Mentorship for First Year Principals Leading Transformational Change

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ABSTRACT

Mentorship for First Year Principals Leading Transformational Change

by Anne Taylor

The purpose of this qualitative study was to understand the perceptions that first year K-12 principals had about their mentorship relationship while leading their school through transformational change. The transformational change from the 1997 California Content Standards to the Common Core State Standards (CCSS) caused a significant shift in the focus of educational leaders in California. Along with this challenge, there are many other new experiences that a first year principal will encounter. Mentorship is one way to support new principals to effectively navigate these new experiences.

The target population was first year K-12 principals in Fresno County during 2013-2014 who were involved in a formal mentoring relationship. The homogeneous sample included one high school, two middle, and three elementary principals. The interview protocol was created by the researcher to address the four research questions. Semi-structured interviews were used to collect the data, which were, then, transcribed into NVivo for coding using the grounded theory approach to data analysis.

Each of the four research questions produced key findings in order to contribute to the overall conclusion of the study, which was that the mentor was more important to the success of the mentorship relationship than the design of the program and that the person chosen to be a mentor needs to (a) believe in their mentee's ability to lead change, (b) have a similar mindset as their mentee in how to lead change, (c) be familiar enough with the current system of their mentee in order to help him/her navigate through the change, and (d) build a trusting relationship with their mentee.

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CHAPTER I: INTRODUCTION

Making the decision to become a public school principal serving kindergarten through twelfth grade (K-12) students in the current era of education is not easy. The responsibilities of school principals seem to be never ending and the demands on time, energy, and knowledge are rapidly increasing, due in part to the adoption of the Common Core State Standards (CCSS; Rothman, 2013). The CCSS initiative began in 2009 as an initiative to help students better prepare for college and a career while participating in public education ("Center for K-12," 2012). The standards were adopted by California in August of 2010 ("Common Core," 2014). The CCSS are not just a minor tweak in how education currently functions in America; they are a major shift in what is taught and how it is taught ("Center for K-12," 2012). The expectation is that students will acquire the skills necessary to succeed in the new job market, a job market where tomorrow's best technology is unknown and where competition is global ("Center for K-12," 2012). Because these standards are so important to the future of our students and to the success of each school site, it is the responsibility of the site principal to successfully facilitate the transition from the old standards to the new. This is a transition that requires a great amount of new knowledge, calculated risk, and transformational leadership.

Transformational leadership is leadership that moves an organization from where it currently exists to a desired state that requires a significant shift in the way things are currently being done (Anderson & Anderson, 2010). Transformational change is a change to the culture, mindset, behaviors, and systems that sustains over time (Anderson & Anderson, 2010). The transformation from the 1997 California Content Standards to the new CCSS is a change that requires new systems and a new mindset in order to be

successful ("Center for K-12," 2012); therefore it can be considered a transformational change.

Along with facilitating the current transition to the CCSS, principals also have to make sure they are meeting the standards set for them as school leaders. The California Professional Standards for Educational Leaders (CPSEL) were adapted from the Interstate School Leaders Licensure Consortium (ISLLC) and adopted in 2004 by the California Commission on Teacher Credentialing as program standards for obtaining an administrative credential (WestEd, 2014). California is currently in the process of transitioning to the California Administrator Performance Expectations (CAPEs); however the CAPEs will not be fully implemented until September, 2015 (Roby, 2013). There are six CPSELs provided for site and district leaders that serve as an overview of what successful leaders do (Appendix A). Each CPSEL begins with the phrase, "A school administrator is an educational leader who promotes the success of all students by…" ("Moving Leadership," 2003). It is clear from this phrase alone that the role of the principal is to promote the educational success of all students. This is easy to say, but how does it get done, when the definition of educational success is being redefined by the CCSS?

One does not have to dig too deeply to find research that suggests principals are one of the most significant factors in the educational success of students. According to Leithwood, Seashore Louis, Anderson, and Wahlstrom, (2004), principal leadership comes second only to teachers in its impact on the academic success of students. They continued their research on this topic and in 2010, after six years of further research, they claimed that they had yet to see one case of school improvement without a talented leader

leading the way (Leithwood, Seashore Louis, Anderson, & Wahlstrom, 2010). Waters, Marzano, and McNulty suggested that the principal can have either a strong positive or strong negative impact on student achievement (2003). In 2005, Marzano and Waters went on to claim that the "leadership behavior of the principal can have a profound effect on student achievement" (p. 32). A 2010 WestEd study proposed that "strong, focused school-site leadership is a critical component in student and school success" (Kearney, 2010, p. iv). If the principal has such a strong effect on student achievement, then it is imperative that they are prepared and supported for the large responsibility they possess.

It is not uncommon for principals to begin their tenure in school-site leadership on their own. They have successfully completed their administrative credential program and then they are hired to lead their school-site with little formal support due to the fact that many states do not have a formal support system set up for new principals (Kearney, 2010). According to Kearney, beginning principals are in need of significant support because "during the first two or three years on the job, they undertake the often challenging transition from preparing to become a principal to being the principal in charge of an entire school community" (2010, p. 15). Kearney suggested that one way to successfully support a novice principal is to provide them with a mentor. As of 2006, about half of the 50 states had adopted some sort of mentoring program for first year principals (Kearney, 2010). California, however, still does not have this requirement ("Administrative Services Credential for Individuals," 2014).

Background

According to Anderson and Anderson in *Beyond Change Management* (2010a), transformation in an organization is a "radical shift of strategy, structure, systems,

processes, or technology" (p. 60). Transformation is often a messy process that takes an organization from its current state and transforms it into a better state. Transformation is driven by many different things. It can be driven by external factors such as environment, marketplace, business and organizational imperatives, or it can be driven by internal factors such as culture, behavior, and mindset (Anderson and Anderson, 2010a). The internal drivers often come as a result of the need for organizational change to be transformational. For example, the norms of an organization must change in order to support the new thinking, the leaders must change how they behave in order for the staff to support the new state of being, and the mindset of all employees must change to reflect the desired behaviors and culture (Anderson and Anderson, 2010a).

Transformational change is not a clean process. It takes determination, the ability to adapt when things do not go as planned, and perseverance through chaos. In order to successfully maneuver through transformational change, it takes a leader that is willing to embrace this "radical shift" and lead his/her followers into the unknown (Anderson and Anderson, 2010a, 2010b). Transformational leadership can be defined as a "process that inspires creativity through a clearly defined and communicated shared vision. It requires innovation, flexibility, and conscious awareness of the current state of one's organization and the direction one needs to go in order to produce cultural change" (Hamilton, McGee, Taylor, & Tos, 2012). Building capacities for change within a 21st century organization is an advantage according to Anderson and Anderson (2010a p. 256). It must be strategic and it is essential that it be deeply rooted in how organizations do business so that through the change process, results are not sacrificed. As our national education system

is entering a season of transformational change, it is imperative that leaders are prepared to lead in such a way.

In an article written for the *Canadian Journal of Educational Administration and Policy*, Stewert said that a transformational leader empowers followers to be leaders. He also stated that transformation is a collaborative process that involves problem solving, and shared decision making (2006). It is not one person leading in isolation. Transformational leaders inspire others to take initiative and join the process of leadership. In an educational institution there is only one principal, one person who is ultimately responsible for the successful implementation of any statewide or nationally driven initiative. Unfortunately, most initiatives cannot be successfully implemented with a single leader; therefore successful change takes shared leadership.

The CCSS Initiative began in 2009 ("Center for K-12," 2012) as an initiative to help students better prepare for college and a career while participating in public education. The skills required for successful mastery of the CCSS are relevant to the daily job requirements of most professionals in the 21st century. This is a huge shift from the skills that have been instilled in students through the educational system we have had for the past decade to the skills that are now needed to succeed in an increasingly global economy ("Center for K-12," 2012).

The new CCSS have been formally adopted by 43 states ("Common Core," 2014). This means that for the first time in public education, the majority of students across the nation will be expected to acquire similar skills through universal content. These standards have been designed to align with college and career expectations; they are clear and consistent; they are evidence based; they have been informed by other top

performing countries in order to best prepare our students to compete in a global society; and they also include application of knowledge and the use of a higher level of thinking than the prior standards required ("Common Core," 2014). As the educational system in America prepares to shift dramatically to the CCSS, transformational leadership will be necessary to positively promote a new culture that is guided by these new standards. It is unrealistic to expect a first year principal to understand how to maneuver through this transformational change to the CCSS without appropriate support. A first year principal already has a full plate and now they are also expected to lead their organization through this transformational change. Bush (2009) makes the point that in the past, we hired school leaders based on the fact that they demonstrated the ability to be highly effective teachers. He asserts that this is no longer appropriate. "The additional responsibilities imposed on school leaders, and the greater complexity of the external environment, increase the need for principals to receive effective preparation for their demanding role. Being qualified only for the very different job of classroom teacher is no longer appropriate" (Bush, 2009). A positive mentorship relationship is an effective way to help prepare principals to successfully navigate their first year and beyond (Fleck, 2007; "Getting Principal Mentoring Right," 2007; Hall, 2008; "National Association," 2013).

"Every California student deserves not only a fully prepared, effective teacher in every classroom, but also a fully prepared, effective and supported principal in every school" ("Strengthening California's," 2009). First year principals rarely have the experience to successfully navigate the principalship on their own. They are, often, overwhelmed with the requirements placed on them and prioritizing the demands of teachers and other site staff with the demands of the district can seem impossible. This

may contribute to the reason that less than 50% of California's principals plan to stay in their positions until they retire ("Strengthening California's," 2009). Developing leaders is key to improving student learning (Kearney, 2010). Beginning principals state that when the expectations placed on them are clearly defined by their districts, they are more willing to take risks in order to help students succeed (Kearny, 2010). Feeling supported by their district also leads to a higher likelihood of risk-taking in order to make the changes necessary for success (Kearney, 2010). One belief present in research suggests that it is the responsibility of veteran principals to help mentor beginning principals in order to train them for success (Fleck, 2007; Hall, 2008) and one way that districts can facilitate this is to create a quality mentoring program (Fleck, 2007; Hall, 2008).

Currently California does not have a mentorship requirement for new principals. It has an induction program that requires a minimum of two "successful" years as an administrator to earn a Clear Credential ("Administrative Services Credential for Individuals," 2014). This induction program has a two year mentoring requirement as well (they refer to this as coaching) ("Administrative Services Credential Program," 2014); however one can earn a Clear Credential without ever becoming a principal by completing the induction program while in an administrative position other than principal (for example, as a Learning Director or district office administrator). Kearney proposes that there is a strong need for California to strengthen their induction system by requiring at minimum one-year of principal mentoring for first year principals (2010).

Statement of the Research Problem

There is a significant amount of research that supports the need for highly effective principals. However working to develop leaders has not been the priority of all

states during the No Child Left Behind (NCLB) era. Specifically in California, so much focus has been put on improving districts and schools through regulations, accountability and support centers, that there has been little, if any, focus on developing the leaders needed to lead these improvements (Kearney, 2010). Furthermore, as public education transitions to the CCSS, developing and supporting transformational leaders is imperative to the successful implementation of the new standards (Moolenaar, Daly, & Sleegers, 2010).

California defined effective school leadership through the adoption of the CPSELs in 2004 (WestEd, 2014). In order to earn a Professional Administrative Services Credential, candidates must demonstrate mastery of knowledge about the six CPSELs through a credential program. Each administrative credential program in California is required to use the CPSELs to some extent (Kearney, 2010); however, the consistent use of them for professional development and guidance for school principals once on the job is difficult to monitor (Kearney, 2010). California also offers another way to obtain a Professional Administrative Services Credential. There is an examination pathway that is offered which aligns with the CPSELs and is written to assess the competencies that are taught through an administrative credential program ("Administrative Services Credential Program," 2014). The California Preliminary Administrative Credential Examination (CPACE) is written to address "law, finances, organization, and English learner student needs" in a California school (CPACE, 2014). Kearney (2010) points out that this approach is of significant concern because it puts administrators in leadership positions without necessarily having the training needed to be successful (p. 7-8).

Research suggests that mentoring programs are a strong way to serve new principals as they work to understand the demands of their job (Fleck, 2007; "Getting Principal Mentoring Right," 2007; Hall, 2008; "National Association," 2013). Mentoring programs can be extremely beneficial to principals if they are systemic and have highly trained mentors serving their new principals ("Getting Principal Mentoring Right," 2007). However, some mentoring programs are merely a way for new principals and veteran principals to check in with each other on a "buddy-system" and these programs do not do enough to adequately "prepare principals to become knowledgeable and courageous leaders of better teaching and learning in their schools" ("Getting Principal Mentoring Right," 2007). If mentoring programs are beneficial to principals (Fleck, 2007; "Getting Principal Mentoring Right," 2007; Hall, 2008; "National Association," 2013) and California needs more effective principals ("Strengthening California's," 2009), then one can deduce that California should do more to promote effective mentoring programs for their principals. Because of this, it is imperative to examine what mentorship practices first year principals perceive to be effective during transformational change in order to develop mentorship programs that meet the current needs of first year principals during transformational change.

Purpose Statement

The purpose of this qualitative study was to examine first year K-12 principals' perceptions of effective mentorship practices during transformational change.

Research Questions

The following research questions were developed to examine how first year principals feel about the effect that their mentor relationship had on their first year as a

principal during the transformational change from the 1997 California Content Standards to the new CCSS:

1. What content addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader?
2. What activities addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader?
3. To what extent do first year principals believe they benefitted from their participation in a mentoring program?
4. To what extent did first year principals' participation in a mentoring program contribute to their experience during the transformational change to the Common Core State Standards?

Significance of the Problem

This study added to the growing literature regarding support for school leaders. Principals have a significant impact on student achievement (Kearney, 2010; Leithwood et al., 2010; Waters, Marzano, & McNulty, 2003); it is second only to a child's teacher (Leithwood, et al., 2004; Waters et al, 2003). According to a meta-analysis conducted by Clifford, Behrstock-Sherratt, and Fetters (2012), the work of a principal is more diverse and demanding now than it ever has been before. A principal with any amount of experience can benefit from support due to the increasing demands of the job. Even more so, first year principals can significantly benefit from the right support. They are not only trying to juggle the increasing demands of school leadership, but they are doing so while they are making the personal adjustment to being in charge of their school. This is difficult for new leaders. Even though they have been preparing to become the leader,

the transition from preparation to actually becoming the leader is difficult (Kearney, 2010).

There is not a significant amount of research on how first year principals feel they are best supported, specifically during transformational change. Learning how to support new principals based on their perception of their needs during transformational change adds to the literature on mentorship for school leadership. Because of this research, school districts can better understand how to support new principals during transformational change, which ultimately benefits the academic achievement of students.

Definitions of Terms

Adult Learning. Adult learning refers to the idea that adult learners learn best when they are self-directed and when they can make connections to their daily work (Fogarty & Pete, 2009; Knowles, 1973; Trotter, 2006). The Andragogical theory of adult learning was defined by Knowles in 1976. He stated that adult learners have the need to be self-directed and to learn through experience. He proposed that these needs increase as humans get older (1976). The Andragogical theory also states that adult learners learn things as they need to learn them or as they have a problem to solve (1976).

Common Core State Standards (CCSS). The CCSS are new standards that were released in 2010 to help promote college and career readiness in our national educational system and prepare students for competition in a global market ("Center for K-12," 2012; "Common Core," 2014). They have been designed to align with college and career expectations; they are clear and consistent; they are evidence based; they have been informed by other top performing countries in order to best prepare our students to

compete in a global society; and they also include application of knowledge and the use of a higher level of thinking than the current standards require ("Common Core," 2014).

Elementary School. For the purposes of this study, an elementary school is any school with a combination of grades that fall within the span of Transitional Kindergarten (TK) through sixth grade or a school whose grades span from TK completely through eighth grade.

High School. In this study, a high school was a ninth through twelfth grade traditional public school. Continuation schools and court schools were not considered high schools.

K-12 Schools: This study identified any public school that serves any combination of Transitional Kindergarten through twelfth grade a K-12 school, with the exception of continuation and court schools.

Mentoring. Mentoring refers to the process of one individual with significant experience providing individual support and challenge to a new member of the profession (Bush, 2009). For the purposes of this study, a mentor is someone in the field of education who has significant experience as a principal and is partnered with a first year principal to support them through their first year of school leadership.

Middle School. This study considered a school with any combination of fifth through eighth grade students a middle school.

Transformational Change. Transformational change refers to a change that is marked by a radical shift in the current state of an organization (Anderson & Anderson,

2010a, 2010b). This type of change demands a complete change to the culture of an organization, yet the end results are often unseen during the beginning stages of the change (Anderson & Anderson, 2010a, 2010b).

Transformational Leadership. Transformational leadership is as a "process that inspires creativity through a clearly defined and communicated shared vision. It requires innovation, flexibility, and conscious awareness of the current state of one's organization and the direction one needs to go in order to produce cultural change" (Hamilton, McGee, Taylor, and Tos, 2012).

21st Century Learning. 21st Century Learning refers to the skills that students must learn in order to succeed in today's world. These include learning and innovation skills, life and career skills, information, media, and technology skills, and core subjects ("The Partnership for 21st Century Skills," 2009). This also includes critical thinking, problem solving, communication, and collaboration ("The Partnership for 21st Century Skills," 2009).

Delimitations

This study was designed to understand the perspectives of first year principals, with mentors, who are leading their schools through transformational change. The participants in the study were delimited to K-12 principals who served their first year as a site principal and were involved in a formal mentoring relationship during the 2013-2014 school year in Fresno County, California. It was designed to focus on a small group of principals in order to gain a deep understanding of their perspective.

Organization of the Study

This study was organized into five chapters. Chapter Two reviews the current literature that is relevant to this study. It begins with identifying transformational change and what this currently looks like in public education with the transition to the CCSS. It then moves into illustrating the need for principals who are experts in leading transformational change. Finally, the review of literature identifies key components that are present in successful mentorship programs. Chapter Three details the methodology of this study and lists the interview questions that were used with all participants. Chapter Four details the data collected through the interviews. Chapter Five concludes with findings, conclusions, and recommendations for further study. References and appendices are included at the end of the study.

CHAPTER II: REVIEW OF THE LITERATURE

This study examined the perceptions held by first year principals about their mentorship experience during transformational change. This chapter reviews the relevant literature. It begins with defining transformational change and then moves into discussing the current major transformational change in K-12 education which is the shift from the 1997 California Content Standards to the new Common Core State Standards (CCSS) adopted in 2010 ("Common Core," 2014). Next, it examines the need for mentorship of first year principals by explaining the changing role of a principal and the short principal tenure that currently exists in public education. Then it discusses principal professional development by highlighting the phases of development in the career of a principal. After that, it briefly discusses the gaps in principal mentorship in California. Finally, it discusses key components of a successful mentorship program.

Transformational Change

There are different types of change that an organization can undergo. In *Beyond Change Management,* Anderson and Anderson (2010a) defined what they refer to as the three most prevalent types of change: "developmental change, transitional change, and transformational change" (p. 51). They stated that during developmental change, there are minor changes to *what is* in order to improve something that is already in place. During transitional change, you are replacing *what was* with something new in order to improve your situation. Transformational change, however, is the birth of something new and unknown that takes your organization to a place it has never been before (Anderson & Anderson, 2010a).

Donald Anderson (2012) described organizational change in a different manner. He stated that organizations go through many different types of change in many different ways. Change can be planned or unplanned. It can happen during distinct periods of time or it can be continuous. It can occur with small modifications to the current system or it can seek to rethink the way organizations function. Change at this scale, where there is a substantial shift in the organization's way of doing business, is referred to as transformational (Anderson, 2012).

Transformational change is a "radical shift" in the way things are currently being done (Anderson & Anderson, 2010a). This shift takes an organization and turns it upside-down. It takes the way business has always been done and transforms it to a new way of doing business. Transformation can be driven by many different forces. Sometimes the forces driving change come from within. These forces include culture, behavior, and mindset creating a need for a new way of doing business (Anderson & Anderson, 2010a). Transformational change can also be driven by external factors that are out of organizational control including environment, marketplace, business and organizational imperatives (Anderson & Anderson, 2010a).

Because of the different forces that drive change, transformational change can often feel as if it is being done to you; it feels like it has a life of its own (Anderson & Anderson, 2010a). Leaders can influence transformational change and they can facilitate how it happens, but the outcome of the change is often unknown in the beginning. There may be directives for change coming from higher management levels that require transformation, or there may be failed systems that require transformational changes to happen. But because the nature of transformational change is so unpredictable, in order

for an organization to successfully maneuver through the change, it takes a leader who understands the power of transformation.

In *The Change Leader's Roadmap*, Anderson and Anderson said that transformational change takes a leader who knows how to clearly establish a vision for the change, someone who is flexible throughout the change process, and someone who can inspire others to see the positive benefits of the change, even through the unknowns (2010b). In *Beyond Change Management*, they put it this way, "When led well, [transformational change] can lead to extraordinary breakthrough results. When led poorly, it can lead to breakdown throughout the organization. Transformation is one of the most challenging yet potentially rewarding undertakings for leaders" (Anderson & Anderson, 2010a, p.59).

Common Core State Standards

"Transformation is a radical shift of strategy, structure, systems, processes, or technology, so significant that it requires a shift of culture, behavior, and mindset to implement successfully and sustain over time" (Anderson & Anderson, 2010a, p. 60). Public education in America is undergoing a major transformational change with the adoption of the CCSS in English Language Arts (ELA) and Mathematics. The CCSS initiative began in 2009 as a way to help promote college and career readiness in our national educational system and prepare students for competition in a global market ("Center for K-12," 2012). The CCSS initiative has been driven collectively by the educational leaders in the individual states (Sloan, 2010), members of the National Governors Association Center for Best Practices, and the Council of Chief State School Officers ("Common Core," 2014) as a way to help create students that are more college

and career ready than they currently are (Sloan, 2010). The standards were released in 2010 and California adopted them in August of that same year ("Common Core," 2014).

The new ELA and Mathematics standards have been formally adopted by 43 states ("Common Core," 2014). Each state had the freedom to add an additional fifteen percent on top of the existing standards as a whole but not all states chose to do so (Kendall, Ryan, Aplert, Richardson, & Schwols, 2012). California decided to add additional content to the CCSS in mathematics ("National Governors: Mathematics," 2010) as well as ELA ("National Governors: ELA," 2013). Because of this adoption, for the first time in public education the majority of students across the nation will be expected to learn the same information. These standards have been designed to align with college and career expectations; they are clear and consistent; they are evidence based; they have been informed by other top performing countries in order to best prepare our students to compete in a global society; and they also include application of knowledge and the use of a higher level of thinking than the current standards require ("Common Core," 2014).

Another part of the implementation of these new standards is an expectation for an increased ability to infuse technology in order to meet the demands of a global society. The 1997 California Content Standards gave very minimal attention to technology beginning only as early as the fourth grade (Ong, 1998). According to the CCSS website, one component of being a literate individual is the ability to "use technology and digital media strategically and capably" (2014). Therefore, infused within the ELA CCSS, beginning in Kindergarten, are specific technology expectations. Also as part of the fifth of eight Mathematical Practices outlined in the CCSS, there is an expectation that

students are able to identify "relevant external mathematical sources" which includes different technology tools ("Common Core," 2014).

The first national assessment of these standards will be implemented during the spring of 2015 ("Smarter Balanced," 2012). The assessments that are being created are very different than the assessments that were previously used to assess proficiency of the old standards. States had the option to join one of two testing consortiums: the Smarter Balanced Assessment Consortium (SBAC) or the Partnership of Assessment of Readiness for College and Careers (PARCC). California, along with 25 other states, joined the SBAC ("Smarter Balanced," 2012). These new SBAC assessments will be administered using computer-adaptive technology, meaning they will adapt to the skill level of each individual student. They will also go beyond multiple choice items, which is unlike the old model, in order to incorporate high level processing skills. There will be extended response items, technology enhanced items, and performance tasks which are designed to "challenge students to apply their knowledge and skills to respond to complex real-world problems" (Smarter Balanced," 2012).

This initiative is a major change that is happening in our educational system. Though individual districts in California have ultimate authority over what standards they choose to teach, they do not have control over the state assessments that they are mandated to administer, which are aligned to the CCSS ("California Department of Education," 2014a). If districts do not choose to adopt the CCSS, they will also miss out on access to the 1.25 billion dollars that California has set aside for the implementation of the CCSS ("California Department of Education," 2014a). Assembly Bill 86, Section 85 (Budget Act, 2013) states that California has moved 1.25 billion dollars from its General

Fund to Section A of the State School Fund with the intent that school districts use this money for the integration of academic content standards. California has created conditions for these funds that include a detailed plan for spending these funds towards CCSS implementation, a detailed spending report that is to be submitted to the California Department of Education before July 1, 2015, and they have made these funds subject to audit ("California Department of Education," 2014b). So, though there is local choice in the adoption of these standards, California has made some efforts to support the adoption of them by all districts.

As Anderson and Anderson explained, when the market requirements force change on the way things are, and the new state is unknown, but will require a cultural shift, then the type of change that is required is transformational (2010b). So, knowing that this transformational change to the CCSS is here, it is imperative that school leaders have strong support systems around them, especially new leaders who are taking their staff through transformational change for the first time.

The Role of the Principal

The role of the principal is pivotal in supporting the transition to the CCSS. However, there are many other areas that a principal must oversee in their daily work. The California Professional Standards for Educational Leaders (CPSELs) identify these other areas. The CPSELs were adopted in 2004 as standards of practice for obtaining a California Administrative Credential (WestEd, 2014). According to WestEd, these standards "illustrate a vision of quality, research-based leadership" ("Moving Leadership," 2003). According to these standards, a school administrator is an educational leader who promotes the success of all students by:

1. Facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.
2. Advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.
3. Ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.
4. Collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.
5. Modeling a personal code of ethics and developing professional leadership capacity.
6. Understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context ("Moving Leadership," 2003).

These six standards set very high expectations for any aspiring principal. On the first page of *Moving Leadership Standards Into Everyday Work: Descriptions of Practice,* it states:

> To be successful, today's school administrators must assume multiple roles, from catalyst to manager, from expert to facilitator. Above all, they must serve as instructional leaders, their every action and decision focused on the singular goal of ensuring that all students achieve high academic standards. (2003)

Williamson and Blackburn (2012) put it this way: "A school leader's most important role is that of instructional leader" (p. 6). The goal of the CPSELs is to help school leaders understand that role and know what to do in order to be an effective and sustainable school leader ("Administrative Services Credential Program," 2014).

On December 12, 2013, California adopted new Preliminary Administrative Services Credential Program Standards. A timeline for transition to the new standards was a part of this adoption ("Administrative Services Credential," 2014). California is in the process of making this transition from a focus on the six CPSELs towards the implementation of the California Administrator Performance Expectations (CAPEs) (Roby, 2013). Using the currently proposed schedule, this transition will not fully take place until September, 2015 ("Administrative Services Credential," 2014; Roby, 2013). The CAPEs are divided into six categories: Visionary Leadership, Instructional Leadership, School Improvement Leadership, Professional Learning and Growth Leadership, Organizational and Systems Leadership, and Community Leadership (Roby, 2013). These six categories were designed to align with the six current CPSELs ("Administrative Services Credential Program," 2014).

Principal as Leader of Adult Educators

A principal is a leader of adult educators and leading adults is a difficult thing to do. Adult educators want to be in charge of their own progress; they want authority in making key decisions and they want discretion in implementing their decisions (DuFour, DuFour, Eaker, & Karhanek, 2010). Therefore, as adult educators are learning new ways to instruct students because of the transition to the CCSS, a principal needs to understand how to effectively help adults learn. There has been much research done on how adults learn.

Pedagogy was a central theory of learning that was used for both children and adults until the 1920s (Knowles, 1980). Pedagogy literally means "the art and science of teaching children" (Knowles, 1973) so to assume that this theory would work with adults

could be seen as a false assumption (Knowles, 1980). Knowles (1973) explained that children have a high need to depend on others so pedagogy, which is founded on the basis that the purpose of teaching is to transmit knowledge and skills from the teacher to the learner (Knowles, 1973, 1980), is an appropriate theory of learning for them. However, he argued that we do not make the transition to a self-directed theory of learning early enough so there is a gap that exists where children want to be self-directed but do not know how (Knowles, 1973). The goal of education is for students to learn so there are situations where pedagogical strategies are appropriate and there are situations where they are not (Knowles, 1980). For the situations where they are not appropriate, Knowles introduced us to another theory of learning, the Andragogical Theory of Learning, which proposes that as humans get older, our need to be self-directed increases rapidly and so does our ability and need to learn through our experiences (1973).

Two commonalities throughout research on adult learners are that adults learn best when they are self-directed and when they are able to make connections to their daily work or experiences (Fogarty & Pete, 2009; Knowles, 1973; Trotter, 2006). When Knowles published *The Adult Learner: A Neglected Species* in 1973, he argued that since most theories of adult learning before this time were based on research done with children, they were inaccurate and not complex enough to apply to adult learning. However, his Andragogical Theory of Adult Learning took into consideration that as humans age, we do not see ourselves primarily as learners but as doers or producers who have a strong need to be self-directed (Knowles, 1980).

Knowles (1973) explained that andragogy is based on four main assumptions. One assumption is that when an individual becomes an adult, they have a need to be

perceived by others as being self-directed (p. 45). The second assumption is the role of experience. Andragogy assumes that experiences create a broad base to relate new learnings to (p. 45). The third assumption is that as humans mature, we necessitate learning through our roles. In other words, children learn the things that others think they "ought" to learn, while adults only learn the things they "need" to learn (p. 46-47). The fourth assumption of andragogy is that adults learn through a problem-centered orientation of learning (p. 47-48). Adults learn something because they need to know it and apply it to a problem.

In 2006, Trotter wrote an article summarizing research on adult learning theory while discussing its potential impact on teacher professional development programs. Throughout this article, she referred to the importance of self-directed learning in each of the theories she summarized. "Self-directedness was a general focus of adult learners," "Adults prefer to plan their own educational paths," and "Teachers should be given latitude to design their own professional development." Fogarty and Pete (2009) also state that adult learning experiences need to be self-directed and need to make connections to their daily work.

The role of a principal, then, becomes finding the balance of providing adults with the opportunity to be self-guided while still maintaining a high level of student success. DuFour et al. referred to this as "simultaneous loose and tight leadership" (2010, p. 185). They argued that encouraging autonomy is a good thing as long as there are clear expectations that are also insisted upon (p. 189).

Principal as Transformational Leader

Transformational leadership has been defined in its simplest terms as "the ability to get people to want to change, improve, and be led" (Balyer, 2012, p. 581). Seeing transformational leadership as an approach to educational leadership is thought of as key to being able to navigate the increasing demands involved in implementing innovative approaches to education (Moolenaar et al., 2010). According to a study done by Moolenaar et al. (2010), principals can operate with a transactional approach to leadership if their goal is simply to maintain the status quo. This is a top down approach where there are transactions between the leader and followers in order to attain a specific task or behavior. However, transactional leadership is not appropriate in an environment where the goal is to change the current flow of an organization, which is what principals are being asked to do with the implementation of the CCSS. Transformational leadership is needed in order to motivate followers to exceed their expectations and make significant changes (Moolenaar et al., 2010).

As stated by The Wallace Foundation ("The School Principal," 2013), "[principals] can no longer function simply as building managers, tasked with adhering to district rules, carrying out regulations and avoiding mistakes. They have to be (or become) leaders of learning who can develop a team delivering effective instruction" (p. 6). In a recently published paper, The Wallace Foundation identified five practices that effective principals do well:

1. Shape a vision of academic success for all students.
2. Create a climate hospitable to education.
3. Cultivate leadership in others.

4. Improve instruction.
5. Manage people, data, and processes to foster school improvement ("The School Principal," 2013, p. 4).

These five practices align with what Anderson and Anderson (2010a) used to define transformational change. They maintained that there are four quadrants change leaders must attend to: mindset, culture, behavior, and systems (p. 6). Each of these quadrants aligns with either internal or external change and either individual or collective change (Anderson & Anderson, 2010a) as shown in Figure 1. Each of the five practices above can easily be placed in one of the four quadrants that need to be addressed for successful transformational change. For example, shaping a vision for an organization is changing a collective culture. And improving instruction is changing individual behavior. The current state of educational leadership is functioning as transformational change and the need for principals to be transformational leaders is urgent.

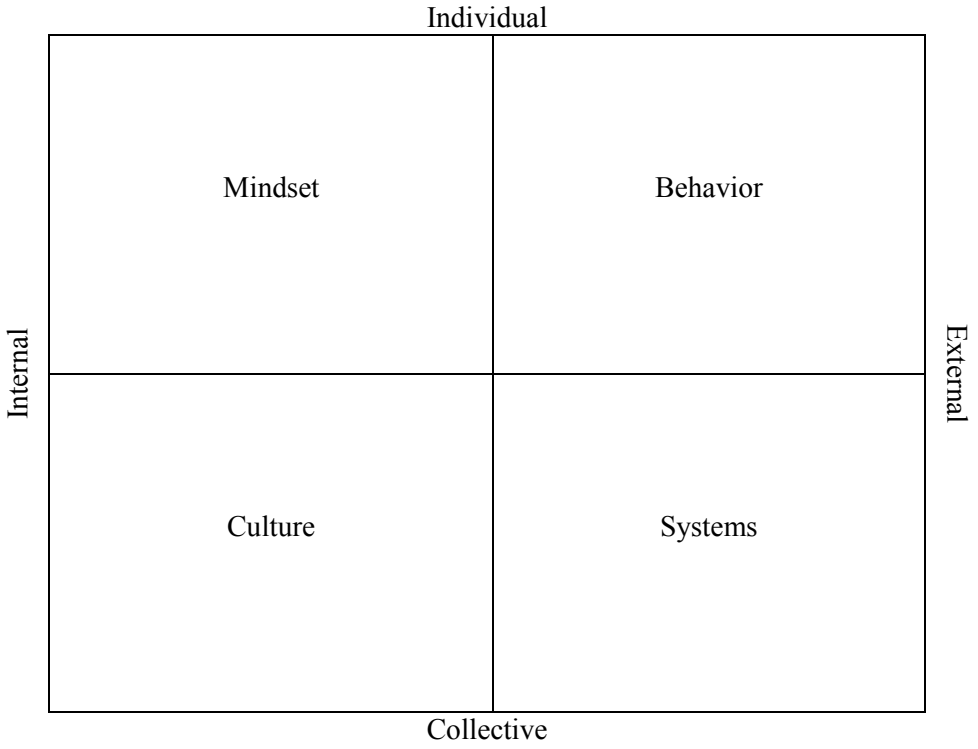

Figure 1. Four quadrants that guide leaders of change. Adapted from *Beyond Change Management* (p. 6), by D. Anderson and L. A. Anderson, 2010, San Francisco, Ca: Pfeiffer. Original copyright by Dean Anderson and Linda Ackerman Anderson.

Principal Tenure

"Every California student deserves not only a fully prepared, effective teacher in every classroom, but also a fully prepared, effective and supported principal in every school" ("Strengthening California's," 2009, p. 12). According to the Bureau of Labor Statistics ("Employment Projections," 2014), the demand for elementary and secondary school principals will increase by 5.7% between 2012 and 2022. Due to the need to replace principals who are on their way out and to expansions in public education, over 74,000 principals will be needed to keep up with the demand during this time frame ("Employment Projections," 2014).

California does not do an effective job of keeping good principals in the career of principal for an extended period of time when compared with other states. According to The Center for the Future of Teaching and Learning, only 48% of principals in California plan to remain in their position as a principal until they retire ("Strengthening California's," 2009). Nationally, 67% of principals plan to remain in their jobs until they retire ("Strengthening California's," 2009). Rapid succession of principals has an adverse affect on student achievement regardless of what a teacher is doing in the classroom (Leithwood et al., 2010). Therefore it is important to keep good principals in leadership positions for extended periods of time.

According to the statistics presented above, there is a dramatic difference between principals in California planning to remain in their current position until they retire (48%) and principals nationally who plan to remain in their current position until they retire (67%). This could be related to the fact that California does not have any state-funded professional development for principals, which is readily available in many other states ("Strengthening California's," 2009). California also does not require any ongoing professional development for principals once they have earned a Clear Credential ("Strengthening California's," 2009).

Principal Development

It is clear that school leadership matters. According to Leithwood et al., (2004, 2010), principal leadership comes second only to teachers in its impact on the academic success of students. In fact, they state that factors in the classroom explain only a slightly larger proportion of variation in student achievement than the variation explained by school leadership (2004). Cheney and Davis (2011) state that though a single teacher can

make a major impact on student learning, the principal has the greatest influence on assuring the likelihood of a student having an effective teacher year after year. Kearney (2010) noted that leadership development is a key strategy for school improvement efforts. Because of this she suggested that California put significant effort into principal development because "an effective principal is essential to school success" (Kearney, 2010, p. iii). She argued that principals develop their leadership capacity over their career and this development takes place over five specific stages of the principalship: aspiring principal, principal candidate, novice principal, developing principal, and expert principal (2010, p. iii).

Aspiring Principal

There is no doubt that good principals often begin as good teachers. According to Kearney (2010), identifying strong teacher leaders is an appropriate place to start when trying to identify your next group of successful school principals. Once these individuals have been identified, then the recruitment process begins. These become your aspiring principals (Kearney, 2010).

Principal Candidate

As soon as an aspiring principal enters into an administrative credential program, they move from an aspiring principal to a principal candidate (Kearney, 2010). Traditionally, administrative credential programs are run by universities and they focus heavily on management, theory, and perhaps classes in resource management. Kearney suggests that effective administrative programs give aspiring leaders the opportunity to practice what they are learning, while being supported by a mentor in order to develop their effectiveness as a leader (Kearney, 2010).

Novice principal

A novice principal is defined by Kearney (2010) as either a first year principal or a principal who is new to their district. It is the responsibility of the district to orient the novice to the ways of the district and to the demands of a principal. Kearney argues that many districts fail at this stage. "The gap between the kind of information and support that some districts provide (or don't provide) for their novice principals and what novice principals actually need in order to be successful and satisfied as they begin their administrative career has always been a problem" (Kearney, 2010, p. 15). Both Kearney (2010) and The Wallace Foundation ("Getting Principal," 2007) suggest that novice principals have a better chance for success when they are supported by well-trained mentors.

Developing Principal

A principal's need for continual growth never stops. Principals develop at different paces, yet have one thing is common: no matter how fast they develop, their need for growth will remain constant throughout their careers (Kearney, 2010). According to one 2009 study, schools perform higher who are led by experienced principals (Clark, Martorell, & Rockoff, 2009); therefore the developing years of a principal are crucial to the successful performance of their students.

Expert Principal

Expert principals are those who have demonstrated high levels of student success and have led successful efforts in school improvement (Kearney, 2010). Because of their demonstrated ability to be successful, it helps to further refine the abilities of expert principals by allowing them the opportunity to mentor novice and developing principals

in order to push them towards innovative ideas and to train new leaders using their successful experiences (Kearney, 2010).

First year principals, or novice principals, are most in need of support in order to become successful in their career (Kearney, 2010). They are, for the first time, in charge of an entire school community and this is a significant change from where they were prior to becoming a principal (Kearney, 2010; Weingartner, 2009). Darling-Hammond and her colleagues studied eight states with exemplary leadership development programs for principals and they found the following seven characteristics present in each of the programs:

1. Clear focus and values about leadership and learning – and a program coherently organized around these values;
2. A standards-based curriculum that emphasizes instructional leadership, organizational development, and change management;
3. Field-based internships with skilled supervision in pre-service programs;
4. Cohort groups that create many (and ongoing) opportunities for collaboration and teamwork in practice-oriented situations;
5. Active instructional strategies linking theory and practice (e.g., problem-based learning, case methods, assignments that engage candidates in instructional work, such as planning and delivering professional development);
6. Proactive recruiting and selection of both candidates and faculty; and
7. Strong partnerships with schools and districts to support quality, field-based learning ("Strengthening California's," 2009).

They also found that California can create a stronger support system for its principals by creating mentorships and other supports for them in order to help them feel prepared for their role and to help them feel they can succeed in their role (2009).

California's Principal Mentorship Gap

"Few jobs have as diverse an array of responsibilities as the modern principalship" (Darling-Hammond, Meyerson, LaPointe, & Orr, 2010, p. 8). Because the array of responsibilities is so broad, it is easy for principals to get distracted from their number one role of cultivating high quality instruction (Darling-Hammond et al, 2010). New principals especially need help navigating their responsibilities in order to successfully stay focused on student success, which is now redefined by the CCSS ("Common Core," 2014). The gap between the information and support that a novice principal needs and the information and support that districts provide for them in order to be successful and satisfied at the beginning of their administrative career has always been a problem (Kearney, 2010).

Some believe that it is the responsibility of veteran principals to "mold beginning principals with the necessary tools to be successful" (Fleck, 2007, p. 26). One way that districts can facilitate this is to create a quality mentoring program (Fleck, 2007; Hall, 2008; Weingartner, 2009). It is unrealistic to expect a new principal to know all that is necessary to ensure success for all students and adults in their school. The learning curve is steep and without the proper support, it is likely that a new principal will struggle tremendously.

Mentoring is not a new concept to education. Most teachers go through a mentoring period before they earn their teaching credential while teaching under a master

teacher (Hall, 2008). However, this concept does not follow into all administrative preparation programs, especially in California. California does not currently have a requirement for any type of mentoring for beginning principals ("Administrative Services Credential for Individuals," 2014). It currently offers an induction program that holds a requirement of two "successful" years as an administrator in order to earn a Clear Credential ("Administrative Services Credential for Individuals," 2014). But there are no requirements specific to supporting first year principals. Because of this, many principals are left to navigate the first few years of their principalship on their own.

Fresno County's Principal Mentorship Gap

The Fresno County Office of Education (FCOE) recently updated their Clear Administrative Services Credential (CASC) induction program with the addition of a two-year mentoring requirement ("Fresno County," 2014). Though this is a positive addition to the development of an administrator, it does not directly address the need for a mentor as a first year principal. It is possible to complete this program in an administrative position other than a principalship because the current requirement is that when you receive your first administrative position (no matter what the position is), you must enroll in the CASC program within ninety days ("Fresno County," 2014). The first administrative position of an educational leader is not necessarily a principalship. It could be a vice principalship, an academic coach or even a low level district administrative position; therefore one could complete the CASC program without ever being a principal. Because of this, some districts choose to pay outside organizations that offer principal mentorship so that their principals can have the support they need but do not get from their administrative preparation programs or their county offices.

Successful Mentorship Programs

One does not have to dig too deeply into the existing research to find successful mentorship programs that beginning principals can access. Across the country, many programs have been established that support first year principals through a mentor relationship with a veteran educational leader. Organizations like Pivot Learning Partners ("Pivot Learning," 2013) and WestEd ("WestEd," 2014) offer support for new principals, with both programs currently advertising that they can help support principals during the current transformational change to the CCSS. Another outside organization that trains mentors for new principals is the National Association of Elementary School Principals (NAESP). The NAESP instituted the National Principals Mentoring Certificate Program in 2003 based on their realization of the need for high-quality administrators (Hall, 2008). The thought behind this formal mentor training program is that the participants know exactly what to expect as a mentor by following a formal scope and sequence, and as they exit the program, ready to become mentors, they have a concrete foundation of what is needed to have an effective professional mentoring relationship (p. 450). The NAESP has the following six mentor competencies that are associated with their program:

1. An effective mentor sets high expectations for self-development in high quality professional growth opportunities.
2. An effective mentor has knowledge of and utilizes mentoring and coaching best practices.
3. An effective mentor is active in instructional leadership.

4. An effective mentor respects confidentiality and a code of ethics in the mentor protégé relationship.
5. An effective mentor contributes to the body of knowledge as it pertains to principal and administrative mentoring.
6. An effective mentor fosters a culture that promotes formal and informal mentoring relationships ("National Association," 2013).

The National Association of Secondary School Principals (NASSP) also offers trainings for mentors; however the trainings do not focus on principal mentorship. They are advertised as workshops to "establish successful coaching or mentoring relationships with the leaders and teachers with whom you work" ("National Association," 2014).

The organizations mentioned above do offer mentorship programs for new principals to enroll in and pay for on their own; however, some states are beginning to take ownership of the fact that they need to offer effective mentorship opportunities for their new principals. States such as Delaware, Illinois, and New Mexico have added principal mentorship requirements into their administrative leadership programs (Cheney and Davis, 2011; "New Mexico", 2011). In fact, according to Kearney (2010), approximately half of all states had adopted a mentoring program for first year principals as of 2006.

Delaware modeled its mentoring program after the program developed by the New York City Leadership Academy (NYCLA) in New York, New York (Cheney and Davis, 2011). The NYCLA has a mission to "develop and support leaders who create equity in education and foster student success" ("NYC Leadership," 2014). First year public school principals in New York City are guaranteed 72 hours of mentoring (what

they refer to as coaching) during the school year. Principals can choose to participate in one-on-one mentoring or in small group mentoring to make up the 72 hours. After the first year, principals can still choose to pay for the mentoring services of NYCLA in order to support their leadership development ("NYC Leadership," 2014). Due to the success of NYCLA's principal development program which includes principal mentoring, Delaware modeled their mentorship program after that offered through NYCLA (Cheney and Davis, 2011).

New Mexico has also worked to develop a mentoring program for its educational leaders. In 2009, the mentoring program in Albuquerque Public Schools (APS) focused on what they called a safe, simple, and supportive approach to mentoring (Weingartner, 2009). This translated to a successful mentorship program that provided a safe environment for new principals, a simple format to follow, and a professional support plan that aimed to minimize the isolated feel that many principals experience in their first year (Weingartner, 2009). More recently, APS has joined with the New Mexico School Leadership Institute (NMSLI) and the University of New Mexico to create a leadership development program that is designed to prepare and support school principals ("New Mexico", 2011). The ALL Program, which stands for Alliance for Leading and Learning (ALL), is a program that focuses on supporting three phases of principalships: aspiring principals, new principals, and mentor principals ("New Mexico", 2011). Training is provided at each of these phases that focus on the overall goal of preparing leaders to be catalysts for student growth ("New Mexico", 2011).

Conclusions

There are many new experiences that a principal will encounter during their first year. According to The Wallace Foundation, principals shape the vision of the school, set the cultural climate, work to help others learn to lead, focus on effective instruction for students, and work as the manager of the entire school system ("The School Principal," 2013). This is no easy task for anyone, especially a novice principal. Mentorship is an effective way to provide the support needed to effectively navigate these new experiences ("Getting Principal," 2007; Kearney, 2010; "Strengthening California's," 2009).

As our county, state, and nation are currently undergoing the transformational change to the CCSS, this adds another layer to the role of a principal: transformational leadership. Transformational leadership is messy and it does not have an easy flow towards positive change. Anderson and Anderson explained that transformational change is full of ups and downs requiring course correction along the way (Anderson & Anderson, 2010a, 2010b). To add to this, a principal is working with adult learners who want to feel they have some level of control over their learning (DuFour et al., 2010). Adult learners need to see the relevance in what they are learning and they need to feel the autonomy to be self-directed (Fogarty & Pete, 2009; Knowles, 1973; Trotter, 2006). Because of the many requirements that are currently imposed on principals, support needs to be strong for those navigating this important leadership position for the first time.

This study aimed to address the effects of mentorship programs for first year principals. It focused specifically on Fresno County which does not have a formal

mentoring requirement for first year principals. It is clear through the research reviewed above that there is value in mentoring first year principals so this research sought to understand that value from the perspective of a first year principal.

Synthesis Matrix

In order to organize information for this review of literature, the researcher utilized a synthesis matrix as a way to track the major themes that support this study. This synthesis matrix was developed by organizing the central themes of the literature down the first vertical column and the sources that were used to support each theme horizontally across the top. When a source was used to support the study, a brief comment was made in the corresponding box that demonstrated the major relationships between the source and the theme. The synthesis matrix was modified from its original version, which was in an Excel spreadsheet, in order to fit into the Appendices. This modified version can be found in Appendix B.

CHAPTER III: METHODOLOGY

Overview

The purpose of this study was to examine the perceptions of mentorship effectiveness by first year K-12 principals who have mentors and are experiencing transformational change in their organizations. Understanding their perspectives can help future educational leaders develop mentorship programs that are targeted to the specific needs of first year principals who are leading transformational change. This chapter presents the methodology of how this took place. It also addresses the limitations present in this study that have the potential to affect the interpretation of the results.

Purpose Statement

The purpose of this qualitative study was to examine first year K-12 principals' perceptions of effective mentorship practices during transformational change.

Research Questions

The following research questions were developed to examine how first year principals feel about the effect that their mentor relationship had on their first year as a principal during the transformational change from the 1997 California Content Standards to the new CCSS:

1. What content addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader?
2. What activities addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader?
3. To what extent do first year principals believe they benefitted from their participation in a mentoring program?

4. To what extent did first year principals' participation in a mentoring program contribute to their experience during the transformational change to the Common Core State Standards?

Research Design

This study utilized a qualitative method of research. Qualitative research is defined as being "concerned with the quality or nature of human experiences and what these phenomena mean to individuals" (Draper, 2004). According to Patton (2002), qualitative research methods are "ways of finding out what people do, know, think, and feel by observing, interviewing, and analyzing documents" (p. 145). This study utilized interviews to find out specifically what people think and feel. Many different theoretical perspectives exist in the paradigm of qualitative research. Interactive methods of qualitative research use "face-to-face techniques to collect data from people in their natural settings" (McMillan & Schumacher, 2006, p. 26). Ethnography is a type of interactive research that focuses on the study of culture. It is a descriptive study that researches the "learned patterns of actions, language, beliefs, rituals, and ways of life" (p. 26) that take place through the interactions within a culture (McMillan & Schumacher, 2006). In this study, the researcher utilized interviews to study the effects that mentorship relationships had on first year principals leading their schools through transformational change. It is considered to be ethnography due to the fact that the interactions between a first year principal and a mentor who function in the culture of the public school setting were studied using face-to-face interviews in order to explore the perspective that first year principals had on their mentorship program and its usefulness during transformational change.

This study utilized one-on-one interviews that asked open-ended questions in order to understand the points of view of first year principals. Spoken discourse is a strong source of qualitative data (Patton, 2002). Open-ended questions allow the researcher to see the world through the eyes of the subject (2002), in this case, the first year principals. The questions were the same for each initial interview and follow up questions were asked of each subject based on individual responses. The questions were developed based on research that suggests mentorship is an effective way to support individuals in new leadership positions (Fleck, 2007; Hall, 2008; Kearney, 2010) and based on research that discusses transformational leadership as an effective way of leading change (Anderson & Anderson, 2010a, 2010b; Balyer, 2012; Moolenaar et al., 2010).

Population

In research, it is important to clearly identify the group that the researcher is interested in studying (Patton, 2009). The population of any study can be defined as the group of individuals (or objects or events) that meet specific criteria and that the study is intended to represent (McMillan & Schumacher, 2006). In the 2013-2014 school year, there were 10,366 total schools according to the California Department of Education ("California Department of Education," 2014c). 5,802 were elementary schools, 1115 were middle schools, and 8843 were high schools ("California Department of Education," 2014c). The California Department of Education had not updated their staffing totals for the 2013-2014 school year; therefore the exact number of principals serving in California during that time frame is not available. In Fresno County, there were 346 schools ("California Department of Education," 2014d). 262 principals served

K-12 schools and 36 of them were identified, using the FCOE Staff Directories from 2012-2013 and 2013-2014, as serving their school site for the first year during the 2013-2014 school year ("Fresno County," 2013; "Fresno County," 2014). A survey was sent to those 36 principals in order to determine how many of them were in their first principalship and how many of them were involved in a formal mentoring relationship. The number of people who self-reported that they were involved in a formal mentoring relationship was identified as the target population.

The 2013-2014 school year was chosen for this study because most public school principals were leading transformational change during this time frame. The 2013-2014 school year was the transition year between assessment of the 1997 California Content Standards and assessment of the new CCSS, which is a significant transformation in public education ("Center for K-12," 2012). This school year was also chosen so that the subjects who were interviewed had completed their first year of principalship at the time of the interview; therefore they had adequate knowledge to be able to contribute to this study.

Sample

In qualitative data, the researcher must be purposeful in sampling (Creswell, 2008). A sample is the group of subjects "from whom the data are collected" (McMillan & Schumacher, 2006, p. 119). Subjects for qualitative research are purposefully selected because they help the researcher better understand the phenomenon that is being studied (Creswell, 2008). Qualitative research uses smaller samples than quantitative research in order to gather data (Patten, 2009) because the intent is not to be able to generalize the information that is collected, like it is in quantitative research, but to be able to clarify

specific details that help to answer the research questions (Creswell, 2007). The goal is to be able to collect specific and extensive detail about each individual that is studied (Creswell, 2007). This is difficult to do with large samples as qualitative data takes a larger amount of time to collect than quantitative data does (Patten, 2009); therefore, a "general guideline in qualitative research is…to study a few sites or individuals" (Creswell, 2007, p. 126) as long as the collected data is extensive enough to gather the information needed in order to effectively answer the research questions (Creswell, 2007).

Homogeneous sampling is an approach that selects certain subjects for a study because they have a similar characteristic that is central to the study (Creswell, 2008). Homogeneous sampling was an appropriate sampling method for this study because this research aimed to understand the effect that mentorship had on first year principals that were experiencing transformational change. Interviewing a subgroup of subjects who recently completed their first year as principals with the support of a mentor helped to understand the effect a mentor relationship had on their growth as a leader during transformational change; therefore it was only necessary to select subjects from this subgroup.

The homogeneous sample for this study was chosen from the target population identified above. From the target population, purposeful random sampling was utilized. Purposeful random sampling involves randomly selecting subjects from a purposeful selection in order to still represent some randomness to the subjects (Creswell, 2008). This is done in order to maintain credibility in this research (Creswell, 2008).

In this study, purposeful random sampling was achieved by placing the names of the eligible homogeneous sample into a jar representing their grade span. Then, two elementary school principals, two middle school principals, and two high school principals were randomly selected to participate in order to understand the perspective at each grade span in K-12 education. Upon completion of these six interviews, the researcher conducted an informal analysis of the information collected to determine if it was sufficient or if more subjects needed to be interviewed in order to draw conclusions from the information. All subjects were volunteers and agreed in writing (Appendix C) to allow their interviews to be recorded and used for the purpose of this study.

Instrumentation

Semi-structured interviews were used to gather data in this study. Semi-structured means that the interviewer has the freedom to stray off the scripted questions when necessary (Patton, 2009). For example, if the subject needs clarification about a question asked, the interviewer may clarify the question or if the interviewer would like the subject to expand an answer, they have the freedom to do so in a semi-structured interview (Patton, 2009). The semi-structured interview followed the interview protocol (Appendix D) developed by the researcher. This protocol was developed to incorporate specific questions that addressed each of the research questions. It began with gathering basic information regarding the requirements of the mentorship program that each subject participated in. Following this, each interview question was designed to directly correlate with one of the four research questions.

The first two research questions focused on the content and activities that were addressed during the subjects' mentoring programs. The interview questions for these

topics were constructed to gain positive and negative feedback as well as to give the subjects an opportunity to comment on potential content and/or activities they would have liked to take part in.

The third research question focused on the subjects' belief that they benefitted from their participation in a mentoring program during their first year as a principal. They were asked to rate their belief that they benefitted from participation in a mentoring program on a five-point scale. Follow up questions were used to gain a deeper insight into the subjects' thinking related to the rating they provided.

The final research question sought to understand how participation in a mentoring program contributed to the experience of the subjects as principals during the transformational change to the CCSS. The subjects were provided with a definition of transformational change and then were asked to comment on what they believed their impact to be on their school's progress in this transition as well as their confidence in their own leadership skills in the area of leading change. This section concluded with them responding to the impact they believed their mentor played in their ability to manage the change of their organization during the past year, specifically referencing the transition to the CCSS.

Data Collection

Data for this study was collected through interviews. All interviews were done by the researcher in a one-on-one setting and followed the interview protocol (Appendix D) that was created by the researcher. The interview protocol was field tested using a mock interview prior to beginning the data collection in order to assure the timeframe was

appropriate, the recording technology was effective, and the interview questions were able to collect the information needed to address the research questions of this study.

Throughout the interviews, follow up questions were asked, when needed, by the interviewer, in order to better understand the thoughts of each subject. All interviews were recorded for future transcribing and the interviewer took notes during the interview as well. Questions for the interviews were developed by the researcher to be open-ended in order to encourage depth in answers and to encourage unbiased answers by the subject.

Data Analysis

Each interview was transcribed into NVivo. Once the information was entered into NVivo, the researcher read through each interview multiple times without doing anything with the data. According to Creswell (2008), nothing should take place with the data until many readings of the transcripts in their entirety have taken place so that the researcher gains a sense of each interview as a whole before breaking them into parts. After the data were explored, the data analysis process continued using the grounded theory approach. The grounded theory approach, which is commonly used in qualitative research analysis, starts with the data provided through the research and develops a theory based on the analysis of the data that was collected (Patton, 2009). The first step in this process is open coding. "Coding is the process of segmenting and labeling text to form descriptions and broad themes in the data" (Creswell, 2008, p. 251). This initial coding process revealed preliminary themes in the data. After open coding was used, then axial coding followed. The purpose of axial coding is to identify relationships between the categories that were identified in the open coding phase (Patton, 2009). Through the open coding and axial coding process, the researcher began to collapse the

information into themes and sub themes that helped analyze first year principals' perspectives of effective mentorship practices during transformational change. After the coding process is complete in the grounded theory approach, the researcher develops the core categories that emerge from the data (Patton, 2009). These core categories are the "overarching categories" (Patton, 2009, p. 159) that were used to organize the rest of the data. The relationships between the core categories that were identified were also described in this step in order to fully understand the perspectives of the subjects. Throughout the entire data analysis process, constant comparison was used in order to compare "each new element of the data with all previous elements that have been coded in order to establish and refine categories" (Patton, 2009, p. 159).

Limitations

Limitations are defined as potential methodological weaknesses or problems that exist in a study that must be addressed in order to indicate how they may affect the interpretations of the study (Creswell, 2008; Patton, 2009). The following limitations exist in this study:

1. The researcher is a first year principal with no formal mentor; therefore the findings may present a bias due to her experience.
2. Questions for the subjects were written by the researcher; therefore they may possess unintentional bias.
3. The results are based only on those who volunteered to be a part of the study. Therefore, the findings are not generalizable to the larger population of first year principals who are leading transformational change with the support of a mentor.

4. The selection process for subjects may present a bias even though purposeful random selection was utilized due to the fact that all subjects still had to be willing to participate.
5. There is no way to guarantee complete truthfulness in the responses of each subject; therefore there may be bias present in the data that is collected.

Summary

Chapter Three sought to explain the purpose of this study and the methodology that was used to execute it. It included the purpose of the study along with the research questions. It also included the design of this study and the population and sample that was used. Next, it explained the data collection and analysis process and concluded with the limitations that could affect the interpretation of the results of this study.

CHAPTER IV: RESEARCH, DATA COLLECTION, AND FINDINGS

Overview

The purpose of this study was to understand how first year K-12 principals perceived the effectiveness of their mentor relationship while leading transformational change. This chapter will begin by reviewing the purpose statement, research questions, methodology and the data collection procedures that were used during this study. It will, then, give a brief introduction of each subject and present the findings of the study. The data have been organized to present the findings, first, as they relate to each research question, and then as they relate to the overall purpose of this study.

The first research question, "What content addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader," revealed two themes. The first theme was that allowing the mentee to determine the content based on their current needs was most effective in most situations. The second theme was that having a mentor who knew what to expect within their current system was helpful to the subject in learning how to navigate the district. The second research question, "What activities addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader," revealed that none of the study's subjects had mentorship programs that had required activities aside from meeting with their mentor; therefore the findings represent the commonalities in activities that they wished they would have had. The third research question, "To what extent do first year principals believe they benefitted from their participation in a mentoring program," revealed three very clear themes. Two of these themes represented the benefits gained from having a mentor;

support and confidence. The third theme revealed a prerequisite in order to gain those benefits; which was having trust in their mentor because they had been a previously successful principal. The fourth and final research question, "To what extent did first year principals' participation in a mentoring program contribute to their experience during the transformational change to the Common Core State Standards (CCSS)," revealed two themes regarding transformational leadership. First, all subjects were confident in their ability to lead change and their mentor affirmed in them what they already knew. Second, they agreed that change takes time so they either continued their mentor relationship into the second year of their principalship on their own, or they wished they could have done so.

The overall key findings for this study are discussed at the end of this chapter in order to make a final connection to the purpose of this study. From the data, it was clear that the person (mentor) is more important than the structure of the program. Four qualities emerged that define the right type of mentor and what their relationship with their mentee should look like. The mentor needs to (a) believe in their mentee's ability to lead change, (b) have a similar mindset as their mentee in how to lead change, (c) be familiar enough with the current system of their mentee in order to help him/her navigate through it, and (d) build a trusting relationship with their mentee.

Purpose Statement

The purpose of this qualitative study was to examine first year K-12 principals' perceptions of effective mentorship practices during transformational change.

Research Questions

The following research questions were developed to examine how first year principals feel about the effect that their mentor relationship had on their first year as a principal during the transformational change from the 1997 California Content Standards to the new CCSS:

1. What content addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader?
2. What activities addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader?
3. To what extent do first year principals believe they benefitted from their participation in a mentoring program?
4. To what extent did first year principals' participation in a mentoring program contribute to their experience during the transformational change to the Common Core State Standards?

Research Methods and Data Collection Procedures

This study utilized a qualitative method of research. Qualitative research is important in learning about human experiences (Patton, 2002, Draper, 2004). This study aimed to learn about the experiences of first year K-12 principals while leading transformational change with the support of a mentor relationship; therefore a qualitative method of research was appropriate for this study. This study utilized one-on-one open-ended interviews as the sole source of collecting data because, according to McMillan and Schumacher (2006) and Patton (2002), what people say is a solid source of qualitative data in order to understand the phenomena being studied through the

perspective of the subject. The questions used to create the interview protocol (Appendix D), which guided each semi-structured interview, were developed by the researcher based on the research presented in this study that suggests mentorship is an effective way to support beginning principals (Fleck, 2007; Hall, 2008; Kearney, 2010) and based on research that encourages the use of transformational leadership to effectively lead change (Anderson & Anderson, 2010a, 2010b; Balyer, 2012; Moolenaar et al., 2010). Each interview was conducted as a semi-structured interview so that follow up questions could be asked of each subject when deemed necessary by the researcher (Patton, 2009).

Each interview took place at a time and location that was identified by the subject in order to create a comfortable environment for them. All interviews were recorded, with written permission from each subject (Appendix C), using two devices in order for transcribing to take place upon completion of the interview. Each interview was transcribed one to five days after its completion and, prior to doing any data analysis, the researcher read through each interview transcription a minimum of three times. This is a strategy identified by Creswell (2008) as an appropriate way to gain a deep understanding of the interview in its entirety prior to breaking it down into parts. After at least three full readings of each interview, the transcriptions were loaded into NVivo for analysis.

The grounded theory approach was used to analyze the data. This approach is a common way to analyze qualitative data and it involves three steps in the coding process (Patton, 2009). Coding is the process of creating themes in qualitative data (Creswell, 2008). First, the researcher went through the open coding process which revealed the preliminary themes in each interview. Next, axial coding was used to identify relationships between those themes. The final step was the analysis of the themes and

their relationships, which helped to create the overarching categories that were used to organize the data.

Population

In the 2013-2014 school year, there were 10,366 total schools in the state of California ("California Department of Education," 2014c). The number of principals serving these schools was information that was not yet available from the California Department of Education for the 2013-2014 school year at the time of this study. Fresno County had 262 principals serving K-12 schools during this school year and 36 of them were identified by the researcher as first year principals at their school site during the 2013-2014 school year ("Fresno County," 2013; "Fresno County," 2014). A survey was sent to those principals in order to identify how many of them were first year principals and how many of them were involved in a formal mentoring relationship. This survey was sent individually to each potential subject in order to maintain confidentiality and a reminder was emailed the day before the stated deadline. This process was intended to identify the target population for this study; however, it did not prove successful due to the lack of responses to the survey. Only seven out of 36 potential subjects responded to the survey and out of those seven, only two met the criteria for the target population. Therefore, the target population could not be fully identified for this study; however the potential target population was narrowed down from 36 to 31 through this process.

Sample

Homogeneous sampling was used for this study. This means that each subject had the necessary characteristics in common that were central to the study (Creswell, 2008). The characteristics that the subjects had in common were:

1. Each subject was a principal within the K-12 school system in Fresno County during the 2013-2014 school year;
2. Each subject was a first year principal during the 2013-2014 school year;
3. Each subject participated in a mentor relationship during their first year as a principal; and
4. Each subject identified that the transition from the 1997 California Content Standards to the new CCSS was a transformational change that they were leading during their first year as a public school principal.

The homogeneous sample for this study was chosen based on the subjects' willingness to participate. Purposeful random sampling could not be used for this study due to the lack of survey respondents who met all four characteristics needed to meet the sample requirements. Creswell (2007) explains that sampling may change during a qualitative study due to the nature of this type of research. Since purposeful random sampling could not be used, the researcher reached out to local district and county level administrators for help in identifying potential subjects who met the criteria for the sample. Through this process, the researcher was able to find six principals who met the criteria and were willing to participate.

The sample size for this study was six participants. Qualitative research is designed to use a small sample size to gain extensive and detailed information from the participants in order to answer the research questions (Creswell, 2007). Also, since the researcher did not test for statistical significance in this research, a large sample was not needed (Patton, 2009). The researcher sought to interview two elementary school principals, two middle school principals, and two high school principals. However

research revealed that there were not two high school principals who met the sample criteria and who were willing to participate; therefore, the researcher interviewed three elementary school principals, two middle school principals, and one high school principal.

Field Test

A field test was conducted in order to assess whether or not the questions used on the Interview Protocol (Appendix D) properly addressed the research questions and to assure that the suggested timeframe was appropriate and the technology used to record the study was reliable. The subject interviewed for the field test was not used as a part of the sample for this study but did meet the criteria of the sample. The field test subject was a first year 6-8 principal during the 2013-2014 school year who participated in a mentor relationship during that year and was leading the transformational change to the CCSS during that year.

Based on the feedback given by the field test subject at the end of the field test, it was determined that the questions designed by the researcher were adequate in gathering the desired information for this study in order to properly address the research questions. It was noted that the questions were especially well-designed as to not be too leading for the subjects, but allowed the subjects to form their own opinions of their answers.

Through the field testing process, the researcher also determined that the two devices used to record the interviews worked appropriately and would be sufficient in assuring that the data would be recorded without incident. Also, the researcher determined that 45 minutes was an appropriate time frame for the interviews. Although

the interview itself took only a little longer than a half hour, the initial greeting and paperwork filled the rest of the 45 minute time frame.

Demographic Data

Demographic data was collected at the beginning of each interview in order for the researcher to gain a basic understanding of each subject's job situation during their first year as a principal while participating in a mentor relationship. Overall, the six subjects represented five different school types. There was one 9-12 principal, one 7-8 principal, one 5-8 principal, one K-8 principal, and two K-6 principals who participated in this study. Their experiences prior to becoming a principal varied greatly. One had no site or district level leadership experiences prior to becoming a principal and one had 14 years of leadership experience as a vice principal and eight years of leadership experience as a district level program director prior to becoming a principal. Out of the six subjects interviewed, four were assigned a mentor and two self-selected their mentor. Also, two were required by their district to participate in a mentor relationship and four participated in a mentor relationship voluntarily. Though there was no requirement forcing them to participate, they still chose to do so. These data are presented in Table 1 below.

Table 1

Subject Demographics

	Gender	Level of School	Number of Years as a Vice Principal	Number of Years at District Level Leadership Position	Mentor Required by District	Mentor Assigned or Self-Selected
Subject One	Male	High School (9-12)	Six	Zero	Yes	Assigned
Subject Two	Female	Middle School (7-8)	Eight	Zero	No	Self-Selected
Subject Three	Female	Elementary School (K-6)	Eight	Zero	Yes	Assigned
Subject Four	Female	Elementary School (K-6)	Fourteen	Eight	No	Assigned
Subject Five	Female	Middle School (5-8)	Three	Three	No	Assigned
Subject Six	Female	Elementary School (K-8)	Zero	Zero	No	Self-Selected

Presentation and Analysis of Data

The results of this study will be presented first as they relate to each research question. There were four research questions that were used to guide the study. The Interview Protocol (Appendix D) was used by the researcher to guide each interview in order to gain information from each subject that directly related their experience to the four research questions. After the data have been presented as it relates to each research question, the overall key findings that presented themselves during this research will be described in order to gain a deeper understanding of the purpose of this study, which was to examine first year K-12 principals' perceptions of effective mentorship practices during transformational change.

Research Question 1: Effective and Ineffective Content Discussed in a Mentorship Relationship

Research question one focused on learning about the content that was discussed between mentor and subject during their mentorship relationship. The content that was discussed during the mentor relationship varied only slightly between each subject and was rarely, if ever, found to be of no value to the subject. The content of most value to the subjects fits into two main categories, which became the two themes of research question one. These themes are (a) allowing the subject to determine the content based on current needs was most effective in most situations, and (b) having a mentor who knew what to expect within their current system was helpful in learning how to navigate the district. Navigating the district was defined by the subjects as "[dealing] with the bureaucracy of a district" (Subject Five), learning the "protocols and how things work…the unwritten rules" (Subject Five) and "[talking] about things that were needed at the district level" (Subject Six). These two themes are identified in Table 2 below.

Table 2

Research Question One Theme Development

Theme	Number of References	Participant with Most References	Participant with Least References
Allowing the subject to determine the content based on current needs was most effective in most situations	19	Subject Two: Six References	Subject Four, Five, and Six: Two References
Having a mentor who knew what to expect within their current system was helpful in learning how to navigate the district	21	Subject Two and Four: Five References	Subject One and Six: Two References

Allowing the subject to determine the content based on current needs was most effective in most situations. The first theme that became apparent during the coding process what that each subject spoke to the fact that their mentor relationship met their need to discuss their current situations. Each subject talked about their need to direct the conversations based on what they were currently facing as a first year principal. This theme was referenced 19 times throughout the interviews. Subject Two put it this way, "There was not a defined agenda…a lot of times it was dealing with crisis. You know, crisis is identified as a new experience for me and wondering how might he address that experience." Subject One said, "I liked that it was, 'what are you working on and how can I help?'"

Though Subject Five mentioned this theme only twice throughout her interview, she did say that she liked that they "just talked about the things I needed" and that she was able to gain knowledge through the experiences of her mentor. Two examples that she gave had to do with dealing with struggling teachers. One was struggling due to the fact that they were resistant to change and the other was struggling because they had a lot of family issues going on. In both instances, she was able to bring those issues up to her mentor and learn from her mentor how to support them with what they were going through, while still making sure that learning was happening at high levels in the classroom.

Subject One mentioned this theme five times throughout his interview. He said that he liked that the content was always, "what do you need?" and not a formalized curriculum to follow. He mentioned that as a first year principal, he had other commitments that he had to participate in that were "imposed upon [him]…so it was nice

to have this one thing that was just, 'I am here to support you and help. How can I help?'" Subject Three used the phrase, "build our own capacity" to identify this theme. She mentioned that being able to ask questions and be herself was valuable to her and to her growth as a leader. By asking questions, she was able to direct the conversations with her mentor and build her capacity. She said, "She (her mentor) has an agenda. I always know she has an agenda, but she allows me to end up leading myself into her agenda." Subject Four shared the same thoughts about being able to ask questions and direct the content, when she said, "We would always go off sidetrack if I had questions or…visit classrooms if I wanted her to see a teacher and give me some feedback…it was great." Subject Six added that their conversations focused mostly on things that pertained directly to her site and her immediate needs.

Having a mentor who knew what to expect within their current system was helpful in learning how to navigate the district. This theme was referenced 21 times throughout the six interviews. Overall, it was the fifth highest theme referenced. Each subject had a mentor who was currently a leader in their district or who had previously been a leader in their current district so they found their mentors extremely useful as a guide to navigate their way through the district, or as Subject Five put it, it was helpful to have someone who could help "[deal] with the bureaucracy of a district as large as ours." Subject Six was the only subject whose one-on-one mentor was her direct boss and she explained that the benefit to having her boss as her mentor was that "she would call and talk about things that were needed at the district level" so this helped her feel very connected to what was going on and what she needed to be doing as her school fit in to the district as a whole.

Subject One was the only principal that was interviewed who was new to his district. All of his prior teaching and leadership experiences came from outside of the district where he was a site leader. His principal was a retired principal from within his new district so she was especially valuable to him in helping to "navigate the district." He shared the fact that when he was doing employee evaluations, his mentor was a major support for him because he said, "I had done evaluations for years but I have never done them the way [his district] does so [my mentor] kind of helped me with some of that."

Subject Two had a very different experience but still greatly benefitted from the help that her mentor gave her in navigating the district. She was a teacher in her district and a vice principal at her site for eight years prior to being promoted to principal. Her mentor was self-selected; he was her former principal who retired and recommended her to promote into his position. She spoke about the learning curve in handling new situations she had not seen before becoming a principal, even though she had been in the district and at the same site for many years. She stated:

> It seems to me as a new principal at a large district that I'm getting directives from everywhere; everywhere from Title One to EL (English Learner) services to our regional focus which we have one high school, two middle schools, and eight elementary schools. What's our focus on re-designation? What's our focus on grades? What's our focus? So those examples say that we are spread all over, so to be able to talk to someone about the individual professional development that we have at the site that aligns with these structures was so helpful.

Subjects Two, Three, and Four all brought up the fact that their mentor would share (or they wished they would share) things that were coming up in their district that they needed to begin to think about. They said:

> I want to have a really equal focus on the different elements of being a principal, not only crisis controlling but looking at the long-term planning…I think someone needs to really help a principal be rounded. What happens when you become a new principal, you're just damage control, try to keep stability and you're fighting whatever is coming at you. So I think it would have been nice to have someone, you know, pace out, you know, this is what we are still going to talk about. (Subject Two)

> It would be nice to be able to really layout just like we do our lesson plans. I would like to have a blueprint of where I'm going, my pacing guides, I would like to break it down. (Subject Two)

> She does these monthly breakdowns for you of things that are coming up in the district. You know things to, like, keep you ahead of what's going on… she foresees what's gonna happen. You know, like when we got ready to go off in December, she already had me foresee what was gonna happen when I come back in January, my welcome back assembly, what was gonna happen in February…she gives you like a six-month-at-a-glance type of a thing and little notes for what's coming up. (Subject Three)

> She always, she still does, give us kind of a heads up for the month, so if it was just for the month of September, we'd meet early and she'd say here is things you

might want to look at or think about for the month of September and the month of October. (Subject Four)

When asked if there was any content that was particularly effective in helping her develop as a principal, Subject Five said, "I would say her experience within the same district, having dealt with personnel issues, with, you know, supervisors. No, I won't say issues, but sort of like protocols and how things work…the unwritten rules…that was very very helpful."

Research Question 2: Effective and Ineffective Activities in a Mentoring Program

Research question two focused on learning about the activities that were required between mentor and subject during their mentorship relationship. It was evident in each interview that none of their mentorship programs required any specific activity to take place beyond meeting together. Subject Three had a mentorship program that was set up so that six first year elementary principals from her district met together with one or two assistant superintendents once a month. This was the most formal mentorship program out of all six subjects. The rest of the subjects just had the requirement to meet with their mentor and not one other subject spoke about any accountability model set up to assure they were meeting, even though four of the six had mentors who were getting paid to do so. In fact, it was clear that some of the subjects battled between wanting a more formal program and preferring it to stay informal. Statements were made such as:

Even though I say maybe formalizing it would have helped a little, the part of me that liked it was that it was informal so maybe not (Subject One).

> At some point I called my associate superintendent and said, 'look, I just want to let you know what I am doing.' And they said, 'that's great!' Which, maybe it is. Maybe it is. But come on… (Subject Two)

Subject One brought up the thought that if there was more accountability built into the program, he may have taken advantage of the resource of his mentor more. He said, "I am thinking, like, what could the system have done to force me to take advantage of this resource?" He talked about the fact that in the spring semester, he would get busy and his mentor would contact him, but he would not contact her back all the time because he did not have the time to meet with her. He mentioned more than once that even though it was a time burden for him, he never left a meeting with his mentor without gaining greatly. Even when he did not want to meet with her due to the fact that he had other things he needed to do, he always came away knowing that he needed her support. Because of this, he thought that tying some accountability to the meeting time could have helped with that, saying:

> It might have been nice if we had kind of a, 'hey you need to meet with them this many times or this often'… I know that as we got towards the end of the school year and testing was happening and things were happening we, like, missed a lot of times where she, like, could have still helped me. So I would just say that…I think it would have helped to have been more of, like, an expectation.

However, he went on to say, "But again, I don't know, does all of that ruin what we had?"

Subjects Four and Six were the only subjects who mentioned doing anything specific with their mentors. Subject Six would review documents intended to go out into her community with her mentor. She said, "[My mentor] reviewed anything that I planned, you know, like notes to go home to families…or my handbook." Subject Four's mentor visited classrooms with her and she found that to be valuable. She explained:

> [We] did classroom visits and, she'd just give me her insight of what she was seeing in the classroom or…what I might have been missing or wasn't focusing on. And so it was great to go into a classroom and just come back and debrief with her about that.

Subjects Five and Six mentioned visiting classrooms as one activity that they wished they would have done with their mentor.

Subject Five sought out a mentor for herself when she first became a vice principal. She said that one thing she did with that mentor, which brought about huge benefits for her, was she attended a leadership conference with him. She said that doing something with her mentor in a professional atmosphere was "absolutely fabulous." Since her prior mentor was a superintendent, she was able to go to dinner with other superintendents and him while at that conference and she learned about their tenures in site-based leadership and she realized that, "oh my God, they're real people, which you know intellectually, but to see that they experienced the same first year challenges that you were experiencing" was a great learning experience for her. She recommended doing something like this as a part of a formal mentoring program.

Research Question 3: Benefits of Participation in a Mentorship Relationship

Research question three was written to learn about the perceived benefits of participating in a mentorship relationship. Each subject was asked the following question: "On a scale of one to five, with one being no benefit and five being greatly benefitted, please rate your belief that you benefitted from participation in your mentoring program?" The answers ranged from three to ten (Subject Five gave a ranking of a ten in order to show that it was extremely beneficial). Once the subjects gave an initial ranking, they were asked to explain their answer as to why they chose that specific ranking. During the explanation process, both subjects who initially had a three ranking moved their ranking slightly up the scale. All subjects were able to express multiple benefits that they gained from having a mentor during their first year as a principal. Table 3 represents the individual rankings from each subject.

Table 3

Benefits Gained Through a Mentorship Relationship as Ranked by Subjects

	Initial Rank	Ranking Change Through Dialogue
Subject One	3	Yes: 4
Subject Two	5	No
Subject Three	5	No
Subject Four	5	No
Subject Five	10	No
Subject Six	3	Yes: 3.5

Note. Scale was one to five, with one being no benefit and five being greatly benefitted.

Three very clear themes emerged during the coding process that spoke to the perceived benefits of participation in a mentorship program. The first two themes (support and confidence) were benefits gained by the subjects which directly helped to answer the research question. The theme of support was referenced 38 times throughout the six interviews and the theme of confidence was referenced 27 times. The third theme, however, revealed a characteristic that was necessary in the mentor/mentee relationship in order to gain those benefits, which was trust in the mentor due to the fact that they had been successful in the mentee's shoes. This theme came up 34 times throughout the research. Table 4 shows the prevalence of these three themes during all six interviews.

Table 4

Research Question Three Theme Development

Theme	Number of References	Subject with Most References	Subject with Least References
Support	38	Subject One: Fifteen References	Subject Six: Two References
Confidence	27	Subjects One and Five: Nine References	Subjects Four and Six: One Reference
Trust in your mentor due to the fact that they had been successful in your shoes is a necessity in order to feel supported and build confidence.	34	Subject Two: Nine	Subject Four: Two References

Support. Overwhelmingly, support was the biggest theme found throughout the interviews. All six subjects clearly felt the need to be supported in their job and the

perception was that their mentors played that role for them. Subject Three put it this way:

> I love the fact that every time she comes, she's prepared, she has her notes, she takes notes on what I'm saying, but she always asks 'how can I support you?' Whereas, your family doesn't really understand it, you know, your friend that's not in education doesn't really understand it. For some reason, there's some things that educators go through, that only educators can really understand.

The researcher performed a Word Query in NVivo to identify how many times the subjects referenced support or help from their mentor. The word "support" or words that stem from support such as supported, supporting, supportive, and supports were found 41 times and the word "helpful" or words stemming from help such as helped, helpful, helping, and helps were found 65 times. This demonstrates the importance of this benefit for each subject. Subjects made the following statements:

> I knew she had my back. (Subject One)

> She was always just trying to support me and that is what I needed. (Subject One)

> She never had any agenda other than my success. (Subject One)

> I am so glad that we had the support. (Subject Three)

> [She's] very open, non-threatening, very supportive. (Subject Four)

> I think that's the key. Just that big support when you have a question, 'What do I do?' (Subject Four)

> She reminds me of things I've done, and you know, like '[Subject Five], you've presented at national conferences to hundreds and thousands of people and you've done this and you've done that. You can do this!' (Subject Five)

> I really felt like I could just go in her office any time that I wanted with needs that I had. (Subject Six)

Another way that support was felt by the subjects was the fact that their mentor was someone to talk to about their ideas. It was brought up many times that in the role of a principal it was hard to have conversations with other people about your experiences. So, the mentor relationship was thought of as a safe place to bring up these experiences and have someone there to listen who knew what it was like to go through them. Subject Four said that being supported in what you were doing was demonstrated by the following:

> To bounce ideas off, like what are some of the outcomes of making changes? And having gone through that already, she can say, 'have you thought about, you know, talking to the community or bringing it up with the, you know, the AC's (Accountable Communities), or giving them options?' So it was great to bounce off ideas and have someone give me feedback.

She also said, "It's a *big* cavern that you have…as you become a principal, and again to have someone who's been through it, have the experience to remind you how to balance…someone to just ground you is very good."

Subject Four talked about questioning as a form of support. She stated that her mentor would ask her questions about what she was doing, not to question her, but to understand her and support her. She explained that her mentor would, "never tell [her] what [she] should be doing, or if [she was] doing it right or wrong," but she said her mentor would "give [her] those pertinent questions that made [her] think." Other subjects talked about listening as a form of support. Subject Five said that her mentor "really listened" to her. Subject Four said that her mentor was non-judgmental, saying she "had her mentor's ear" and she found support in that. Subject Three spoke about never feeling like she was wasting her mentor's time. Whenever she would bring up a topic, her mentor would listen and support her. Subject Six said, "I'd call her on a lot of things and I'd talk to her a lot, like late at night." Subject One summed it up like this, "Whenever I needed just some support, she was there for that."

Confidence Building. It was evident throughout the research that all subjects had confidence in themselves as leaders but their confidence was validated by their mentor. Subjects made statements such as:

> The reason I got hired to lead that school is because I could figure it out. I just needed someone along the way to continue to reassure me and to help me. (Subject One)

> What it gave me was a reaffirmation of my abilities. (Subject Five)

> It was just kind of like, 'You got this. You know what to do, you've got this.' And so it helped to affirm that I don't need to change who I am. (Subject Five)

Subjects shared that they would often talk to their mentors about how they were thinking about handling a situation and their mentor would validate their thoughts. Subject One gave the example that when he first started at his school site, he planned to begin by observing the Accountable Communities as they were currently functioning at his site. Accountable Communities are the content area groups of teachers that meet together on a regular basis. He felt that he did not want to start the school year by immediately giving them directives on how he wanted them to be run; he felt strongly that the needed to first observe and learn how they were currently functioning before making recommendations. When he told his mentor of this plan, she responded by affirming for him that if she were in his shoes, she would do it that exact same way. With that affirmation, he shared that he felt even more confident that he was doing the right thing.

Subject Four shared the same sentiment when she talked about sharing her plans for common assessments and collecting data with her mentor. She said that in doing this, she would get reassurance from her mentor that she was on the right track. All subjects spoke to the reassurance that they gained through their mentor's affirmations. Subject Two stated that her mentor built up her self-esteem. Subject Three said that her capacity as a leader was built up through her mentorship program. Subject Five shared that her mentor was "great in the confidence department."

Subject Six shared that her mentor's advice would, often, provide her with confidence in her decision making because it would give her knowledge about how to handle situations. She said:

> A lot of times, I would say…if…I was like tugging and pulling between making two different decisions, then, a lot of times I would say, ok, well when you were principal at you know, [mentor's former school], what would you have done in this situation? And she would give me…advice of something that would have happened at her school and what the outcome was, then how she worked with either staffing or the board, or you know, whoever was involved.

Trust in your mentor due to the fact that they had been successful in your shoes. With both support and confidence being benefits that were identified through this study, it was evident that these benefits were the result of the trust that was built between mentor and subject and that this trust came, largely, due to the fact that the mentors were formerly successful principals. All six subjects spoke about how they trusted their mentor because they had positive reputations as educational leaders. Subject One was new to his district so he did not know his mentor prior to being assigned to her. She retired two years prior to his arrival in the district. He said that when he would share with others about his mentor, people would "talk about her…in reverence tone." He went on to say that she had clearly built a positive reputation as a principal. When asked at the end of the interview if there was anything else that she would like to add that would help the researcher understand the effectiveness of mentorship programs, Subject Two said, "I think a mentor should be a valued and respected retired principal." Earlier in the interview, she brought up the fact that often, while meeting with her mentor, she would go into the meetings "not knowing how to respond [to a specific situation] and at the end [she] walked out of there knowing exactly how to respond…because…[her] mentor had twenty years of experience as an administrator." Subject Five stated that having a mentor

who was well respected and had proven that they themselves had been successful was a necessity for her. Subject Four found comfort in the fact that her mentor had been through what she was going through. She stated that a mentor should be "someone that has been there and done that and knows the bumps in the road along the way, who's not judgmental, who's just gonna be there…and give you some support."

Subject Six talked about her mentor's experience numerous times throughout the interview. She said that the most effective thing her mentor would do with her was predict potential outcomes to situations that she was dealing with. She stated, "She's very good at you know, if we do this, like I make a certain choice, then what are the possibilities of the outcomes of how either staff would react, community would react, students…" Her mentor's experiences helped her to have trust in the advice she was receiving. She summed it up this way, "Her knowledge base is definitely there. I mean, she has got experience beyond belief." And she expressed great comfort in this.

Research Question 4: Mentors Contribution to Principal's Transformational Change Leadership Experience

The final research question revealed two consistent themes throughout each interview. First, all subjects spoke confidently about their capacity to lead the transformational change necessary to take their schools from the era of the 1997 California Content Standards into the era of the new CCSS and they felt that their mentor affirmed in them what they already knew about their leadership capacity. Second, all subjects acknowledged that change takes time so they either continued their mentor relationship into the second year of their principalship on their own, or they wished they could have done so.

All subjects were confident of their ability to lead change and their mentors affirmed in them what they already knew. When asked specifically about their confidence levels in the area of leading change, each subject either specifically said or alluded to the fact that they were confident in their own ability to lead change. Statements were made such as:

> I am actually really confident in leading change. (Subject One)
>
> I have done a tremendous job, I can tell you, in this because I am a change agent. (Subject Two)
>
> I feel confident in the area of leading change. (Subject Three)
>
> I think I do it well, but there is always room for improvement. (Subject Four)
>
> I'm one of those people who always second guesses myself; so I would say I'm confident except for the little voice in my head. (Subject Five)
>
> I would say, probably a four (on a scale of one to five, with one being no confidence and five being highly confident). (Subject Six)

Though each subject made statements about confidence in this area, they each also struggled with the confidence that they had in themselves and the doubt that crept in, at times, during their tenure as a first year principal; it was during those times where they turned to their mentors to build their confidence back up.

Subject One spoke about the confidence his mentor gave him most frequently out of all six subjects. He referred to her building his confidence nine times throughout the interview. Though he stated he was confident in his abilities to lead change, he also

made statements such as, “What [my mentor] gave me was confidence,” and, “It was always that reinforcement, that…yeah you’re doing the right thing even though other people in the district don’t look at it that way,” and, “Here is somebody who was successful running a school and she shares your philosophy.” Subject Two was able to share her successes in transformational change with her mentor as he was the former principal at her site. “It was affirming to be able to do well and to celebrate the successes with him,” she stated. Subject Four said that though she thinks she leads change well, there is always doubt that creeps in. She explained that she sent a survey to her staff at the end of the year about her ability to lead them through the transition to the CCSS. She also took the survey and rated herself. She stated:

> We did this big survey last year where the teachers had to rate you and...they rated [me] higher than I rated myself, which was nice to know that they felt I was able to make change and to lead them.

She also mentioned that her mentor was able to build her confidence up as she was leading change. She stated that as a first year principal, she would bring things up to her mentor and her mentor would say things such as, “Have you thought of these things,” and “Here’s some ideas.” She stated that these conversations helped to build her confidence up as she was leading change.

Subject Six rated her confidence in her own ability to lead change on a scale of one to five, with one representing no confidence in her ability to lead change and five representing a great confidence in her ability to do so. She gave herself a four. She said that she would have given herself a five, except that she does not like to invent new ideas

on her own. She talked about getting ideas for leading change from others, including her mentor. She said:

> I mean, definitely, I am not somebody who…totally likes to invent things on their own. I like to get ideas like, 'How are you doing this on your campus?' or, 'What have you guys thought of over here?' and then consider what's best for [my site]. So, I like to know what's going on out there in the community, or other schools in the county.

She mentioned the fact that her mentor would help her learn about what was going on outside of her school. She said that her mentor would help her learn the background research necessary in order to lead the changes her school was going through. She said her mentor had significant knowledge about things coming up from her county office or the state and things that other districts were doing so she would rely on her mentor to find that information for her and help her use it in a way that supported the transformational change she was leading at her site.

Change takes time. Those who could continued their mentor relationship informally into their second year. Those who could not wished they could have. It was evident throughout the data that subjects felt the need to continue their relationship with their mentor into their second year as a principal. Not all subjects were able to do so, but they all expressed the desire for continued support as they continued the transformational change to the CCSS.

It was coded 12 times that subjects expressed their belief that transformational change takes time. Each subject mentioned it at least once. Statements were made such as:

> This year was really eye-opening because we put so many things on paper that made sense last year and then when we actually started this year you realize wow this is a lot of work, right? (Subject One)
>
> [We are] still in the midst [of change]…because it's almost like you get your staff afloat, you get new positions, you get new teachers, you get a little bit of turnover, and you gotta keep those teachers going and bringing the other teachers on board…I feel confident in the area of leading change; we just never really have enough time to do the best we want to. (Subject Three)
>
> A big one is, and we are still pushing on a couple, getting away from isolated skills to it's not about the content, it's about the process. (Subject Four)
>
> Some people got on board right away; other people were dragging their heels. (Subject Five)

Since all subjects expressed their belief that change takes time, the support that the mentor provided during their first year of leading the change was desired during the second year. All subjects developed a trusting relationship with their mentors so it felt natural for them to desire that relationship to continue as a form of support. Subjects One, Two, Four and Six were able to continue their mentor relationship in a formal or informal manner into their second year. Subject Two already had a prior relationship with her mentor, so it was natural for her to still call him and meet with him about her needs. Subject Four said that her mentor still comes to visit her about quarterly and is available to her still whenever she is needed. Subject Six's mentor is her boss so she is still helping her through the transition, though she expressed that the support is not as

frequent by saying, “I don’t really feel like there’s as equal access to her as there was last year.”

Subject One’s mentor was able to help him and his school in a very specific way in his second year. In October of 2014 (his second year as a principal) he was removed from his site in order to open a new school in the district. He stated that this was very hard for him as he had started so many positive changes during his first year that were just getting implemented. He put it this way:

> When I left [my site] because they pulled me out kinda in the middle of the year, which was very strange and was very difficult for me, I felt like I was betraying my staff. [My mentor] actually stepped in as interim principal until the new principal was put in just right at the end of December. I think the district wanted her because they knew she would be able to help hold down the fort, but the reason that she said she said yes was because we had worked together the year before, so that made me feel really good that we had done some things together…she knew about [my site] and she knew what we were doing and in a lot of ways she had helped me through some of that, so yeah…and then of course when she took over [my site], I was really terrified to leave the staff there…here we’ve got a new principal and we like him and now they’re taking him away, right? So having her there…it allowed me to step away and I trusted her so I guess that was something that was really built during that year was trust on both ends.

His mentor relationship was required and assigned by his district and the benefits of the relationship were great, not only for him, but for his district. His district chose a well-respected, retired principal to mentor him and they were quickly able to develop a trusting relationship which gave him confidence as he left his school in her hands. Though this benefit could not have been foreseen, it was crucial for his school that their relationship continued into the second year of his principalship.

Overall Key Findings

This study sought to learn about what K-12 principals perceived as effective mentorship practices while leading transformational change. The overall key finding that emerged is that the person (mentor) is more important that the structure of the program. Within that finding, four specific qualities surfaced that are desired of a mentor during periods of transformational change. First, the mentor needs to believe in their mentee. Second, the mentor and their mentee should have a similar mindset. Next, the mentor needs to be someone familiar enough with the system in order to help their mentee navigate through it. Finally, the relationship between mentor and mentee needs to be defined by trust.

The person (mentor) is more important than the structure of the program. Throughout each interview, all subjects spoke about the personal qualities they appreciated in their mentor more than they discussed the structure of how their mentorship relationship was set up. It was evident that the person selected to be the mentor had a clear effect on the perceptions of how effective the mentorship relationship was for each subject, whether they were assigned a mentor by their district or they were able to self-select their own mentor. Subject One, who was assigned a mentor by his

district, appreciated that his district kept the program somewhat low key, however he stated, "you have to have a really strong mentor to pull it off." Subject two, who self-selected her mentor, put it like this, "I think a mentor should be a valued and respected retired principal." From all six subjects, four qualities emerged that describe the type of person desired to be an effective mentor.

Support is needed from someone who believes in you while leading change.

Research question three revealed support to be a benefit that came from having a mentor as a first year principal. It also revealed that support needs to come from someone who believes in your ability to lead change. Research question four revealed that while leading transformational change, it was important to have a mentor who was confident of the subject's ability to lead change and that the mentor communicated that confidence to the subject.

Subject Four talked about how her mentor would build up her confidence as she was in the midst of leading the changes at her site. She said that she would explain how she was doing things and her mentor would give her reassurance that she was on the right track. Subject Five had a mentor who was very affirming in her ability to lead change. She had a prior relationship with her mentor and her mentor would, often, remind her of her past successes as a way to let her know that she believed in her and her abilities. Subject One felt that, even though he did not know his mentor prior to being assigned to her, he felt that they quickly bonded and she quickly realized the potential of his abilities to make the positive changes that his school needed to make. He said, "She reinforced a lot of what I already saw," and "A lot of times I would talk about with [my mentor] what

I was doing in terms of culturally, and she would always tell me…yes, that's gonna have the impact you think or no and mostly she was reassuring."

Support is needed from someone with a similar mindset as you while leading change. Throughout the data, evidence can be found that it was important to the subjects that their mentor be like-minded in their philosophies of leadership. Subject Two explained that it was nice to be able to talk to someone like-minded about the many different district initiatives coming her way in order for her to prioritize what were most needed to serve her school's specific needs. Subject Four shared that she felt her mentor was modeling good leadership characteristics with her in how they interacted with one another. She said that her mentor would question her, "never to tell [her] what [she] should be doing, or if [she was] doing it right or wrong, but to give [her] those pertinent questions that made [her] think" and that through her questioning, she was modeling the type of leadership that she felt to be the most effective. Subject One put it most clearly when he made the following two statements: "I saw all of the ideology that I always thought was the right way to do it embodied," and, "Here is somebody who was successful running a school and she shares your philosophy."

Support is needed from someone who can navigate the system while leading change. The subjects of this research expressed the benefits gained from having a mentor that had experience leading within the same system that they were currently leading. The findings in research question one and three demonstrate this. One of the two major findings in research question one was that having a mentor who knew what to expect within their current system was helpful for the subject in learning how to navigate the district. This was referenced 21 times throughout the data. This was most clearly

helpful for Subject One, who was the only participant who was new to his district as a first year principal. He remembered working on things like staff evaluations for the first time and he found support from his mentor in those instances because of her experiences. Research question three found that all subjects had trust in their mentors due to their past successes. For example, Subject Four stated that her mentor was the previous "matriarch" of her region within her district so she was fully confident in the wisdom that she gave. Her mentor had built a positive reputation as a leader with a leadership style of transparency and trust, so it was clear that her successes could be replicated in that region with a similar style of leadership.

Trust is necessary between mentor and mentee in order to feel confident while leading change. The fourth quality that was evident in the data was the need for there to be a solid relationship between mentor and mentee built on trust. Whether a prior relationship existed between them or not, all six subjects referenced trust as the key to the success of their relationship with their mentor. Statements were made in support of this finding that include:

> I trusted her so I guess that was something that was really built during that year was trust on both ends…I trusted her. (Subject One)

> I have so much faith in [my mentor] even when the suggestions were actions I did not choose. (Subject Two)

> I had a lot of faith in my mentor…I think my mentor had undying faith in me. (Subject Two)

> We were all first year principals (the participants in her mentorship group) where none of us felt afraid to share anything. (Subject Three)

> Someone that has been there and done that and knows the bumps in the road along the way, who's not judgmental, who's just gonna be there and…give you some support. (Subject Four)

> Honestly what I think one of the huge pieces or leverage points that we can have with a mentoring relationship is just that, literally, the relationship. (Subject Five)

> There's nothing better than having, you know, a former principal that you just love…having this mentor who really knew me, it just helped me to sort of stay centered. You know, and be true to my core, and what I believe in, regardless of whether or not somebody thought I should do something different. (Subject Five)

Since Subject Six's mentor was her boss, she had some unique information to share about their relationship and why she preferred a mentor who was not her boss in order to support this finding. She said:

> [My mentor] is a great mentor. She definitely has the experience under her belt, but then I always have to be careful of, you know, if I ask her for certain things, am I going to be judged in a certain way as an employee.

When asked if she preferred a mentor who was not her boss, she responded, "Yes! Absolutely." She explained that she would turn to other principals or coaches in the district for support when she didn't feel she could trust her mentor to be non-judgmental.

So though she was able to find that type of support from others, she felt that a mentor who was not her boss would have created a more trusting environment.

Summary

Each research question was used in order to gain a solid understanding of the purpose of this study which was to examine first year K-12 principals' perceptions of effective mentorship practices during transformational change. The content and activities that the subjects participated in were studied (research questions one and two), as well as the perceived benefits gained from the mentorship relationship (research question three). Also, the support that was felt while leading the transformational change from the 1997 California Content Standards to the new CCSS was studied using research question four. Each research question presented its own key findings in order to contribute to the overall finding of the study, which is that the person (mentor) is more important to the success of a mentorship relationship than the design of the program and that the person chosen to be a mentor needs to (a) believe in their mentee's ability to lead change, (b) have a similar mindset as their mentee in how to lead change, (c) be familiar enough with the current system of their mentee in order to help him/her navigate through it, and (d) build a trusting relationship with their mentee.

CHAPTER V: FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

The purpose of this qualitative study was to examine first year K-12 principals' perceptions of effective mentorship practices during transformational change. The research questions used to guide this study were:

1. What content addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader?
2. What activities addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader?
3. To what extent do first year principals believe they benefitted from their participation in a mentoring program?
4. To what extent did first year principals' participation in a mentoring program contribute to their experience during the transformational change to the Common Core State Standards?

The population for this study was K-12 principals in California during the 2013-2014 school year and the sample was six first year K-12 principals in Fresno County during the 2013-2014 school year who had a formal mentor relationship during their first year. This sample was chosen based on the subjects' willingness to participate. The researcher interviewed three elementary school principals, two middle school principals, and one high school principal. The researcher used one-on-one open-ended interviews to gather data for this qualitative ethnographic study. Each interview was conducted by the researcher at a time and location selected by each subject. Each interview took approximately forty-five minutes from initial introductions to final good-byes. The formal interview questions took approximately thirty minutes for each subject. Each

interview was transcribed and loaded into NVivo for analysis. The data was analyzed using the grounded theory approach described by Patton (2009).

Major Findings

The responses of each subject were analyzed to reveal specific themes relating to each research question. Those findings were further analyzed to reveal the major overall findings of the study. The first research question, "What content addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader," revealed two themes. Theme one, "allowing the subject to determine the content based on current needs was most effective in most situations," supports the existing research about how adults learn. According to Fogarty and Pete (2009), Knowles (1973, 1980), and Trotter (2006), adults learn best when they are able to be self-directed and make connections to their daily work. This is what Knowles introduced to us in 1973 as the Andragogical Theory of Learning. As humans get older, our need to be self-directed increases as does our desire to learn through our experiences (1973). For example, Subject One recalled a time where he contacted his mentor in order to learn about the evaluation process of his new district. He said:

> I remember when I was doing evaluations, she kind of was able to support me because I had done evaluations for years but I had never done them the way [my new district] does so she kind of helped me with some of that.

Subject Three says about her mentor group, "They would allow us to talk about concerns, like if they knew that at the principal's meetings we were going to be talking about staffing, and we'd never done staffing before, they would…give us little staffing dos and don'ts."

Theme two, "having a mentor who knew what to expect within their current system was helpful in learning how to navigate the district," was revealed through statements made such as, "We talked about dealing with supervisors" (Subject Five), and "It's always prefaced [with], 'you don't have to do this but here's some things to think about as they come up in the months of November and December'" (Subject Four), and "The knowledge base of knowing, be it contractual agreement, or knowing different people in the district, who to contact for what…that type of thing…knowing the prior staff…all those benefits" (Subject Two). Research suggests that it is good to have a mentor who is active in instructional leadership ("National Association," 2014), but nowhere does it refer to the need for that leadership to be in the same district as the mentee. This study, however, found that to be a great benefit for these first year principals.

The second research question, "What activities addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader," revealed that there were no required activities in any of the subject's mentorship programs besides meeting with one's mentor. Subjects could, however, identify activities that they wished they would have participated in with their mentors, such as classroom visits (Subjects Five and Six) and attending a conference together (Subject Five).

Subjects felt torn between liking that their mentor relationship was informal and wanting it to be more formal. With statements such as, "So even though I say maybe formalizing would have helped a little…the part of me that liked it was that it was informal," Subject One confirmed this inner battle. Subject Two expressed her desire to

have the mentorship time be a set time so that she knew when to plan for it. She shared it would have been nice to have "someone pretty regular." She stated:

> I think a mentor needs to be regular. You know, for me I had to make a phone call or send an email. It would have been nice to say hey, on the third Wednesday of every month you just set this hour aside cause we're gonna work this out.…and you make it as sacred as your nail appointment.

Existing research does suggest that mentoring programs should be systemic in order to be successful ("Getting Principal Mentoring Right," 2007) and some existing mentorship programs do have some formalized activities and hours that are required for new principals. The state of Delaware has a requirement that first year principals meet with their mentor for a total of 72 hours during their first year (Cheney & Davis, 2011). Albuquerque Public Schools (APS) has a professional support plan as part of their program (Weingartner, 2009), which was used to create a leadership development program for all of New Mexico that has training embedded at each level of aspiring principal, new principal, and mentor principal ("New Mexico," 2011). The National Association of Elementary School Principals (NAESP) expects that their mentors "foster a culture that promotes formal and informal mentoring relationships" ("National Association," 2013). Therefore, existing research suggests that having some formalized activities in a mentorship program is beneficial.

The third research question, "To what extent do first year principals believe they benefitted from their participation in a mentoring program," revealed that support and confidence were benefits gained through a mentorship program and those benefits were nurtured through a trusting relationship with a formerly successful principal. This

finding contradicts existing research that states, “An effective mentor is active in instructional leadership” (“National Association,” 2013). The subjects interviewed for this study revealed that they appreciated the fact that their mentors were retired principals, not currently active in leadership. Statements were made in support of this that included, “I knew that if I ever had an issue or a problem, I could call her. She would always say anytime anywhere” (Subject One) and, “I think a mentor should be a valued and respected retired principal…. I think that having a retiree come in…that's a pretty perfect way to do it because there is no desire to one up you” (Subject Two).

Existing research does support the need that first year principals have to feel supported. Kearny (2010) and The Wallace Foundation (“Getting Principal,” 2007) argue that first year principals have a better opportunity for success when they are supported by a mentor. Darling-Hammond and her colleagues (“Strengthening California’s,” 2009) state that California needs to develop mentorship opportunities for their new principals in order to help them feel better supported. They also say that a supported principal feels more able to succeed in their role (“Strengthening California’s,” 2009), which supports the finding in this research question that first year principals need to have a mentor who builds their confidence.

The fourth research question, “To what extent did first year principals’ participation in a mentoring program contribute to their experience during the transformational change to the Common Core State Standards (CCSS),” revealed two themes regarding transformational leadership. The first theme, “all subjects were confident in their ability to lead change and their mentors affirmed in them what they already knew,” affirmed that the leaders who were leading transformational change had

some knowledge about being transformational leaders. Balyer (2012) defined transformational leadership as "the ability to get people to want to change, improve, and be led." Anderson and Anderson (2010a) argue that a transformational leader must pay attention to four quadrants of change in order to be successful: mindset, culture, behavior, and systems. All subjects expressed confidence in their abilities to lead change and all gave examples of attending to those four quadrants of transformational change. The following statements were made in support of this:

> I worked a lot on culture, pep talks. (Subject One)
>
> I don't think that culture was fully completed in the first year. (Subject One)
>
> When you're challenging a belief…you can be able to say, you knew how you used to feel when it was time to change your belief. (Subject Three)
>
> So it wasn't a belief that…the students couldn't do it, I also had to work with the belief that [the teachers] could do it. (Subject Three)
>
> It's a shift in perspective of the students, and a shift in perspective on their role as teachers. (Subject Five)
>
> It definitely has to shift in their methodology of teaching. (Subject Six)

The second theme, which demonstrated that all subjects agreed that change takes time, showed that mentorship is not only needed for first year principals, but also desired by second year principals. This affirms what New York City is doing in their mentorship program. In New York City's program, first year public school principals are guaranteed 72 hours of mentorship. Upon completion of their first year, they are able to continue their mentorship relationship as long as they would like, but they have to pay for those services after the first year ("NYC Leadership," 2014). Additionally, research shows that

current mentorship programs offered through organizations such as Pivot Learning Partners and WestEd acknowledge that as principals navigate through the change to the CCSS, mentorship is needed to offer them support as they lead this change ("Pivot Learning," 2013; "WestEd," 2014).

The overall key findings for this study make a connection between the findings uncovered in each research question and the purpose of this study. It was evident that the subjects felt that the person selected to be their mentor was more important than the structure of the program. Four qualities emerged from the interviews that defined the personal characteristics needed in a successful mentor and what their relationship with their mentee should look like. First, a mentor needs to believe in their mentee's ability to lead change. Second a mentor needs to have a similar mindset as their mentee in how to lead change. Current research on successful mentorship programs does not speak to either of these findings.

Third, the mentor needs to be familiar enough with the current system of their mentee in order to help him/her navigate through it. Existing research suggests that principals are not supported enough by their districts. Kearney (2010) asserts that districts do not do enough to offer the information to new principals that they need to know in order to be successful. Darling-Hammond and her colleagues speak about principals getting distracted from their priorities because they have so many responsibilities to balance (2010). Subjects overwhelmingly agreed that having a mentor with experience within their district helped them to prioritize their responsibilities and helped them feel supported by someone who had the information they needed in order to succeed.

Finally, the mentor needs to work to build a trusting relationship with their mentee. The NAESP identified six mentor competencies that they train their mentors in and competency four states that, "An effective mentor respects confidentiality and a code of ethics in the mentor protégé relationship" ("National Association," 2013). APS has a focus for their program that aligns to a "safe, simple, and supportive" approach to mentoring (Weingartner, 2009). These two points illustrate the need for a trusting relationship to exist between the mentor and their mentee, which aligns with the findings of this study.

Unexpected Findings

It was unexpected to find that the subjects who self-selected their mentors did not have a better relationship than those who were assigned to their mentor. An effective mentor does not need to be someone who has an established relationship with the mentee. It is more important that they have the characteristics defined in the overall findings of this study. Four Subjects (One, Three, Four, and Five) were assigned their mentor. Each of them quickly developed a strong, trusting relationship with their mentor because of the characteristics embodied by their mentor and the reputation that their mentors carried. There was no noticeable difference between the relationships developed between those four subjects and their mentors and the existing relationships that Subjects Two and Six had with their mentors. In fact, Subject Six brought up difficulties due to the fact that her mentor was her boss, so their existing relationship as defined by their roles caused difficulty in developing trust.

Conclusions

Through the interview process, it has been made clear that the mentorship requirements in Fresno County are not consistent, and even vary greatly within districts. The benefits found throughout the data speak to a clear need for supporting first year principals, which should cause districts to look closely at how they support their new principals and determine if they are offering the support that is needed to foster success. Each subject was able to list benefits that they gained from having a mentor during their first year; perhaps all first year principals in Fresno County should be provided with the opportunity to gain those same benefits.

Often times principals rise through the ranks because they were successful teachers (Kearney, 2010; Bush, 2009) but overwhelmingly, the subjects felt that if they did not have their mentor, they would have been under-supported once they reached the role of principal no matter the experiences they brought with them. Many times throughout the interviews, subjects expressed coming upon situations that they were not prepared for and had no idea how to attack. Situations that dealt with contractual agreements (Subject Two), employee conduct and evaluation concerns (Subject One), and maintenance issues (Participant Three) were new situations for these principals because prior to becoming a principal they never had to deal with them. Because of this, it is imperative to set up a support system for new principals to access help with the types of things that administrative credential programs cannot adequately prepare them for, especially things that are specific to the district that employs them and things that are best learned through experience. All six subjects interviewed for this study successfully used their mentors to support them through these needs.

First year principals want someone to help guide them through their first year who knows what is coming up and can give them a "heads up" along the way. Principal mentorship programs should be designed to offer support in planning for what to expect throughout the year. As Subject Two put it, "I want to have a really equal focus on the different elements of being a principal, not only crisis controlling but looking at the long-term planning." Subject Four said that it was helpful when her mentor brought her a pre-planned list of things to start thinking about as they were coming up. She put them in a binder and still refers to those lists during her second year. So many new experiences come up throughout the year for first year principals so having someone prepare them as best as possible for things that are guaranteed to come up helps.

All subjects felt confident in their ability to lead, especially in the area of leading change, but they expressed their need for someone to help them navigate the changes and someone to talk to when the unexpected happened in order to help them keep their confidence. According to existing research, transformational change takes leaders who can inspire others and lead through the unknown (Anderson & Anderson, 2010b). Transformational leaders also help others exceed their expectations in order to make significant changes ("The School Principal," 2013). This study demonstrated the need that first year principals had for having a mentor who helped them feel confident in their abilities while taking their schools through the unknown.

When selecting people to mentor first year principals, it is important to look at the professional reputation that the person has. It is also important to look at the personal characteristics that they embody. This study defines four characteristics of an effective mentor;

1. Someone who believes in their mentee's ability while leading change.
2. Someone with a similar mindset as their mentee.
3. Someone who can help their mentee navigate their system.
4. Someone who can develop a trusting relationship with their mentee in order to help them remain confident while leading change.

It was clear in this study that these characteristic were more important to the success of the mentor relationship than anything else.

Implications for Action

California needs to adopt a formal mentorship requirement for first year principals. Research shows that California does not do enough to support its leaders (Kearney, 2010) and it is clear that school leadership has a positive impact on student achievement (Leithwood et al., 2004, 2010). This study overwhelmingly demonstrates that the subjects all found value in their mentor relationship as they transitioned into the role of principal.

Districts should budget for principal development at all levels, including paying for first year principals to be fully supported by a mentor who has demonstrated success as a former principal in their district. This study supports the notion that first year principals prefer someone who can help them navigate their current system; therefore districts also need to invest in mentorship training for their leaders who are close to retirement so that upon retirement, then are prepared to support new principals.

Mentorship programs should focus equally on supporting the needs of first year principals, as defined by their current situations, as well as laying out plans to help them understand what is coming up throughout the school year. It is beneficial, while

supporting first year principals, to provide them with a road map of what to expect so that they can think ahead and plan with their mentor how they will attack certain situations.

Mentorship programs should be designed so that mentors do not directly oversee their mentees. Subject Six mentioned that trust was hard with her mentor due to the fact that her mentor was her boss. Though there were many benefits she gained from her mentorship relationship, it was clear that she would have preferred a mentor who was not her boss so that she would have been able to trust the relationship completely without feeling like she would be judged.

Recommendations for Further Research

1. Research should be done comparing the mentorship needs and desires of a first year principal with those of a veteran principal. Research shows that as principals progress throughout their tenure, their needs change (Kearney, 2010). The differences in needs should be studied as they relate to mentorship programs.
2. These same research questions should be researched from the perspective of the mentor. The value that is perceived by the mentee may be different than the value perceived by the mentor.
3. Research needs to be done on the training that mentors have as it relates to the qualities identified in this study as desired by first year principals. This will help to identify whether mentors can be trained to have these qualities or if these are naturally acquired qualities by some and not others.
4. Quantitative data should be collected to compare the amount of time spent with mentors as it relates to the value gained by the mentee.

5. Further research needs to study transformational leadership qualities of mentors to see if their training in transformational leadership has any effect on their mentee's perception of the success in their relationship.
6. The mentor/mentee relationship should be studied more in depth in order to analyze how important it is that the mentor shares the same mindset about leading change as the mentee.
7. This study should be replicated in other states that have adopted formal mentorship programs for first year principals to see if adding more requirements to the mentorship relationship increases the perceived effectiveness or decreases the perceived effectiveness.
8. Research should be conducted that compares the mentor relationship between principals with mentors who have experience from within the principal's current district and principals with mentors who have experience from other districts in order to identify the perceived benefits gained from having a mentor with experience from within the same district versus having a mentor without that experience.
9. It is recommended that research be conducted in order to compare the perceptions of the impact that a strong principal network has on a first year principal to the impact a mentor relationship has.
10. The differences, if any, in perceived benefits of mentor relationships between elementary principals and secondary principals should be researched.

Concluding Remarks and Reflections

There is still great work to be done in supporting and developing school leaders, especially in California and, more specifically, Fresno County. The development of a principal should not stop once they complete their administrative services credential program; once a principal is hired for their first job, support is needed more than ever in order for them to feel supported and remain confident in their abilities to create lasting change.

Existing research tells us that California's principal tenure rate is behind the national average ("Strengthening California's," 2009). The rate at which California loses principals has an adverse affect on student achievement (Leithwood et al., 2010) because research also tells us that principal leadership matters almost as much as having an effective teacher in the classroom (Leithwood et al., 2004, 2010). The principal is the one person who can influence whether or not a student has an effective teacher year after year (Kearney, 2010) so developing effective systems to support them is imperative.

The role of the principal is changing every day, especially since the adoption of the CCSS. The role of the principal as transformational leader is more important now than ever before and in order for principals to continually feel confident in their decisions, they need to have a mentor who is encouraging them and giving them support along the way.

This research experience offered me great development as a leader. Not only was I able to get up to date on the current research regarding transformational leadership and support for first year principals, but I was able to meet with others who are living the same reality as me. Through each interview, it was apparent that the role of principal is

often lonely, with subjects expressing this by saying, "It's a very lonely job" (Subject Four), and "Your family doesn't really understand it, you know, your friend that's not in education doesn't really understand it. For some reason, there [are] some things that educators go through that only educators can really understand" (Subject Three). I understand the loneliness that comes from being a principal. This was the rationale I used for selecting this topic for my dissertation. The mentor relationship is a relationship that is valuable, not only to a leader's growth, but to their ability to remain confident during times of great success and great struggle. Each subject expressed great appreciation from having a relationship with someone who was there for no other reason than to support them and root for their success. This is why it is imperative to begin giving principals the support they need; providing them with a mentor is a perfect way to accomplish this.

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APPENDICES

APPENDIX A

California Professional Standards for Educational Leaders

Standard 1
A school administrator is an educational leader who promotes the success of all students by Facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.

- Facilitate the development of a shared vision for the achievement of all students based upon data from multiple measures of student learning and relevant qualitative indicators.
- Communicate the shared vision so the entire school community understands and acts on the school's mission to become a standards based education system.
- Use the influence of diversity to improve teaching and learning.
- Identify and address any barriers to accomplishing the vision.
- Shape school programs, plans, and activities to ensure that they are integrated, articulated through the grades, and consistent with the vision.
- Leverage and marshal sufficient resources, including technology, to implement and attain the vision for all students and all subgroups of students.

Standard 2
A school administrator is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

- Shape a culture in which high expectations are the norm for each student as evident in rigorous academic work.
- Promote equity, fairness, and respect among all members of the school community.
- Facilitate the use of a variety of appropriate content-based learning materials and learning strategies that recognize students as active learners, value reflection and inquiry, emphasize the quality versus the amount of student application and performance, and utilize appropriate and effective technology.
- Guide and support the long-term professional development of all staff consistent with the ongoing effort to improve the learning of all students relative to the content standards.
- Provide opportunities for all members of the school community to develop and use skills in collaboration, distributed leadership, and shared responsibility.
- Create an accountability system grounded in standards-based teaching and learning.
- Utilize multiple assessments to evaluate student learning in an ongoing process focused on improving the academic performance of each student.

Standard 3
A school administrator is an educational leader who promotes the success of all students by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.

- Sustain a safe, efficient, clean, well-maintained, and productive school environment that nurtures student learning and supports the professional growth of teachers and support staff.
- Utilize effective and nurturing practices in establishing student behavior management systems.
- Establish school structures and processes that support student learning.

- Utilize effective systems management, organizational development, and problem-solving and decision-making techniques.
- Align fiscal, human, and material resources to support the learning of all subgroups of students.
- Monitor and evaluate the program and staff.
- Manage legal and contractual agreements and records in ways that foster a professional work environment and secure privacy and confidentiality for all students and staff.

Standard 4
A school administrator is an educational leader who promotes the success of all students by Collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.

- Recognize and respect the goals and aspirations of diverse family and community groups.
- Treat diverse community stakeholder groups with fairness and respect.
- Incorporate information about family and community expectations into school decision-making and activities.
- Strengthen the school through the establishment of community, business, institutional, and civic partnerships.
- Communicate information about the school on a regular and predictable basis through a variety of media.
- Support the equitable success of all students and all subgroups of students by mobilizing and leveraging community support services.

Standard 5
A school administrator is an educational leader who promotes the success of all students by Modeling a personal code of ethics and developing professional leadership capacity.

- Model personal and professional ethics, integrity, justice, and fairness, and expect the same behaviors from others.
- Protect the rights and confidentiality of students and staff.
- Use the influence of office to enhance the educational program, not personal gain.
- Make and communicate decisions based upon relevant data and research about effective teaching and learning, leadership, management practices, and equity.
- Demonstrate knowledge of the standards-based curriculum and the ability to integrate and articulate programs throughout the grades.
- Demonstrate skills in decision-making, problem solving, change management, planning, conflict management, and evaluation.
- Reflect on personal leadership practices and recognize their impact and influence on the performance of others.
- Engage in professional and personal development.
- Encourage and inspire others to higher levels of performance, commitment, and motivation.
- Sustain personal motivation, commitment, energy, and health by balancing professional and personal responsibilities.

Standard 6
A school administrator is an educational leader who promotes the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.

- Work with the governing board and district and local leaders to influence policies that benefit students and support the improvement of teaching and learning.

- Influence and support public policies that ensure the equitable distribution of resources and support for all subgroups of students.
- Ensure that the school operates consistently within the parameters of federal, state, and local laws, policies, regulations, and statutory requirements.
- Generate support for the school by two-way communication with key decision-makers in the school community.
- Collect and report accurate records of school performance.
- View oneself as a leader of a team and also as a member of a larger team.
- Open the school to the public and welcome and facilitate constructive conversations about how to improve student learning and achievement.

These standards were adapted from the Interstate School Leaders Licensure Consortium (ISLLC) Standards for School Leaders (1996). Washington, DC: Council of Chief State School Officers. Adaptations were made for the California Professional Standards for Educational Leaders (2001) by representatives from the California School Leadership Academy at WestEd, Association of California School Administrators, California Commission on Teacher Credentialing, California Department of Education, and California colleges and universities. For use with the Descriptions of Practice in Moving Leadership Standards Into Everyday Work, the elements in some of the standards have been reordered by WestEd.

APPENDIX B

Synthesis Matrix

Topic	Anderson, D. & Anderson, L.A. (2010). Beyond Change Management: How to achieve breakthrough results through conscious change leadership (2nd ed.).	Anderson, D. & Anderson, L.A. (2010). *The Change Leader's Roadmap: How to navigate your organization's transformation (2nd ed.).*	Center for K–12 Assessment & Performance Management at ETS (2012). Coming Together to Raise Achievement: New Assessments for the Common Core State Standards.	Common Core State Standards Initiative, (2012).	Sloan, W. (2010, December). Coming to Terms with Common Core Standards.	Smarter Balanced Assessment Consortium, 2012).
Transformational Change	Transformational change is a "radical shift" in the way things are currently being done	Transformational change is a "radical shift" in the way things are currently being done				
Common Core			Why the CCSS	About the CCSS	What/Why	Testing of CCSS

Topic	Clifford, M., Behrstock-Sherratt, E., and Fetters, J. (2012). The Ripple Effect: A Synthesis of Research on Principal Influence to Inform Performance Evaluation Design, Quality School Leadership	Darling-Hammond, L., Meyerson, D., LaPointe, M., and Orr, M. (2010). Preparing principals for a changing world: Lessons from effective school leadership programs.	Kearney, K. (2010). Effective Principals for California Schools: Building a Coherent Leadership Development System.	Leithwood, K., Seashore Louis, K., Anderson, S., & Wahlstrom, K. (2004). How leadership influences student learning: A review of research for the Learning from Leadership Project.	Leithwood, K., Seashore Louis, K., Anderson, S., & Wahlstrom, K. (2010). Investigating the links to improved student learning: Final report of research findings.	Marzano, R. J., Waters, T., & McNulty, B. A. (2005). School leadership that works: From research to results.	Moving leadership standards into everyday work: Descriptions of practice (2003).	WestEd (2014). California Professional Standards for Educational Leaders (CPSEL).	Waters, T., Marzano, R., & McNulty, B. (2003). Balanced leadership: What 30 years of research tells us about the effect of leadership on student achievement.	Williamson, R., and Blackburn, B. (2012). School leadership strategies for classroom rigor.
Need to support first year principals	The work of a principal is more diverse and demanding now than it ever has been before.	"Few jobs have as diverse an array of responsibilities as the modern principalship"	Even though they have been preparing to become the leader, the transition from preparation to actually becoming the leader is difficult; Each administrative credential program in California is required to use the CPSELs to some extent				Detailed descriptions of each CPSEL (Appendix)	California defined effective school leadership through the adoption of the CPSELs in 2004		"A school leader's most important role is that of instructional leader"

Principals are one of the most significant factors in the academic success of students.			Principals have a significant impact on student achievement	Leadership is second only to the child's teacher	Principals have a significant impact on student achievement	leadership behavior of the principal can have a profound effect on student achievement			Principals have a significant impact on student achievement	"A school leader's most important role is that of instructional leader"

Topic	Anderson, D. & Anderson, L.A. (2010). Beyond Change Management: How to achieve breakthrough results through conscious change leadership (2nd ed.).	Anderson, D. & Anderson, L.A. (2010). *The Change Leader's Roadmap: How to navigate your organization's transformation (2nd ed.).*	Balyer, A. (2012). Transformational Leadership Behaviors of School Principals: A Qualitative Research Based on Teachers' Perceptions.	DuFour, R., DuFour, R., Eaker, R., and Karhanek, G. (2010). *Raising the bar and closing the gap: Whatever it takes.*	Fogarty, R. and Pete, B. (2009, December/ 2010 January). Professional Learning 101: A Syllabus of Seven Protocols	Knowles, M. (1973, April). The Adult Learner: A Neglected Species	Moolenaar, N., Daly, A., and Sleegers, P. (2010). Occupying the Principal Position: Examining Relationships Between Transformational Leadership, Social Network Position, and Schools' Innovative Climate.	The School Principal as Leader: Guiding Schools to Better Teaching and Learning. (2013).	Trotter, Y. D. (2006). Adult Learning Theories: Impacting Professional Development Programs
Principal as leader of adult educators.				Adults want authority in making key decisions and they want discretion in implementing their decision	adults learn best when they are self-directed and they learn best when they are able to make connections to their daily work or experiences	as humans get older, our need to be self-directed increases rapidly and so does our ability and need to learn through experience			"Adults prefer to plan their own educational paths," and "Teachers should be given latitude to design their own professional development."
Principal as transformational leader.	mindset, culture, behavior, and systems	mindset, culture, behavior, and systems	"the ability to get people to want to change, improve, and be led"				navigate the increasing demands involved in implementing innovative approaches to education	Principals can no longer function simply as building managers, tasked with adhering to district rules, carrying	

								out regulations and avoiding mistakes.	

Topic	Administrative Services Credential for Individuals Prepared in California (January, 2014)	Fleck, F. (September/October, 2007). The Balanced Principal:	Fresno County Office of Education (2014). Clear Administrative Services Credential Program	Getting Principal Mentoring Right: Lessons from the Field. (2007). *The Wallace Foundation.*	Hall, P. (February, 2008). Building Bridges: Strengthening the Principal Induction Process Through Intentional Mentoring	Kearney, K. (2010). Effective Principals for California Schools: Building a Coherent Leadership Development System.	National Association of Elementary School Principals, (2013). School Leadership Mentor Competencies	Pivot Learning Partners: Catalogue of Services (2013).	WestEd (2014). Instructional Practice and Coaching.
Mentorship requirements in CA	CASC		CASC			Need Mentorship Requirements in CA			
Mentorship as a successful way to support first year principals		mentoring programs are a strong way to serve new principals as they work to understand the demands of their job		Mentoring programs can be extremely beneficial to principals if they are systemic and have highly trained mentors serving their new principals	mentoring programs are a strong way to serve new principals as they work to understand the demands of their job	One way to successfully support a novice principal is to provide them with a mentor.	mentoring programs are a strong way to serve new principals as they work to understand the demands of their job		
Successful Mentorship Programs					The NAESP instituted the National Principals Mentoring Certificate Program in 2003 based on their realization of the need for high-quality administrators		participants know what to expect as a mentor and as they exit the program, they have a concrete foundation of what is needed to have an effective professional mentoring relationship	offers help in developing leaders, redesigning systems, and improving student results	focuses on CCSS implementation and accountability as well as coaching that helps principals meet school improvement goals in instruction, curriculum, and student achievement

APPENDIX C

INFORMATION ABOUT: Mentorship for First Year Principals Leading Transformational Change

BRANDMAN UNIVERSITY

16355 LAGUNA CANYON ROAD

IRVINE, CA 92618

RESPONSIBLE INVESTIGATOR: Anne Taylor

PURPOSE OF THIS STUDY: The purpose of this study is to examine first year K-12 principals' perceptions of effective mentorship practices during transformational change. This study adds to the existing body of research on the effectiveness of principal mentorship and the need for mentorship, specifically for new principals. It also adds to this body of research by specifically analyzing the mentorship during periods of transformational change. The results of this study may be used in order to better develop mentorship programs for beginning principals.

In participating in this study I agree to participate in one interview which will take approximately 45 to 60 minutes and will be set up at a time and location convenient for me.

I understand that:

a) There are no possible risks associated with this study.

b) The findings of this study will be available to me at its conclusion, which could benefit me as I move forward in my career as an educational leader by providing insights into my coaching experience. I also understand that I will not be compensated for my participation.

c) Any questions I have concerning my participation in this study will be answered by Anne Taylor, MA. who can be reached at (559) 786-2500.

d) I understand that I may refuse to participate or may withdraw from this study at any time without any negative consequences. Also, the Investigator may stop the study at any time.

e) I also understand that no information that identifies me will be released without my

separate consent and that all identifiable information will be protected to the limits allowed by law. If the study design or the use of the data is to be changed, I will be so informed and my consent re-obtained. I understand that if I have any questions, comments, or concerns about the study or the informed consent process, I may write or call the Office of the Vice Chancellor of Academic Affairs, Brandman University, and 16355 Laguna Canyon Road, Irvine, CA 92618.

f) I give consent for the researcher to record the interview for the purposes of this research.

g) I acknowledge that I have received a copy of this form and the Research Participant's Bill of Rights.

I have read the above and understand it and hereby consent to the procedure(s) set forth.

_____

Signature of Participant or Responsible Party

_____

Signature of Investigator
Brandman University

_____

Date

APPENDIX D

Interview Protocol

Time of Interview: _____ Date of Interview: _____

Place: _____Name of Interviewee: _____

INTERVIEWER SAYS: *Thank you for agreeing to meet with me today in order to interview you on your perception of the effectiveness of your mentorship program. I am earning an educational doctorate in organizational leadership from Brandman University and this interview will be used as a part of my dissertation. Do I have your permission to continue this interview for this purpose? I would also like your permission to record this interview for scribing purposes and so that I can access it at a later time. Do I have your permission to do so?*

I have provided a copy of the questions that I will ask for your reference; however, I may also ask some follow up questions for clarity. The duration of this interview will take approximately 45 minutes to one hour.

Do you have any questions for me before we begin?

Let's begin. (start recording device)

BACKGROUND QUESTIONS:

1. Please state your full name, current position, current school, and current district.
2. Please tell me your educational background that led you to your first year as a site principal?
3. Is your participation in a mentorship program required?
    a. If so, who is it required by?

b. If not, why did you choose to participate in a mentorship relationship?

4. Please tell me what organization has provided you with a mentor.
5. When did you begin meeting with your mentor in relation to your beginning date as a principal?
6. How often did you meet with your mentor and how long was an average meeting?
7. Did you have a defined agenda for each meeting or was the content that was to be discussed up to you based on your needs?

RESEARCH QUESTION #1: What content addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader?

1. Talk about the content that was discussed during your mentorship meetings.
    a. In what ways was the content effective in developing you as a leader?
        i. *Potential Follow-Up Question:* Can you give me an example of content that was especially useful to you?
        ii. *Potential Follow-Up Question:* How did you use that content in an effective way?
    b. In what ways was the content ineffective in developing you as a leader?
        i. *Potential Follow-Up Question:* Can you give me an example of content that was not useful to you?
2. What content, if any, do you wish you discussed, but never did?

RESEARCH QUESTION #2: What activities addressed in a principal mentoring program do first year principals perceive as effective and ineffective in their development as a school site leader?

1. What were some of the extra activities that your program required you to participate in?
    a. Please discuss these activities and comment on their relevance to your growth as a leader.
        i. In what ways were these activities effective in developing you as a leader? *Potential Follow-Up Question:* Can you give me a specific example?
        ii. In what ways were they ineffective in developing you as a leader?
    b. What activities do you wish you would have participated in so that you could further develop as a leader?

RESEARCH QUESTION #3: To what extent do first year principals believe they benefitted from their participation in a mentoring program?

1. On a scale of 1-5, with one being no benefit and five being greatly benefitted, please rate your belief that you benefitted from participation in your mentoring program.
    a. Why do you believe this?
    b. What benefits did you gain through your participation in a mentoring program?
        i. *Potential Follow-Up Question:* Can you think of a specific example of how that benefitted you?

c. How has your participation in a mentorship program supported your personal adjustment to being in charge of a school?
    i. *Potential Follow-Up Question:* Can you give me an experience to support that?

RESEARCH QUESTION #4: To what extent did first year principals' participation in a mentoring program contribute to their experience during the transformational change to the Common Core State Standards?

INTERVIEWER SAYS: *Transformational Change can be defined as a radical shift in an organization from the current state to a new state. It requires a change in culture and mindset in order to succeed. Currently in public education, we are in the midst of transformational change from the 1997 California Content Standards to the new Common Core State Standards (CCSS).*

1. In what ways have you impacted your school's progress through this transition in regards to the culture of your organization and the mindset of all employees.
2. How confident are you in your leadership skills in the area of leading change?
3. In what ways has your mentor impacted your ability to navigate the past year of your school's transition to the CCSS?
    a. *Potential Follow-Up Question:* Can you think of a specific incidence that your mentor has helped you through?

INTERVIEWER SAYS: *Is there anything else that you wish to tell me that you feel will help me better understand your perception of the effectiveness of your mentorship relationship in helping you navigate transformational change?*

Thank you very much for your time today and your willingness to allow me the opportunity to interview you for my doctoral dissertation. If you would like a copy of my research at the conclusion of my study, I will be happy to provide that for you. Please accept this small token of my appreciation for your participation.