts, sports, enrichment programs, etc)

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable
This is due to:	MERA	NCLB	Both MERA and NCLB		Not sure

83. Hiring and staffing teacher and school personnel positions (grade level teaching assignments, staffing assignments, etc)

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable
This is due to:	MERA	NCLB	Both MERA and NCLB		Not sure

84. Appropriating time for staff to use (instructional time, common planning time, training time, reflection time, etc)

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not applicable
This is due to:	MERA	NCLB	Both MERA and NCLB		Not sure

85. Adopting and implementing programs that are research-based to increase student learning and improve student achievement

Strongly negative influence	Somewhat negative influence	None	Somewhat positive influence	Strongly positive influence	Not sure
This is due to:	MERA	NCLB	Both MERA and NCLB		Not sure

(Adapted with permission from an NCLB survey developed by Bryan Luizzi, 2006.)
Leadership practices are actions and activities which are carried out by principals in a school. Practices include administrative---hiring and firing teacher, determining their salaries, ensuring that teachers are certified, etc.; instructional---increasing student academic performance, implementing programs, analyzing data, etc; curricular providing professional development to integrate technology into the curriculum, aligning English language arts curriculum with the library collections and the literacy resources, etc.; and operationalô making decisions and taking action on the day to day functions of the school.

Please indicate your perception of the influence MERA and/or NCLB has had on your ability to perform the following leadership practices which include the following:

86. Establishing a set of standard operating procedures and routines

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not sure |

This is due to: MERA NCLB Both MERA and NCLB Not sure

87. Supervising the design and implementation of curriculum, instruction, and assessment practices

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not applicable |

This is due to: MERA NCLB Both MERA and NCLB Not sure

88. Ensuring faculty and staff are aware of the most current theories and best practices

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not applicable |

This is due to: MERA NCLB Both MERA and NCLB Not sure

89. Understanding which school and classroom practices improve student achievement

| Strongly negative influence | Somewhat negative influence | None | Somewhat positive influence | Strongly positive influence | Not applicable |

This is due to: MERA NCLB Both MERA and NCLB Not sure

Section VI: Status, Support, and Self Assessment

90. How has your school been identified by the Massachusetts Department of Elementary and Secondary Education (DESE)?
a) Meeting Adequate Yearly Progress (AYP); Needing: b) Improvement; c) Corrective Action; d) Restructuring

91. How long has your school been identified by the DESE as Not Meeting AYP?
a) Year 1; b) Year 2; c) Year 3; d) Year 4; e) Beyond Year 5

92. How consistent has the assistance from the DESE been to turn around student performance?

Very poor Poor Average Good Very good Not sure

93. How would you rate yourself in meeting the standards of MERA and NCLB?

Very poor Poor Average Good Very good Not sure

94. How would you rate your leadership and accountability?

Very poor Poor Average Good Very good Not sure

95. How would you rate the overall influence of MERA and/or NCLB on your principaløs practice of leadership in your school?

    Very poor   Poor   Average Good   Very good   Not sure

Section VII: Open-Ended Questions

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96. In what ways have you changed as a principal as a consequence of MERA?

97. As a consequence of NCLB?

98. Where is your school today and what is your school currently doing to in attempts to meet the Adequate Yearly Progress (AYP) targets of NCLB? Please list below and include anything being done with sub-groups or the whole population.

99. What have been some of the positive changes you have seen in your school as a result of MERA and/or NCLB?

100. What have been some of the negative changes?

101. What would you like to change?

102. Do you consider the accountability measures of NCLB to have positive or negative influences in your school? Please explain.

103. Would you consider yourself a better leader as a consequence of NCLB?

104. How would you counsel a new principal with what you have gained of such leadership?

105. Is there anything else you would like to share about MERA and/or NCLB that has not been solicited in this survey? If so, please share below.

This will appear as a pop-up for the first 350 principals who submit the survey.

Thank you for participating in this study.

In appreciation for responding to the survey, a 7.0 oz. bag of Lionøs Hawaiian Coffee will be sent to you. This form will be separate and not attached to your survey responses to insure confidentiality. This separate on-line form will be destroyed once the shipment has been mailed to you.

Name: _____

Address: _____

          _____

Thank you for participating in this study.

At this time, more than 350 principals have submitted the survey. Your participation was vital in this study and very much appreciated.

APPENDIX G

INTRODUCTION LETTER FOR THE IN-DEPTH INTERVIEWS
[This letter was sent by USPO Mail along with the Consent Form (Appendix H).

Wesley P. S. Manaday
[Return Address]
[Date of letter]

Dear Principal,

You may have participated in completing an on-line survey for the research of Wesley Manaday, a doctoral candidate, for the study titled, *Leadership of Elementary School Asian American Principals in Massachusetts and the Greater Boston Metropolitan Area in the Implementation of the Massachusetts Educational Reform Act (1993) and the No Child Left Behind Law (2001).* You are now being asked again to consider participating further in the study.

The Massachusetts Educational Reform Act of 1993 then the No Child Left Behind Law enacted in 2002 placed greater demands on principals to improve the academic performance of each individual student in our public schools and school districts. From the survey previously distributed, it was important to learn more about how principals have interpreted, responded, and implemented the provisions made by these educational reform laws.

Your willingness to participate in this part of the study through an in-depth interview, will contribute to identification and description of the personal and professional changes principals have experienced and the interpretation and implementation strategies they undertaken as a consequence of the MERA and NCLB.   You were chosen to participate in this part of the study because these in-depth interviews will be of targeted ethnically diverse groups of principals including Asian Americans, Latinos, African Americans, Native Americans, and European whites.

Participating in the in-depth interview is your choice. A consent form to participate in the study along with a stamped return envelope is enclosed. The interviews will be approximately 30-45 minutes long to be conducted in your school or a designated area. Additionally, the interviews may be conducted and transcribed by hired research assistants who will be required to consent in writing to keep all data confidential while the collection process is being controlled by the researcher.

If you have questions or would like to discuss the research study, I can be reached via telephone (781) 440-5961 or email wmanaday@norwood.k12.ma.us. Or through Dr. Martha Montero-Sieburth, doctoral advisor via telephone 011 (3135) 698-4780 or email Martha.Montero@uva.nl or Martha.Montero.Sieburth@casema.nl Your participation and support in this research study is greatly appreciated and I thank you in advance for your cooperation.

Sincerely,

Wesley P. S. Manaday
Doctoral Candidate

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CONSENT FORM FOR THE IN-DEPTH INTERVIEW

University of Massachusetts Boston
Graduate College of Education
100 Morrissey Boulevard
Boston, Massachusetts 02125

Consent Form For: In-Depth Interview

Title: *Leadership of Elementary School Asian American Principals in Massachusetts and the Greater Boston Metropolitan Area in the Implementation of the Massachusetts Educational Reform Act (1993) and the No Child Left Behind Law (2001).*

Introduction and Contact Information:

The researcher is Wesley Paul S. Manaday, a doctoral candidate in the Leadership in Schools Program. Please read this form and feel free to ask questions. If you have further questions Mr. Manaday will discuss them with you. His telephone number is (718) 440-5961.

Previously, you had been sent a survey electronically by email from me to take part in a research project of all K-8 School Principals in the Commonwealth of Massachusetts and the Boston Metropolitan Area on the Massachusetts Education Reform Act (MERA) of 1993 and the No Child Left Behind (NCLB) of 2001 and their role as school leaders, decision-makers, and practice oriented principal.

You are being sent this consent form to participate in an In-depth Interview. If you decide to participate in this part of the study, you will be asked to answer open-ended questions in an In-depth Interview. As in the survey, all of the questions will draw on your experiences of the interpretation and implementation of MERA and NCLB mandates. But in the interview, you will have the opportunity to give more details. You may also choose not to participate at this time.

If you decide to participate in this part of the study, you will now be asked to answer questions in an In-depth Interview as in the electronic survey that you may have completed which will relate to your experiences on the interpretation and implementation of MERA and NCLB mandates. Your willingness to participate in this study will allow new information to be gathered on how principals interpret and implement MERA and NCLB mandates while responding to the day-to-day demands made by accountability. The interviews will take place at your school or a designated area. Once your consent form is returned, you will be contacted by email or by telephone to schedule an interview time.

Description of Project:

This study contributes to the macro understanding of how principals across the Commonwealth of Massachusetts are attempting to interpret NCLB mandates. It also contributes to the micro level of how diverse principals interpret such in terms of the

decision-making processes they undergo, the focus on instructional, curricular, and assessment practices they are engaged in and the leadership they maintain.

If you decide to participate in this part of the study, you will be asked to discuss questions in a 30-45 minutes individual In-depth Interview to take place at your school or at a designated area. Your involvement will be participating in this interview. The researcher will ask a set of open-ended questions. All of the interview questions will draw on your experiences of the interpretation and implementation that relate to your experiences as a school leader, decision maker, and practice-oriented principal.

Some examples of the type of information gathered from the interview will include your thoughts on: 1) What comes to mind when you think about MERA and/or NCLB and how it has impacted your role as Principal? 2) What were some of the changes you made in your decision making and principal practice of leadership? 3) What are some of the strengths and challenges of implementing the mandates? 4) What strategies have worked for you and what has not? 5) What are some of the social and cultural domains that you have used or drawn from in your role as principal? 6) How do you use these strategies and to what ends? 7) How do you alter or adopt changes and what are these? 8) What helps you comply with MERA and/or with NCLB at a level that you are satisfied? 9) What are these specific interventions that other principals should know? 10) What do you think should happen to MERA and/or NCLB in this new decade?

Risks or Discomforts:

There are minimal risks expected from participation in this research, which are no greater than the risk ordinarily encountered in daily life or in the performance of routine activities. You will be answering questions like the ones just described which are not different from having a common professional conversation.

Confidentiality:

The information gathered in this project is confidential and will not be published or presented in a way that would allow anyone to identify you. The interview may be conducted and transcribed by hired research assistants who will be required to consent in writing to keep all collected data confidential with the data collection being controlled by the researcher.

Information gathered for this project will be recorded on audiotapes and erased once they are transcribed. Transcripts will be stored in a locked cabinet where only the researcher will have access to the data.

The data will be kept for three years, after which if the researcher wishes to conduct follow-up studies, he would then need to contact you in writing to seek permission to use the information and gain your specific consent for other educational purposes. Otherwise all materials will be shredded and destroyed after the project is finished.

Voluntary Participation: The decision whether or not to take part in this research study is voluntary. If you decide to take part in this study, you may terminate participation at any time without consequence. If at any time you decide not to take part

in this study you should tell the researcher directly in person or by email or telephone. Whatever you decide will in no way affect your status as a professional.

Rights:

You have the right to ask questions about this research before you give consent to participate and at any time during the study. You can reach Mr. Manaday by phone or email, (781) 440-5961 or wmanaday@norwood.k12.ma.us or his advisor Dr. Martha Montero-Sieburth at 011 (3135) 698-4780 or Martha.Montero@uva.nl or Martha.Montero.Sieburth@casema.nl

If you have questions or concerns about your rights as a research participant, please contact a representative of the Institutional Review Board (IRB), at the University of Massachusetts, Boston, which oversees research involving human participants. The Institutional Review Board may be reached at the following address: IRB. Quinn Administration Building-2-015, University of Massachusetts Boston, 100 Morrissey Boulevard, Boston, MA 02125-3393. You can also contact the Board by telephone or e-mail at (617) 287-5370 or at human.subjects@umb.edu

Signatures:

I have read the consent form. My questions have been answered. My signature on this form means that I consent to participate in this study.

Signature of Participant   Signature of Researcher

_____   _____

Printed name of Participant   Printed name of Researcher

_____   _____

Date   Date

_____   _____

Please sign the two copies of this Consent Form. Keep one for your file. Return one in the stamped pre-addressed envelope provided.

APPENDIX I

IN-DEPTH INTERVIEW QUESTIONS

You may have given written consent to participate in this interview. You also may have given your consent to audiotape this interview. Completing this interview is completely voluntary and you may quit at any time.

With the passage of the Massachusetts Education Reform Act (MERA) of 1993 and the No Child Left Behind (NCLB) Act of 2001, school principals are expected to fulfill an array of professional tasks and competencies. Please answer the following questions regarding the roles for principal leadership.

1. What comes to mind when you think about MERA and NCLB and how it has impacted your role as Principal over the past 17 years?

2. What have been some of the changes you made in your decision making and principal practices of leadership accountability over these years, please explain each in detail?

3. What are some of the strengths of both MERA and NCLB in your opinion?

4. What are some of the challenges of implementing these laws?

5. In what ways have these laws served to make your school a better performing school and you a better leader? Please explain each in detail.

6. Has MERA and NCLB been able to õequalize the playing fieldö for diverse students and in what ways?

7. Do you consider that MERA and NCLB have enacted equity for your students? Please explain. What have they been able to do and what have they not been able to do to make your school better?

8. What do you feel is currently necessary for improving student performances and the professionalism of teachers in your school?

9. What strategies have worked for you? Please describe these in detail.

10. What have not? Please describe these in detail.

11. How have you come up with these strategies, where have you drawn them from and why?

12. What are specific interventions should principals know?

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13. What are some of the social and cultural domains that you have used or drawn from in your role as principal? That is, because you are of a given ethnic group, do you use some of the ways things are done within your own group in your leadership role as a principal? To what extent, or do you go by the book?

14. How do you alter or adopt changes using some of the ways things are done within your own ethnic or cultural group in your leadership role as principal?

15. What helps you comply with MERA and with NCLB today at a level that you are satisfied?

16. Does being a principal under MERA and NCLB make you a leader in your school? Are there other attributes that are not encompassed by these laws that should be considered?

17. Have these laws helped you understand your community of learners and in what ways?

18. What would you counsel a new principal about under MERA and NCLB that they should learn as part of being a principal leader?

19. What do you think should happen to MERA and NCLB in this new decade and under re-authorization?

20. What would you specifically recommend to the reauthorization review board if you had the chance? Please give some examples.

21. Is there anything else you would like to say about MERA and NCLB that has not been solicited in this interview?

Thank you for participating in this study.

APPENDIX J

FIRST FOLLOW UP POSTCARD FOR IN-DEPTH INTERVIEWS

[This was sent by USPO mail after two weeks to principals who had not responded]

Dear Principal,

Two weeks ago you received a request to participate in an In-Depth Interview about Principals and the Massachusetts Educational Reform Act of 1993 and the No Child Left Behind Act of 2001. If you have returned the form, thank you very much.

If, on the other hand, you have yet to return the consent form, would you please consider it now? Your responses to the interview questions will be very important and I would like for you to participate in the study.

If you have misplaced the consent form, I would be pleased to send you another one. Please call me at (617) 529-8545ô cell or (718) 440-5961ô office.

Sincerely,

Wesley P.S. Manaday

APPENDIX K

SECOND FOLLOW UP POSTCARD FOR IN-DEPTH INTERVIEWS

 [This was sent by USPO mail after one month to principals who had not responded.]

Dear Principal,

A month ago you received a request to participate in an In-Depth Interview about Principals and the Massachusetts Educational Reform Act of 1993 and the No Child Left Behind Act of 2001. If you have returned the form, thank you very much.

If, on the other hand, you have yet to return the consent form, would you please consider it now? Your responses to the interview questions will be very important and I would like for you to participate in the study.

If you have misplaced the consent form, I would be pleased to send you another one. Please call me at (617) 529-8545ô cell or (718) 440-5961ô office.

Sincerely,

Wesley P.S. Manaday

CONSENT FORM TO AUDIO-TAPE

This study involves audio-taping of interviews. Neither your name nor other identifying information will be associated with the audiotape or the transcript. Only the researcher and a hired transcriber will be able to listen to the tapes and read the transcript. The hired transcriber will sign a consent form to keep all information confidential. The audiotapes will be erased after the interview has been transcribed. The transcripts will be shredded and destroyed after three years. Transcripts of your interview may be reproduced in whole or in part for use in presentations or written products that result from this study. Neither your name nor any other identifying information (such as your voice) will be used in the presentations or in written products resulting from the study.

By signing this form you are consenting to:
    Participating in a 30-45 minutes interview

    Having the interview audio-taped and transcribed

    Use of the written transcript in presentations and written product------------

By placing a check in the box in front of each item, you are consenting to participate in that procedure.

This consent for audio-taping is effective until the following date: _____. On or before that date, the audiotapes will be destroyed.

Signatures:

I have read the consent form. My questions have been answered. My signature on this form means that I am consenting to participate in this study.

Signature of Participant   Signature of Researcher

_____   _____

Printed name of Participant   Printed name of Researcher

_____   _____

Date _____   Date _____

APPENDIX M

PERMISSION BY EMAIL

Permission from Dr. Bryan Luizzi to adapt the survey from his study

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----- Forwarded message from bryan.luizzi@brookfield.k12.ct.us -----
      Date: Wed, 3 Feb 2010 15:30:44 -0500
      From: "Luizzi, Bryan" <bryan.luizzi@brookfield.k12.ct.us>
  Reply-To: "Luizzi, Bryan" <bryan.luizzi@brookfield.k12.ct.us>
   Subject: Re: Hello from Wes Manaday--IRB Proposal attached
        To: "wmanaday@norwood.k12.ma.us" <wmanaday@norwood.k12.ma.us>
```

Hello Wes,

Thanks for your courtesy. You are certainly welcome to use any
materials from my study that align with your research objectives. As
I'm sure you know, much of my questionnaire came from Marzano's
"Balanced Leadership" Framework. I see you've referenced him
frequently in your lit review - a wise move :) Once you are
published, I'll be sure to download a copy so I can show my colleagues
that I've been cited alongside Marzano and the others - thanks for the
compliment!

I also hope your study informs the administration as they consider
ways to improve NCLB. It is certainly a complex issue that takes
focused, intensive study to understand. It looks like you've got
things well in hand.

Thanks again for your consideration in asking about the use of my
materials. As I said earlier, anything to help a fellow principal.
Every day, I'm a little more proud of what we do. If there's anything
else, please don't hesitate to ask.

I hope you have a wonderful trip home!

My Best,
Bryan

Bryan D. Luizzi, Ed. D.
Principal
Brookfield High School
45 Longmeadow Hill Road
Brookfield, CT 06804
203.775.7725
203.775.7745 (fax)
http://www.brookfield.k12.ct.us

Respect, Responsibility, Rigor

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