

ILLINOIS PUBLIC SCHOOL SUPERINTENDENTS: INFLUENCING STATE-LEVEL
EDUCATION LEGISLATION AND POLICY-MAKING IN ILLINOIS

A Dissertation

By

DANIEL LEE OAKLEY

Submitted to the School of Graduate Studies
Western Illinois University
in partial fulfillment of the requirements for the degree of

DOCTOR OF EDUCATION

March 2015

Major Subject: Educational Leadership

UMI Number: 3689161

All rights reserved

INFORMATION TO ALL USERS

The quality of this reproduction is dependent upon the quality of the copy submitted.

In the unlikely event that the author did not send a complete manuscript and there are missing pages, these will be noted. Also, if material had to be removed, a note will indicate the deletion.



UMI 3689161

Published by ProQuest LLC (2015). Copyright in the Dissertation held by the Author.

Microform Edition © ProQuest LLC.

All rights reserved. This work is protected against unauthorized copying under Title 17, United States Code



ProQuest LLC.
789 East Eisenhower Parkway
P.O. Box 1346
Ann Arbor, MI 48106 - 1346

Copyright by
DANIEL LEE OAKLEY
March 2015
All Rights Reserved

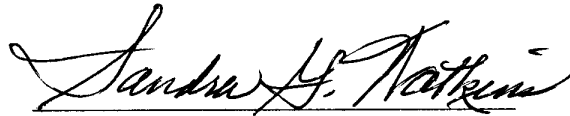
ILLINOIS PUBLIC SCHOOL SUPERINTENDENTS: INFLUENCING STATE-LEVEL
EDUCATION LEGISLATION AND POLICY-MAKING IN ILLINOIS

A Dissertation

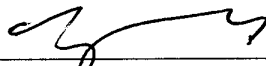
by

DANIEL LEE OAKLEY

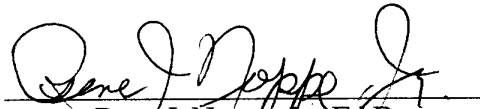
Approved as to style and content by:



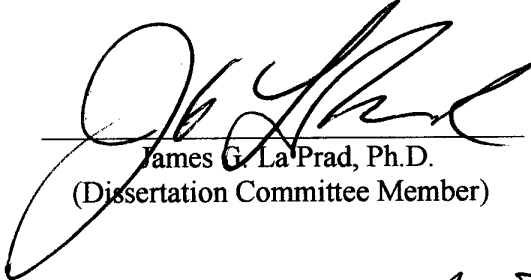
Sandra G. Watkins, Ph.D.
(Dissertation Chair)



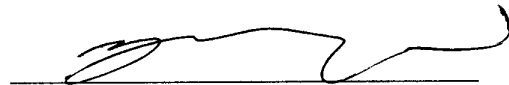
Bridget Z. Sheng, Ph.D.
(Dissertation Committee Member)



Rene J. Noppe, Jr., Ed.D.
(Dissertation Committee Member)



James G. LaPrad, Ph.D.
(Dissertation Committee Member)



Seung Won Yoon, Ph.D.
(Dissertation Committee Member)



Nancy P. Parsons, Ph.D.
(Associate Provost and Director of Graduate Studies)

March 2015

ABSTRACT

ILLINOIS PUBLIC SCHOOL SUPERINTENDENTS: INFLUENCING STATE-LEVEL EDUCATION LEGISLATION AND POLICY-MAKING IN ILLINOIS

(March 2015)

Daniel Lee Oakley, B.A., Eastern Illinois University;

M.S., Western Illinois University;

Ed. S., Western Illinois University

Dissertation Chair: Dr. Sandra G. Watkins

The ISLLC standard 6 of 2008 and ELCC standard 6 of 2011 both indicate that a district-level leader should be influential in state-level education legislation and policy-making. There was little scientific research that showed evidence as to how superintendents were adapting to this requirement, although anecdotal and journalistic writings were available. This study sought to fill that gap.

This study was of all public school superintendents in the state of Illinois. The study used mixed-methods, and utilized a sequential explanatory design. The quantitative portion of the study was completed via an online survey, and the qualitative portion of the study was complete with face-to-face interviews of randomly selected superintendents. 201 Illinois public school superintendents completed the online survey, and 6 superintendents were randomly selected for interviews.

The study identified 7 key findings regarding Illinois public school superintendents and their efforts to be influential in state-level education legislation and policy-making: they utilized professional organizations most extensively in their efforts to contact and influence legislators; their perceptions of effectiveness were significantly

increase when there was a close personal or proximal association with a legislator; their perceptions of effectiveness were significantly increased in accordance with the number of prior administrative positions held; their perceptions of effectiveness were significantly increased with relation to a particular school district configuration; their perceptions of effectiveness were significantly increased with relation to their affiliations with particular educational organizations; they identified only one coherent impediment to being influential, that of graduate coursework preparation; and they had a reasonable knowledge of the legislative process, although that did not affect their perceptions of success in being influential. By applying these key findings, Illinois public school superintendents can make themselves more influential in state-level education legislation and policy-making.

DEDICATION

This dissertation is dedicated to my family.

To my wife of 23 years, Beth Oakley, who was the most important person in the dissertation process. Her love, care, sacrifice, wheedling, and never-ending support and faith in my ability – and sometimes firm prodding – made her an instrumental part of the dissertation. She is my companion, my helpmate, my hand-in-hand partner, and my best friend.

To my children, Andy Brehm and Amy Laabs, the best children for which I could ever have asked. You have made me proud to have been a part of your lives.

To my parents, Bill and Betty Oakley, for their love and care, as well as a house with a lot of books, and to my brothers David, Paul, and Tom. Our home was humble, but a fertile field for a searching young mind. The dinner conversations have stayed with me always.

ACKNOWLEDGEMENTS

A dissertation is a journey of 1,000 miles, completed in small steps, occasional leaps, and a few rides on a rickshaw; sometimes on paved roads and others times through quicksand. As with any journey of length and duress, friends, colleagues, and sometimes strangers come alongside, making the journey fuller, more enjoyable, and sometimes simply more palatable. And at the most difficult times, these become support pillars or motivational levers without whom the journey might never have been completed successfully.

It is my great pleasure and honor to thank Dr. Sandra Watkins, my dissertation chair and professor across twelve years of classes and work on the dissertation, for her encouragement and constant reaching out to motivate me, especially when the wheels were about to come off. Her frequent calls and encouragement kept one faltering foot going in front of the other, and I grew to look forward to her next contact. This dissertation would not have been completed successfully without her steady support.

One unexpected but thoroughly welcome and valued source of encouragement throughout this process was Dr. W. Garry Johnson, Vice-President Emeritus at Western Illinois University. He took every opportunity to alternately encourage, energize, cajole, and gently berate in order to move the process along. “200 words a night” was his never-ceasing advice and mantra. Dr. Johnson, the process rarely was that steady, looking more like an irregular heartbeat, but your never-wavering support and expectation of a finished dissertation were crucial to the process.

I would also like to thank Dr. Bridget Sheng, a member of my dissertation committee, for her many hours spent with me at the end of her long days, in person or via

email, going over statistics and concepts, diligently correcting my approaches and concepts when I went astray.

Thank you to the remainder of my dissertation committee for their faith in my ability to complete this process when ABD was looking like a possibility: Dr. James La Prad, who challenged my ways of thinking; Dr. Rene Noppe; and Dr. Seung Won Yoon.

There are numerous – too many to put in print – persons who matched steps and/or wits at various times during this process. My dissertation cohort; the participants in both the survey and in-person interviews who provided the data for this study; and various school board members and staff members at two different school districts who put up with the necessary absences and occasional blank stares after getting too deep into the weeds. Thank you all for putting up with me and encouraging me.

TABLE OF CONTENTS

	Page
ABSTRACT.....	iii
DEDICATION.....	v
ACKNOWLEDGEMENTS.....	vi
TABLE OF CONTENTS.....	viii
CHAPTER I. INTRODUCTION.....	1
Background of the Problem.....	2
Statement of Purpose.....	3
Statement of the Problem.....	3
Significance of the Study.....	3
Research Questions.....	4
Methodology.....	6
Assumptions.....	7
Limitations of the Study.....	7
Delimitations of the Study.....	8
Definition of Terms.....	9
Organization of the Study.....	10
CHAPTER II. REVIEW OF LITERATURE.....	12
Introduction.....	12
The Stage.....	12
The Superintendency.....	13
Historical Perspectives of the Role of the Public School	

Superintendent	13
The Education Leadership Standards.....	15
The Interstate School Leaders License Consortium	
Standards for School Leaders	15
The Educational Leadership Constituent Council	
District-Level Standards	16
Pertinence of ISLLC and ELCC Standards to State-Level	
Education Politics	19
School Locale.....	21
School and District Locale Codes.....	21
Politics and Education in Illinois	23
The Constitutional Framework of Illinois Government.....	23
The Legislative Branch.....	24
The Executive Branch.....	24
Constitutionally and Rule Prescribed Legislative Process	
in Illinois	24
Functional Legislative Process in Illinois	28
Committee Work.....	28
Leadership Power over Committees	29
Joint Committee on Administrative Rules.....	30
Shell Bills, “Gut and Replace Bills”, and Substantive	
Amendments	31
Coded Agencies: The Governor’s Quiet Power.....	34

Lobbying.....	35
Lobbying in Illinois.....	36
Powerful Lobbies in Illinois Education Politics	36
Control of Party Finances	38
Bill Progression.....	40
Political Corruption.....	41
Corruption under a New Administration	43
Illinois Politics Expressed in Education	44
State-Level Politics and Illinois Educational Matters.....	44
Federal Policy and the Shaping of State-Level Educational Policy	45
Historical Role of Politics in Illinois Education	46
State-Level Political Battle Lines in Education	48
Recent Landmarks in Illinois' Education Politics	50
Key Junctures in the Legislative Process.....	51
Introduction of Legislation and the Rules Committee	52
Readings of and Votes on a Bill	52
Amendments of a Bill	52
Committee Work.....	52
Passage of Legislation from the House or Senate.....	53
Concurrence	53
Conference Committee	53
The Governor's Role in the Passage of Legislation.....	53

Shell Bills and Gut-and-Replace Bills	54
Joint Committee on Administrative Rules (JCAR)	54
Coded Agencies	55
Lobbies, Lobbyists, and Donations.....	55
Control of Party Finances and Campaign Funds	55
Appointment of Legislators to Committees.....	56
The Political Superintendent.....	56
Historical Role of Superintendents in State-Level Policy Making.....	58
Local Political Activity.....	59
State-Level Political Activity.....	59
Studies on Superintendents and Effecting State-Level Education Policy-Making.....	59
Illinois, 2011: Political Activity as Advocacy	59
Texas, 1994: Texas School Superintendent’s Role in State Level Educational Decision Making.....	62
Summary.....	63
CHAPTER III. METHODOLOGY	65
Introduction.....	65
Research Questions.....	65
Research Methodology and Design	67
Quantitative Research	67
Qualitative Research.....	68
Mixed-Methods Research.....	70

Population and Sample	70
Instrumentation	72
Quantitative Instrumentation	72
Sections of the Survey	72
Introduction and Consent.....	73
Demographics	73
Key Junctures in the Legislative Process.....	73
Modes of Access to Legislators and Effectiveness.....	74
Perceived Success in Influencing State-Level Education Legislation and Policy-Making.....	74
Personal Information Regarding a Follow-Up Interview	74
Instrument Validity	74
Instrument Reliability	75
Procedures.....	77
Data Collection and Recording.....	77
Data Analysis	77
Qualitative Instrumentation	79
Qualitative Questions.....	79
Instrument Validity	80
Racial Bias	81
Gender Bias.....	81
Cultural Bias	82

Instrument Reliability	82
Procedures.....	82
Data Collection and Recording.....	83
Data Analysis	83
Summary.....	84
CHAPTER IV: ANALYSIS OF DATA.....	86
Introduction.....	86
Data Analysis	87
Quantitative Survey	87
Rationale for Survey Questions	87
Description of the Sample and Discussion of Reliability of the Sample	88
Characteristics of the Sample.....	88
Gender Categories.....	88
Age Categories.....	89
Years of Educational Experience.....	90
Prior Administrative Experiences	90
Years of Experience as a Superintendent.....	90
Total Years in Education	90
Superintendents' Current School District Demographics	91
Population Validity of the Study Sample.....	93
Legislative Process and Control Quiz.....	93

Interviews.....	96
Interpretation.....	96
Current Associations with State-Level Legislators.....	97
Interviews.....	100
Interpretation.....	100
Modes of Access to State-Level Legislators.....	101
Modes of Access to Legislators	101
Perceived Effectiveness in Influencing State-Level Education Legislation	104
Interviews.....	107
Interpretation.....	107
Educational Organization Affiliation and Perceived Effectiveness.....	108
Educational Organization Affiliation.....	108
Perceived Effectiveness in Influencing State-Level Education Legislation	111
Interviews.....	114
Interpretation.....	114
Perceived Success in Influencing State-Level Education Legislation and Policy-Making.....	115
Interviews.....	117
Interpretation.....	117
Aids or Impediments to Influencing State-Level	

Legislation and Policy-Making.....	117
Interviews.....	119
Interpretation.....	119
Statistical Tests Regarding Perceived Effectiveness	120
Age.....	121
Years as Superintendent.....	122
Type of Administrative Experience	123
Size of District	126
Configuration of School District.....	127
State Funding Level	130
District Poverty Level.....	131
Locale.....	132
Interpretation.....	133
Qualitative Interviews.....	133
Interview Questions	134
Description of the Sample.....	134
Themes.....	135
Qualitative Responses.....	137
Access and Relationships.....	137
Interpretation.....	139
Means of Influence	139
Professional Organizations	139
Money.....	141

Interpretation.....	142
Educating Legislators.....	142
Interpretation.....	143
Location/Locale	144
Interpretation.....	144
Controlling Factors	145
Interpretation.....	146
Summary.....	146
CHAPTER V: DISCUSSION, CONCLUSIONS, AND RECOMMENDATIONS .	148
Introduction.....	148
Results Summary	150
Key Finding 1 – Use of Professional Organizations.....	150
Key Finding 2 – Personal and Proximal Relationships	151
Key Finding 3 – Prior Administrative Positions.....	151
Key Finding 4 – School District Configuration.....	152
Key Finding 5 – Affiliations with Educational Organizations	153
Key Finding 6 – Aids and Impediments	154
Key Finding 7 – Key Junctures in the Legislative Process.....	154
Key Findings as Related to the Findings of the Fogarty Study	155
Interpretation and Implications for Illinois’ Public School	
Superintendents.....	156
Recommendations for Further Research.....	158
Contributions to the Literature.....	161

Conclusion	162
REFERENCES	164
APPENDIXES	179
Appendix A Political Knowledge, Experiences, and Success Survey	180
Appendix B Institutional Review Board Approval.....	194
Appendix C NIH Training Certificate	208
Appendix D Permission to Use Materials.....	210
Appendix E Informed Consent Document.....	213
Appendix F ISBE FOIA Letter	216
VITA	218

LIST OF TABLES

Table		Page
4.1	Survey Reported Enrollments vs. ISBE Reported Enrollments, Fall 2013	91
4.2	Survey Reported District Types vs. ISBE Reported District Types, Fall 2014	92
4.3	Correct Responses to Legislative Processes Quiz	94
4.4	Scaled Score Categories of Responses to Legislative Processes Quiz	95
4.5	Frequency Table of Superintendents’ Current Associations with State- Level Legislators.....	98
4.6	Types of Associations versus Perceived Effectiveness of Those Associations	98
4.7	Standard Deviations and Confidence Intervals of Modes of Contact with State-Level Legislators	102
4.8	Weighted Average Table of Perceived Effectiveness of Modes of Contact with State-Level Legislators.....	105
4.9	Weighted Average Table of Educational Organizations	109
4.10	Weighted Average Table of Perceived Effectiveness of Education Organizations	112
4.11	Frequency Table of Perceived Success in Influencing State-Level Education Legislation and Policy-Making.....	116
4.12	Frequency Table of Perceived Success in Influencing State-Level Education Legislation and Policy-Making in Broad Categories.....	116

4.13	Weighted Average Table of Aids and Impediments.....	118
4.14	Age of the Superintendent versus Perceived Effectiveness.....	122
4.15	Years as Superintendent versus Perceived Effectiveness.....	123
4.16	Number of Prior Administrative Experiences versus Perceived Effectiveness.....	125
4.17	Size of School District Enrollment versus Perceived Effectiveness.....	127
4.18	School District Configuration versus Perceived Effectiveness.....	128
4.19	School District State Funding Level versus Perceived Effectiveness.....	130
4.20	District Poverty Level versus Perceived Effectiveness.....	131
4.21	District Locale versus Perceived Effectiveness.....	132

LIST OF FIGURES

Figure	Page
2.1 How a Bill Becomes Law in Illinois.....	27
4.1 Perceived Effectiveness of Types of Associations with Legislators	100
4.2 Confidence Interval Graph of Modes of Contact with State-Level Legislators.....	103
4.3 Confidence Interval Graph of Perceived Success of Modes of Contact With State-Level Legislators	106
4.4 Confidence Intervals for Educational Organizations.....	110
4.5 Confidence Intervals for Perceived Success through Educational Organizations	113
4.6 Confidence Intervals for Aids and Impediments	119
4.7 Number of Occurrences per Code.....	137

CHAPTER I

INTRODUCTION

The job of a school district superintendent is, by nature of the position, a political one. The superintendent must work both directly and indirectly with a number of constituencies in daily work, including administrative staff, parents, the teacher's union, and community and local governments. It has been a common expectation of the superintendent that he demonstrates the ability to work effectively with these groups and yet other groups in order to accomplish the primary goal of the district, educating the students of the district.

The Interstate School Leaders Licensure Consortium (ISLLC) Standards and the Educational Leadership Constituent Council (ELCC) District-Level Standards both addressed the political action expected of today's district superintendent. The ISLLC Standards, in Standard 6, stated the expectation that the administration leads by "understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context" (The Council of Chief State School Officers, 2008, p. 18). The ELCC Standards, in Standard 6, expounded further that the leader does this by "acting to influence local, district, state, and national decisions affecting student learning" (National Policy Board for Educational Administration, 2011, p. 23).

The collusive nature of these two standards served as a clear statement that today's school leader, the superintendent, must be involved in impacting state-level education policy-making. If the issue at the state-level involved student learning in some form that would affect the students of the district, superintendents were expected to play a role in the development of that policy, with the ultimate hope of garnering a result that

was positive, or the least negative possible, outcome for the students of his district. The superintendent of our time, as described, was expected to ride the waves of politics both inside the district and outside as was relevant to gathering resources for the students of his district.

Background of the Problem

The complexity of the expected political interaction of superintendents increased over time. The ISLLC and ELCC standards both reflected the need and expectation that superintendents were to be involved in state-level policy-making. At the same time, the superintendent's role had increased locally, moving through a series of roles over time. The clerical superintendent of the mid-1800s completed clerical work for the school board while maintaining the role of head teacher for a school. The superintendent of the late 1800s and early 1900s was made responsible for curriculum (Edwards, 2007) and other instructional matters (Carter & Cunningham, 1997). The early to mid-1900s brought the role of the superintendent as an expert manager, with emphases on scientific approaches and efficiency. In the 1960s, the superintendent as Chief Executive Officer was born (Carter & Cunningham, 1997), including the capacities of setting organizational direction and developing personnel and district capacity, while dealing with the mandates and pronouncements of the legislative segment (Hoyle, Bjork, Collier, & Glass, 2005).

The latest model for the superintendent required the superintendent to segment his time in order to give due diligence to the reams of responsibilities laid at his table. Superintendents delegated as much of their daily work as possible, but maintained final responsibility for outcomes. This latest model of the modern superintendent as an influencer of state-level education legislation and policy-making deposited yet another

substrate of responsibilities for the superintendent to manage. Whether and how the superintendent managed this responsibility was examined during this study.

Statement of Purpose

The purpose of this study was to determine the level of political involvement and activities, and self-described level of influence of public school superintendents in the state of Illinois in regard to state-level educational policy-making.

Statement of the Problem

The superintendent was expected to influence state-level educational policy-making (National Policy Board for Educational Administration, 2011) while encountering an ever-increasing load of responsibilities as the CEO of his district (Carter & Cunningham, 1997). There was little scientific research, however, that showed any evidence in any form as to how superintendents were adapting to this new expectation, as much of what was available was anecdotal or journalistic in form.

Significance of the Study

The superintendent, according to the ISLLC and ELCC standards, was expected to be active on the state-level legislative stage in order to effectively influence educational policy-making. There are many beliefs and anecdotes in the literature detailing how to be successful in advocating for legislation advantageous to student learning, but few research studies have addressed this area. Given the stakes involved, public school superintendents working under the ISLLC and ELCC standards needed strong knowledge of the legislative process in Illinois, as well as realistic scientifically-determined modes and methods for effective political discourse and influence.

Research Questions

The purpose of this study was to determine the level of involvement in, understanding of, and the nature of the political activities of public school superintendents in the state of Illinois in regard to influencing state-level educational policy-making. Specific questions that guided the study were:

1. What level of knowledge do Illinois' superintendents possess regarding the state-level legislative and policy-making process?
2. Through what modes do Illinois' superintendents attempt to influence state-level legislation and policy-making?
3. Through what specific educational organizations do Illinois' superintendents attempt to influence state-level educational legislation and policy-making?
4. To what extent do Illinois' superintendents perceive their efforts to influence state-level educational legislation and policy-making to be successful?
5. What activities, affiliations, or relationships do Illinois' superintendents believe are helpful in being successful in their efforts to influence state-level educational legislation and policy-making?
6. What activities, affiliations, or relationships do Illinois' superintendents believe are obstructions or impediments to being successful in their efforts to influence state-level educational legislation and policy-making?
7. What are the commonalities among superintendents who self-determined success with state-level legislation and policy-making?

8. What was the effect of a superintendent's locale in influencing state-level education legislation and policy-making?

Following the collection and analysis of data from the survey, questions for the qualitative interviews were developed. Eight questions were developed, as follows:

1. What types of efforts have you undertaken to influence state-level education legislation and policy-making and why did you undertake those efforts?
2. Have you found your efforts in influencing state-level education legislation and policy-making to be generally effective or ineffective? What factors influence your thoughts regarding your effectiveness?
3. How have the demographics of your current school district played a role in your effectiveness?
4. How have the number of administrative roles you have had impact your perception of effectiveness? Have any of those experiences played a significant role in your effectiveness?
5. How have your particular types of associations with a state-level legislator, such as living in your district or sharing an organization, made a difference in your effectiveness?
6. How have your particular associations with educational organizations, such as IASA or IASB, made a difference in your effectiveness?
7. What other factors that you believe have affected your ability, in your current position, to influence state-level legislation and policy-making?

8. Do you have anything more to add regarding your effectiveness in influencing state-level legislation and policy-making?

Methodology

The research study was conducted as a mixed-methods study, utilizing both quantitative and qualitative methods in a sequential explanatory design. The population for the study included all public school superintendents in the state of Illinois, with the exception of the pilot group. The population for the qualitative portion of the study was a self-selected population of respondents who ranked their efforts in influencing state-level education legislation and policy-making as Mostly to Highly Effective, from which a purposeful sample with random selection of six superintendents was selected.

The quantitative portion of the study was conducted utilizing a survey. The survey was designed to answer the research questions for the study. Additionally, the survey asked participants if they were interested in being interviewed regarding their experiences. The self-selected pool was utilized as a purposeful sample for the qualitative portion of the survey, to randomly select six superintendents for interviews.

The survey was conducted via SurveyMonkey. Members of the population were pre-notified two weeks in advance of the pending opening of the survey, and were notified again of the actual opening of the survey. Interviews for the qualitative portion of the study were conducted in person, as scheduled with the selected superintendents.

Data for the quantitative portion of the survey were collected in SurveyMonkey and transposed to a spreadsheet for ease of use. Interviews for the qualitative portion of the survey were recorded for the purpose of transcription and coding.

Collected quantitative data were analyzed using SurveyMonkey native tools, SPSS software, and basic statistical measures.

The qualitative data recorded during interviews were transcribed. Qualitative interviews were coded and analyzed by utilizing Creswell's seven step method for analyzing qualitative data (Creswell, 2009). The data gathered were utilized to further enhance answers for the research questions.

Assumptions

This study assumed public school superintendents in the state of Illinois utilized a standard set of tools in their efforts to influence state-level education legislation and policy-making. It also assumed there were specific and measureable methods by which superintendents could be more effective in their efforts to influence state-level education legislation and policy-making.

Limitations of the Study

This study was limited in the following ways:

1. The researcher may have displayed bias due to the researcher's own political beliefs and personal interactions with state-level educational policy-making.
2. The questions in the survey might have been unwittingly limited so as to produce incomplete or inaccurate results.
3. The population was a voluntary population. The rate of response determined the relative value of the data collected.

4. Superintendent responses were limited by the individual superintendent's perceptions of his own actions, experiences, and understanding of processes and actions. Such limitations could have skewed the responses.
5. The populations for city, urban, town, and rural designations were self-chosen by superintendents, and might have provided an inaccurate picture, based on federal designations, of these subgroups studied.
6. The reliability of the legislative processes and controls section of the online survey cannot be established. This will be further discussed in Chapter III.
7. The random sampling for the qualitative interviews missed some representation from some groups, including gender, types of districts, and location. This might have skewed the responses given by the interviewees.
8. Superintendent responses of self-perception represent a relatively weak quantitative measure.
9. Qualitative research data may not be applicable across the entire sample or population (Gall, Gall, & Borg, 2007).

Delimitations of the Study

This study conducted research only on public school superintendents in the state of Illinois. Data gathered and conclusions made through this study may not be transferrable to public school superintendents in other states. It also may not be transferrable to superintendents or similar leadership roles in private schools in any state, including the state of Illinois.

Definition of Terms

1. Chamber – a term used in this study, interchangeable with the term “house of the General Assembly”, but utilized at times in order to avoid confusion between “house”, referring to both the House and Senate in the Constitution, and “House”, which referred only to the House of Representatives
2. Constitution – The Constitution of the State of Illinois, as utilized in this study, was the constitution adopted by the people of the state of Illinois in 1970 unless noted otherwise. (Ill. Const.)
3. General Assembly – the constitutionally elected body of representatives (Ill. Const.)
4. Houses – as in Houses of the General Assembly – one of two chambers of elected representatives comprising the General Assembly, either the House or the Senate (Ill. Const.)
5. Lobbyist – “a person who tries to influence legislation on behalf of a special interest” (Lobbyist, n.d.).
6. Locale – a designation assigned regarding district characteristics by the National Center for Education Statistics in its Locale Codes (National Center for Education Statistics, n.d.b.)
7. Politics – “...the struggle for power and influence, which allow one to make or block change in public policy and to control governmental administration” (Nowlan, Gove, & Winkel, 2010, p. 24)

8. Shell bill – “...bills that have no effect as filed but can be amended, can take on hundreds of pages of new and previously unseen policy with profound impact – in just a matter of minutes late in a legislative session.” (Broadway, February 18, 2015, para. 16)
9. State-level legislator – as utilized in this study, a member of the Illinois General Assembly – also a Representative or Senator

Organization of the Study

Chapter I presented an overview of the superintendent as a state-level political actor, expected to influence educational policy-making in order to best provide for the students of his district. The primary drivers of this expectation, the ISLLC and ELCC standards, were presented. The purposes of the study, the background of the problem, the statement of the problem, the research questions, the significance of the study, the assumptions, the limitations of the study, the delimitations of the study, the definition of terms, and the organization of the study were stated.

Chapter II reviewed the available literature in the field, including a review of the duties and roles of the superintendency through time, a review of the politics and political processes in the state of Illinois, educational politics in Illinois, a description of the political superintendent, and available scientifically-based studies on superintendents and state-level education policy-making.

Chapter III described research methods used in conducting the study. Methodology described a mixed-methods approach for the study, including both quantitative and qualitative sections. During the qualitative portion of the study, an online survey was developed addressing the elements of the research questions. Responding

superintendents were asked to self-select by interest in continuing the study by being interviewed. Random selection was conducted on the self-selected group of those interested in being interviewed, and interviews subsequently ensued.

Chapter IV analyzed data collected, both from the quantitative survey and qualitative interviews. Descriptive statistics and statistical analysis were performed on quantitative data in order to determine responses to research questions. Qualitative interviews were transcribed, coded, and themed in order to further the data garnered from the survey.

Chapter V summarized the study including conclusions of the findings, contributions to the literature, recommendations for practicing superintendents, and recommendations for further study in the field.

CHAPTER II
REVIEW OF THE LITERATURE

Introduction

There were a large number of writings regarding superintendents, politics, and the conjunction of the two. However, there were very few research-based writings that detailed the superintendent and his interactions with state-level political figures. The great majority of the writings in this field have been produced as news writings. A large number of writings were anecdotal in nature, following personal experiences or those of others, without benefit of a rigid scientific model. Therefore, this literature review focused primarily on what had been observed and written about education and politics, along with available scientifically-based research in the field.

The Stage

The air surrounding educational policy and finance in the state of Illinois was charged with political implications. Jim Broadway, a long-time writer and reporter on educational politics inside the Illinois statehouse, penned the axiom as follows:

Education advocates have much at stake because public education is a pure creature of public policy. There is nothing about the public schools – their governance and structure, staffing, funding – that is not prescribed, or at least explicitly permitted, in state law. And the election winners write the law (Broadway, July 17, 2012, para. 19).

Public school superintendents daily navigated the coruscation of legislative action and intent as it was made manifest. Wherever legislation was originally promulgated, legislative actions such as the No Child Left Behind Act of 2001 or the Individuals with Disabilities Act of 2004 delivered a challenge to the superintendent to keep up with the local policy and financial implications (Peterson, 2011).

The Superintendency

The superintendent was charged with the leadership of a district, replete with a multifaceted and extremely complex set of duties that had to be coordinated and overseen effectively in order to bring about organizational excellence. A broad list of the duties and responsibilities of the superintendent might have included: leadership, governance, educational accountability, addressing issues of race and class, developing and maintaining strong principals, collaborating with overlapping rings of stakeholders, and engaging the public (Cambron-McCabe, Cunningham, Harvey, & Koff, 2005). Creating a listing of all superintendent duties, however, was difficult, as the list was almost endless, subject to local interpretation, and continued to evolve over time (Carter & Cunningham, 1997).

Historical Perspectives of the Role of the Public School Superintendent

The role of the school superintendent had continually evolved since the inception of the superintendency. The first public schools in the United States were opened in the late 1770s (Cubberley, 1922), but the first school superintendents did not emerge until the 1830s, and then in a few large cities. During the 1870s, the legal authority for school superintendents was established (Konnert & Augenstein, 1990). School superintendents for county and intermediate levels as proxies for state superintendents became common in the early 1900s (Wilson, 1960).

A historical review of the role of superintendent of schools showed that the role of the school superintendent has undergone a series of transformations. Each new emergence has required enhanced or new skills in order to be effective. Four board stages

mark the pathway to today's superintendency: the clerical, the master educator, the expert manager, and the chief executive officer (Carter & Cunningham, 1997).

The clerical era of the superintendency, prevalent in the mid-1800s, demarcated the first role of the public school superintendent (Carter & Cunningham, 1997). The expectations of the superintendent in this era included completing clerical work for the school board and being a head teacher for the school (Edwards, 2007).

The superintendent as master educator, bounding the late 1800s and early 1900s (Edwards, 2007), found the superintendent's role defined in curriculum implementation (Edwards, 2007) and other instructional matters (Carter & Cunningham, 1997). During this time, superintendent roles began to move beyond the responsibility for the overseeing of the school and into daily school interactions (Edwards, 2007).

In the early- to mid-1900s, superintendents were expected to become expert managers. Among the expectations in this era were the superintendent as scientific manager and efficiency expert (Carter & Cunningham, 1997), as well as resource and business manager (Edwards, 2007). It was the "era of the four B's: bonds, buses, budgets, and buildings" (Carter & Cunningham, 1997, p. 23).

The 1960s brought about the fourth primary definition of the school superintendent, that of chief executive officer of the school district. Broad responsibilities for the chief executive were "professional advisor to the board, leader of reforms, manager of resources, and communicator to the public" (Carter & Cunningham, 1997, p. 24).

The target superintendents for this study were still expected to fit the mold of chief executive, but the expectations became even more stringent as the striving for

educational excellence had been co-opted in large part by federal mandates handed down to the states. The superintendent was expected to set directions for the organization, to develop personnel under his purview, and to develop the capacity of the district, all in keeping with the continually changing and engaging standards and rhetoric delivered from the legislative ranks (Hoyle, Bjork, Collier, & Glass, 2005).

The Education Leadership Standards

The Interstate School Leaders License Consortium Standards for School Leaders. The role of the superintendent of schools in most states had been formally defined and informed by the six Interstate School Leaders License Consortium (ISLLC) Standards for School Leaders. The ISLLC standards were first developed in 1996 by the Council of Chief State School Officers (CCSSO) and were updated in 2008 (The Council of Chief State School Officers, 2008). Forty states have adopted the ISLLC standards for purposes of certification or licensure, requiring administrators to be trained under the standards (National Conference of State Legislatures, 2013).

The six ISLLC standards included:

1. An education leader promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.
2. An education leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

3. An education leader promotes the success of every student by ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.
4. An education leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.
5. An education leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.
6. An education leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal, and cultural context (The Council of Chief State School Officers, 2008).

The Educational Leadership Constituent Council District-Level Standards.

The Educational Leadership Constituent Council (ELCC) District-Level Standards were approved by the National Policy Board for Educational Administration in 2010. The ELCC standards were developed on the heels of the ISLLC standards, and serve to define the role of an educational leader at the district level. The ELCC standards have been the framework upon which educational leadership programs were built.

The seven ELCC district-level standards developed included:

1. A district-level education leader applies knowledge that promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a shared district vision of learning through the collection and use of data to identify district goals, assess

organizational effectiveness, and implement district plans to achieve district goals; promotion of continual and sustainable district improvement; and evaluation of district progress and revision of district plans supported by district stakeholders.

2. A district-level education leader applies knowledge that promotes the success of every student by sustaining a district culture conducive to collaboration, trust, and a personalized learning environment with high expectations for students; creating and evaluating a comprehensive, rigorous, and coherent curricular and instructional district program; developing and supervising the instructional and leadership capacity across the district; and promoting the most effective and appropriate technologies to support teaching and learning within the district.
3. A district-level education leader applies knowledge that promotes the success of every student by ensuring the management of the district's organization, operation, and resources through monitoring and evaluating district management and operational systems; efficiently using human, fiscal, and technological resources within the district; promoting district-level policies and procedures that protect the welfare and safety of students and staff across the district; developing district capacity for distributed leadership; and ensuring that district time focuses on high-quality instruction and student learning.
4. A district-level education leader applies knowledge that promotes the success of every student by collaborating with faculty and community

members, responding to diverse community interests and needs, and mobilizing community resources for the district by collecting and analyzing information pertinent to improvement of the district's educational environment; promoting understanding, appreciation, and use of the community's diverse cultural, social, and intellectual resources throughout the district; building and sustaining positive district relationships with families and caregivers; and cultivating productive district relationships with community partners.

5. A district-level education leader applies knowledge that promotes the success of every student by acting with integrity, fairness, and in an ethical manner to ensure a district system of accountability for every student's academic and social success by modeling district principles of self-awareness, reflective practice, transparency, and ethical behavior as related to their roles within the district; safeguarding the values of democracy, equity, and diversity within the district; evaluating the potential moral and legal consequences of decision making in the district; and promoting social justice within the district to ensure individual student needs inform all aspects of schooling.
6. A district-level education leader applies knowledge that promotes the success of every student by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context within the district through advocating for district students, families, and caregivers; acting to influence local, district, state, and national decisions affecting

student learning; and anticipating and assessing emerging trends and initiatives in order to adapt district-level leadership strategies.

7. A district-level education leader applies knowledge that promotes the success of every student in a substantial and sustained educational leadership internship experience that has district-based field experiences and clinical practice within a district setting and is monitored by a qualified, on-site mentor (National Policy Board for Educational Administration, 2011).

Pertinence to state-level education politics of ISLLC and ELCC standards.

Both the ISLLC and ELCC standards listed above provided a broad listing of duties and responsibilities of an educational leader. Each set of standards mandated the educational leader as an influencer of policy-making. ISLLC standard 6 addressed the broad political context (The Council of Chief State School Officers, 2008), while ELCC standard 6 specifically addressed the necessity of action to influence policy-making at the state level (National Policy Board for Educational Administration, 2011).

Current Expectations of the Superintendent

While the ISLLC and ELCC standards set a reasonably standard, although copiously weighty, picture of the responsibilities of a school superintendent nationally, local boards of education often adapted, expanded, or added to the customary list (Edwards, 2007). A failure to understand and either adapt to or co-opt all expectations into the role of superintendent might have paved a path to failure (Carter & Cunningham, 1997).

The public school superintendent lived and breathed at the center of the educational world, not just for the operation of the school district in his purview, but for educational change and the future of education programs and structure (Peterson, 2011). The slate set for districts by the No Child Left Behind Act of 2001 set a hurdle that was all but impossible to reach (Ravitch, 2013), yet built a framework for how the public views its schools. Legislators have and continued to see schools as a medium for social and political change (Peterson, 2011). In Illinois alone, a large number of bills potentially affecting education were proposed annually, that would, if enacted, bring changes of a broad range to school districts (Broadway, March 5, 2013). Local school boards were important factors in the superintendent's success. The superintendent's relationship with his board of education was a critical factor in his success or failure, regardless of the effectiveness and functionality of the school board itself (Peterson, 2011).

The success of the superintendent was also judged from perceptions of financial management. Even though the concept of local control has become laughable (Broadway, January 29, 2015), and local control of finances had slowly been whittled away by both state and federal legislative actions involving special interest groups and social reforms (Peterson, 2011), the superintendent's perceived ability to effectively administer district funds was a critical public measure of his effectiveness and ability (Kowalski, 1999).

Considering the quickly changing field upon which superintendents lived or died professionally, the superintendent was to be fully engaged in a purposeful pattern of professional development and capacity building (Peterson, 2011).

School Locale

Locale has played a critical role in the roles and successes or failures for superintendents. The particular community in which a superintendent works were important factors in the superintendent's leadership of the district (Cambron-McCabe, Cunningham, Harvey, & Koff, 2005). In an effort to define school district types in 1994, researchers noted that "each category presents a unique set of problems for those responsible for policy decisions..." (Debertin & Goetz, 1994, para. 7).

School and district locale codes. Defining the meaning of a school or district's locale had never been a simple matter for researchers. The federal government, in a report to Congress in 1995, for example, noted a "lack of a clear, widely accepted definition of 'rural'" (United States Department of Education, 1995, para. 1). Prior to 2006, the government noted at least three major Federal systems used to classify geographic locations.

1. The Beale codes of the 1970s designated counties by two variables: a count of citizenry in the county, and the county's proximity to a metropolitan area. The Beale codes utilized the mailing address of the district office to determine ruralness, ignoring the fact that a district location might not be adequately defined by a post office box or central office location, thereby obfuscating urban versus rural designations (National Center for Education Statistics, n.d.a).
2. The Metro Status codes were also confusing. The Metro Status codes were based on the Core Based Statistical Area (CBSA), which was a "collective term for both metro and micro areas" (United States Census

Bureau, 2013, para. 1). A rural area was essentially any location outside of a CBSA.

3. The Locale codes of the 1990s provided designations, including rural, by relationship to a metropolitan area and on population and density. The measure used the Metro codes CBSA designation, tying it to a nearby city of size or to an area with a population of a CBSA. Still confusing, rural areas could be in or out of a CBSA, and part of either an incorporated place or non-place territory (National Center for Education Statistics, n.d.a).

In 2006, the School Locale codes were instituted by the National Center for Education Statistics in an effort to eliminate the confusion of the prior three major methods. The basic unit described for this system was proximity to an urbanized area. The School Locale codes were defined as follows:

1. City, refined in Large, Midsize, and Small – this designation encompassed principal cities in urbanized areas
2. Suburb, with divisions of Large, Midsize, and Small – this designation encompassed urbanized areas outside of principal cities
3. Town, separated into Fringe, Distant, and Remote – this designation described urban clusters outside of urbanized areas
4. Rural, broken down into Fringe, Distant, and Remote territories – this designation described areas outside urbanized areas and urban clusters (National Center for Education Statistics, n.d.b)

This study utilized the codes as defined by the School Locale codes, but allowed self-selection of locale as perceived by participating superintendents.

Politics and Education in Illinois

The landscape of Illinois politics has been developed through four constitutions since being granted statehood in 1818. The original constitution in 1818 and revisions brought about through constitutional conventions in 1848, 1870, and 1970 incorporated past political practice and laid the groundwork for future practice. Through each new constitution, the state of Illinois maintained a political structure that invited and even embraced political corruption (Nowlan, Gove, & Winkel, 2010). A former territorial governor and Illinois' third elected governor, Ninian Edwards, recognized the commonly accepted role of bribery of the electorate in return for votes (Nowland & Johnson, 2014). A New York Times article in 2008, referencing the political scandal of the moment, stated that the case "stunned even a state that thought it had seen every brand of political corruption" (Davey, 2008, para. 5). And although Governor Pat Quinn asserted that the state was reforming its corrupt status, which he laid blame at the feet of convicted former Governor Rod Blagojevich (Quinn, 2013), others saw Illinois' political predilections as simply continuing with unabated fervor (Zamzow, 2009). Such was the legacy, at the time of the study, of all things political in Illinois and the focal point through which all political action in Illinois must be viewed (Nowlan, Gove, & Winkel, 2010).

The Constitutional Framework of Illinois Government

The Constitution of the State of Illinois of 1970 laid the framework for the current functioning of Illinois government. The power structure as envisioned in the constitution included the legislative, executive, and judicial branches. Law-making power was

instituted in the legislative branch of government, while the executive branch was empowered with the implementation of the law (Ill. Const.).

The Legislative branch. The Illinois General Assembly was bicameral in nature, with two separate but equal houses, the House of Representatives and the Senate. Senators were, with the exception of elections following decennial redistricting, elected to four year terms. Representatives were elected to two year terms. Every two years, the House convened to elect a Speaker of the House, and the Senate did likewise to elect a President of the Senate. The constitution provided that each house of the General Assembly was also to determine the rules governing the proceedings of that house (Ill. Const., art. IV).

The Executive branch. The Executive Branch of the state of Illinois was comprised of six elected offices: Governor, Lieutenant Governor, Attorney General, Secretary of State, Comptroller, and Treasurer. These offices were held for four years. The Governor was vested with the primacy of executive power, and was responsible for full application of legislative action. The Lieutenant Governor acted solely at the behest of the Governor. All other executive officers acted independently of the Governor's office and were required to follow the laws of the state of Illinois (Ill. Const., art. V).

Constitutionally and Rule Prescribed Legislative Process in Illinois

The process of moving bills from introduction to a public act with its completed set of rules was a straightforward but extensive process. Laws in the state of Illinois were required to be passed by a vote of a majority of members of the House and Senate (Ill. Const., art. IV). The rules required that a legislator desiring passage of a bill first submit the idea to the Legislative Reference Bureau so that proper language could be drafted.

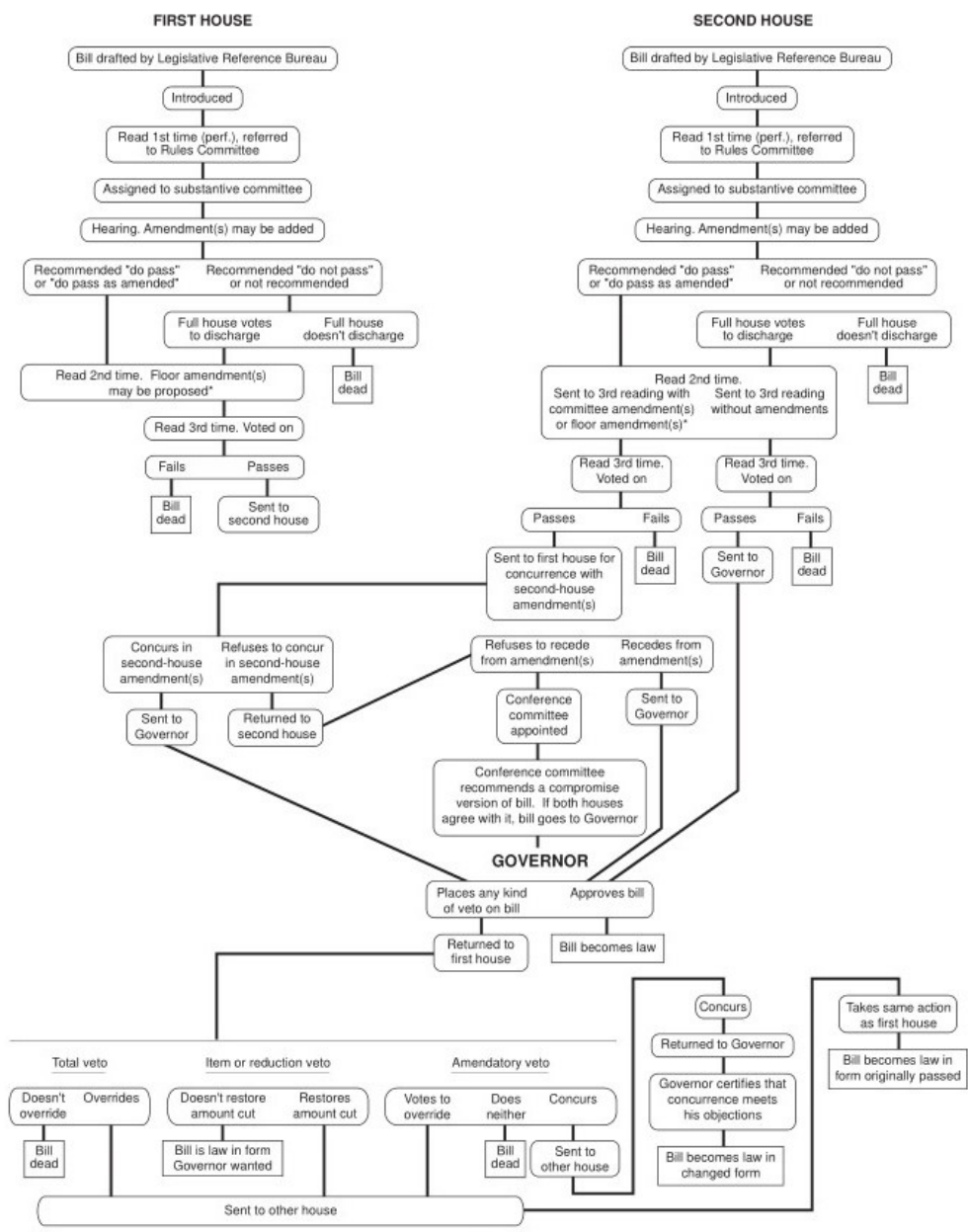
Once the bill was introduced, it was filed with the clerk of the chamber, assigned a number, and read three distinct times in front of the assembly, with one reading before committee review. The bill was then referred to an appropriate committee for review (Illinois House Democrats, n.d.). The determination of the appropriate committee for a bill was ostensibly made by the Rules Committee of the chamber in which the bill was being considered, structured of three members of the majority party and two of the minority party (State Universities Retirement System of Illinois, 2012).

The committee held a hearing at which the sponsor(s) explained the bill, and concerned groups weighed in. The committee voted, and if a majority vote in the house was affirmative, it was returned to the full chamber for a second reading, after which amendments could still be made. A third reading of the bill was made for the full chamber, and debate on the bill proceeded, followed by a vote in which a simple majority was required for the bill to pass the chamber. Upon completion of this process in one chamber, the bill was passed to the other chamber and began the same progress in that chamber. The second chamber either approved the bill as it stood, in which case the bill moved on to the next stage, or amended the bill and returned it to the originating chamber for that chamber to concur with the change, which, if accomplished, moved the bill on as well (Illinois House Democrats, n.d.).

A bill passed by the legislature was sent to the Governor within 30 days of passage. The Governor's signature within 60 days codified a bill as law, as did a failure to sign a bill. The Governor also retained the power to veto a bill and return it with objections to the originating house. The originating house was then given 15 days to override the veto with a $\frac{3}{5}$ vote for the bill. If so accomplished, the bill was then passed

to the other chamber an additional 15-day period in which the bill might be overridden, also with a 3/5 vote for the bill. If both houses thus successfully overrode the Governor's veto, the bill became law in spite of the veto. A failure in either chamber to accomplish the task as described effectively upheld the Governor's veto (Ill. Const., art. IV). Figure 2.1 shows the prescribed legislative process in Illinois (Legislative Information System, n.d.c).

How A Bill Becomes Law in Illinois



*Amendments proposed on the floor must go to the Rules Committee for approval before being considered.



Figure 2.1. How a bill becomes law in Illinois.

Functional Legislative Process in Illinois

Although the basic process for enacting law in Illinois was, in theory, reasonably straightforward, the actual progression was much more complicated. Mooney & Van Dyke-Brown (2003) noted that “The process that moves a policy from an idea to law in Illinois is arcane and complex” (p. 5). To make matters more complicated, there were political structures and organizations throughout the state that commanded attention. Money played a significant role in the process, and where money went, corruption often followed, in defiance of the letter of the law or its spirit (Nowlan, Gove, & Winkel, 2010). A high cost of such political corruption was a loss of participation (Canary & Redfield, 2012), a critical concern in light of the focus of this study. As a result of the structures put in place and the complicated nature of passing legislation in Illinois, Mooney & Van-Dyke Brown (2003) blithely observed “The legislative process can be thought of as an intricate labyrinth” (p. 5).

Committee work. The Illinois Constitution delineated a structure that provided for the use of committees to shape law (Ill. Const., art IV). It was in the functional performance of this committee structure that corruption, ethically if not technically, made its appearance.

Under the rules, all legislation was required to be given a hearing in a substantive committee after the first reading in a house (Nowlan, Gove, & Winkel, 2010). The committee would return the bill with either a “pass” or “do not pass” recommendation (Illinois House Democrats, n.d.). In some cases, though, a bill was held in committee and not returned to the house with a recommendation, and therefore died an exhaustive death awaiting the end of the legislative session (Nowlan, Gove, & Winkel, 2010).

The substantive committee hearings in both houses often included representatives and lobbyists of special interest groups. These persons were at the table by invitation only in order to take part in the discussion. Although there was no direct quid pro quo to be found, there was a reasonably straight line that could be drawn from a lobbyist's lining of a legislator's coffers with campaign finances and other donations to the invitation to the table. No one made promises regarding legislative action in return for campaign donations; no one had to, as the game was understood by all of the players who have or want to have influence (Nowlan, Gove, & Winkel, 2010).

Leadership power over committees. An authoritative weapon regarding committee work was placed in the hands of the Speaker of the House and the House minority leader, due to open interpretation of the House statutes. The Speaker and minority leader have assumed the power to replace committee members at will. Committee members who failed to toe the line as expected by one of these leaders could easily be replaced. The Senate leaders had a similar clause at their disposal, but choose to interpret it more narrowly, thereby replacing committee members with much less frequency.

In addition, a great deal of the leg work, research, and recommendations regarding progression on bills in committees came from staffers. Staffers were assigned to committees by the leaders of the House and Senate, and owed their allegiance to those leaders, and therefore afforded the leaders with additional influence over a bill.

Finally, the Speaker of the House and the President of the Senate set the committee schedules. By scheduling members of committees with extremely busy or overlapping schedules, the leaders reduced the amount of time available to a committee

member to do his or her own research, thereby requiring him to place even more reliance on the work done by allegiant staffers (Nowlan, Gove, & Winkel, 2010).

Joint Committee on Administrative Rules. A former state representative and superintendent noted that policy in Illinois has not only been set by law, but also was set by the framing of rules applicable to a law or the lack of a law. “With the absence of statute comes rule” (Eddy, personal communication, September 18, 2013).

The Joint Committee on Administrative Rules (JCAR) was been tasked with providing rules that surround legislation. Formed by statute in 1977, the Illinois Administrative Procedure Act, JCAR was defined as a bipartisan committee of twelve legislators, three from each party in each chamber of the General Assembly. JCAR’s website specifically described the process of rulemaking as “administrative law” (p. 1) as a partner to constitutional law, statutory law, and case law, and also noted that such rules add “detail often necessary to implement statutory law” (Joint Committee on Administrative Rules, n.d.b, p.1).

The Illinois Administrative Procedure Act (IAPA) gave JCAR the permission to promulgate rules in five ways: proposed rules, or what was also known as either “regular rulemaking” or “permanent rulemaking” (p. 1); emergency rules, which were in effect immediately; preemptory rules, which take into account federal law or rules, court orders, or other binding conditions; exempt or identical in substance rules, which were rules that the Illinois Emergency Management Agency and the Pollution Control Board put forward to match federal regulations, effective immediately; and required rulemaking, which were agency rules that are adopted immediately by the agency upon filing.

The overriding premise in the IAPA was that state agencies developed administrative rules, and JCAR approved them. JCAR's options were: Certificate of No Objection, under which the filing agency was given authority to adopt the rules as drafted; Recommendation, sometimes accompanying a Certificate, in which JCAR returned rules to an agency with a 90-day window for changes, although the agency could adopt before responding; Objection, under which JCAR returned rules to an agency with a 90-day window for changes, after which the agency could still adopt the rules; and Filing Prohibition/Suspension, through which JCAR determined that a set of rules was illegal or not in the public's interest. IAPA made clear that, short of illegal rules or those not in the public's interest, an interesting standard in itself, agencies were able to promulgate any set of rules that it wished to implement statute.

During the drafting of rules, JCAR's commission required that rules be posted for 45 days, the First Notice. This provision gave the public the opportunity to comment on the rules. The time period also provided the opportunity for hearings, if desired, or if any of a select group of filers requested a hearing (Joint Committee on Administrative Rules, n.d.b).

Shell bills, “gut and replace”, and substantive amendments. The legislative tool known as a shell bill provided another path for Illinois politicians to pass legislation quickly and with lesser debate or public oversight. This deceptive practice worked simply, with a bill was introduced in one chamber of the General Assembly, ostensibly amending a section of law, by changing a word or two. The bill was then passed through the first two or even all three readings in the chamber and by the required committee hearing prior to being amended before a final vote in the chamber. The bill was therefore

amended with no opportunity for public hearings or debate on the bill (Schwarm, 2013). As Jim Broadway (February 12, 2015) noted, “Sure, it seems to ‘game’ the process, but there’s nothing in the Constitution prohibiting it” (para. 4). Broadway followed that with the tongue-in-cheek comment:

That silly Constitution says every bill has to be read by title on three separate days in each chamber. Theoretically, it should take at least five days for a bill to be enacted – enough time for the media and citizens to take a peek. (para. 5)

Illinois legislative procedure required that a law contain language applying only to one topical area. Legislative leaders used shell bills as a way to set aside space for bills that would spin out from deals made to pass certain laws in which the deals were not on the same topic as the original bill. Shell bills were a regular part of the legislative process in Springfield (Hendren, personal communication, February 10, 2015).

Another practice known as “gut and replace” exceeded even the shell bill process in denying the public knowledge of and even the legislature of debate on the contents of a bill. In that process, a bill was passed through one chamber with title changes only, then was passed through the second chamber’s first and second readings and committee hearings, and possibly the third reading before being completely gutted and the language replaced with new language. The bill was then voted on in the second chamber, and if passed, returned to the first chamber for concurrence. The gut and replace process allowed the amended form of the bill to be easily passed in as little as one day, ensuring that one vote without committee hearing or public hearing would allow the bill to become law, assuming the Governor’s signature (Hendren, personal communication, February 10, 2015).

Another extreme option, similar to the gut and replace tactic, was one in which similar but not equivalent bills were passed in both chambers, then a conference committee was called, in which the conference committee completely rewrote the bill in being considered. As with gut and replace bills, only one vote in each chamber was then needed to pass the bill with its new contents, and no hearings were required at all.

These practice were deceptive because they allowed legislation to be passed into law, after amendment, with a minimum of hearings and votes in one or more chambers. The rules for amendments to a bill were followed, but the spirit of a bill being read three times on the floor of each chamber and passing through a committee hearing in each chamber was violated (Schwarm, 2013).

These shadowy processes have been utilized to introduce substantive education-oriented legislation in the state of Illinois. In 2009, HB3787, related to school bus driver background checks, was passed via the shell bill process, eventually becoming Public Act 096-0089. The bill was introduced on February 22, 2009, ostensibly tied to school bus driver refresher courses. The bill was then sent on March 3 to the Vehicles & Safety Committee, which returned the bill with a Do Pass recommendation on March 11. After the recommendation, the bill was substantively amended on March 19 and by April 1, with no further committee hearings, had passed through the House (Legislative Information System, n.d.b).

A fairly recent example of yet another of these slick processes, this one of the gut and replace process, was the TRS pension-related 2.2 enhancement bill in 1998. In that case, both chambers had passed differing versions of the law. A conference committee was called to find an agreeable solution between the two versions. Instead, the conference

committee actually completely rewrote the law, which was then passed by both chambers and eventually signed into law in exactly one day (Schwarm, 2013).

Lobbying groups were understandably wary of such formats as shell bills and the potential to rapidly pass legislation with little debate or public spotlight. As one Illinois advocacy group stated, “Tracking and monitoring legislation, especially ‘shell’ bills, is difficult and time-consuming but necessary” (Illinois Voices for Reform, Inc., n.d., para. 6).

Coded agencies and the Governor’s power. The Constitution of the State of Illinois of 1970 gave the Governor of the state the power to appoint several of the members of a number of state agencies, with the exception that those members serve only “with the advice and consent” of the Senate (Ill. Const., art. V, p. 84). That stated appointment power was how the Executive Branch was given its power under the constitution. Under the Illinois Administrative Code, these “coded” agencies were the agencies that were given the authority to promulgate rules that were vetted through JCAR. The Governor, therefore, wielded policy-making power through the rulemaking process vested in the coded agencies (Eddy, personal communication, September 18, 2013).

Many coded agencies played a role in rulemaking that affected public schools in any number of ways. Chief among these agencies was the Illinois State Board of Education (ISBE), with the direct mandate to administer public school policy in Illinois, as established in the Illinois Constitution of 1970 (Ill. Const., art X, § 2). Other agencies have played a crucial role, however. The Illinois Department of Public Health has placed rules and limits on public schools through rulemaking for such acts as the Movable

Soccer Goal Safety Act (430 ILS 145/1, 2011) and school health examinations in Section 27-8.1 of the School Code (105 ILCS 5/, 2013). The Illinois Department of Agriculture was given control of pesticide rules that govern schools through the Illinois Pesticide Act (415 ILCS 60/, 1998). Through these and other agencies, the Governor has maintained power over the rulemaking process and subsequently, has played an equal, if differentiated, role with the General Assembly in policy-making for public schools (Eddy, personal communication, September 18, 2013).

Lobbying

The practice of lobbying in American politics was as old as the United States, with records indicating lobbying activity as far back as 1792. The foundation for lobbying activities was written into the First Amendment of the U.S. Constitution, which allows for the “redress of grievances” (U.S. Const. amend. I, p. 33), which Gelak (2008) called the “cornerstone of our freedom” (p. 5). The practice of lobbying can be described as “the systematic effort to affect public policy by influencing the view of policy-makers...” (Mooney & Van Dyke-Brown, 2003, p. 1).

Lobbying took place at all levels of government, from the halls of the U.S. Congress down to the local mayor’s offices. Lobbyists split their time and efforts between the parties they represented and the parties they wished to influence. They had to stay grounded and connected with those on whose behalf they work, while providing information to politicians regarding issues and advocating stances they believed politicians should take on issues (Gelak, 2008). Marcia Avner (2006) of the Minnesota Council of Nonprofits stated the value of lobbying for nonprofit organizations as follows:

“This is your organization’s opportunity to provide leadership in shaping and sustaining public policies that reflect your values and priorities” (p. 16).

Lobbying in Illinois. Illinois’ citizens who had grievances against the state government were provided with the opportunity for the redress of those grievances in the Illinois Constitution. The Constitution stated that citizens may “make known their opinions to their representatives and to apply for redress of grievances” (Ill. Const., art. I, sec. 5, p. 74).

Lobbyists, by nature specialists in a particular field, represented groups of common-minded individuals. With an eye toward recognizing that legislators cannot be experts in everything being considered by the legislator, the central role of a lobbyist’s job was to make sure that legislators were informed regarding specific issues and pending legislation.

Lobbyists were required to make connections with policy-makers in order to be effective. The earliest lobbyists met face-to-face with policy-makers and worked to find common ground, but more contemporary lobbyists had a myriad of options available to them – some more traditional, such as letter writing, while others were more modern, such as sending email. The best and most time-honored of these was face-to-face interaction with the policy-maker. Lobbyists were tasked to find ways to connect, and on as personal a basis as possible (Mooney & Van Dyke-Brown, 2003).

Powerful lobbies in Illinois education politics. There were a number of powerful and influential lobbying organizations within the state of Illinois. These organizations were perceived as having “...an inordinate amount of control over Illinois government by making large, frequent contributions to candidates...” (Illinois Campaign

Task Force, 1997, p. 12). Some were broadly based, while some were singularly focused on a few or even a single topic on the legislative agenda. Some were long-term organizations, while others were temporary coalitions addressing a specific issue (Nowlan, Gove, & Winkel, 2010). A quick online search of State of Illinois records showed that as of October of 2014, there were 1568 total lobbyists representing 1704 total entities (Secretary of State, 2014).

A traditional powerhouse in Illinois education legislative politics was the Illinois Education Association (IEA) (Nowlan, Gove, & Winkel, 2010). The IEA was formed in 1853 as the Illinois State Teacher's Association, and had an immediate impact on the state legislative scene by lobbying the General Assembly to create the state-level post of State Superintendent for Public Instruction. With a stated membership of more than 133,000 educators and support professionals, the IEA has documented many legislative achievements over the course of its existence (Illinois Education Association, 2013). In part, the IEA has gotten results in Springfield due to the power to bring votes for legislators, as well as its ranking as the number one campaign contributor (Nowlan, Gove, & Winkel, 2010).

With a stated membership of 103,000 (Illinois Federation of Teachers, 2010), the Illinois Federation of Teachers (IFT) and its largest subgroup, the Chicago Teacher's Union (CTU), have been the state's second-most powerful education lobby. Primarily centered in Chicago and downstate cities such as Champaign and East St. Louis, the IFT/CTU also have delivered large voting blocs for legislators. The IFT has also ranked as the number three producer of campaign funds for legislators in Illinois in past years. (Nowlan, Gove, & Winkel, 2010).

A recent but powerful arrival on the education lobbying scene in Illinois was Stand for Children. The organization raised \$3.5 million for campaign activities in Illinois in 2010, and made large campaign donations to key legislators (Wheeler, 2011). In 2011, significant portions of the Stand for Children agenda were codified in Senate Bill 7, as lauded by Stand for Children's own website (Stand for Children Illinois, n.d.).

The Illinois Statewide School Management Alliance has been a strong voice in the education lobby in the state of Illinois since 1993. The Alliance was an association of four sectors of school management organizations: the Illinois Association of School Boards (IASB); the Illinois Association of School Business Officials (IASBO); the Illinois Association of School Administrators (IASA); and the Illinois Principals Association (IPA) (Illinois Association of School Boards, 2013b). While the Alliance was well-prepared and brought well-reasoned arguments to policy debates, the fact that the Alliance had not brought as significant dollars to campaign coffers as other lobbying organizations and had not carried a large voting bloc had made its less effective than such groups as the IEA and IFT/CTU (Nowlan, Gove, & Winkel, 2010).

Control of Party Finances

Control of party finances had long been a critical juncture of legislative power, electoral power, and special interest advocacy. In great part, the majority and minority leaders of the House and Senate were granted extraordinary political power due to the ability to control party finances. These leaders had the ability to grant or deny campaign funds to legislators and those interested in running for public office (Nowlan, Gove, & Winkel, 2010). In races that were contested or might have otherwise been swayed with appropriate application of funds, legislators or candidates running for election without the

financial support of the party finances had little chance of winning the seat (Redfield, 2001).

Historically speaking, Illinois had very few controls placed on campaign finances. A law passed in 1976 required reporting and disclosure of campaign finances, and in 1997 legislation lobbyists were required to register and report expenditures. It was not until the 1997-98 legislative term that the state of Illinois passed and implemented legislation that banned the use of campaign funds for personal use, along with a spate of additional campaign finance reforms. These reforms, however, did not limit how much an individual or group could donate to any campaign fund (Redfield, 2001). Contribution limitations were finally codified into law and implemented in 2011. For the first time donations to a candidate's political committee, political action committee, or political party committee from individuals, corporations and labor organizations, or political action committees or another candidate's political committee were restricted (Illinois State Board of Elections, 2013).

A historic review of a large percentage of the races in both the Illinois House and Senate showed that they have been either uncontested or very weakly contested. In 2002, only 10 of the 118 seats open in the Illinois house were considered contested races, and only 7 of the 59 open Senate seats. In 2008, similar numbers were recorded, with contested races in only 13 of the 118 individual House elections, and only 5 of the 40 Senate races. Contested races have been very costly and the need to access party money in order to win has been critical (Redfield, 2010).

People with the most money don't always win in Illinois, either in the legislature or at the ballot box. But they almost always beat those without money in both arenas. (Redfield, 2001, p. 7)

The rank-and-file politicians' need for campaign funds placed the party leaders who maintain singular control over those funds in a nearly unassailable position to demand fealty for platforms and legislation which those leaders deem vital and necessary (Nowlan, Gove, & Winkel, 2010).

Bill Progression

Another perversion of the political process was the set of rules that have been developed to provide rule-making order to the House of Representatives and the Senate. When Michael Madigan was seated as Speaker of the House, that leadership position was already vested with significant authority. However, with party finances playing a crucial role in many elections around the state, and with the Speaker controlling party finances for House elections, legislators continually ceded ground until the holder of the position of Speaker was in functional control of all processes in the House.

Under the rules established in previous General Assemblies, Speaker Madigan controlled which bills reached the floor due to the Democratic majority in each committee, and therefore had nearly full control over legislation passed from the House. The Senate President had wielded similar power in the Senate (Nowlan, Gove, & Winkel, 2010). With the Democrat Party winning a supermajority in the House of Representatives and the Senate in the elections of 2012, even the miniscule disruptive power that had been retained by the Republican Party dissipated. The established rules gave almost complete political and legislative power to the Speaker of the House and the President of the Senate to send bills to committee to die, or to ensure that a bill comes out of committee to be voted on by the full House or Senate (Paprocki, 2012). Due to this power, cemented by the Speaker and President's ability to control the flow of party

finances (Nowlan, Gove, & Winkel, 2010), and the Governor's lock-step control of coded agencies (Eddy, personal communication, September 18, 2013), Speaker Madigan, President Cullerton, and to some extent Governor Quinn, were in nearly complete control of legislation passed in the state of Illinois (Jones, 2013). Speaker Madigan's lengthy tenure and carefully built control of power in Springfield, in particular, continued to be acknowledged even after the 2014 election of Republican Governor Bruce Rauner (Ives, 2015).

Political corruption. Illinois has been marked throughout its history with massive political corruption. From Governor Ninian's warnings in the early 1800s regarding the practice of and dangers inherent in the open bribery of the electorate to vote fraud and the wholesale "buying" of Chicago city alderman in the 1890s to the gangster days of the 1920s, and now into more modern times, the state of Illinois has carried a banner of a state rife with political corruption. Two blunt statements by long-time political writers in Illinois were damning in regard to the element of corruption in Illinois' politics: "We think that Illinois suffers from a culture of corruption" (p. 145) and "Illinois officials have become masters of milking our governments and taxpayers through legal corruption" (Nowlan & Johnson, 2014, p. 140). Many actions that have been completely legal have skirted or stretched ethical boundaries and have ignored or minimized the needs of the people of Illinois (Redfield, 2001). An anti-corruption report from 2012 that spotlighted Illinois' corruption issues noted that "Corruption is not funny and it is not free" (Simpson, et al., 2012, p. 5). Governor Pat Quinn, in the text from his State of the State address on February 6, 2013, made particular note of the historical patterns of corruption:

In our Illinois, government belongs to the people, not to the office holders. Citizens should be able at all times to trust their elected officials. Four years ago, Illinois was the Wild West of campaign fundraising. And it showed. We had a corrupt governor removed from office and headed to prison, and another already in prison, both for fundraising abuses. (Quinn, 2013, p. 11)

During his address, Governor Quinn stated corruption was not a value of the state of Illinois by stating: “This was not our Illinois” (Quinn, 2013, p. 11). Such a broad statement belied evidences to the contrary, however, as political corruption in Illinois has manifested in multiple forms throughout the history of the state. Some of the aspects of corruption are patently illegal, and have ended with politicians being sentenced to jail terms (Zamzow, 2009). Other types of corruption may not have been illegal, but have flouted the public trust in favor of political connections and the flow of funds (Nowlan, Gove, & Winkel, 2010). A very recent pointed critique of the level of corruption in the state of Illinois stated that the state was the third most corrupt state in the union since 1976, driven largely by corruption in Chicago, the most corrupt metropolitan region in the nation (Enten, 2015).

On a less cynical note, University of Illinois political scientist Kent D. Redfield noted that the variety of forms of corruption have narrowed over the years of Illinois’ existence.

It is true that the legal framework of Illinois’ politics changed significantly from 1970 to 2000 and with it the ethical climate as well. Personal corruption is less prevalent and no longer accepted with a shrug and the wink of Powell’s era (Redfield, 2001, p. 4).

Redfield further noted, though, that political corruption in other forms, such as the heavy influence of special interest groups, had not been diminished in Illinois (Redfield, 2001).

While certainly not limited to the Chicago vicinity, Illinois’ political corruption had been heavily intertwined with Chicago politics and corruption since its incorporation

in 1832 (Zamzow, 2009). Some names and events have even become commonplace in Illinois lore. Governor Rod Blagojevich created waves and became the national image of public corruption during his impeachment as governor and his subsequent arrest and conviction on federal charges (Davey, 2011). Two previous governors, though, were also convicted and imprisoned on charges of crimes committed while in elected office: Governor Otto Kerner in 1972 (Zamzow, 2009) and Governor George Ryan in 2006 (Nowlan, Gove, & Winkel, 2010). In all, there were 79 Illinois elected officials convicted of criminal acts between 1972 and 2009, and 1,000 public officials and businessmen convicted of public corruption since 1970 (Zamzow, 2009).

The prosecutor in the Governor George Ryan trial contended that citizens of the state of Illinois had settled into a spectator mode regarding political corruption, calling such spectacles a “perverse entertainment value” (p. 30). He also believed that Illinois’ citizens have distanced themselves from politics as a result of corruption and public spectacles, which thereby paved the way for less public scrutiny and even more scandal in future years (Collins, 2010).

Corruption under a new administration. Newly-elected Governor Bruce Rauner campaigned against corruption in Springfield (McKinney, 2014), and Crain’s Chicago Business stated “...but his most important long-term goal is stamping out the corruption that corrodes Illinois government” (Cahill, 2015, para. 1). Governor Rauner himself recognized that challenge in his inaugural address: “We have a MORAL crisis, an ETHICAL crisis as well... Illinoisans see insider deals and cronyism rewarded... I will send a clear signal to everyone in our state, and to those watching from outside our borders, that business as usual is over” (Dietrich, 2015, para. 30). However, new

questions regarding corruption and the governor's office were almost immediately raised by watchdog groups regarding donations from special interest groups for Governor Rauner's inauguration celebration (Guarino, 2015).

Illinois Politics Expressed in Education

The massive forces of the Big Three power base of the Speaker of the House, the President of the Senate, and the Governor, as well as political corruption and the otherwise legal political favoring of those with money to give to party and political causes, have long been a bane for educators and educational lobbyists. Representative organizations for educators have often had difficulties reaching politicians, as the funds available to donate to politicians or parties have been insignificant compared to other more well-connected donors (Nowlan, Gove, & Winkel, 2010). This reality was readily apparent in the 2011 Senate Bill 7 with Stand for Illinois' large donations and influence over the bill, with an at least equal seat at the table with traditional education lobby organizations (Wheeler, 2011).

State-Level Politics and Illinois Educational Matters

The interaction of state-level political matters and educational concerns in Illinois has long been a complex matter as competing interests collide. Constant legislative arguments regarding which sector of the state has borne more than its share of the financial burden for the funding of Illinois schools have continued to highlight that complexity. Recent well-publicized debates have raged from pension payments made by the state to the Chicago retirement system versus the Illinois Teacher's Retirement System (TRS) that provides pension benefits for teachers in the remainder of the state (Reeder, 2013), to property tax burdens and the equitable funding of school districts

(Illinois Senate GOP, 2013), to the necessity of transportation reimbursements (Illinois Statewide School Management Alliance, 2013).

Federal policy and the shaping of state-level educational policy. The Constitution of the United States did not specifically delegate the power of regulating public education to the federal government, and Amendment X to the Constitution expressly stated that “The powers not delegated to the United States by the Constitution, nor prohibited by it to the States, are reserved to the States respectively, or to the people” (U.S. Const. amend. X., p. 35). Public belief, therefore, has been that the federal government played, until recently, a non-existent role in educational matters. Contrary to that belief, though, is the fact that the federal government began its involvement in public education as early as 1787, albeit through indirect means such as the establishment of laws benefitting public education and structuring of the tax code so that local populations were incentivized to support property taxes and referenda that directly benefitted the public schools (Center on Education Policy, n.d.).

Direct financial support to public schools began in 1941 with the passage of the Lanham Act, intended to provide schools with military installations with relief, and has continued with a number of laws providing financial assistance to states or local school districts in return for specific actions on the part of the recipients (League of Women Voters, 2011). Monumental achievements among the federal legislative acts impacting state and local educational agencies were the Elementary and Secondary Education Act of 1965 which continued into the 21st century in the form of the No Child Left Behind Act of 2001, and the Education for all Handicapped Children Act of 1975, now better known as the Individuals with Disabilities Act (Center on Education Policy, n.d.).

Historical role of politics in Illinois education. Politicians often aggressively retreated from the notion that any decisions regarding public education were political in nature (Masters, Salisbury, & Eliot, 1964). This belies a basic definition of politics engendered by Harold Lasswell, which stated that politics is about “who gets what, when, and how” (Politics: Who gets what, when, how, 2013). From elected school board members to state level politicians, politics had been at the root of all decision-making regarding educational matters, whether legislators publically admitted it or not (Masters, Salisbury, & Eliot, 1964).

Although there were a variety of difficulties regarding education policy in the earlier years of state sovereignty, Illinois’ legislators approached educational concerns with a decidedly apolitical approach following the 1949 establishment of the Illinois School Problems Commission. The political class at the time of this study would have deemed the methodology a bipartisan approach. While the legislature made laws that regarded public education, issues were resolved in a manner that precluded public disputes over education policy by passing the issues through the Commission. “Although it possesses no *formal* powers other than advisory, virtually all of its recommendations have been incorporated into law” (Masters, Salisbury, & Eliot, 1964, p. 100).

The first state-level public office for public education in Illinois was enacted by the legislature and governor in 1845. This legislation established the office of State Superintendent of Public Instruction, whose function was primarily a data and information collector with reporting responsibilities to the legislature for the purpose of shaping further legislation and policy. This office was bestowed as an additional duty on the Secretary of State, who was appointed by the governor; however, after several years

of this approach, it became apparent that this was not an effective approach, and the legislature in 1854 passed new legislation that provided for an independent office of State Superintendent of Public Instruction. The office was established as an elective office (Cook, 1912).

From the late 1870s to 1949, the Superintendent of Public Instruction was responsible for teacher certification and school accreditation. The effectiveness of the office was limited, however, as the Superintendent of Public Instruction was a publicly elected position, and therefore was partisan in nature. In addition, the Superintendent of Public Instruction acted as a peripheral agency to both the legislative process and educational community concerns, without any powers to coerce or control change. For all intent and purposes, the Superintendent of Public Instruction was an agency devoted to data and information collection and to advising the legislature on policy concerns. A sign of the seeming impotence of the position can be seen in the fact that the legislature established fifteen special commissions to study educational concerns between 1907 and 1949 (Masters, Salisbury, & Eliot, 1964).

In 1949, the legislature established the School Problems Commission (SPC), which was created as a short-term advisory commission. The SPC was essentially built as a bridge between the legislature and the educational community. The commission was imbued with no actual political or legislative powers, but still succeeded in moving most of its agenda. Although the SPC was intended to be a short-term commission, it was in active existence for many years, and in 1959 was codified into law with specific duties and reporting functions (Masters, Salisbury, & Eliot, 1964).

The modern era of educational policy and control in Illinois was codified in the State Board of Education, established under Article X of the State Constitution of 1970. The State Board of Education was given broad but vague direction in the Constitution, noting that the State Board “may establish goals, determine policies, provide for planning and evaluating education programs and recommend financing. The Board shall have other duties and powers as provided by law” (Ill. Const., art X, § 2, p. 98).

State-level political battle lines in education. A number of educational issues have engendered political battle lines that each successive legislature and governor must struggle to overcome. Disputes over the funding of public schools have detailed some of the most visible, visceral, and long-running battles in the state, reaching back to the granting of statehood. These skirmishes crossed the boundaries between the local school superintendent and the General Assembly, and served to illustrate the conjunction of political action at the state level with the role of the local superintendent.

The background of education finance in the state of Illinois was rocky and contentious since the founding of the state. The state began the process of imposing a tax for the purposes of public education as early as 1818, the year of the state’s establishment. The citizenry reacted caustically to that call, and it was not until 1855 that such a tax was established. A 1927 law put in place a state aid formula that provided greater aid to poorer districts than to wealthier districts (Nowlan, 2009). The legislature adopted the state’s current GSA formula in 1997 and implemented it in 1999 (Illinois State Board of Education, 2012).

As the funding changes and confrontations have proceeded, in no other class of concerns had the state-level political interplay of the public school superintendent and the

state legislature been more evident than in issues of the funding of public schools, highlighted in two specific areas. First, Illinois' majority funding of public schools through local property tax revenue had served as popular and populist battlement, as property owners resented the burdens piled heavily on their backs. Just a year ago, hundreds of property owners rallied against high property taxes in what was called the Kendall County Property Tax Revolt in Oswego, Illinois, in 2012. A similar rally was held in Yorkville the same year (Salles, 2012). Second, the Illinois Constitution called for the state to have the "primary responsibility" for the funding for public education (Ill. Const., art. X, p. 98). A recent lawsuit, filed in 2010 and adjudicated in favor of the defendant in 2012, claimed that the failure of the state to adhere to its Constitutional responsibilities has caused massive inequities between property taxpayers of property wealthy versus property poor school districts (Carr v. Koch, 2012).

A missive from the IASB to subscribers outlined the political role that superintendents and others played in such issues as school funding battles.

But thanks to the involvement and participation of school board members, superintendents, principals, and business officials, many of the more detrimental proposals were held at bay this spring (Illinois Association of School Boards, 2013a, para. 2).

The concerns with appropriate school funding continued with a fervor around SB16 in 2014, sponsored by Senator Andy Manar. The bill's primary goals, according to Klonsky (2014), were that it would be "means-tested, prioritize resources where there is the greatest student need, and provide greater transparency" (para. 2). While the Illinois General Assembly's website indicates that SB16 passed through the Senate but was not called for a vote in the House in 2014 and therefore was a dead bill (Illinois General Assembly, 2013), the bill was returned to action in the 99th General Assembly as SB0001,

although in the form of a shell bill until details were ready to be ensconced in the legislation (Legislative Information System, n.d.d). SB16, newly reminted SB0001 for the 99th General Assembly, has been controversial, with some districts projected to be winners and some to be losers financially (Riopell, 2014).

Recent landmarks in Illinois' education politics. In recent years, several representative organizations, including the Illinois Association of School Boards, the Illinois Association of School Administrators, the Illinois Association of School Business Administrators, and the Illinois Principals' Association, have banded together to form the Illinois Statewide School Management Alliance (Illinois Association of School Boards, 2013b). The Alliance merger delivered greater strength to school-representative organizations, and through them, to superintendents and other administrators, than any single organization could muster (Jacoby, 2013).

Public schools in Illinois also recently battled a slow but pervasive and devastating decrease in General State Aid and categorical payments, threatening the quality and availability of education to the state's children (Illinois State Board of Education, 2013), placing the state's public school superintendents at the front line of the state's economic woes and ongoing budget battles. The inability of the Governor and General Assembly to work together for the common good of the state threw a number of political footballs in the air under the guise of some type of reform. Advance Illinois has demanded that the General Assembly stop prorating essential funds for school districts (Advance Illinois, 2013). Senator Andy Manar was lauded by Stand for Illinois in lobbying for changes in the General State Aid funding formula in order address the dangers prorated funding brought poorer districts in the current bad economic times

(Handy, 2013). And the leaders of the General Assembly, each with heavyweight supporters, had put forward competing bills to make changes to the pension systems which govern retired public school employees (Long & Guerrero, 2013).

One of the latest battles to grace Illinois' theater of education politics was over Illinois' adoption and implementation of the Common Core Standards. Diane Ravitch (2013) posted a commentary in her blog decrying the onrush of the Common Core Standards when school districts had no money to implement the standards effectively. On a different segment of the political spectrum, a group decreed the need to reclaim local control of education and stood opposed, claiming that the standards were a representation of federal control of education and were formed through an anti-competitive agenda (Illinois Freedom Coalition, 2013). Still another faction, the Illinois Tea Party, posted its own opposition to the standards, due to claims of revisionist history being taught in the standards (Illinois Review, 2013).

Additionally, public education in the United States has been under attack from a number of sectors. Suhall Farooqui, founder and CEO of K-12 Insight, noted that money from educational reform groups plays a big role in such bouts: "School superintendents have to fight the big dollars from some of the reformers. They may be well-meaning and think they are contributing to educational improvement, but what they are doing could dismantle public education" (Chamness, 2014, p. 10).

Key Junctures in the Legislative Process

Those wishing to successfully influence the legislative process needed to have an understanding of the key junctures at which legislation and policy could be advanced, substantially changed or subverted, or lost. A complete comprehension of the full scope

of the process and the ability to assert effective influence at the proper stage(s) was critical to the satisfactory entry, blockage, amendment, passage, and/or rule development of legislation. In the state of Illinois, there were number of these key stages, as synthesized from the literature review.

Introduction of Legislation and the Rules Committee

Any legislator could submit legislation for consideration to his chamber. All introduced legislation was given a first reading prior to referral to the Rules Committee. The Rules Committee assigned bills to other substantive committees for further review, hearings, possible amendments, and a recommendation. The choice of substantive committee chosen for a bill to be heard in made a difference as to how the bill was examined and recommended or not recommended.

Readings of and Votes on a Bill

A bill was required to be read three times in a chamber prior to passage. A bill could be defeated at the second or third reading.

Amendments of a Bill

A bill could be amended in the committee hearing. It could also be amended on the floor of the chamber during the second reading of the bill.

Committee Work

A bill was required to undergo a substantive committee hearing, after the first reading in a chamber. After the first hearing, the committee of record gave each bill a “pass” or “do not pass” recommendation. The committee was also able to amend the bill as presented before returning it to the floor for a second reading. A bill could also be held

in committee, receiving neither recommendation, and therefore dying at the end of the legislative session.

Passage of Legislation from the House or Senate

The House and Senate must both satisfactorily pass the exact same legislation in order for the bill to be sent to the Governor's desk. Legislation that had so passed both houses of the legislature was then sent to the Governor's desk. If a bill had passed one house and then was passed with amended status in the second house, that bill required successful completion of one of two options in order to avoid legislative death.

Concurrence. A bill that had passed through the two houses but with amended language in the second house could be returned to the first chamber. The amended bill was then voted on by the first house, and an affirmative vote on the amended bill ensured passage from the legislature to the Governor's desk. If such a vote failed, the bill either died or was sent to conference committee.

Conference committee. The conference committee was a committee comprised of equal representation from each house of the legislature, appointed by the house leadership. The conference committee's task was to hammer out an agreeable course of action on a bill that had otherwise stalled between the two chambers. If the conference committee came to an agreement, the bill was returned to each chamber for a vote which, if successful in both houses, sent the legislation to the Governor's desk. If the conference committee could not agree on language, the bill died.

The Governor's Role in the Passage of Legislation

The Governor of the state of Illinois was given the power to either sign legislation passed through the House and Senate or to veto such legislation. Legislation signed

without amendment or simply not signed by the Governor automatically became law. If the Governor was not satisfied with legislation, a bill could be vetoed, or the Governor could implement an amendatory veto. Either form of veto was then returned to the House and Senate for either confirmation or override of the amendments made by the Governor.

Shell Bills and Gut-and-Replace Bills

Shell bills were technically proper and within the scope of the Illinois Constitution, but allowed the circumvention of debate and public hearings on bills. The shell bill was introduced with miniscule and non-substantive changes to an existing bill, was passed through a chamber until committee hearings were completed, and then a substantive amendment was added. The bill was then voted upon with no further hearings and no public opportunity for commentary.

Gut-and-replace bills were similar to shell bills, but the amendment action did not occur until after the bill had passed one chamber and was through the committee hearing process in the second chamber. Substantive and sometimes controversial amendments were then introduced, although sometimes not until after the return to the floor. The bill was then returned to the floor of the second chamber for a third reading and vote. Upon passage, it was returned to the first chamber using the concurrence method. The bill was given a quick vote, and substantive law was passed through both houses with only one actual committee hearing.

Joint Committee on Administrative Rules (JCAR)

JCAR was given the task of reviewing rules of implementation on all legislation, whether new or amendatory. The rules of implementation were developed by coded agencies. JCAR issued one of four motions on proposed rules: certificate of no objection;

recommendation; objection; or filing prohibition/suspension. In the case of all but the filing prohibition/suspension, the rules went into place as written, unless the submitting agency determined that a change was necessary after an objection. In the case of a filing prohibition/suspension, the rules were not affected.

Coded Agencies

Coded agencies were agencies with the power to write rules of implementation for passed legislation and to present those rules for JCAR to address. Coded agencies were essentially arms of the Governor's office and a symbol of the Governor's power, as the leadership of the coded agencies were appointed by the Governor. Coded agencies included such powerful agencies as the Illinois State Board of Education, the Illinois Environmental Protection Agency, and the Illinois Department of Public Health.

Lobbies, Lobbyists, and Donations

Lobbies and lobbyists represented various private and public agencies, special interest groups, corporations or individuals. Lobbyists in Illinois were required to register with the state of Illinois. Lobbies and lobbyists recognized that access to legislators and to the shaping of legislation was granted to those who made campaign contributions. Generally, there was no direct quid quo pro to be traced, but those who contributed extensively were also more likely to be given access to legislators and a seat at the table when legislation was shaped.

Control of Party Finances and Campaign Funds

In addition to the junctures noted, a critical point of understanding was that of control of processes. Party finances for legislative elections were controlled by the House and Senate majority and minority leaders. Any candidate up for election or re-election

was required to show obeisance to the leadership in order to either receive campaign funds from the party, or to keep funds from flowing to an alternative candidate. This control of funds ensured that legislators generally toed the party line, as espoused by the leadership. This in turn both directly and indirectly influenced what legislation was introduced and passed through a chamber.

Appointment of Legislators to Committees

The leadership also controlled appointments to all committees. Denigration or flouting of leadership ideology and strategy ensured either removal from current committee assignments or no initial assignment to committees. Those interested in committee positions promulgated leadership positions and generally did not attempt to thwart leadership strategies and goals in order to land or further secure such committee postings.

The Political Superintendent

The ISLLC Standards clearly dictated that the superintendent was to be a political advocate for student learning. ISLLC Standard 6 addressed this function by stating that the leader would “Act to influence local, district, state, and national decisions affecting student learning” (The Council of Chief State School Officers, 2008, p. 15). The ELCC Standards followed this more specifically by stating that the district-level leader would act to “influence local, district, state, and national decisions affecting student learning” in Standard 6 (National Policy Board for Educational Administration, 2011, p. 23).

The superintendent could not escape those certain aspects of job functions paralleling that of a politician (Rosborg, McGee, & Burgett, 2003). Although the superintendent’s job was not political in the partisan framework of political affairs that

dominates both the national and state scene, the superintendent had to indeed address politics both at and beyond the local level. The precursor chapter to a study of American school superintendents in 2000 noted the trend toward political necessities prior to the implementation of either the ISLLC or ELCC standards:

For the superintendency to survive and flourish into the 21st century, superintendents will need to serve as role models, demonstrating the high degree of professionalism necessary to increase their influence in policymaking at the local and state levels.

The chapter further stated that such concerns, among others, necessarily instructed board members and superintendents in indispensable adaptations in order to be properly prepared for their chosen leadership roles (Glass, 2000).

The politics of the superintendent's office were those of leveraging to provide for students' needs, in myriad modalities (Edwards, 2007). The reality was that policy-making had been moving inexorably from the local board of education to the state and even the federal government, and influencing policy-making therefore implied action at those levels, as stated in the ELCC standards (National Policy Board for Educational Administration, 2011).

In a further and timely recognition of this shift in superintendents' duties, a partnership of statewide education agencies – the Illinois Association of School Administrators, the Illinois Association of School Business Officials, the Illinois Principals' Association, the Illinois Association of Regional Superintendents of Schools, the Illinois Association of School Boards, and the Superintendents' Commission for the Study of Demographics and Diversity – promulgated the Vision 20/20 initiative, which included the charge for superintendents' to engage in the legislative process. A brochure outlining the Vision 20/20 agenda stated: "Decisions are made every day the Legislature

is in session that directly or indirectly impact school districts. As a school official, your voice is needed in Springfield...” (Illinois Vision 20/20, n.d., para. 1). And at the statewide Alliance Leadership Summit held in February 2015 in Springfield, engaging legislators was the key point of the summit: “The timing of the Summit offers a perfect opportunity for superintendents, school board members, principals, school business officials and other stakeholders in public education to come together as a unified team to learn and also to engage legislators at this critical time in the history of public education” (Alliance Leadership Summit, 2015, para. 2).

Historical Role of Superintendent in State-Level Policy Making

The concept of the public school superintendent playing a role in state-level policy-making was a relatively new concept in education circles. As recently as 1989, while recognizing the role of superintendent’s representative organizations and school boards, experts in the field failed to even mention the superintendent himself as a player in state-level politics (Marshall, Mitchell, & Wirt, 1989). The 2008 ISLLC standards recognized that a school leader should “Act to influence local, district, state, and national decisions affecting student learning” (The Council of Chief State School Officers, 2008, p. 15) as a function under Standard 6, although the standards did not further flesh out the role.

The first accepted set of standards that refined the concept of the superintendent from simply being involved to an active player was the ELCC Standards of 2011. Under Standard 6, subheading 6.2 stated that district leaders should “understand and can act to influence local, district, state, and national decisions affecting student learning” (National Policy Board for Educational Administration, 2011, p. 23).

Local Political Activity

The majority of a superintendent's political acumen and activity was expended inside the district boundaries (Edwards, 2007). For the purposes of this paper, this activity is acknowledged but not expounded upon.

State-Level Political Activity

The public school superintendent faced a wide range of growing concerns that transcended the local political field. The drain of decision-making power from the local board of education to the state and even federal government opened an entirely new field into which the superintendent forayed.

Studies on Superintendents and Effecting State-Level Education Policy-Making

If the process in which superintendents must engage in to advocate for legislation conducive to a district's students was so complex, several questions immediately came to mind. What did superintendents understand of the full policy-making process? What channels were superintendents using to access policy-makers? Through what modes were superintendents attempting to access policy-makers? Did superintendents find their efforts to be successful? Were there commonalities among superintendents who have experienced successful interactions? Were there commonalities and/or differences among superintendents based on locale codes in their efforts to influence state-level policy?

A review of scientifically-based studies in this field was helpful in beginning to parse through these questions. However, the number of studies in this field was very small.

Illinois, 2011: Political Activity as Advocacy. A qualitative dissertation study from Illinois in 2011 focused on superintendents as advocates for student learning. The

study focused on questions surrounding the value of professional organizations in the advocacy process, of networking, and of lobbying legislators. The study and its conclusions were quite limited due to the fact that only eleven superintendents from Lake County were included, and the author noted that the results might not be useful in other parts of Illinois. This was an especially important delineation, considering that one of the main purposes of the current study was to examine subsets of superintendents by locale codes.

The study found some points of interest and conclusions that were pertinent to the current study. The study found that all of the administrators in the study were members of professional organizations, with the Illinois Association of School Administrators (IASA) being the preferred advocacy professional organization for all eleven superintendents in the sample (Fogarty, 2011). The IASA was self-exclamatory regarding its leadership as the “state’s premier advocacy organization for school leaders” on its website (Illinois Association of School Administrators, 2013). Superintendents in the study also named other professional organizations of which they were members, including the American Association of School Administrators (AASA), Education Research Development (ED-RED), the Lake County Superintendent’s Group, the Association for Supervision and Curriculum Development (ASCD), the Federal Representation, Education and Communication (FED ED), Phi Delta Kappa (PDK), and the Illinois Association of School Business Officials (IASBO). These superintendents stated overwhelmingly that professional organizations were helpful in their efforts for advocacy for student learning, with ninety percent giving positive marks to the organizations. One of the main values of the organizations as determined by the author

was to give superintendents tools regarding current issues in order to better communicate with legislators.

The study also found that ten of the eleven superintendents rated the lobbying of politicians as helpful. The major valuable component of the lobbying determined by the study was the opportunity for superintendents to educate legislators about the challenges that school districts faced. The study was not completely clear on whether the most effective lobbying was done by representative professional organizations or by the superintendents themselves, although several superintendents referred to specific professional organizations in specific situations. The study also found that when entities group behind a common platform, legislators are more likely to pay attention to group power than to individuals.

The author also found that less than half of the superintendents thought that working individually with local legislators enhanced their ability to advocate for student learning. Although no superintendents ranked that method as a negative, fifty-four percent did rate the practice as neutral. The key dividing points seemed to be whether the superintendent was able to develop an individual relationship with the legislator, and whether the legislator was able to understand what the superintendent was able trying to communicate. Additionally, the author established that an even greater percentage, sixty-three percent, of the superintendents found that working with state legislators was of neutral value. The author did not differentiate between a local and a state legislator, so a determination of difference between the two values was not possible.

In the themes developed from the research, the study found four themes that are pertinent to the current study:

1. A “level of disillusionment to working with legislators” (p. 173);
2. That working with legislators was an opportunity to affect policy;
3. That party politics “impede the legislative process” (p. 173); and,
4. A lack of funds may make district less effective (Fogarty, 2011).

Texas School Superintendent’s Role in State Level Educational Decision

Making: 1994. A quantitative dissertation study from Texas in 1994 delved into the two-way street regarding how superintendents and legislators saw superintendent role in state-level politics. The research base included 716 superintendents and 91 legislators, with both totals including more than fifty percent of the qualified study subjects.

The author determined that superintendents and legislators in Texas generally agreed that the same people were influential in making decisions in state education policy. However, the study found a wide margin in responses between the two groups regarding the role of money in the educational-decision making process, with seventy-eight percent superintendents averring to its power as compared to only twenty-seven percent of legislators. Similarly, the study observed a split between superintendents and legislators regarding the value of district wealth in the process, with sixty-nine percent of superintendents and only twenty-six percent of legislators believing it played a role. The study also stated that both superintendents and legislators observed, with high majorities, that who was influential in the educational policy process was usually based on the nature of the policy.

The author determined that superintendents and legislators were agreed that educational issues were normally brought to the legislature through professional organizations, with eighty-two percent and eighty percent respectively. Both parties

agreed with high percentages that educators and politicians should build stronger relationships. Maybe most surprisingly, both parties agreed with percentages exceeding seventy-five percent that: superintendents understood Texas' legislative process; that superintendents make use of the political process; and that superintendents spoke personally, by phone and in writing to legislators regarding educational concerns. And both parties agreed with wide margins that superintendents formed political alliances and groups in order to influence educational policy (Wood, 1994).

Summary

The expectations of district superintendents have continued to change. Superintendents were expected to move beyond the district borders and to impact education policy-making at the state-level in order to provide resources and secure favorable policies as effectively as possible for the betterment of the students of their districts. While anecdotal reflections and journalistic barratry abounded, little scientifically-based research exists in the field.

Illinois' superintendents faced a minefield in the effort to influence state-level education policy. In a state pockmarked with political corruption and legal but ethically unsupportable practices, and where money and political obeisance were the skeleton keys to the mansion doors, the superintendent faced long odds of actualizing the goal of influencing state-level educational policy-making. Critical to overcoming the odds was a full understanding of the critical junctures where effective leverage or pressure could be applied.

Regardless of demographics, requirements of superintendents were stretched beyond the traditional district boundaries. The successful superintendent was expected to

reach beyond the thin black lines of the district and muster an audience in Springfield in order to more effectively serve the students of his district.

CHAPTER III

METHODOLOGY

Introduction

Public school superintendents were expected to be active politically in influencing state-level educational policy-making in order to optimize educational resources and opportunities for their students (National Policy Board for Educational Administration, 2011). However, scientific examinations of the involvement and perceived experiences of Illinois' public school superintendents in influencing state-level educational legislation and policy-making were almost non-existent.

This chapter discussed methodology used to determine the level of involvement and outcomes of Illinois public school superintendents' state-level political activity. The section on quantitative instrumentation includes subsections describing sections of the survey; instrument validity; instrument reliability; procedures; and data collection and recording. The section on qualitative instrumentation includes subsections describing the qualitative questions; instrument validity; instrument reliability; procedures; data collection and recording; and data analysis.

Research Questions

The purpose of this study was to determine how Illinois' superintendents were involved in state-level education legislation and policy-making, what they knew about the educational legislation and policy-making process, how and through what channels they worked to influence the process, and what success they found in so doing. The study also attempted to determine whether locale plays a role in both the commonalities and

differences in the outcomes they have experienced in the effort to influence state-level education legislation and policy-making.

Research questions for this study were:

1. What level of knowledge do Illinois' superintendents possess regarding the state-level legislative and policy-making process?
2. Through what modes do Illinois' superintendents attempt to influence state-level legislation and policy-making?
3. Through what specific educational organizations do Illinois' superintendents attempt to influence state-level educational legislation and policy-making?
4. To what extent do Illinois' superintendents perceive their efforts to influence state-level educational legislation and policy-making to be successful?
5. What activities, affiliations, or relationships do Illinois' superintendents believe are helpful in being successful in their efforts to influence state-level educational legislation and policy-making?
6. What activities, affiliations, or relationships do Illinois' superintendents believe are obstructions or impediments to being successful in their efforts to influence state-level educational legislation and policy-making?
7. What are the commonalities among superintendents who self-determined success with influencing state-level legislation and policy-making?
8. What was the effect of a superintendent's locale in influencing state-level education legislation and policy-making?

Research Method and Design

A mixed-methods approach was employed in order to analyze data and trends regarding the research questions. Both quantitative and qualitative strategies were utilized. This study utilized a sequential explanatory design. The sequential explanatory design placed the major emphasis on the quantitative data that were collected and subsequently analyzed. Based on specified quantitative results, qualitative data were then collected and analyzed and used to refine or to emphasize certain quantitative results (Gall, Gall, & Borg, 2007).

The quantitative portion of this study employed a descriptive research design, specifically a description of a sample at one point in time. The study gathered demographic data on Illinois public school superintendents, as well as self-described state-level educational policy-making interactions, either in person or through representative lobbying groups. The study also compiled self-reported success statistics in the efforts to influence educational policy-making.

Quantitative Research

Quantitative data in this study were collected from responses to a survey. The survey was comprised of researcher-developed questions. Basic demographic information regarding the number of public school districts in the state of Illinois, as well as names and contact information for Illinois public school superintendents, were gathered from records available from ISBE.

Quantitative research seeks to study populations or samples in order to generate data representative of the population being studied in an attempt to identify causal interactions among variables (Gall, Gall & Borg, 2007). A quantitative research study

may collect data points that were available prior to the start of the study (Lodico, Spaulding, & Voegtle, 2006).

Specific to this study, information was collected on demographic data that existed prior to the start of the study. Data were also gathered via an online survey regarding superintendents' efforts to influence state-level education legislation and policy-making that were completed prior to the start of the study. A descriptive research design was implemented for this portion.

Qualitative Research

The qualitative data in this study were obtained through the interviews of six randomly selected Illinois public school superintendents as described herein, using pre-developed questions. These superintendents were selected by effectiveness ratings, from a pool of 51 respondents who self-identified on the survey as being willing to be interviewed on the survey.

The superintendents were selected for interviews utilizing simple random sampling. Simple random sampling is defined as a sampling method in which all elements in the selected population have an equal chance in being selected for the sample. The selection is completed through the use of random number tables or generators (Gall, Gall, & Borg, 2007).

The 51 superintendents who responded affirmatively to the survey question regarding willingness to be interviewed further were divided into three broad categories, selected in the interests of time availability for interviews. The three broad categories were comprised of groupings of superintendents' self-selected rating of effectiveness in

influencing state-level educational legislation and policy-making. The three broad groupings utilized were:

1. Effective - Highly Effective, Mostly Effective, and Somewhat Effective;
2. Neutral, and;
3. Ineffective - Somewhat Ineffective, Mostly Ineffective, and Highly Ineffective

The names of the superintendents who had indicated a willingness to be further interviewed were arranged into a list in alphabetical order for each of these three broad groupings. Once the lists were established, an online random number generator, <http://www.random.org/sequence>, was utilized to generate a random number sequence for each list. Each random number sequence was generated to match the exact number of individuals in the list, with the sequence ranging from 1 to n, with n representing the number of entries in the list, and then the random number sequence was paired to the list. The superintendents in each broad list who were paired with the randomly generated numbers 1 and 2 were then selected for interviews.

The questions attempted to elicit important information regarding these superintendents' successes or failures in working with state-level educational policy-making in order to strengthen the information gathered in the quantitative portion of the study. Follow-up questions were sometimes asked to further clarify or expand on pertinent themes. Responses to the questions were recorded. The recordings were transcribed and were coded in a written format in order to best delineate important concepts.

Qualitative research is inherently inductive in nature. Researchers using qualitative methods generally believe that meaning and reality in a society were

determined by the participants and situations present in the society, and assigned relative meanings based on those situations (Gall, Gall, & Borg, 2007).

Mixed-Methods Research

This study utilized a sequential explanatory design. In this design, quantitative research and data collection were compiled first, and carried the primary weight of the evidence utilized in analyzing the data and addressing the research questions (Gall, Gall, & Borg, 2007).

In this study, the quantitative research and data collection were accomplished through a researcher-designed survey disseminated via SurveyMonkey. Questions on the survey were designed to address all research questions. The qualitative research and data collection followed the quantitative survey, with the responses to a specific question on the survey building a pool from which the researcher randomly selected eight participants, two from each of the four self-identified locale codes.

Population and Sample

The purpose of this study was to examine the involvement and perceived experiences of all active Illinois' public school superintendents in influencing state-level educational policy-making. The population for the study, therefore, was all active public school superintendents in the state of Illinois.

There were 862 public school districts and superintendent posts in the state of Illinois for the 2014-2015 school year. A search of available documentation showed that eleven unique pairs of school districts share a superintendent, making the target population 851 unique public school superintendents in the state of Illinois (Illinois State Board of Education, n.d.). Five superintendents were invited to be a part of the study pilot

group, and therefore were not a part of the actual study sample. 846 Illinois public school superintendents were then invited by email to participate in the study. Of the 846 superintendents invited, twelve of the email addresses received from ISBE were rejected by the host servers and were not able to be resolved through reasonable contacts and searches for acceptable replacements. The final survey population, therefore, was 834 Illinois public school superintendents.

The superintendents were asked to self-identify their locale type by referring to the NCES Locale Codes (2006). Sample groups by locale code were compared to determine what effect locale has on the effectiveness of superintendents in influencing state-level education legislation and policy-making.

The population for the quantitative portion of the study was comprised of those responding superintendents from the study population. Of the 846 Illinois public school superintendents targeted in the quantitative portion of the study, 51 superintendents responded affirmatively in regard to being further interviewed.

For a research study utilizing an online survey, an acceptable response rate was about 30% of the study population (The University of Texas at Austin, 2011). This required that approximately 250 members of the population complete and submit the survey in order to best limit research errors. Although 299 superintendents responded in part or in whole to the survey, that limit of 250 was not reached, as there were only 201 complete submissions. Therefore, the reliability of the sample was determined by comparing known demographic elements of the population to the same for the survey.

The target population for the qualitative portion of the study was forty-four superintendents who were randomly selected from three survey-determined samples of

superintendents who self-described their effectiveness in achieving results in influencing state-level education policy-making in three broad areas: Highly Effective and Mostly Effective; Somewhat Effective, Neutral, and Somewhat Ineffective; and Mostly Ineffective and Highly Ineffective. Six superintendents, two from each broad groups, were randomly selected and were interviewed regarding aspects of their state-level influence on policy-making.

Appropriate contact information for the population was gathered via Illinois Freedom of Information Act request. The Illinois State Board of Education was queried for contact information for the population.

Instrumentation

Gall, Gall and Borg (2007) defined a survey as instrumentation that utilizes questionnaires or interviews. This study utilized data results from a survey and a follow-up interview questionnaire. The survey was compiled on SurveyMonkey for ease of access.

Quantitative Instrumentation

The survey collected demographic information on the population. It also collected information regarding superintendents' methods of influencing state-level education policy-making, their understanding of the process of state-level policy-making, and their self-described level of effectiveness in influencing such policy-making. The survey also invited superintendents to further participate in the qualitative interview to follow.

Sections of the survey. The survey was divided into several sections that can best be described as follows: Introduction and Consent; Demographics; State-Level Education Legislative/Policy-Making Processes; Modes of Access to Legislators and Effectiveness;

Perceived Success in Influencing State-Level Education Legislation/Policy-Making; Personal Information Regarding a Follow-Up Interview; and a Thank You page.

Introduction and consent. The Introduction and Consent section introduced the population to the broad themes of the survey. The section also requested the consent of the individual superintendent in order to proceed with the survey.

Demographics. The Demographics section requested a number of pertinent demographics markers from completers of the survey. These markers included demographics such as gender, age group, number of years as a superintendent, number of students in the superintendent's current school district, configuration of the school district, current level of state funding for the district, locale coding information, and the superintendent's current level of relationship with state legislators.

Key junctures in the legislative process. This section of the survey was designed to determine the responding superintendent's level of understanding of key junctures in the legislative process in the State of Illinois, as described in Chapter II. The key junctures at which leverage could be applied were: introduction of legislation and the rules committee; readings of and votes on a bill; amendments of a bill; committee work; passage of legislation from the House or Senate; the Governor's role in the passage of legislation; shell bills and gut-and-replace bills; Joint Committee on Administrative Rules; coded agencies; lobbies, lobbyists, and donations; control of party finances and campaign funds; and appointment of legislators to committees. Statements were developed for each key juncture. For each key juncture statement posed, respondents were asked to determine whether the statement was True, False, or Neither. Correct responses for each key juncture were tabulated and scored in order to determine the

samples' understanding of each key juncture. Superintendents' understanding of the key juncture were then ranked using these scores.

Modes of access to legislators and effectiveness. This section attempted to determine what specific steps superintendents are utilizing to access Illinois legislators, both as individuals and as members of educational organizations. The questions also attempted to determine whether and by which modes superintendents believed they are successful in each area, using a 7-point Likert-type scale, in influencing state-level education legislation and policy-making. The scale ranged from Highly Effective, a 7 on the scale, to High Ineffective, a 1 on the scale. A Likert-type scale, adapted from Vagias' Likert-type Level of Influence scale (Vagias, 2006), provided respondents an opportunity to rate their level of effectiveness.

Perceived success in influencing state-level education legislation and policy-making. This section asked superintendents to self-describe their own level of success, using a Likert-type scale, in influencing state-level education legislation and policy-making. Respondents were given a range of choices from High Effective, a 7 on the scale, to Highly Ineffective, a 1 on the scale. Superintendents were then asked if they wished to be part of a follow-up interview process.

Personal information regarding a follow-up interview. Superintendents in the previous section who indicated a willingness to further participate in the follow-up interview process were given the opportunity to provide contact information in order to allow for follow-up.

Instrument validity. Instrument validity was determined by an examination of content validity.

Content-related evidence typically is determined systematically by content experts, who define in precise terms the universe (also called *domain*) of specific content that the test is assumed to represent, and then determine how well that content universe is sampled by the test items. (Gall, Gall & Borg, 2007, p. 196)

The questions for the quantitative survey addressed demographics, associations, and aids and impediments related to influencing state-level education legislation and policy-making. A 10-question quiz also assessed superintendents' knowledge of key concepts regarding influencing legislation and the movement of bills through the General Assembly.

The quantitative instrument was presented to a team of experts in the field of education research for review and refinement. This team was comprised of four experts in the field of education politics. The team addressed the question of content validity. Initial questions for the survey were sent to the experts, along with the purpose of the study. The experts were asked to evaluate the survey questions in light of the study purpose, and to propose changes, additions, or subtractions to the survey. The experts also recommended additional demographic areas in which to collect data and refined the verbiage of the survey questions. Responses were received from the experts in multiple methods, including phone conversations, face-to-face conversations, and via email.

Instrument reliability. A large portion of the online survey was demographic in nature. There are no reliability procedures to be discussed with demographic data.

Reliability of the legislative processes and controls quiz in the online survey was not established. The quiz was designed to assess the responding superintendents' knowledge of key junctures in the legislative process at which leverage could be applied. Fourteen key junctures were synthesized through research, as noted in Chapter II. In

order to keep the quiz from an excessive length, one question for each key juncture was developed. Along with the rest of the survey, it was completed anonymously.

A review of methods of establishing reliability was completed, with the following conclusions regarding the lack of ability to establish the reliability of the quiz portion of the online survey:

1. **Alternate-form** – Alternate-form reliability requires that multiple forms of a quiz be given. The survey was administered online through SurveyMonkey. An alternate-form approach was not available inside SurveyMonkey, thus rendering this form of reliability inaccessible.
2. **Test-retest**– Test-retest reliability required that the sample be given a test, or in this case, a quiz, followed by giving the same test or quiz at a later date. Because the sample in the survey portion of the study was anonymous, and not all members of the population responded to the survey, it was impossible to identify the same sample in order to retest, thus making this form of reliability unavailable.
3. **Internal consistency** – Internal consistency reliability required that there are sets of questions that were interrelated. Because the questions on the survey quiz were chosen specifically to address one and one only of the 14 key junctures, there was no basis to establish interrelations between questions on the quiz. Therefore, this form of reliability could not be established.
4. **Intertester** – Intertester reliability required that there be consistency between different testers or scorers. There was only one tester, who was the researcher via the online survey, and only one scorer, who was the researcher via the

online survey and SPSS. Therefore, this form of reliability could not be established.

Procedures. The population for the quantitative survey was notified of the upcoming survey instrument by electronic mail two weeks prior to the opening of the study, on Sunday, August 31, 2014. The sample was again notified on Sunday, September 14, 2014, by electronic mail of the opening of the survey. The survey was open for a period of four weeks, with an electronic mail reminder being sent to the sample on Sunday, September 28, 2014. The quantitative survey was closed on Sunday, October 12, 2014.

Data collection and recording. The final number of superintendents available to participate in the research was determined upon receipt of a listing of all Illinois' public school superintendents from the Illinois State Board of Education. Participation in the survey by superintendents was voluntary. Survey data were collected from Sunday, September 14 to Sunday, October 12, 2014.

Survey participants were provided the survey electronically for completion of the survey. Electronic access was provided via SurveyMonkey. Data retrieved during the quantitative portion of the survey process were transcribed into a spreadsheet that combined all data points.

Data analysis. First, data collected from the survey instrument were analyzed using both SurveyMonkey's native statistical measure and IBM SPSS software, version 22.0.0.0, for Windows, as well as utilizing some basic statistical analysis and manipulation in Microsoft Excel and by hand. Appropriate descriptive statistics such as frequencies for variables in the sample, such as gender and age variation, years as a

superintendent, and demographics regarding the subject's school district, were determined.

Second, the sample was examined for representativeness of the population, made necessary by the lower than expected response level on the online survey. Comparative demographic information was found where possible, from sources including the Illinois State Board of Education (ISBE) and the Illinois Association of School Boards (IASB). The chi square goodness of fit test was run on each of the available data sets, and the survey sample in each case was found to not differ significantly from the population.

Third, in areas where there were not enough responses to adequately analyze data, variables were recategorized where possible to do so. Necessary areas to be recoded were those which included five or less respondents. The recategorized variables were described and then utilized throughout the process of further data analysis.

Fourth, the quiz regarding legislative processes and controls was analyzed. Responses were received on a continuum of False-Neutral-True, and were weighed against correct answers to determine the extent of knowledge of the responding superintendents. The results were utilized to discuss research question 1.

Fifth, responses to the questions regarding how superintendents associate with state-level legislators and the perceived effectiveness of the various associations were tabulated, and basic statistics determined. Confidence intervals were established in order to further compare the value superintendents placed on the various associations. These data were utilized to answer research question 2.

Sixth, responses to the questions regarding how superintendents accessed state-level legislators and the perceived effectiveness of the various modes of access were

tabulated, and basic statistics were determined. These data were utilized to answer research question 3.

Seventh, responses to the questions regarding self-described success in influencing state-level education legislation/policy-making were tabulated, and basic statistics determined. The chi square data from this section of the survey were utilized to answer research question 4.

Eighth, responses to demographic questions were compared on the basis of self-determined success with influencing state-level education legislation and policy-making. The comparison examined whether there are demographic commonalities between levels of self-determined success utilizing the chi square test and/or odds ratio. Data from this section were utilized to answer research question 7 and 8.

Qualitative Instrumentation

The qualitative segment of the study was based on the strategy of case study research. Case study research strives to ascertain generalizations of processes based on the views of interviewees (Creswell, 2009). This strategy was appropriate to the study, as the follow-up qualitative interviews was intended to focus on more specific information addressed to the data derived from the quantitative survey. The questions were structured to elicit further data regarding why these superintendents perceived themselves to have elicited the stated level in influencing state-level education policy-making in various area found to be significant.

Qualitative questions. Specific questions that were asked during the qualitative portion of the study were:

1. What types of efforts have you undertaken to influence state-level education legislation and policy-making and why did you undertake those efforts?
2. Have you found your efforts in influencing state-level education legislation and policy-making to be generally effective or ineffective? What factors influence your thoughts regarding your effectiveness?
3. How have the demographics of your current school district played a role in your effectiveness, if any?
4. How have the number of administrative roles you have had impact your perception of effectiveness, and have any of those experiences played a significant role in your effectiveness?
5. How have your particular types of associations with a state-level legislator, such as living in your district or sharing an organization, made a difference in your effectiveness?
6. How have your particular associations with educational organizations, such as IASA or IASB, made a difference in your effectiveness?
7. What other factors that you believe have affected your ability, in your current position, to influence state-level legislation and policy-making?

The questions for the qualitative portion of the survey were developed following the collection and analysis of data from the quantitative portion of the survey.

Instrument validity. Instrument validity was determined by an examination of researcher bias, one of the strategies recommended by Creswell. In this approach, the researcher was candid with reflections of his own personal biases, including “gender,

culture, history, and socioeconomic origin” (Creswell, 2009, p. 192). The researcher also examined personal biases, specifically of work history, relevant to the topics of the study.

Racial bias. The researcher was a white Caucasian. This birthright of melanin by itself contains the potential for bias in understanding and interpreting information gained from the interviews. Wise (2010) indicated the concerns related to racial bias that the holder might not even recognize: “...the sad truth is that most whites fail to possess even the slightest awareness that people of color face any different life situations at all...” (p. 66). In addition, the researcher grew up entirely in a community with no people of color living there. These facts and their accompanying biases had the potential to sidetrack any data gained from the interviews. In this case, however, no persons of color were randomly drawn for interviews; therefore, this bias should not have entered into any interpretation of data gained from the interview. In addition, because the key findings and conclusions were not specifically applicable to any particular racial group, no bias was evidenced in those results.

Gender bias. The researcher was male. Research studies and observational evidence was rife regarding the impact of potential gender bias. From studies on hiring biases (Sheltzer & Smith, 2014) to research analysis on earning disparities (National Partnership for Women & Families, 2014), the facts point to differentials of treatment and acknowledgements of the skills and relative valuation of men and women. For the interviews in this study, though, no female superintendents were drawn in random selection. Therefore, no gender bias was implicit in the interpretation of data from the interview. In addition, because the key findings and conclusions were not specifically applicable to any particular gender, no bias was evidenced in those results.

Cultural bias. The researcher was raised and had lived and worked his entire life in small rural communities and school districts. These communities were generally bastions of fiscally and socially conservative citizens, with extremely low levels of diversity of any kind, with the exception of socio-economic strata. The researcher might have had cultural biases that affected the understanding and interpretation of research data, either wittingly or otherwise. With representatives in the interview sample from a variety of cultures and backgrounds, including both rural and urban settings, both extremely low and extremely high poverty rates, and highly varied rates of diversity and cultures, this area is the area most likely to cause any errors or misunderstandings in the interpretation of the interview data.

Instrument reliability. Reliability of the qualitative survey instrument was determined by following the steps described by Creswell, which recommended multiple modes for determining reliability. Two specific modes for determining reliability were selected from the list Creswell presented:

1. Check transcripts for accuracy; and,
2. Ensure that there has been no drift in coding (Creswell, 2009)

Checking transcripts for accuracy was accomplished by replaying the audio recordings and comparing the audio to the transcriptions. Ensuring that there was no drift in coding was accomplished by reviewing the coding of transcripts several times, changing the order of document review each time.

Procedures. After the quantitative survey was closed, a random selection was made from superintendents who self-describe as Effective, Neutral, and Ineffective who indicated that they were willing to be interviewed. The date of the random sampling was

November 2, 2014. Dates and times were then set for the interviews, with interviews being held in the months of January and February of 2015. Interviews were completed in person at the site of the interviewee's choosing. The interviews were recorded, and were transcribed and coded.

Data collection and recording. Qualitative data were collected in face-to-face interviews with the six randomly selected superintendents in their own school district environments, and with their permission, the interviews were audio recorded. Interviewees were given the approved informed consent document, which was reviewed prior to the start of the interview. Interviews were between 11 and 18 minutes in length, depending on the depth of response from each interviewee. The interviews were transcribed into written format from the audio recordings by the researcher in order to facilitate analysis.

Specific steps were taken to protect interviewee anonymity and confidentiality. Audio recordings were initially stored on the researcher's password protected home computer, then burned to CD and stored in a locked file cabinet in the researcher's home. For use in the dissertation, specific quotes by interviewed superintendents were scrubbed for location data, such as the names of school districts or town, and superintendents were referred to by assigning each superintendent, in no particular order, a code name of Superintendent A, Superintendent B, Superintendent C, Superintendent D, Superintendent E, or Superintendent F, alphabetically.

Data analysis. The recorded interviews with the six randomly selected superintendents from the three self-selected pools regarding influencing state-level education legislation and policy-making were transcribed and coded. The data obtained

from the interviews were utilized to supplement and build upon answers to research questions obtained through the qualitative portion of the research study. The data analysis of the interviews was completed through the process described by Creswell:

1. Organize and prepare data;
2. Read through all the data;
3. Coding process, including the detailed process provided by Creswell;
4. Generate a description;
5. Presentation of description and themes from qualitative data; and,
6. Interpret the data (Creswell, 2009)

The coding of data was accomplished by utilizing Tesch's coding guidance as noted by Creswell (2009, p. 186). Codes were developed and applied to the transcribed interviews.

Summary

The research design and procedures described in this chapter were designed to elicit the efforts of Illinois public school superintendents in influencing state-level education legislation and policy-making, as well as their perceptions of the success of their efforts and their basic knowledge of legislative processes and controls. The study was a mixed-methods study, with a sequential explanatory design. The population for the study was all Illinois public school superintendents. The instruments used for this study were: an online survey developed by the researcher which was reviewed by a convenience sample of experts in the field and a convenience sample pilot group of superintendents; and a set of interview questions administered to a subsequent random group of superintendents selected from a response group on the survey. Demographic

data were collected. Content validity was utilized for the online survey. Reliability for the online survey was not established, as described. Content validity for the interview set of questions was established by a thorough examination of researcher bias, and reliability was established through the application of Creswell's (2009) methods of checking for accuracy and ensuring that there was no drift in coding. Data collection, procedures, and data analysis were discussed. Tables and tables were created as appropriate.

CHAPTER IV

ANALYSIS OF DATA

Introduction

The purpose of this study was to determine the level of involvement, political activities, and self-described level of influence of public school superintendents in the state of Illinois in regard to state-level educational policy-making. Data gathered from study respondents were analyzed in order to help answer the study's research questions, which were as follows:

1. What level of knowledge do Illinois' superintendents possess regarding the state-level legislative and policy-making process?
2. Through what modes do Illinois' superintendents attempt to influence state-level legislation and policy-making?
3. Through what specific educational organizations do Illinois' superintendents attempt to influence state-level educational legislation and policy-making?
4. To what extent do Illinois' superintendents perceive their efforts to influence state-level educational legislation and policy-making to be successful?
5. What activities, affiliations, or relationships do Illinois' superintendents believe are helpful in being successful in their efforts to influence state-level educational legislation and policy-making?

6. What activities, affiliations, or relationships do Illinois' superintendents believe are obstructions or impediments to being successful in their efforts to influence state-level educational legislation and policy-making?
7. What are the commonalities among superintendents who self-determined success with state-level legislation and policy-making?
8. What was the effect of a superintendent's locale in influencing state-level education legislation and policy-making?

This chapter provides a description of the study participants and the major discoveries of the study. Sections of the chapter are: introduction; data analysis; data applied to research questions; significant findings; and a summary of the chapter. Data analysis was ordered by research question, where possible.

Data Analysis

Quantitative Survey

Quantitative survey data were collected via SurveyMonkey. Data containing complete responses were then exported from SurveyMonkey in both Excel and SPSS formats. Quantitative data analysis for survey data was completed in either via Microsoft Excel 2013 or SurveyMonkey's statistical analysis capabilities, or the IBM's SPSS 22.0.0 statistical software.

Rationale for survey questions. This study undertook the task of beginning to understand how public school superintendents in the state of Illinois were addressing a key point in both the ELCC and ISLCC standards, that of influencing state-level education legislation and policy-making, as well as how effectively the superintendents believed they were addressing this goal. Therefore, the survey questions were designed to

elicit that information. Beyond the descriptive demographics of the sample, the survey attempted to elicit data related to how Illinois public school superintendents interact with state-level legislators and attempt to influence state-level education legislation and policy-making, as well as their perceptions as to the efficacy of such methods. The survey also addressed the issue of superintendents' understanding of legislative processes.

Description of the sample and discussion of reliability of the sample. The sample for the quantitative survey was comprised of respondents from the target population, which was all public school superintendents in the state of Illinois. After accounting for the superintendents who were part of the pilot group, there were 846 unique public school superintendents who were invited to participate in the survey. Twelve of the emails were rejected by the host servers and were not able to be resolved through reasonable means. Therefore, the final survey population was 834 Illinois public school superintendents. Of these, 299 superintendents responded in part or in whole to the online survey. However, only 201 actually fully completed the survey, with a large number of those who failed to complete the survey falling off around the point of the legislative processes quiz. The sample size for the survey, therefore, was 201 unique Illinois public school superintendents. The sample, however, was generally reflective of the study population of Illinois public school superintendents, as shown in the discussions below.

Characteristics of the sample

Gender categories. The sample was comprised of 50 female (24.9%) and 151 male (75.1%) superintendents, compared to the state average of 27.5% (229) for females and 72.5% (605) for males, as calculated from the Illinois State Board of Education's

(ISBE) Directory of Entities, available on ISBE's website (Illinois State Board of Education, n.d.). The chi square goodness of fit test was used to determine if the sample gender percentages were significantly different than the population at $p < 0.05$. The test returned results of $\chi^2 = .694$ and $p = .405$. The goodness of fit test showed that the sample did not vary significantly from the population in gender.

Age categories: Superintendents were asked to categorize age in one of five subcategories: Under 30, 30-39, 40-49, 50-59, 60-69, or 70 and Over. There were no responding superintendents in the Under 30 age subcategory. That subcategory was recoded with the 30-39 subcategory to create a new Under 40 subcategory for this test. There were also only 3 in the 70 and Over subcategory, which was then recoded with the 60-69 subcategory to create a new 60 and Over subcategory.

The ages of the superintendents ranged greatly, with 17 superintendents (8.5%) in the Under 40 age category and 19 superintendents (9.5%) in the Over 60 age category. The bulk of the superintendents fell into the 40-49, with 89 respondents (44.3%) and 50-59 age categories, with 76 respondents (37.8%).

Age ranges of superintendents statewide were not available on a statewide basis; however, a survey by the Illinois Association of School Boards from the 2013-2014 school year indicated that 7.9% of responding superintendents were in the Under 40 age category, 37.7% of responding superintendents were in the 40-49 age category, 40.4% of responding superintendents were in the 50-59 age category, and 13.9% of responding superintendents were in the 60 and Over category (Illinois Association of School Boards, 2013), a study chosen because it was the latest document available. The chi square goodness of fit test was used to determine if the sample age category percentages were

significantly different than the population. For the sample to have varied significantly from the population, the result would have to return $p < 0.05$. The test returned results of $\chi^2 = 5.574$ and $p = 0.134$. As $p > 0.05$, the goodness of fit test showed that the sample did not vary from the population in age ranges of the respondents.

Years of educational experience. A large majority of respondents had been in the field of education for 21 or more years, with 146 (72.7%) superintendents falling in this category. Only 2 respondents (1%) had been in the education field for 10 or less years. There was no statewide database available that indicated the number of years of educational experience for superintendents for a comparative basis.

Prior administrative experiences. The prior administrative roles the respondents had filled ranged from 179 principals, 107 assistant principals, 64 assistant superintendents, 30 curriculum directors, 10 chief school business officers/business managers, and a variety of other titles/roles. There was no statewide database available that indicated the number of prior administrative roles for Illinois public school superintendents.

Years of experience as a superintendent. Approximately half of the 95 respondents (47.3%) to the survey had been superintendents for five or less years. 106 respondents (52.7%) of the respondents had been superintendents for at least 6 years, with 7 respondents (3.5%) who had been superintendents for 21 or more years. There was no data source with a direct comparison available for this demographic.

Total years in education. The grand majority of the survey sample reported more than a decade in the field of education. In the 11-15 years' experience range, there were 19 respondents (6.7%); in the 16-20 years' experience range, 59 respondents (20.7%); in

the 21-25 years' experience range, 72 respondents (25.3%); in the 26-30 years' experience range, 69 respondents (24.2%); and in the 31 or more years' experience range, 63 respondents (22.1%). Only 3 respondents (1.1%) of the respondents reported 10 or less years of experience in the field of education. There was no data source with a direct comparison available for this demographic.

Superintendents' current school district demographics. Table 4.1 was built based on the fall 2014 enrollment for school districts and data available from the Illinois State Board of Education with fall 2013 enrollments (Illinois State Board of Education, n.d.), the last available report from ISBE, which would be expected to be similar to the fall 2014 enrollments.

Table 4.1

Survey Reported Enrollments vs. ISBE Reported Enrollments, Fall 2013

District Size	Survey #	Survey %	ISBE #	ISBE %
500 or less 1	52	25.9	249	28.8
501-1,000 2	57	28.4	219	25.3
1,001-2,000 3	54	26.9	198	22.9
2,001-3,000 4	16	8.0	70	8.1
3,001-5,000 5	13	6.5	79	9.1
5,000 or more 6	9	4.5	69	8.0

The chi square goodness of fit test was used to determine if the district size category percentages were significantly different than the population. For the sample to have varied significantly from the population, the result would have to return $p < 0.05$. The test returned results of $\chi^2 = 7.440$ and $p = 0.190$. As $p > 0.05$, the goodness of fit test

showed that the sample did not vary significantly from the population in district enrollment.

Table 4.2 showed the comparison of district types from the survey sample and ISBE's fall 2014 report on district types (Illinois State Board of Education, n.d.).

Table 4.2

Survey Reported District Types vs. ISBE Reported District Types, Fall 2014

District Type	Survey #	Survey %	ISBE #	ISBE %
Unit	138	48.4	390	45.1
Elementary	109	38.3	374	43.3
High School	35	12.3	99	11.5

The chi square goodness of fit test was used to determine if the district type category percentages were significantly different than the population. For the sample to have varied significantly from the population, the result would have to return $p < 0.05$. The test returned results of $\chi^2 = 0.984$ and $p = 0.35$. As $p > 0.05$, the goodness of fit test showed that the sample did not vary significantly from the population in the count of district types.

The locale codes as indicated by respondents was weighted toward rural school districts with 109 of the 201 (54.2%) respondents. 57 (28.4%) of respondents indicated that their districts were suburban, 28 (13.9%) were town, and 7 (3.5%) were city. There were no available accurate statewide counts of each type of district to compare to, as the codes were determined by the NCES and were updated last in 2006 (National Center for Education Statistics, n.d.b), which left numerous new school districts formed by various

actions off the list and kept a large number of school districts that were defunct on the list.

Population validity of the study sample. The survey required approximately 250 respondents in order for the sample to be considered representative of the population. This target was not reached, with 201 respondents completing the survey. Therefore, it was necessary to compare known demographic elements of the population to the same for the survey.

Known demographics for the population and their comparisons to the survey sample were available for the following categories; age categories, where the survey sample age breakdowns were very similar to reported ages from ISBE; district enrollments, where the survey sample reported enrollment breakdowns were similar to a report for the population generated by ISBE for the 2013-2014 school year; and district type, in which the survey sampled reported district type breakdown were similar to the fall 2014 ISBE generated report for Illinois public schools. The chi square goodness of fit test was run for each variable, and no variable was determined to be significantly different than that of the population. Therefore, the survey sample was considered to be representative for the purposes of comparison to the population.

Legislative Process and Control Quiz. Pursuant to research question 1, respondents were asked to take a 14-question quiz in which the questions were related to key legislative processes in the Illinois Legislature, as synthesized in Chapter 3. Respondents were given the option of False, Neutral, and True in a Likert-type scale for each question, with a False response valued at 1.0, Neutral at 2.0, and True at 3.0. For this study, Neutral responses were intended to give respondents an opportunity to indicate

that the statement could be either True or False, depending on circumstances. Responses to these questions were central to this study, as it was important to determine if the superintendents who were responsible for garnering resources for their respective districts also understood the various points at which legislation could be swayed by non-legislative actors. Responses were then graded based on correct answers versus incorrect answers. Table 4.3 contains the correct answers to the questions on the legislative process quiz, as well as the number of correct and incorrect responses and the percent of correct responses.

Table 4.3

Correct Responses to Legislative Processes Quiz

Question #	Correct Response	Correct	Incorrect	Percent Correct
1	True	179	22	89.1%
2	False	151	50	75.1%
3	True	126	75	62.7%
4	True	101	100	50.2%
5	True	178	23	88.6%
6	False	78	123	38.9%
7	False	32	169	15.9%
8	False	136	65	67.7%
9	Neutral	55	146	37.7%
10	False	155	46	77.1%
11	False	27	174	15.5%
12	True	108	93	53.7%

13	False	158	43	78.6%
14	True	93	108	46.3%

A further question regarding the legislative processes quiz was whether superintendents who answered a majority of the questions on the quiz correctly also perceived themselves as being effective in influencing state-level education legislation and policy-making. Individual responses to the questions on the quiz were scored, and a new category measuring the scores on the quiz was constructed. Respondents were arbitrarily determined to be Above Average on the quiz if 12 or more of the 14 questions were answered correctly (~86%-100%); Average if 10-11 of the 14 questions were answered correctly (~71%-79%); and Below Average if 0-9 of the 14 questions were answered correctly (0%-64%). Table 4.4 lists the scored categorical responses to the quiz.

Table 4.4

Scaled Score Categories of Responses to Legislative Processes Quiz

Questions Correct	Ineffective	Neutral	Effective	Total
Above Average	21	9	22	52
Average	49	29	47	125
Below Average	11	3	10	24

A simple percentage analysis was conducted of superintendents' responses in each category. 25.9% of superintendents fell in the Above Average category for correct responses. 62.2% of superintendents were in the Average range for correct responses. The remaining 11.9% of superintendents fell in the Below Average category for correct

responses. 88.1% of responding superintendents were categorized as either Average or Above Average on the quiz.

A second simple percentage analysis was conducted of those superintendents in each number of questions correct category who indicated that they had been successful in influencing state-level education legislation and policy-making. In the category of above average number of questions answered correctly, 42.3% perceived that they were effective. 37.6% of respondents who scored in the average number of questions correct also indicated a perceived effectiveness. And in the below average number of questions answered correctly category, 42.3% of the respondents indicated perceived effectiveness. The responses across the categories are similar. In addition, while 88.1% of responding superintendents scored in either the Average or Above Average categories on the quiz, only 39.0% of those superintendents perceived that they were effective in their influence on state-level education legislation and policy-making. The results indicated that the knowledge of legislative processes was not a factor in whether superintendents perceived they were influential state-level education legislation and policy-making.

Interviews. The interviews of the six superintendents did not indicate that superintendents were concerned about knowledge of the legislative process. The interviewees also did not indicate whether knowledge of the legislative process or lack thereof was of any importance to being successful in influencing state-level education legislation and policy-making.

Interpretation. The results to the legislative quiz showed two distinct issues in understanding what the responding superintendents know about the key leverage and

control points in the legislative process. These results were utilized to answer research question 1.

First, the respondents were generally factually aware of a number of issues regarding the process, although there was little consistency in the understanding of the processes. Utilizing a 70% minimum score as the level necessary to show a reasonable level of understanding of the key processes, regardless of the interpretation utilized for the correct answers to the questions, questions 1, 2, 5, 10, and 13 clearly met the standard. Questions 3, 4, 6, 7, 8, 9, 11, 12 and 14 did not meet the standard. Even if the responding superintendents interpreted the Neutral response as an “I don’t know” response, the scored questions clearly show that a large number of superintendents were inconsistent regarding their knowledge of a number of the key junctures in the legislative process, highlighted by the large majority of 88.1% who “passed” the quiz.

Second, the comparison of the Above Average and Average scorers to the perceived effectiveness in influencing state-level legislation and policy-making shows that superintendents results on the quiz had no role in their perceptions of effectiveness.

Current associations with state-level legislators. Responding superintendents were asked to indicate their current associations with state-level legislators, both professional and personal. Superintendents indicated the most common association they had with state-level legislators was that of a state-level legislator living in a neighboring district to the superintendent, with 113 (56.2%) indicating this response. An additional 40 (19.9%) of responding superintendents indicated a state-level legislator lived in that superintendent’s district. All other responses received responses of less than 10%, as indicated in Table 4.5.

Table 4.5

Frequency Table of Superintendents' Current Associations with State-Level Legislators

<u>Category</u>	<u>Frequency</u>	<u>Percent</u>
State representative/senator lives in a neighboring school district	113	56.2
State representative/senator does not live in my or neighboring district	67	33.3
State representative/senator lives in my school district	40	19.9
State representative/senator and I have a personal relationship	12	6.0
State representative/senator and I share common organization	10	5.0
State representative/senator's children attend my school district	8	4.0
State representative/senator lives in my neighborhood	2	1.0
Other varied responses	8	4.0

Another question to be answered was whether the types of associations with state-level legislators had any effect on whether the superintendent believed his efforts to influence state-level education and policy-making were effective. Comparisons were made between those types of associations and superintendents' perceived effectiveness. Any responses less than five were not tabulated for this purpose. Table 4.6 shows the observed count for each.

Table 4.6

Types of Associations versus Perceived Effectiveness of Those Associations

<u>Category</u>	<u>Ineffective</u>	<u>Neutral</u>	<u>Effective</u>	<u>Total</u>
Legislator lives in my district	13	5	22	40
Legislator lives in neighbor district	43	28	42	113

Legislator does not live in either	34	10	23	67
Legislator/I have personal relationship	2	3	7	12
Legislator/I share common organization	1	1	8	10
Legislator's children attend my district	1	3	4	8

A simple percentage analysis was conducted of those superintendents in each type of association category who indicated they had been successful in influencing state-level education legislation and policy-making. For superintendents whose legislator lived in in his district, 55% responded they were effective in influencing state-level education legislation and policy-making. Superintendents whose legislator lived in a neighboring district responded with a 37.2% effectiveness rating. For superintendents whose legislator did not live either in his district or a neighboring district, the effectiveness percentage was 34.3%. 58.3% of superintendents who had a personal relationship with a legislator perceived themselves to be effective. For those superintendents who shared a common organization with a legislator, the perceived effectiveness rating was 80%. And for those superintendents whose children attended his district, the perceived effectiveness percentage was 50%.

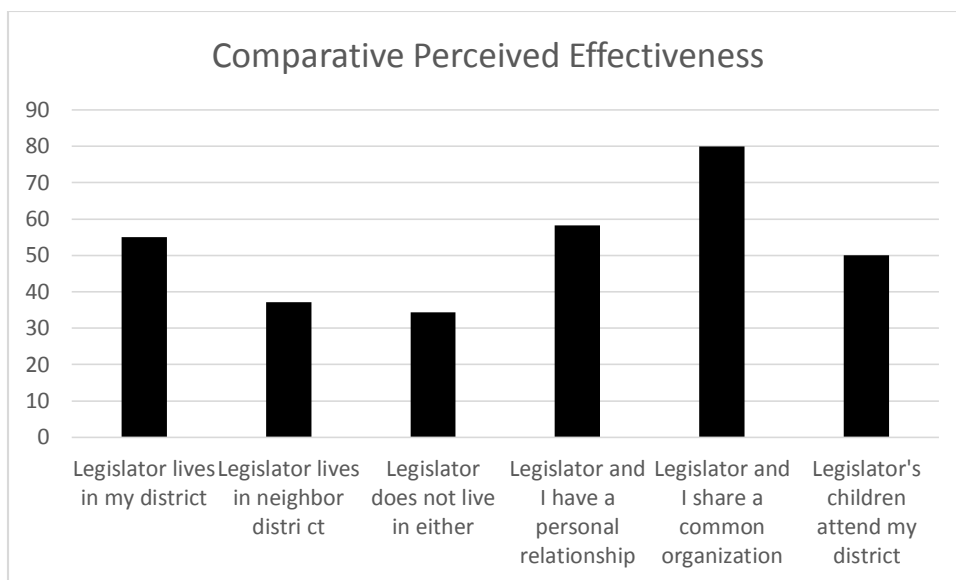


Figure 4.1. *Perceived effectiveness of types of associations with legislators*

Interviews. Superintendent interviews indicated that those superintendents who had a close relationship with a legislator were more likely to believe that they had been successful in influencing state-level education legislation and policy-making. The delineations between types of relationships were not clearly stated as the questions on the survey, however.

Interpretation. The data clearly showed that superintendents who had an association with a state-level legislator perceived themselves to be more effective than those who did not. Superintendents who shared a common organization with a state-level legislator were highly likely to perceive themselves as being effective in influencing state-level education legislation and policy-making. On the other side of the scope, only about 34.3% of those who did not have any association with a state-level legislator perceived themselves to be effective in their influence. The other elements ranged between the two categories. The spread made it clear that the closer the association with a

state-level legislator, the more likely the superintendent was to perceive himself as being effective in influencing state-level education legislation and policy-making.

Modes of access to state-level legislators. Responding superintendents were asked to indicate what modes they utilized to access state-level legislators in order to influence state-level education legislation and policy-making, if any, and to rate their perception as to the effectiveness of such modes of contact in making such an influence.

Modes of access to legislators. Respondents were requested to indicate any and all methods utilized, and to provide additional modes in a comment section if the modes provided were not sufficient. Responses were rated on a Likert-type scale, with the scale ranging from a Never response equaling 1 on the rating scale and an Always response equaling 5 on the rating scale. Other possible responses on the rating scale included: Sometimes, a 2 on the scale; Occasionally, a 3 on the scale; and Often, a 4 on the scale. Responses were then weighted based on the scale score and the number of responses in the response category.

For each category, the mean, standard deviation, and confidence interval for the sample were calculated. Confidence intervals were then compared to determine which of the modes of contact were most effective by responding superintendents. The statistical breakdown of responses is provided in Table 4.7, and the confidence intervals are charted in Figure 4.1.

Table 4.7

*Standard Deviations and Confidence Intervals of Modes of Contact with State-Level**Legislators*

Category	M	SD	CI
As part of a professional organization (IASA, IASB, IASBO, IPA)	3.23	0.95	3.10-3.36
Email	2.84	0.91	2.71-2.96
As part of a small group, such as an ROE meeting	2.80	0.74	2.69-2.90
As part of an audience at professional conferences or seminars	2.72	0.85	2.60-2.83
Telephone	2.46	0.95	2.33-2.59
Letter	2.40	0.88	2.28-2.53
Through the Alliance	2.30	1.22	2.13-2.47
One-to-one meetings	2.29	0.97	2.16-2.43
Legislative events in the legislative district	2.19	0.88	2.07-2.32
Legislative events at the capitol	1.82	0.85	1.70-1.94
Internet-based teleconference, such as Skype or Google Hangout	1.23	0.55	1.15-1.31
Social media (Facebook, Twitter, etc.)	1.22	0.53	1.15-1.29
Attended with or alumnus of same high school	1.11	0.46	1.05-1.17

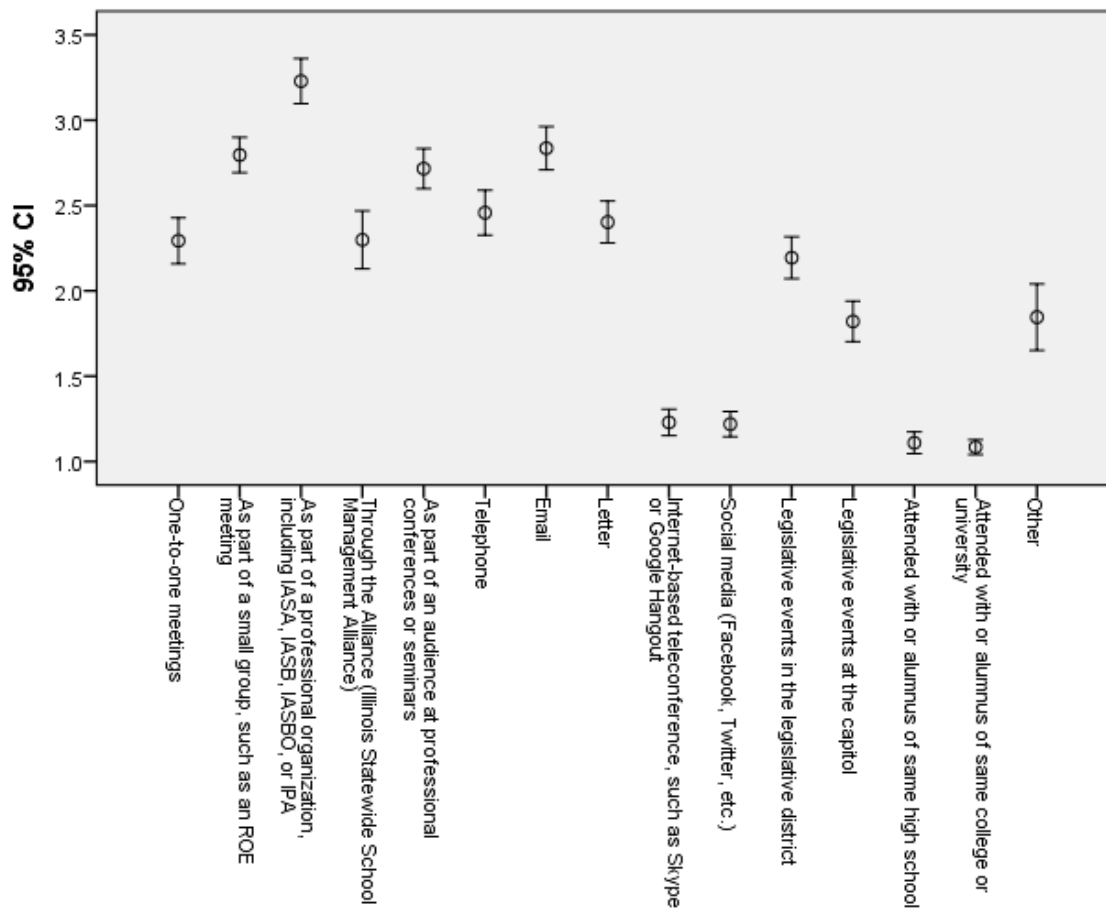


Figure 4.2. Confidence interval graph of modes of contact with state-level legislators.

As shown in Table 4.7 and Figure 4.1, the confidence intervals could be separated into three categories: high, medium, and low. The high group of confidence intervals was comprised of four responses:

1. As part of a professional organization
2. Email
3. As part of a small group
4. As part of an audience at a professional conference/seminar

The response category “as part of a professional organization” clearly stood above all other areas indicated in responses, indicating that the responding superintendents had the most confidence in the categorical areas in regard to their influence in state-level

education legislation and policy-making. The confidence intervals of the next three response categories also indicate a high level of confidence compared to the remainder of response categories.

On the other side of the coin, four response categories showed remarkably low confidence from the respondents, as shown by their confidence intervals and comparison:

1. Internet based teleconference
2. Social media
3. Attended with/alumnus of same high school
4. Attended with/alumnus of same university

The confidence intervals connected with these four response categories clearly showed the respondents did not find these modes of access to legislators to carry any relative value.

Perceived effectiveness in influencing state-level education legislation. As a follow-up question to the responses regarding modes of contact with state-level legislators, responding superintendents were asked to rate their perceived effectiveness in influencing state-level education legislation and policy-making through those modes of contact. Responses were rated on a Likert-type scale, with the scale ranging from a Highly Ineffective response equaling 1 on the rating scale and a Highly Effective response equaling 7 on the rating scale. Other possible responses on the rating scale included: Mostly Ineffective, a 2 on the scale; Somewhat Ineffective, a 3 on the scale; Neutral, a 4 on the scale; Somewhat Effective, a 5 on the scale; and Mostly Effective, a 6 on the scale. Responses were then weighted based on the scale score and the number of responses in the response category.

For each category, the mean, standard deviation, and confidence interval for the sample were calculated. Confidence intervals were then compared to determine which of the modes of contact were most effective by responding superintendents. The statistical breakdown of responses is provided in Table 4.8, and the confidence intervals are charted in Figure 4.2.

Table 4.8

Weighted Average Table of Perceived Effectiveness of Modes of Contact with State-Level

Legislators

Category	M	SD	CI
As part of a professional organization (IASA, IASB, IASBO, IPA)	4.89	1.66	4.66-5.12
As part of a small group, such as an ROE meeting	4.51	1.50	4.30-4.72
One-to-one meetings	4.33	1.91	4.07-4.60
Telephone	4.17	1.91	3.91-4.44
Email	4.07	1.68	3.84-4.30
Through the Alliance	3.94	2.20	3.63-4.25
Letter	3.69	1.73	3.45-3.93
Legislative events in the legislative district	3.55	1.91	3.28-3.81
As part of an audience at professional conferences or seminars	3.50	1.51	3.29-3.71
Legislative events at the capitol	3.27	2.01	2.99-3.55
Internet-based teleconference, such as Skype or Google Hangout	2.06	1.91	1.80-2.33
Social media (Facebook, Twitter, etc.)	2.03	1.87	1.77-2.30
Attended with or alumnus of same college			

or university	1.90	1.92	1.63-2.16
Attend with or alumnus of same high school	1.89	1.91	1.62-2.15
Other (varied)	1.53	1.79	1.28-1.78

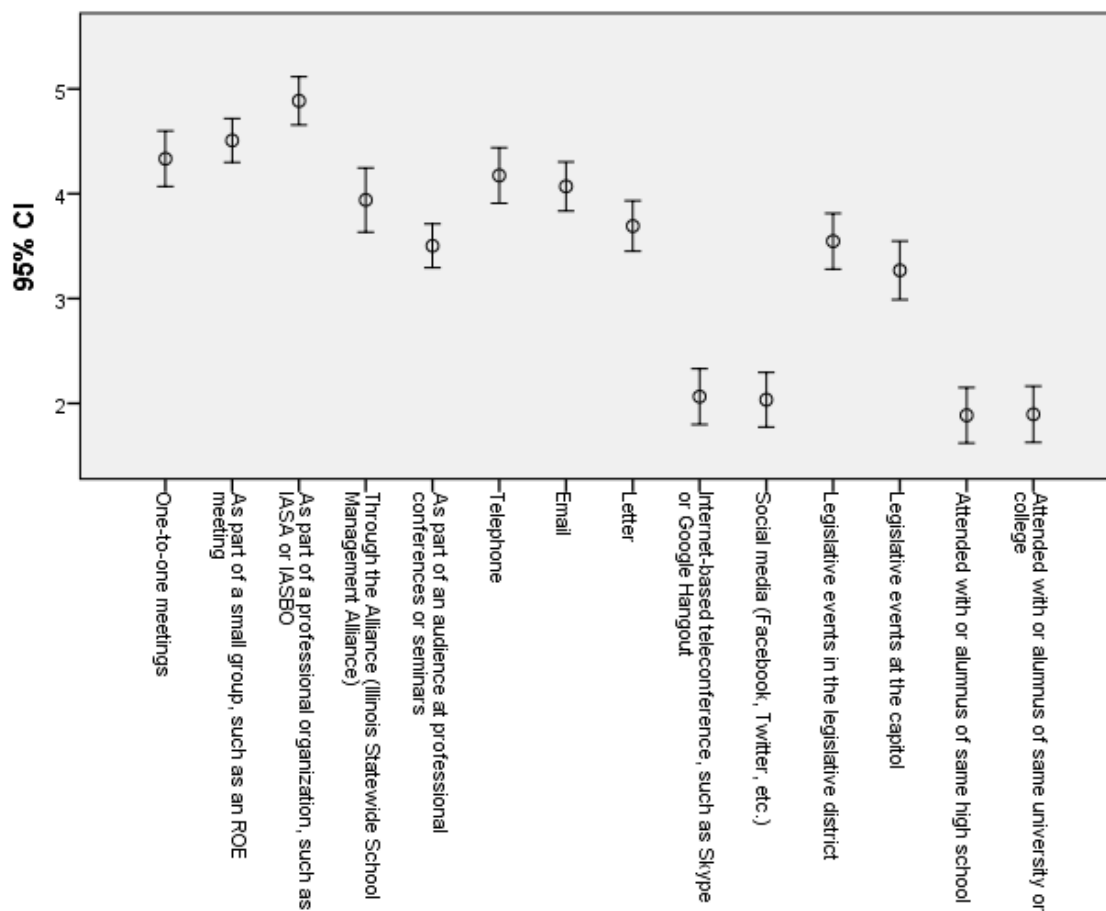


Figure 4.3. Confidence interval graph of perceived success of modes of contact with state-level legislators.

As shown in Table 4.6 and Figure 4.2, the confidence intervals can be separated into three categories: high, medium, and low. The high group of confidence intervals was comprised of three responses:

1. As part of a professional organization
2. As part of a small group

3. One-to-one meetings

The response category “as part of a professional organization” clearly stood above all other areas indicated in responses, indicating the responding superintendents had the most confidence in their perception of success in influencing state-level education legislation and policy-making through professional organizations. The confidence intervals of the next two response categories also indicate a high level of confidence in perceived success as compared to the remainder of response categories.

On the other side of the confidence interval comparison, four response categories were of low confidence levels, as shown:

1. Internet based teleconference
2. Social media
3. Attended with/alumnus of same high school
4. Attended with/alumnus of same university

The confidence intervals connected with these four response categories clearly showed that the respondents did not find these modes of access to legislators to carry any relative value in perceived effect on success in influencing state-level legislation and policy-making.

Interviews. The interviewed superintendents indicated, on numerous occasions, that means of influence were an important element in being influential. Prominent in those means of influence were professional organizations to which the superintendents belonged.

Interpretation. The data analysis regarding modes of access to state legislators responded to research question 2, as well as research questions 5, 6, and 7. It was clear

that responding superintendents not only relied most heavily on their affiliations with professional organizations to influence state-level education legislation and policy-making, but also found that mode of access to provide the highest level of success, as a sampling group. Membership or activity in other small group settings was also clearly a preferred method and one with a high level of comparative perceived success. The response category of “email” was heavily relied upon by responding superintendents, but did rank quite as highly in terms of perceived success, while the response category of one-to-one meetings was the reverse, with the form of access being used less heavily but ranking higher in terms of perceived success.

Educational Organization Affiliation and Perceived Effectiveness.

Respondents were requested to indicate any and all educational organizational affiliations utilized to influence state-level education legislation and policy-making, and to provide additional organizational affiliations in a comment section if the modes provided were not sufficient. A more thorough discussion of these findings will be undertaken in the Discussion and Significant Findings section of this chapter.

Educational organization affiliation. Responses were rated on a Likert-type scale, with the scale ranging from a Never response equaling 1 on the rating scale and an Always response equaling 5 on the rating scale. Other possible responses on the rating scale included: Sometimes, a 2 on the scale; Occasionally, a 3 on the scale; and Often, a 4 on the scale. Responses were then weighted based on the scale score and the number of responses in the response category. Complete results, including mean, standard deviation, and confidence intervals, are available in Table 4.9. Confidence intervals are charted in Figure 4.3.

Table 4.9

Weighted Average Table of Educational Organizations

Category	M	SD	CI
Illinois Association of School Administrators	3.82	1.00	3.68-3.95
Illinois Association of School Boards	3.32	1.08	3.17-3.47
Illinois Association of School Business Officials	2.49	1.38	2.30-2.68
Alliance (Illinois Statewide School Management Alliance)	2.49	1.33	2.31-2.68
Illinois Principals' Association	2.06	1.21	1.89-2.23
Education Research Develop (ED-RED)	1.54	1.11	1.39-1.70
Association for Supervision and Curriculum Development	1.50	0.84	1.38-1.61
Federal Representation, Education and Communication	1.38	0.93	1.25-1.51
Illinois Education Association/Illinois Federal of Teachers	1.37	0.72	1.27-1.47
Association of Illinois Rural and Small Schools	1.30	0.71	1.20-1.40
Large Urban District Association	1.27	0.81	1.16-1.39

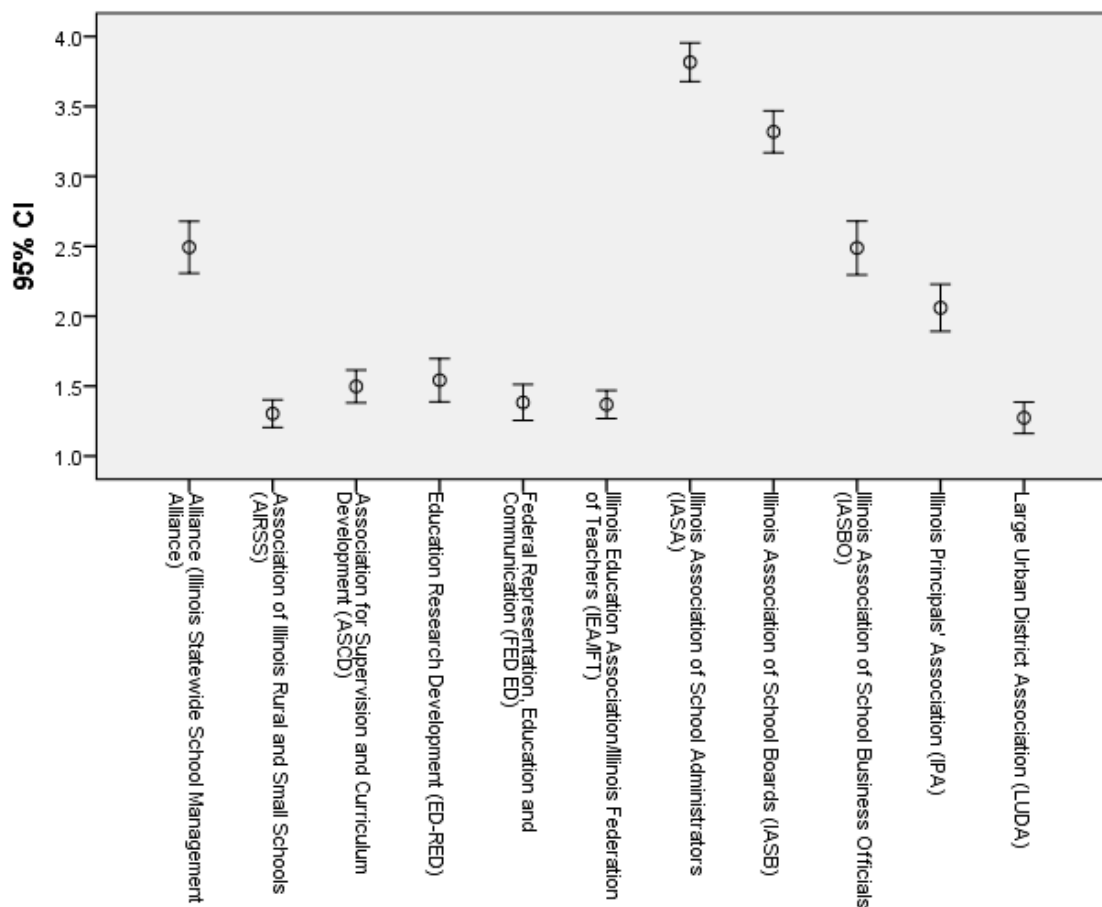


Figure 4.4. Confidence intervals for educational organizations

A review of the confidence intervals related to specific educational organizations utilized in an attempt to influence state-level educational legislation and policy-making, as related to research question 3 and as indicated in Figure 4.3, showed a clear separation into three categories of confidence: high, medium, and low. There were two high confidence response categories:

1. Illinois Association of School Administrators (IASA)
2. Illinois Association of School Boards (IASB)

These results showed responding superintendents are relying the most heavily on the IASA and IASB for group affiliation in order to make efforts to be influential.

There were several organizations that superintendents did not use frequently and therefore fell into the low confidence category:

1. Education Research and Development
2. Association of Supervision and Curriculum Development
3. Federal Representation, Education and Communication
4. Large Urban District Association
5. Association of Illinois Rural and Small Schools
6. Illinois Education Association/Illinois Federation of Teachers

Perceived effectiveness in influencing state-level education legislation. As a follow-up question to the responses regarding educational organization affiliations utilized in order to influence state-level education legislation and policy-making, responding superintendents were asked to rate their perceived effectiveness through those organizations. Responses were rated on a Likert-type scale, with the scale ranging from a Highly Ineffective response equaling 1 on the rating scale and a Highly Effective response equaling 7 on the rating scale. Other possible responses on the rating scale included: Mostly Ineffective, a 2 on the scale; Somewhat Ineffective, a 3 on the scale; Neutral, a 4 on the scale; Somewhat Effective, a 5 on the scale; and Mostly Effective, a 6 on the scale. Responses were then weighted based on the scale score and the number of responses in the response category. Complete results, including mean, standard deviation, and confidence intervals are available in Table 4.10 and Figure 4.4

Table 4.10

Weighted Average Table of Perceived Effectiveness of Education Organizations

Category	M	SD	CI
Illinois Association of School Administrators	5.31	1.56	5.10-5.53
Illinois Association of School Boards	5.06	1.67	4.83-5.30
Illinois Association of School Business Officials	4.19	2.21	3.89-4.50
Alliance (Illinois Statewide School Management Alliance)	3.97	2.37	3.64-4.30
Illinois Principals' Association	3.69	2.38	3.36-4.02
Illinois Education Association/Illinois Federation of Teachers	3.51	2.58	3.15-3.87
Education Research Develop (ED-RED)	2.86	2.30	2.54-3.18
Association for Supervision and Curriculum Development	2.54	2.02	2.26-2.82
Large Urban District Association	2.49	2.36	2.16-2.82
Federal Representation, Education and Communication	2.40	2.08	2.11-2.69
Association of Illinois Rural and Small Schools	2.24	2.15	1.94-2.54

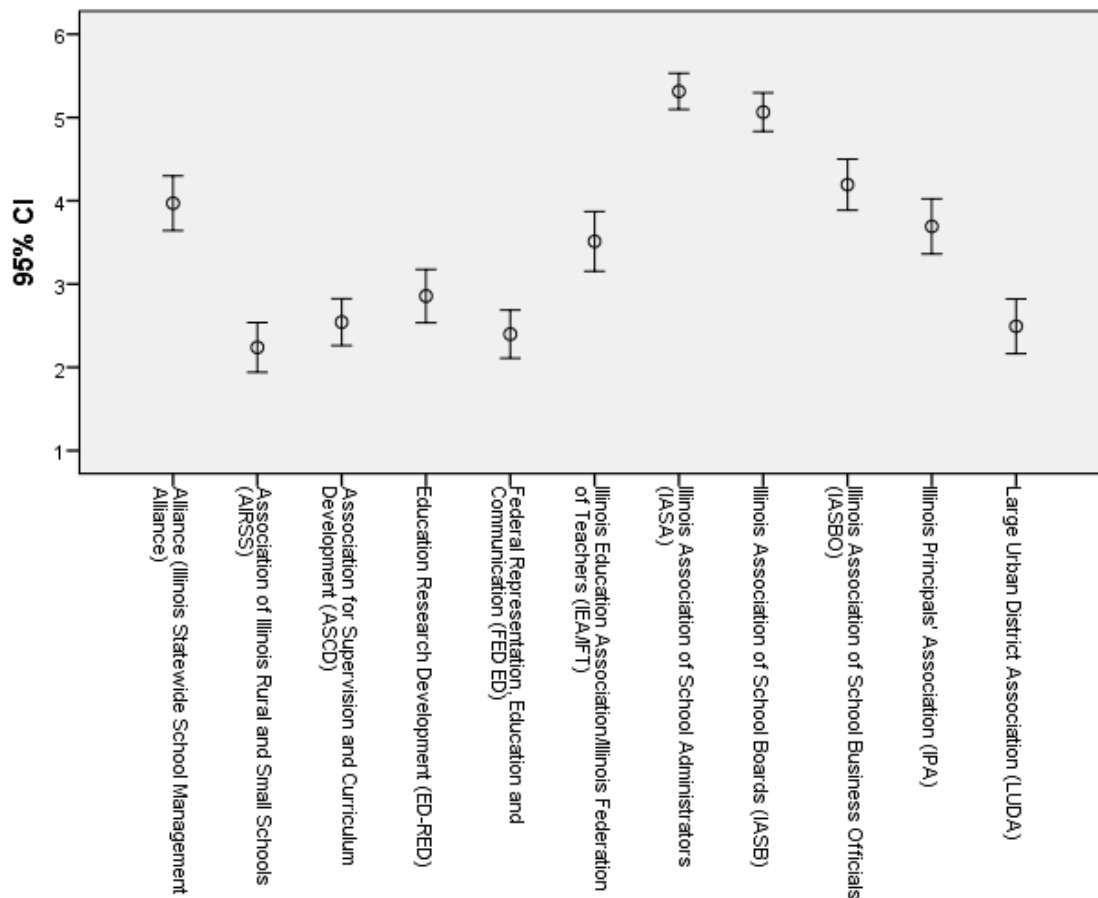


Figure 4.5. Confidence intervals for perceived success through educational organizations

A review of the confidence intervals for efforts to influence state-level education legislation and policy-making through educational organizations shows similar results to the utilization patterns for those organizations. Confidence intervals were broken into three relevant response categories: high, medium and low.

The high confidence interval category included exactly the same organizations as the high confidence interval for utilization of the organizations:

1. Illinois Association of School Administrators
2. Illinois Association of School Boards

The low confidence interval category included five organizations, indicating that the responding superintendents placed low confidence in perceptions that the

organizations aided in influencing state-level education legislation and policy-making.

Those organizations were:

1. Education Research Development, an suburban school district advocacy association (<http://www.edred.org>)
2. Large Urban District Association, an advocacy organization for large unit district (<http://ludaschools.org>)
3. Illinois Association for Supervision and Curriculum Development, an organization interested, among several items, in issues in leadership (<http://illinoisascd.org>)
4. Federal Representation, Education and Communication, a consortium of suburban school advocating for the needs of those schools (<http://www.thefeded.org>)
5. Association of Illinois Rural and Small Schools, an association formed to promote Illinois rural and small schools (<http://airssedu.org>)

Interviews. The interviewed superintendents also noted organizations through which they worked to influence state-level education legislation and policy-making. The primary organizations noted by the interviewees were the IASA and IASB, although other more niche organizations such as a superintendent's local Regional Office of Education or even a local roundtable of superintendents were mentioned as having some level of influence.

Interpretation. Research question 3 was designed to elicit responses related to Illinois superintendents' attempts to influence state-level education legislation and policymaking through educational organizations. In both the categories of usage of

organizations and of success utilizing the particular organizations, the Illinois Association of School Administrators and the Illinois Association of School Boards were the highest rated, indicating a high level of value in those organizations. Several organizations were deemed to be much less influential in this quest, however, including one organization which was not expected: the Association of Illinois Rural and Small Schools. The responses noted also were helpful in answering research questions 5, 6, and 7.

Perceived success in influencing state-level education legislation and policy-making. Responding superintendents were asked to rate their overall perceptions of their success in influencing state-level education legislation and policy-making. Responses were rated on a Likert-type scale, with the scale ranging from a Highly Ineffective response equaling 1 on the rating scale and a Highly Effective response equaling 7 on the rating scale. Other possible responses on the rating scale included: Mostly Ineffective, a 2 on the scale; Somewhat Ineffective, a 3 on the scale; Neutral, a 4 on the scale; Somewhat Effective, a 5 on the scale; and Mostly Effective, a 6 on the scale. Responses were then weighted based on the scale score and the number of responses in the response category. The weighted scale score for superintendents' responses was a 3.78, which is slightly lower than the mid-point of 4.0 on the scale. Complete responses are available in Table 4.11.

Table 4.11

Frequency Table of Perceived Success in Influencing State-Level Education Legislation and Policy-Making

Category	Frequency	Percent
Highly Effective	1	0.50
Mostly Effective	6	2.99
Somewhat Effective	72	36.82
Neutral	41	20.40
Somewhat Ineffective	40	19.90
Mostly Ineffective	31	15.42
Highly Ineffective	10	4.98

For ease of use and for better numbers of respondents for the various categories, these categories were compressed into three broad categories: Effective, Neutral, and Ineffective. These three broad categories were utilized throughout the study for statistical analysis, including analysis presented earlier. Table 4.12 contains the numbers of respondents in each of the three broad categories.

Table 4.12

Frequency Table of Perceived Success in Influencing State-Level Education Legislation and Policy-Making in Broad Categories

Category	Frequency	Percent
Effective	79	39.3%
Neutral	41	20.4%

Ineffective	81	40.3%
-------------	----	-------

Interviews. Interviewed superintendents noted a similar split in perceptions of effectiveness as the survey indicated. This was an expected result from the interviews, as the interviewees were chosen based on their original perceptions of effectiveness in influencing state-level education legislation and policy-making.

Interpretation. A critical element of this study was to determine the level of success responding superintendents felt in influencing state-level education legislation and policy-making, as reflected in research question 4. In line with this question, it is critical to note that the number of superintendents who perceived their efforts to influence state-level education legislation and policy-making as effective was roughly equivalent to those who perceived their efforts as ineffective.

Aids or impediments to influencing state-level legislation and policy-making.

The survey asked responding superintendents to address various factors in terms of whether the factors were aids or impediments to influencing state-level legislation and policy-making. Responses in each category were placed on a Likert-type scale in order to produce a weighted average. The highest rating on the scale was a 5, Greatly Facilitates. The lowest rating on the scale was a 1, Greatly Inhibits. Other ratings on the scale included Somewhat Inhibits, with a score of 2; Neither Inhibits nor Facilitates, with a score of 3; and Somewhat Facilitates, with a score of 4. Once a weighted average was determined, any weighted average above the mid-point of 3.0 was determined to be an aid to superintendents working to influence state-level education legislation and policy-making. Any weighted score below 3.0 was determined to be an impediment. A more

thorough discussion of these findings will be undertaken in the Discussion and Significant Findings section of this chapter.

Complete results are available in Table 4.13, including mean, standard deviation, and confidence intervals. Figure 4.5 represents confidence intervals.

Table 4.13

Weighted Average Table of Aids and Impediments

<u>Category</u>	<u>M</u>	<u>SD</u>	<u>CI</u>
Educational Organizations (IASA, LUDA, etc.)	4.18	0.66	4.09-4.27
Relationships with legislators	4.13	0.83	4.01-4.25
Political connections	4.06	0.93	3.94-4.19
Educational PACs	3.85	0.75	3.74-3.95
Regional support groups (ROE, etc.)	3.82	0.69	3.73-3.92
Finances	3.63	0.93	3.50-3.76
Locale	3.54	0.85	3.42-3.66
Graduate coursework preparation	2.91	0.76	2.80-3.01

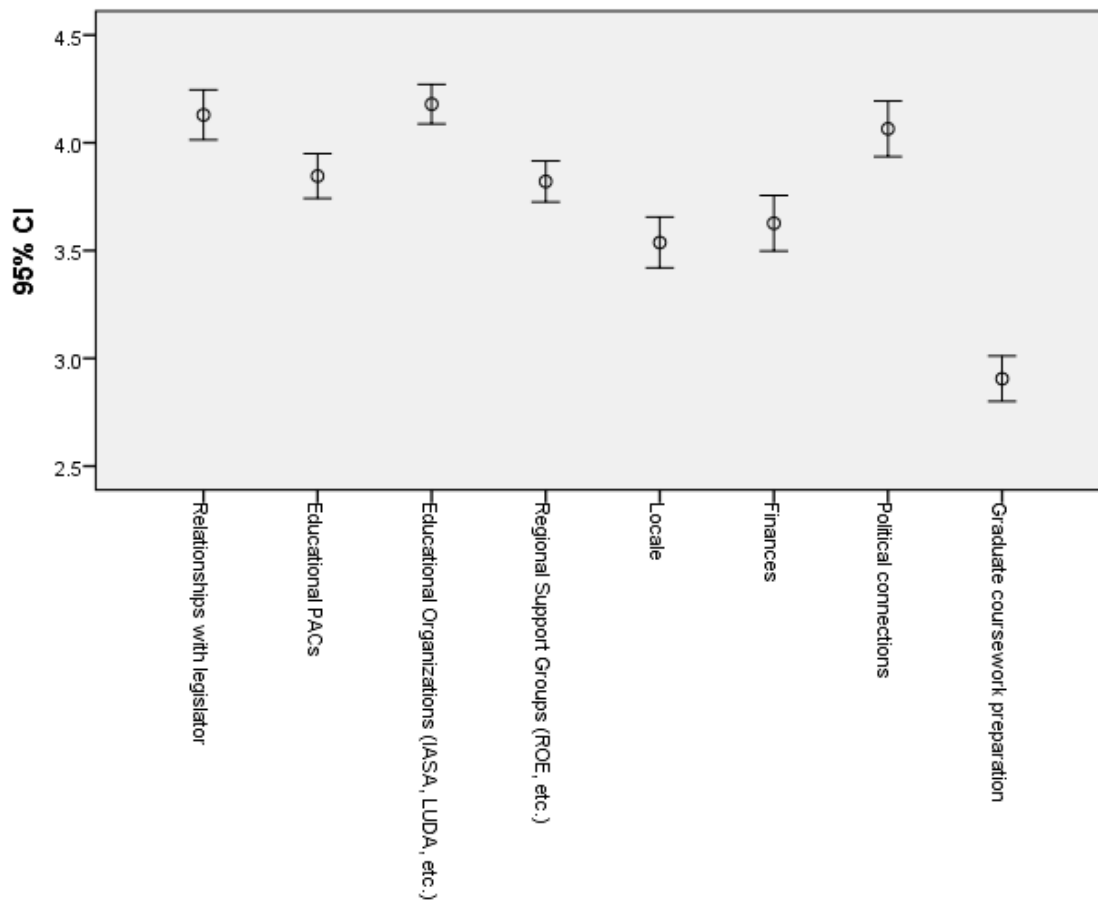


Figure 4.6. Confidence intervals for aids and impediments

Interviews. The interviews with superintendents did not shed any further light on this area of study.

Interpretation. As was evident in Table 4.13 and Figure 4.5, with the one exception noted in the Impediments section below, every category received a weighted rating that placed it in the Aids category. All categories, with the exception of the lowest confidence interval, were at or above the mean, and with confidence intervals that fell mostly above center, and therefore were seen as aids to superintendents' efforts to influence state-level education legislation and policy-making. Three categories in

particular were rated with confidence intervals that stood out among the rest, as seen in Figure 4.5:

1. Educational organizations
2. Relationships with legislator
3. Finances

Only one category was rated by responding superintendents as an impediment to influencing state-level education legislation and policy-making, with a mean and confidence interval well below that of any other category. That category was Graduate Coursework Preparation, with a mean of 2.91, just slightly below the mid-point of 3.0.

Statistical tests regarding perceived effectiveness. Commonalities among those superintendents who report various levels of perceived success in influencing state-level education legislation and policy-making were considered important as a means of highlighting both successful and unsuccessful characteristics and practices and informing active superintendents of those findings. Various demographic and other categories were tested statistically using the chi-square test. The chi-square test is utilized to determine whether frequency counts for different groups are distributed differently. It is especially useful when data are contained in two or more categories (Gall, Gall, & Borg, 2007). For the purpose of these chi-square tests, a significance level of $\alpha = 0.05$ was chosen. The 0.05 level of significance was considered the conventional level for non-critical significance determinations (Urda, 2005).

The chi-square test generally requires at least 5 responses per category in order for the test to be effective. For each test described in this section, due to a number of subcategories with few responses, some of the original codes were recoded in order to

better assess significance. In particular, there were a low number of responses in some of the Perceived Effectiveness subcategories. Therefore, three broad headings were compiled for the chi-square tests by recoding the original variables. The Perceived Effectiveness subcategories of Somewhat Ineffective, Mostly Ineffective, and Highly Ineffective were recoded into an Ineffective category, and the subcategories of Highly Effective, Mostly Effective, and Somewhat Effective were recoded into an Effective category. The Neutral category remained the same. There were also few respondents in several of the category response breakdowns for the variables that were tested in this section. These will be discussed with each variable which was recoded, as well as the recoding methods utilized.

Age. Superintendents were asked to categorize age in one of five subcategories: Under 30, 30-39, 40-49, 50-59, 60-69, or 70 and Over. There were no responding superintendents in the Under 30 age subcategory. That subcategory was recoded with the 30-39 subcategory to create a new Under 40 subcategory for this test. There were also only 3 in the 70 and Over subcategory, which was then recoded with the 60-69 subcategory to create a new 60 and Over subcategory.

In order to determine if age category had a significant effect on perceived effectiveness in influencing state-level education legislation and policy-making, as determined by the superintendent responses, the chi square test was implemented. Table 4.14 indicates the counts by category.

Table 4.14

Age of the Superintendent versus Perceived Effectiveness

<i>Category</i>	<i>Ineffective</i>	<i>Neutral</i>	<i>Effective</i>	<i>Total</i>
5 or less	42	20	33	95
6-10	24	11	30	65
11-15	12	6	7	25
16 and above	3	4	9	16
Total	81	41	79	201

Implementing the chi-square test yielded a $\chi^2 = 4.98$. The degrees of freedom (*df*) for this chart was $df = 6$. Utilizing the Urdan degrees of freedom chart (Urdan, 2005), at an $\alpha = 0.05$ level, the chi-square value must equal or exceed 12.59 to show a relationship between the variables. Therefore, age categorization was not a significant factor in perceived effectiveness in influencing state-level legislation and policy-making.

Years as superintendent. Superintendents were asked to categorize the number of years as a superintendent in one of seven categories: Five or less, 6-10, 11-15, 16-20, 21-25, 26-30, or 31 or More. The subcategories of 21-25, 26-30, and 31 or More all received less than 5 response each. Therefore, these subcategories were recoded with the 16-20 subcategory to create a new subcategory of 16 or More years as a superintendent.

The chi-square test was implemented to determine if the number of years as superintendent was significant in superintendents' perceived level of effectiveness in influencing state-level legislation and policy-making. Table 4.15 indicates the counts by category.

Table 4.15

Years as Superintendent versus Perceived Effectiveness

<i>Category</i>	<i>Ineffective</i>	<i>Neutral</i>	<i>Effective</i>	<i>Total</i>
5 or less	42	20	33	95
6-10	24	11	30	65
11-15	12	6	7	25
16 and over	3	4	9	16
Total	81	41	79	201

Implementing the chi-square test yielded a $\chi^2 = 6.75$. The degrees of freedom (*df*) for this chart was $df = 6$. Utilizing the Urdan degrees of freedom chart (Urdan, 2005), at an $\alpha = 0.05$ level, the chi-square value must equal or exceed 12.59 to show a relationship between the variables. Therefore, the years as a superintendent categorization was not determined to be a significant factor in perceived effectiveness in influencing state-level legislation and policy-making.

Types of administrative experience. Superintendents were asked to categorize their administrative experiences prior to becoming a superintendent in one of six categories: Principal; Assistant Principal; Chief School Business Officer/Business Officer; Assistant Superintendent; Curriculum Director; and Other. The subcategory of Other received numerous responses, but no specific responses of at least 5 responses each. Therefore, the subcategory of Other was not included in this analysis. A simple percentage of those who responded as effective compared to the number of respondents for each experience category was implemented to determine if the particular types of

prior administrative experience were significant in superintendents' perceived level of effectiveness in influencing state-level legislation and policy-making.

There were 179 superintendents who had been principals at some point prior to becoming a superintendent responding, with 67 responding that they perceived their legislative influence to be effective. The percentage of those responding with an effective response was 37.4%.

107 superintendents responded that they had been assistant principals at some point in their careers. Of those, 40 responded they believed they were successful in influencing legislative action. The percentage of those responding with an effective response was 45.8%.

There were only 10 respondents who indicated they had been a chief school business officer/business manager prior to becoming a superintendent. Of those, 6 indicated they believed they were effective in influencing state-level education legislative action, or 60% of the respondents.

Of the 64 superintendents who stated they had been assistant superintendents prior to becoming a superintendent, 29 responded to the affirmative regarding effectiveness in influencing state-level education legislative action. The percentage of those responding in the affirmative was 45.3%.

30 superintendents responded they had been curriculum directors at some point prior to becoming a superintendent. Of those, 11 reported perceived effectiveness in influencing state-level legislative action. The percentage was 36.7%.

Another question to be answered was whether multiple administrative roles prior to becoming a superintendent had any effect on whether the superintendent believed that

his efforts to influence state-level education and policy-making were effective.

Comparisons were made between those holding one previous role, two previous roles, and three or more previous roles. Table 4.16 shows the observed count for each.

Table 4.16

Number of Prior Administrative Experiences versus Perceived Effectiveness

<i>Category</i>	<i>Ineffective</i>	<i>Neutral</i>	<i>Effective</i>	<i>Total</i>
One	20	2	3	25
Two	43	22	34	99
Three or More	17	11	22	50

A simple percentage analysis was conducted of those superintendents in each number of prior administrative category who indicated that they had been successful in influencing state-level education legislation and policy-making. In the category of only one prior administrative experience, only 12% perceived that they were effective. 34.3% of respondents who noted two prior administrative experiences also indicated a perceived effectiveness. And in the three or more prior administrative experiences category, 44% of the respondents indicated perceived effectiveness.

Implementing the chi-square test yielded a $\chi^2 = 15.17$. The degrees of freedom (*df*) for this chart was $df = 4$. Utilizing the Urdan degrees of freedom chart (Urdan, 2005), at an $\alpha = 0.05$ level, the chi-square value must equal or exceed 9.49 to show a relationship between the variables. Therefore, the number of prior administrative experiences was a significant factor in perceived effectiveness in influencing state-level legislation and policy-making.

In order to determine the size of the effect, an odds ratio was performed on the data in chart 4.16. The odds ratio provided an opportunity to measure the relative effect inherent in the observations made. The odds ratio estimated the comparative rate of response between categories using the odds of an event occurring, based on observed data. The odds of effectiveness in the one prior administrative experience category was 0.14; in the two prior administrative experiences category, 0.52; and in the three or more prior administrative experiences category, 0.79. The odds ratios were as follows: three or more prior administrative experiences to one prior administrative experience was 5.64, which indicated superintendents with three or more prior administrative experiences were more than five times more likely to indicate they were effective in influencing state-level education legislation and policy-making; three or more prior administrative experiences to two prior administrative experiences was 1.52, indicating superintendents with three or more prior administrative experiences were one and one half times more likely to report being effective; and two prior administrative experiences compared to one prior administrative experience was 3.71, which indicated superintendents with two prior administrative experiences were nearly four times more likely to report being effective. This was considered to be a significant finding in this study.

Size of district. Superintendents were asked to categorize their school districts based on the student enrollment in the district: Less than 500, 501-1,000, 1,001-2,000, 2,001-3,000, 3,001-5,000, 5,001-10,000, 10,001-20,000, or 20,000 or more. The subcategories of 5,001-10,000, 10,001-20,000, and 20,000 or More all received a limited number of responses; therefore, these subcategories were recoded into a new subcategory of 5,000 or More.

The chi-square test was implemented to determine if the size of the school district student enrollment size was significant in superintendents' perceived level of effectiveness in influencing state-level legislation and policy-making. Table 4.17 indicates the counts by category.

Table 4.17

Size of School District Enrollment versus Perceived Effectiveness

<i>Category</i>	<i>Ineffective</i>	<i>Neutral</i>	<i>Effective</i>	<i>Total</i>
Less than 500	24	12	16	52
501-1,000	28	9	20	57
1,001-2,000	20	9	25	54
2,001-3,000	3	4	9	16
3,001-5,000	4	4	5	13
5,001 or more	2	3	4	9
Total	81	41	79	201

Implementing the chi-square test yielded a $\chi^2 = 10.41$. The degrees of freedom (*df*) for this chart was *df* = 10. Utilizing the Urdan degrees of freedom chart (Urdan, 2005), at an $\alpha = 0.05$ level, the chi-square value must equal or exceed 18.31 to show a relationship between the variables. Therefore, the size of a school district's student enrollment categorization was not a significant factor in perceived effectiveness in influencing state-level legislation and policy-making.

Configuration of school district. Superintendents were asked to categorize their school districts based on the configuration of the district. Choices provided were Unit,

Elementary, High School, Both Elementary and High School, Multiple Districts, and Other. The subcategories of Both Elementary and High School, Multiple Districts, and Other received very low responses, and therefore were not included in data analysis for this purpose, as there was no good way to combine those responses in a meaningful way.

The chi-square test was implemented to determine if the configuration of the school district was significant in superintendents' perceived level of effectiveness in influencing state-level legislation and policy-making. Table 4.18 indicates the counts by category.

Table 4.18

School District Configuration versus Perceived Effectiveness

<i>Category</i>	<i>Ineffective</i>	<i>Neutral</i>	<i>Effective</i>	<i>Total</i>
Unit	40	15	39	94
Elementary	37	19	25	81
High School	3	7	13	23
Total	80	41	77	198

Implementing the chi-square test yielded a $\chi^2 = 10.64$. The degrees of freedom (*df*) for this chart was $df = 4$. Utilizing the Urdan degrees of freedom chart (Urdan, 2005), at an $\alpha = 0.05$ level, the chi-square value must equal or exceed 9.49 to show a relationship between the variables. Therefore, the size of a school district's configuration was determined to be a significant factor in perceived effectiveness in influencing state-level legislation and policy-making.

To further investigate this finding, it was important to understand which type of district configuration provided the responding superintendents with the strongest perceived influence in state-level education legislation and policy-making. Two different statistical measures were utilized to determine which district type superintendents perceived the greatest rate of success. The two methods utilized were the percentage of those who reported success and the odds ratio between district type categories.

First, the percent of the superintendent in each district type perceiving success in influencing state-level education legislation and policy-making was determined, with a comparison of the number of those superintendents reporting success to the number of responding superintendents in that school district type category. The percent for unit district superintendents was 41%; for elementary districts was 31%; and for high school district superintendents was 57%. From this set of statistics, it was clear that high school district superintendents perceived success at a higher rate than superintendents in unit districts, followed by those in elementary districts.

Second, a determination of the relative size of the effect was determined. The method utilized was the odds ratio. Using the observed data, the odds for a unit district was 0.71; for an elementary district was 0.45; and for high school district was 1.30. The odds ratio between high school district responses and unit district responses was $1.30/0.71 = 1.83$, which indicated that superintendents in high school districts were likely to indicate success at a rate nearly twice that of unit district superintendents. The odds ratio between high school district responses and elementary district responses was $1.30/0.45 = 2.89$, which indicated that high school superintendents were almost three times more likely to indicate success than their elementary school district counterparts. A

final odds ratio between unit and elementary superintendent responses was $0.71/0.45 = 1.83$, which indicated that unit district superintendents were almost twice as likely as their elementary school district counterparts to report success in influencing state-level education legislation and policy-making.

State funding level. Superintendents were asked to categorize their school districts based on the level of state funding as a percentage of total revenues. Choices provided were: 0-20%, 21-40%, 41-60%, 61-80%, and 81-100%. The subcategory of 81-100% received limited responses, and the subcategory was therefore recoded with the 61-80% subcategory to create a new code of 61-100%.

The chi-square test was implemented to determine if the size of the school district state funding level was significant in superintendents' perceived level of effectiveness in influencing state-level legislation and policy-making. Table 4.19 indicates the counts by category.

Table 4.19

School District State Funding Level versus Perceived Effectiveness

<i>Category</i>	<i>Ineffective</i>	<i>Neutral</i>	<i>Effective</i>	<i>Total</i>
0-20%	23	14	22	59
21-40%	21	13	20	54
41-60%	25	11	28	64
61-100%	12	3	9	24
Total	81	41	79	201

Implementing the chi-square test yielded a $\chi^2 = 2.85$. The degrees of freedom (*df*) for this chart was $df = 6$. Utilizing the Urdan degrees of freedom chart (Urdan, 2005), at an $\alpha = 0.05$ level, the chi-square value must equal or exceed 12.59 to show a relationship between the variables. Therefore, the school district state funding level categorization was not a significant factor in perceived effectiveness in influencing state-level legislation and policy-making.

District poverty level. Superintendents were asked to categorize their school districts' poverty level based on DHS Low Income calculation and the district's 2013-2014 ADA. Choices provided were: 0-20%, 21-40%, 41-60%, 61-80%, and 81-100%. The subcategory or 81-100% received limited responses, and therefore was recoded with the 61-80% subcategory to create a new code of 61-100%.

The chi-square test was implemented to determine if district poverty level was significant in superintendents' perceived level of effectiveness in influencing state-level legislation and policy-making. Table 4.20 indicates the counts by category.

Table 4.20

District Poverty Level versus Perceived Effectiveness

<i>Category</i>	<i>Ineffective</i>	<i>Neutral</i>	<i>Effective</i>	<i>Total</i>
0-20%	23	14	22	59
21-40%	21	13	20	54
41-60%	25	11	28	64
61-100%	12	3	9	24
Total	81	41	79	201

Implementing the chi-square test yielded a $\chi^2 = 2.85$. The degrees of freedom (*df*) for this chart was $df = 6$. Utilizing the Urdan degrees of freedom chart (Urdan, 2005), at an $\alpha = 0.05$ level, the chi-square value must equal or exceed 12.59 to show a relationship between the variables. Therefore, the level of school district poverty was not a significant factor in perceived effectiveness in influencing state-level legislation and policy-making.

Locale. Superintendents were asked to categorize their school districts based on a description of federal locale codes. The locale codes provided for selection were: City, Suburb, Town, and Rural.

The chi-square test was implemented to determine if school district locale was significant in superintendents' perceived level of effectiveness in influencing state-level legislation and policy-making. Table 4.21 indicates the counts by category.

Table 4.21

District Locale versus Perceived Effectiveness

<i>Category</i>	<i>Ineffective</i>	<i>Neutral</i>	<i>Effective</i>	<i>Total</i>
City	3	2	2	7
Suburb	18	17	22	57
Town	9	5	14	28
Rural	51	17	41	109
Total	81	41	79	201

Implementing the chi-square test yielded a $\chi^2 = 7.823$. The degrees of freedom (*df*) for this chart was $df = 6$. Utilizing the Urdan degrees of freedom chart (Urdan, 2005), at an $\alpha = 0.05$ level, the chi-square value must equal or exceed 12.59 to show a relationship

between the variables. Therefore, the level of school district locale was not a significant factor in perceived effectiveness in influencing state-level legislation and policy-making.

Interpretation. Numerous statistical tests were run on demographic information to determine if any of the demographics played a role in responding superintendents' perceptions of success in influencing state-level education legislation and policy-making, as indicated in research question 7. While an administrator sitting at an average administrative meeting might believe, from the discussion at the meeting, that numerous demographic elements were common to having that influence, the statistics do not bear that out. With two exceptions, demographic elements were not found to be common in influencing state-level education legislation and policy-making. Those two exceptions to the rule were:

1. Number of prior administrative experiences; and,
2. District configuration

The demographics responses and statistics also serve to provide clues to research question 8, which asked whether locale played a role in influencing state-level education legislation and policy-making. A review of the responses to the particular question regarding locale showed that the responding superintendents did not find locale to be of value in their efforts to influence.

Qualitative Interviews

This study was a mixed-methods study, combining data analysis of questions on a quantitative survey with an extension of knowledge gained through a follow-up set of qualitative interviews. The quantitative data analysis was completed first, allowing questions to be developed from significant findings in the qualitative data.

Interview questions. The number of questions in the qualitative interviews was limited to seven in order to facilitate time effectiveness of the interviews. The research questions asked in the interviews were:

1. What types of efforts have you undertaken to influence state-level education legislation and policy-making and why did you undertake those efforts?
2. Have you found your efforts in influencing state-level education legislation and policy-making to be generally effective or ineffective? What factors influence your thoughts regarding your effectiveness?
3. How have the demographics of your current school district played a role in your effectiveness, if any?
4. How have the number of administrative roles you have had impact your perception of effectiveness, and have any of those experiences played a significant role in your effectiveness?
5. How have your particular types of associations with a state-level legislator, such as living in your district or sharing an organization, made a difference in your effectiveness?
6. How have your particular associations with educational organizations, such as IASA or IASB, made a difference in your effectiveness?
7. What other factors that you believe have affected your ability, in your current position, to influence state-level legislation and policy-making?

Description of the sample. Six superintendents were selected by random draw from the self-selected list of those willing to be interviewed, which included a total of 45 superintendents. Two superintendents were randomly selected from each of the three

broad categories of effectiveness described in the study: Effective, Neutral, and Ineffective. All selected in the random draw were male, which was not unexpected, considering the fact that only five female superintendents who indicated interest in being further interviewed, and none of those female superintendents were included in the Neutral category. One of the randomly selected superintendents was in the 39-39 age category; three were in the 40-49 age category, one in the 50-59 age category, and one in the 60-69 age category. Three had been superintendents for 5 or less years, while three had been superintendents for 6-10 years. One was from a school district with student enrollment of less than 500, two were from school districts with student enrollment of 501-1,000, and three were from school districts with enrollment of 1,001-2,000. Four were from unit districts and two were from elementary districts. State funding percentage representation was spread across all categories, with one in the 21-40% funding range, three in the 41-60% funding range, one in the 61-80% funding range, and 1 in the 81-100% funding range, with similar representation from the poverty range. Four superintendents' current districts were classified as rural, one as suburban, and one as city.

Themes. Initial coding efforts brought forth several themes, which were eventually combined to create a shorter, more comprehensive list. The initial list of themes included the following: access to legislators; relationships with legislators; professional organizations; location/locale; party politics; federal involvement; state mandates; local control; money; educating legislators; communication; and power of position.

These thirteen themes were then combined to form five broader themes, which are discussed in depth in the next section:

1. Access and relationships – a combination of access to legislators, relationships with legislators, and power of position;
2. Means of influence – a combination of professional organizations and money;
3. Educating legislators – a combination of educating legislators and communication;
4. Location/locale; and,
5. Controlling factors – a combination of federal involvement, state mandates, local control, and party politics

The broad themes were then assigned to interview text to determine both the number of occurrences of each theme, as shown in Figure 4.6. The analysis and assignment to text was done by reading and re-reading the interviews and assigning codes to specific sections of text. Each of the six superintendents interviewed addressed each of the five codes at some point during the interview. Three codes in particular were repeated heavily throughout the text of the interviews: access and relationships, appeared 32 times; means of influence, appeared 30 times; and educating legislators, appeared 27 times. At a lower appearance count were codes of location/locale, appeared 15 times, and controlling factors, appeared 11 times, but these codes still provided valuable information regarding the research questions.

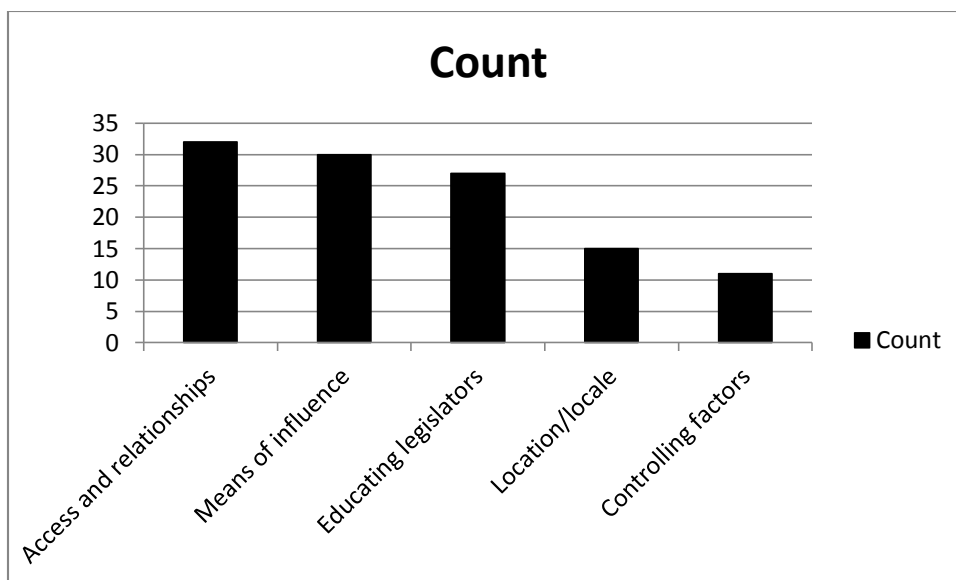


Figure 4.7. Number of occurrences per code.

Qualitative responses. *Access and relationships.* Interviewees often referred to the ability to access legislators and to form a relationship with those legislators as an important factor in their ability to influence state-level education legislation and policy-making. Superintendent B found that access was important in getting messages across to legislators in his first words in the interview: “A big thing is access.” Superintendent B followed this by stating:

...I’m hoping that by having that access and that influence that sometimes your opinion can get a little further than it would from somebody who was elected yesterday and that has none of those associations. I think it’s been an asset.

Superintendent D iterated that legislators also find superintendent access to them to be important: “...anytime we meet with a legislator, the legislators always say that it’s important that we meet with our legislator and express our concerns.” Superintendent D was clear in the purpose and value of accessing legislators:

I feel like it’s important for us to be as engaged as we can in the process. And the reason I do it is because I’m very passionate about school and public education, and if we’re not... if we don’t tell our stories and speak our voice, then I don’t

feel that they're going to know and they'll make up their own stories sometimes...

Superintendent F noted that access was a function of relationships:

I've made a point to get to know my representatives that are in my area. And I feel like I can call them, and I think they'll call me and ask me... if it comes to some kind of specific to education, I feel like I'll get a phone call...

Superintendent E illustrated the need of forming relationships as a step in gaining access to legislators (the names of legislators have been redacted to protect the confidentiality of the superintendent):

When we had our Veteran's Day assembly every year, _____ and _____, they'd be there every year. So those would be opportunities, not to talk to them about politics, just thank them and develop a rapport with them.... Senator _____... I'm not for sure exactly where he lives... but I never see him. Again, no rapport... I'm sure he would have no idea who I was.

Superintendent A echoed this sentiment and concern:

In my particular situation, we were redistricted two years ago. When those lines were drawn, before that I had a very, very close relationship with our legislators, I could contact them, call them up on the phone if issues were coming up that would affect not only the district but the field. Now our district has been shifted north, and I'm back to square one. I'm working on that relationship and trust level and that input with my current legislator...

Superintendent C also noted the power of relationship in gaining the ear of legislators:

The one great thing, I think, is that they know me. My legislators recognize me and know me... One, I think that they can know us and can legitimize our plight, and two, I appreciate when they take the extra effort.

The respondents also noted that while relationship and access was important, they only provide a gateway and not necessarily the ultimate solutions. Superintendent A was very clear on this:

...the first legislator, I would consider her a personal friend. Did it have an impact one way or another on the effectiveness? I don't think that friendship did, because she voted many times "no" for what I thought she should vote "yes" for... So I do

think that building those positive relationships has an effect, but whether the personal side – at least in my experience, the personal relationship did not affect the outcome or the result. But it gained me access, I guess, but not necessarily impacted.

Interpretation. Responding superintendents found access to and relationships with, as well as the lack of those, to be important in the process of attempting to influence state-level education legislation and policy-making. This validates the finding from the survey data that the closer the relationship with a legislator, the more success superintendents found in being influential. The responses help to better understand previous responses to research questions 5, 6, and 7.

Means of influence. The interview respondents all agreed that the means of influence extended well beyond relationships and access. Professional organizations and money were also seen to be important factors in influence or a lack thereof.

Professional organizations. Professional organizations to which each belonged played a significant role in their influence in Springfield. The IASA was noted the most often as the organization holding the highest value to the responding superintendents. Superintendent A found IASA to be of great value: “I believe that particularly our association and the Triple-I does a phenomenal job of communicating those issues that are out there and giving us access to our various legislators.” Superintendent B echoed the value of IASA for access: “The IASA in a smaller way gives us a lot of access down in Springfield. The leadership conference coming up is a great opportunity for us to get down there and talk to our legislators.”

Superintendent C noted that IASA’s value goes beyond just access to legislators:

I think it’s important to be as proactive as possible in the IASA and some of those other groups that I’ve belonged to... have allowed me to be a bit more proactive

because you get an idea what other schools are doing and what might be coming down the road.

Superintendent E also found the IASA to have value beyond access and relationships:

“Being involved in IASA... I think they do a really good job of encouraging superintendents to reach out to their legislators”. Superintendent F followed, as related to IASA:

...I feel like there’s a lot of effort to get us to write a letter, come to some sort of meeting or some sort of statement being made or some bill being sponsored or something... So I would say there’s a lot of efforts...

Superintendents also found other organizations, whether formal or less so, to be of value in their efforts to find ways to influence state-level education legislation and policy-making. Superintendent C found three organizations which he found of value:

I think that the organizations that I’m affiliated with and the three I am, obviously, the Association of School Boards, the Association of School Administrators, and somewhat to the IP or local organizations, I think that we have done a pretty effective job, and I think they assist us.

Superintendent D also found multiple organizations that provided assistance: “So I look to my own organizations... IASA, IASB, IPA... those are the organizations that I look to quite a bit. And I definitely look to them to help guide me through legislative changes.”

Superintendent F believed that he derived benefit from another organization:

And so that’s a powerful group, because there’s anywhere between 40-50 supts (superintendents) that come to _____ once a month... And with that I feel like a _____ might listen to me just a little bit more, because he knows I’m going to go into that meeting and I’m going to deliver a message to a group of people, a lot of which are in his voting area.

Superintendent C found his ROE to be helpful in attempting to influence state-level education legislation and policy-making:

Our local ROE has sponsored an administrative academy every year on influencing your legislators. And so two of the last three years I’ve gone to that

workshop, actually held in Springfield, and then we've had an opportunity to meet with our legislators if they're available after that. And we've had different legislators come in. It's really been a great workshop.

Superintendent A utilized a less formal county-level approach in his efforts: "One other thing we do is we have a superintendent's roundtable in our county, two counties. We invite our legislators in too... that has done a lot of good for both sides."

Superintendent D noted an informal coalition of superintendents that he was part of in order to attempt influence in Springfield:

I have, along with five or six other superintendents, gone to Springfield twice and are going to go again next week in trying to... meeting with legislators in trying to express our concerns and also praises for certain legislative bills that they may have sponsored or have been passed.

Money. Some responding superintendents noted money as a critical element in efforts to influence state-level education legislation and policy-making. Superintendent B was vocal in his concerns regarding the influence of money in the process:

So regardless of our efforts to inform and make sure others are aware, ultimately the decision is being impacted very heavily by the dollars that are out there... and that kind of negates some of our efforts because our best arguments sometimes fall by the wayside when groups like Stand for Children and Advance Illinois and some of those people come in with their big checkbooks and influence the political landscape that way... when someone can come in and put the kind of money into the governor's election and come in with those kinds of agendas, it makes it very difficult.

Superintendent A also noted the same: "Unfortunately, we have a lot of reform groups that are talking to our legislators right now, and there's a lot of money following those reforms."

Superintendent F was also concerned about political party money that sometimes defeated a superintendent's ability to be influential.

I believe that if you don't do what Madigan wants, there's a real good chance that you wouldn't get elected. I mean he has the purse strings for that party, so he'll

come and drop a bunch of money in an area if he feels like he needs someone from the Democratic party in that area to run. Whether they get elected or not, you're going to fight a huge battle, because they have the purse strings.

Interpretation. Responding superintendents were clear that affiliations with organizations such as IASA, IASB and other both formal and informal educational groups was important in being influential in state-level education legislation and policy-making. The IASA was held out as the primary organization through which such influence was attempted. This validates the finding from the survey data that superintendents found the IASA to be the most important organization for this purpose.

Also valuable from the interviews was the fact that money from special interests and political parties was a concern and a problem when making efforts to be influential. While these were not included in the survey regarding aids and impediments, this information furthers the understanding of what roadblocks superintendents have found in being influential in state-level education legislation and policy-making. The responses in this area help to better understand answers to research questions 3, 5 and 6.

Educating legislators. Interviewed superintendents found it necessary to educate legislators in order to be influential in state-level education legislation and policy-making. Superintendent A stated: "We've spent a lot of time here trying to educate our legislators." Superintendent C was blunt in his assessment of legislators' levels of understanding of the issues:

...I'm not trying to give them a pass, but when you try to explain to a legislator the complexities of school finance, a lot of them don't understand. And so how much detail do you get into with them, and really... I found it very challenging, just like if you were trying to explain to a member of your public... They have to be experts in so many different things and they just quite frankly don't have some of the nuances of some of the things that we deal with on a regular basis.

Superintendent F noted the value of educating legislators: “I do think he is a bright enough individual that he’ll listen even if he doesn’t agree, and he’ll also... maybe change his mind if you have a legitimate argument.”

Superintendent B not only pointed out the value of educating legislators, but being able to educate from different perspectives:

I’ve seen different districts, and I’ve seen the different sources of revenue that are coming in, how that impacts what you’re able to do with a school district... I think that’s made me more effective when I’m talking to legislators... I’m able to say “I understand that because I’ve been in a district like that and I understand their concern.” That helps make you more effective than if you have a very narrow view.

Superintendent E found the education process to be frustrating at times:

...I think they listen and are genuinely concerned. I think they’ve taken any thought or comment that I would have to heart... they would say ahead of time that we’re Republicans... they’d say “this probably isn’t going to go anywhere.” I didn’t feel like I really had any impact, to be honest.

That sentiment was echoed by Superintendent C:

I’ve called last year to _____... He actually answered the phone and had a great conversation with him. He was non-committal at the time, but obviously didn’t do any good, because he maintained his sponsorship, and then went on record to speak very highly of the legislation... Anyway, we’ve tried to make some inroads.

Superintendent D also noted the frustration of the education process in efforts to be influential: “I’m not sure how much changes because of that, because a lot of the issues that we’ve talked about haven’t changed...”

Interpretation. Interviewed superintendents were clear education of legislators was an important part of the process of influencing state-level education legislation and policy-making. At the same time, their efforts at education were sometimes snubbed or ignored due to other factors in play, such as party politics or a lack of understanding of the issues. While this specific topical area was not discussed on the survey in the area

regarding aids and impediments, it furthers the discussion in this area and helps to bring more light to research questions 5, 6, and, as the process of educating legislators on the issues can be seen as either an aid or an impediment, based on a variety of factors.

Location/locale. Interviewed superintendents found location and/or locale to play a factor in their ability to be influential. Some saw positive value in their location or locale. Superintendent F expressed his views as follows: “Because of (our location), we have a lot of meetings where we’ll get a Chris Koch and different politicians to come and speak.” Superintendent D also found his location to provide positive benefits:

And I think that also that it’s hard for people in urban setting, high poverty ...it’s a good story when there are good things that come from our district... I think that our legislators want to grab ahold of those good things when it happens, so I think we’ve been more supported because of that.

Superintendent E also found his location to be a net positive: “...our general location... has probably helped me... Wherever you’re located in the state... your rep or senator’s probably going to pay attention to you because they’re from there as well.”

On the other hand, Superintendent C found his location to be a net negative: “...I try to explain how we’re impacted negatively by some of the nuances of the General State Aid formula, but they look at us and say, “Well, you oughta be able to afford it...”

Superintendent A found his location not to necessarily have a particular impact on his ability to be influential, but was more concerned with the location of his legislators in relationship to his district: “We’ve invited... our new legislator who is from the Chicago area now... who has never been to _____. Superintendent B noted: “I’m not sure that’s made an impact on my effectiveness, but it’s certainly impacted my zealously...”

Interpretation. Responses from the interviewed superintendents certainly indicates that location plays some role in their ability to be effective and influential in

state-level education legislation and policy-making. However, there was no indication that locale, as set forth by NCES, was of any effect. This furthers the results from the survey and helps to better answer research question 8, specifically in the fact that a district's locale appears to have little to no role in a superintendent's perception of his/her ability to be effective in influencing state-level education legislation and policy-making.

Controlling factors. There were a number of controlling factors that interviewed superintendents found to be important related to their ability to influence state-level education legislation and policy-making. Superintendent A found a phalanx of federal policies as a severe impediment to his ability to be influential:

Some of the accountability measures and things like that on both sides of the aisle have come down from federal policy, and I think our state has bought into those. So regardless of our efforts to inform and make sure others are aware, ultimately the decision is being impacted very heavily by... things like Race to the Top.

Superintendent F found state-level party politics to be in the way of successful influencing: "There's politics involved. You know, they want to be elected but they also have this demeanor that they have to align with their party."

Superintendent C found both state and federal policies to be problematic:

...businesses complain all the time that they're regulated by the government, whether it be the federal government or state government, but I would argue that there is absolutely no organization or entity that is more regulated than the public schools. And I think that it limits our effectiveness...

Tied to that, Superintendent C also noted issues in the notion of local control: "I've shared with our board, unfortunately, they're nothing more than a puppet of Springfield, and I've challenged them, what original actions beyond hiring people, what original actions have they taken?"

Superintendent D was concerned about the tack of politics in state government:

I think there was more support for us in the previous administration... I have met with my state senator, and my perception is that he has maybe moved toward... the right... it's a little more obvious that he wants to work with Republicans now.

Interpretation. The interviewed superintendents clearly found impediments in the current political and policy structure at both the federal and state levels, as well as a lack of local control. Mandates in policy were a concern of these superintendents. These responses help to understand further previous responses to research question 6.

Summary

Through this mixed-methods study, Illinois public school superintendents provided insight into their practices and perceptions of success in influencing state-level education legislation and policy-making, as set forth in the ISLLC standard 6 and ELCC standard 6. The study found superintendents utilized professional education organizations such as the IASA the most in their efforts to accomplish the goals in these standards, and perceived that the IASA in particular was the most valuable in being influential by a significant margin. Responding superintendents also indicated that relationships with legislators were important, particularly associations that were more personal, such as sharing a common organization or a personal relationship, or when the legislator lives in and/or has children in the superintendent's school district. This finding was backed up by the interviews, in which the superintendents noted the importance of the IASA and other organizations in their efforts to influence state-level education legislation and policy-making.

The study also found the number of administrative positions a superintendent had prior to becoming a superintendent affected the superintendent's perception of his effectiveness in influencing state-level education legislation and policy-making. Another

result of the study was that the responding superintendents related the configuration of the district made a difference in their perceptions of success, with high school district superintendents being much more likely to perceive success as compared to their peers in unit or elementary school districts. During the interviews, superintendents addressed this finding, although they did not provide details that would help to flesh out why prior administrative positions were helpful.

The study also found that the configuration of a school district played a role in superintendents' perceptions of influence in state-level education legislation and policy-making. High school district superintendents were much more likely to perceive success than those in unit or elementary districts. The subsequent interviews did not indicate any further reasoning in this area, however.

Responding superintendents also indicated, through the survey, that the only impediment they saw to their ability to influence state-level education legislation and policy-making was their graduate coursework, although the result was close enough to neutral that the finding might be better interpreted as a lack of training and background in the subject area other than an impediment. All of the other demographic elements tested were considered an aid to their ability at some level. The study also showed that a superintendent's knowledge of the processes involved in creating state-level legislation were not a factor in whether the superintendent found himself to be effective in that influence.

The analysis of this study showed there were specific activities and relationships superintendents could pursue that could increase their perceived ability to be effective in influencing state-level education legislation and policy-making.

CHAPTER V

DISCUSSION, CONCLUSIONS, AND RECOMMENDATIONS

Introduction

ELCC Standard 6 (National Policy Board for Educational Administration, 2011) and ISLLC Standard 6 (The Council of Chief State School Officers, 2008) both indicated that a superintendent was to make efforts to be influential in this field. While there was much written about the topic, very little was available that was scientifically collected and analyzed, with only the Fogarty study of Lake County, Illinois superintendents (Fogarty, 2011) and the Wood study of Texas public school superintendents and state legislators (Wood, 1994).

In light of the lack of research in this area, informal conversations at superintendents' meetings often highlighted such seemingly obvious targets as a district's demographics, such as property wealth or location near an urban center, as supposed key elements in being influential. There was a need to develop scientific data that might help superintendents better understand and employ methods that are helpful and avoid those that are not in their quest to be influential in state-level education legislation and policy-making.

The purpose of this study was to determine the level of involvement, political activities, and self-described level of influence of all public school superintendents in the state of Illinois in regard to state-level educational policy-making. Data gathered from study respondents were analyzed in order to help answer the study's research questions, which were as follows:

1. What level of knowledge do Illinois' superintendents possess regarding the state-level legislative and policy-making process?
2. Through what modes do Illinois' superintendents attempt to influence state-level legislation and policy-making?
3. Through what specific educational organizations do Illinois' superintendents attempt to influence state-level educational legislation and policy-making?
4. To what extent do Illinois' superintendents perceive their efforts to influence state-level educational legislation and policy-making to be successful?
5. What activities, affiliations, or relationships do Illinois' superintendents believe are helpful in being successful in their efforts to influence state-level educational legislation and policy-making?
6. What activities, affiliations, or relationships do Illinois' superintendents believe are obstructions or impediments to being successful in their efforts to influence state-level educational legislation and policy-making?
7. What are the commonalities among superintendents who self-determined success with state-level legislation and policy-making?
8. What was the effect of a superintendent's locale in influencing state-level education legislation and policy-making?

Results Summary

There were seven key findings in this study which may help Illinois public school superintendents better ford the waters of Illinois politics, as related to influencing state-level education legislation and policy-making.

Key Finding 1 – Use of Professional Organizations

Illinois public school superintendents utilized professional organizations most extensively in their efforts to contact and influence state-level education legislation and policy-making. On a Likert-type scale of 1 to 5, with 1 being the least and 5 being the most utilized mode of contacting legislators, professional organizations such as the Illinois Association of School Administrators, the Illinois Association of School Boards, the Illinois Association of School Business Officials, and the Illinois Principals' Association were utilized at a mean rate of 3.23, or above the midpoint of the scale of 3. All other means of contacting legislators in order to influence state-level education legislation and policy-making fell below the mid-point of 3, including the use of email, telephone calls, and letters. One-to-one meetings fell near the bottom, with a mean score of 2.29.

Interviews of the randomly selected superintendents also strongly underlined the use of professional organizations as a primary means of influence in efforts to be influential in state-level education legislation and policy-making. The interviewed superintendents mirrored the results of the survey by indicating the Illinois Association of School Administrators and the Illinois Association of School Boards as the most commonly utilized organizations.

Key Finding 2 – Personal and Proximal Relationships

Illinois public school superintendents' perceptions of their effectiveness in influencing state-level education legislation and policy-making were significantly increased when there was a close personal or proximal association with a state-level legislator. Those superintendents who shared an organization with a legislator reported perceived success in influencing state-level education legislation and policy-making at a stunning 80% level. Superintendents who had a personal relationship with a legislator indicated perceived effective influence at a 58.3% rate. 55% of superintendents whose legislator lived in the school district perceived success. And superintendents whose legislator's child attended the school district reported success at a 50% rate. By contrast, only 34.3% of superintendents who did not have similar associations with or access to a legislator perceived themselves to be successful in influencing state-level education legislation and policy-making.

The superintendent interviews also pointed out a connection between relationships with legislators and their perceptions of success in being influential in state-level education legislation and policy-making. The interviewees noted both the effects of building and having close relationships with legislators as well as the frustration when such relationships were not present or available to them.

Key Finding 3 – Prior Administrative Positions

Illinois public school superintendents' perceptions of their effectiveness in influencing state-level education legislation and policy-making were significantly increased in accordance with the number of prior administrative positions they had held. Superintendents who had held three or more previous administrative positions prior to

becoming a superintendent reported a much higher perceived effectiveness than those who held only one or two administrative roles previously. The odds ratio of an administrator who had held three or more previous administrative positions perceiving effectiveness in influencing state-level education legislation and policy-making as compared to those who had only held one previous administrative position was 5.64, and to those who had held two previous administrative position was 1.52. Superintendents who had had held two previous administrative positions compared to those who had only held one administrative position had an odds ratio of 3.71 in perception of success in influencing state-level education legislation and policy-making.

The superintendent interviews indicated that the superintendents did see value in multiple administrative positions prior to becoming a superintendent. However, there was little garnered from the interviews in the form of an understanding of why those experiences would help a superintendent to perceive a much greater level of influence in state-level education legislation and policy-making.

Key Finding 4 – School District Configuration

Illinois public school superintendents' perceptions of their effectiveness in influencing state-level education legislation and policy-making were significantly increased with relation to a particular school district configuration. Superintendents in high school districts reported that they were effective at a much higher rate than those in unit or elementary school districts. The odds ratios between those superintendents in high school districts as compared to unit or elementary school district superintendents were, respectively, 1.83 and 2.89. High school district superintendents were almost twice more likely to report perceived effectiveness in influencing state-level education legislation and

policy-making than a unit district superintendent, and nearly three times as likely as an elementary school district superintendent.

The interviewed superintendents did not shed any light on this area.

Key Finding 5 – Affiliations with Educational Organizations

Illinois public school superintendents' perceptions of their effectiveness in influencing state-level education legislation and policy-making were significantly increased with relation to their affiliations with particular educational organizations. On a Likert-type rating scale of 0 to 7, with the 0 being the least effective, 4 as neutral, and 7 being the most effective, superintendents rated the Illinois Association of School Administrators (IASA) as the most effective organization at a mean of 5.42. Affiliation with the Illinois Association of School Boards (IASB) was rated as the second-most effective organization with a mean of 5.25 on the scale. Several other organizations followed as being an effective tool for being influential in state-level education legislation and policy-making, although with increasingly lower effective ratings than IASA and IASB: Illinois Statewide School Management Alliance; Illinois Association of School Business Officials; Illinois Education Association/Illinois Federation of Teachers; Illinois Principals' Association; Large Urban District Association; and Education Research Develop. In contrast, superintendents affiliated with three organizations rated the affiliations with those organizations as ineffective in influencing state-level education legislation and policy-making: Association for Supervision and Curriculum; Federal Representation, Education and Communication; and Association of Illinois Rural and Small Schools.

The interviewed superintendents agreed with these ratings insofar as the first two organizations mentioned. The interviewees noted the Illinois Association of School Administrators and the Illinois Association of School Boards as the prominent organizations they utilized in their efforts to be influential.

Key Finding 6 – Aids and Impediments

Illinois public school superintendents responded that the only concern they perceived in influencing state-level education legislation and policy-making was that of graduate coursework preparation. On a Likert-type scale of 1 to 5, with 1 being the greatest impediment, 3 indicating neutrality, and 5 being the greatest aid, the mean score for graduate coursework preparation was 2.91, just below the neutrality midpoint. All other provided options, including a districts' finances and locale, relationships with legislators, political connections, and affiliations with educational organizations, were rated as aids with varying mean scores. Because the score was so close to the neutral mark, it may not indicate that the coursework was seen as an impediment so much as other possibilities, such as a simple lack of preparation or coverage.

The interviewed superintendents did not shed further light on this finding.

Key Finding 7 – Key Junctures in the Legislative Process

Illinois public school superintendents' knowledge of key junctures in the legislative process was good but did not affect their perceptions of their effectiveness in influencing state-level education legislation and policy-making. 88.1% of responding superintendents scored either Average or Above Average on the key junctures in the legislative process quiz; however, only 39.0% of those respondents perceived themselves as being effective in influencing state-level education legislation and policy-making.

The interviewed superintendents did not shed further light on this finding.

Key Findings as Related to the Findings of the Fogarty Study

The Fogarty study of 2011 was completed with the sample of eleven superintendents in Lake County, Illinois. The current study was completed with a population of all public school superintendents in the state of Illinois and a representative sample of 201 superintendents. A comparison of results could further results from both studies.

Fogarty found that the Lake County superintendents found professional organizations such as the IASA to be very helpful in their advocacy for student learning, specifically in the tools provided to better communicate with legislators. The current study also found professional organizations to be of value for all Illinois public school superintendents, with the same organization – the IASA – gaining top billing from the study respondents.

The Fogarty study also found that Lake County superintendents found lobbying efforts to be helpful, whether through professional organizations or other formats. The element that was most important was educating legislators about the challenges that school districts faced. Likewise, the current study found that educating legislators was an important act of superintendents, whether through professional organizations or building relationships with legislators.

Fogarty also found that the Lake County superintendents did not find working individually with legislators was particularly helpful in advocating for student learning. Less than half of Lake County superintendents found the practice successful, with key points being whether an individual relationship could be formed and whether the

legislator could understand what the superintendent was saying. The current study also found that superintendents did not find one-on-one meetings with legislators to be particularly effective in influence, and in interviews, responding superintendents noted that being able to make legislators understand their points was critical.

Fogarty developed four themes after the interviews with Lake County superintendents:

1. A “level of disillusionment to working with legislators” (p. 173);
2. That working with legislators was an opportunity to affect policy;
3. That party politics “impede the legislative process” (p. 173); and,
4. A lack of funds may make district less effective (Fogarty, 2011).

The current study was based on the ISLLC and ELCC standards 6, which included the concept that superintendents were to work with legislators in order to affect policy. The study also found, during the interviews, that party politics was an impediment to success in being influential. The current study, however, did not find any particular stated disillusionment among superintendents, although a sentiment of frustration among interviewed superintendents was certainly present. Nor was a lack of funds a concern in being effective – in fact, in the interviews, there was some indication that a lack of funds could bring a certain level of specific attention from legislators, in the right circumstances.

Interpretation and Implications for Illinois’ Public School Superintendents

Illinois’ public school superintendents were charged with a duty to influence state-level education legislation and policy-making. This study suggested that there were

concrete steps that superintendents should take in order to increase their levels of effectiveness.

First, superintendents should make strong efforts to form more personal relationships with their legislators. The types of relationships this study found to be the most effective in influencing state-level education legislation and policy-making were those in which the superintendent and the legislator maintained a close personal relationship, whether by belonging to a common organization or through an actual personal friendship. Efforts from afar were much less likely to be perceived as being influential in the process.

Second, superintendents should become active in professional organizations or other groups that provide access to legislators. Two organizations in particular were perceived to grant greater access to and therefore provided greater influence: the Illinois Association of School Administrators and the Illinois Association of School Boards. Also, the interviews indicated that some less formal groupings could provide access and help to build relationships necessary to becoming more influential.

Third, superintendents should have been active in number of administrative roles prior to becoming a superintendent. Involvement in multiple administrative roles prior to becoming a superintendent increased one's ability to be influential in state-level education legislation and policy-making. Superintendents who had held three or more prior administrative positions were much more likely to perceive success in being influential as compared to their peers who had been in a lesser number of administrative positions prior to becoming a superintendent.

Fourth, superintendents should enjoin their affiliated universities to ramp up the preparation programs for aspiring superintendents to do a better job of preparing them for the political aspects of the required work. The result from the study showed only one named impediment to the work of influencing state-level education legislation and policy-making – preparation through coursework – which was an indictment of university preparation programs in this area.

Recommendations for Future Research

The study of superintendents and their efforts to influence state-level education legislation and policy-making was relatively new with largely uncharted waters. This study indicated there were methods by which superintendents could become more influential. However, there were a number of elements left to be charted by future researchers.

Further research should examine factors seemingly beyond the direct reach of superintendents such as federal policy, party politics and how the flow of money plays a role in superintendents' ability to be influential. The interviewees made multiple statements related to this area, including frustration related to the onslaught of these elements. An imperative to being influential in state-level education legislation and policy-making appears to be the ability to overcome those elements at some level. Is there a need to bring more money from educational professional organizations in order to be more influential? Is it necessary to also be highly active in efforts to influence federal education legislation and policy-making in order to affect the parameters within which state government must proceed? How is a superintendent to work within the political

party climate while at the same time maintaining an air of political neutrality as demanded by the job?

Also needed is research into what efforts in educating legislators were the most effective. Are differentiated approaches necessary, and if so, how is a superintendent to determine what type of approach would work with his legislator? Is it solely the legislators' needs that had to be determined prior to the education process, or does the superintendent's own approaches in attempting to educate the legislator also a part of the perceived success or lack thereof? Is the superintendent's approach to educating the legislator the deciding factor in being influential, or only one of other factors yet to be determined or discovered?

Third, the concepts of locale and location need to be more fully explored. While the survey data did not indicate any relationship between a superintendent's locale and his effectiveness in influencing state-level education legislation and policy-making, the interviewees mentioned location as a factor in their efforts. What was meant by the superintendents in regard to location versus their NCES locale code? Is there a commonly accepted view of location that does not accede to the NCES locale code, and if so, how do superintendents tend to define their location? Are there actually locations that provided a superintendent with increased influence with his legislator? If so, is there a common thread between those who were more influential?

Fourth, the measurements of effectiveness in influencing state-level education legislation and policy-making were all measured by perception of the responding superintendents. There were no hard measures by which to compare the success of various superintendents. Is there a method or series of methods by which the results of a

superintendent's efforts at being influential could be more firmly attached to real structures as opposed to a purely perceptual framework? If so, what measures or series of measures would be necessary to quantify success or lack thereof?

Fifth, the study indicated that superintendents who had three or more prior administrative roles prior to becoming a superintendents perceived themselves to be much more effective in being influential than those who held a lesser number of positions. Was this merely a function of the number of roles and therefore differentiated methods of understanding the efforts necessary? Or was this relationship based more on specific types of prior administrative experiences, and if so, what are the types of experiences that were most likely to increase a superintendent's ability to be influential?

Sixth, to what extent are communications and collaborations occurring across professional organizations? Are best practices being shared, both among organizations and stakeholders?

Seventh, what was the cause of the differential in perceptions of success between superintendents in high school district compared to other districts, especially superintendents in elementary school districts? What do high school superintendents do differently that gives them a perception of greater success in influencing state-level education legislation and policy-making?

Eighth, did the elements of diversity lacking in the qualitative interviews skew the results and themes? Would the inclusion of females and minorities in the interviews have provided different or better conclusions?

Finally, the apparent lack of preparation through university programs for efforts to influence state-level education legislation and policy-making flew in the face of

university programs' usage of the ISLLC and ELCC standards six, which clearly elucidated the need for such efforts. Are the university programs actually teaching methods by which to address these standards? If so, what approach are the programs taking that seem to leave superintendents with the perception that the programs are not just not helpful to them, but an impediment to the process of being influential? If not, why are the university programs leaving this seemingly critical element out of the curriculum?

Contributions to the Literature

This study revealed there are concrete steps that superintendents can take in order to become more effective in influencing state-level education legislation and policy-making. There were also practices that were seen as less effective, and therefore should become of less importance in their efforts. Increasing personal relationships with legislators and putting less emphasis on letter-writing campaigns, due to the relative perceived influence of those methods, were two examples of potential changes in behaviors in efforts to be influential. Superintendents also indicated that belonging to certain professional organizations enhanced their ability to be influential, and other organizations were less helpful in such efforts. There was also a note for aspiring superintendents, as well as those who hire superintendents, regarding the number of administrative roles a superintendent should have been involved in prior to becoming a superintendent, if the superintendent and those who hire him are concerned with the efforts to be influential in state-level education legislation and policy-making.

Conclusion

The need for superintendents to be influential in state-level education legislation and policy-making, as resources continue to shrink, appears to be increasing, not only as driven by the ISLLC and ELCC standards, but also by professional organizations such as the Illinois Association of School Administrators. This study revealed there are methods that superintendents can utilize to make themselves more effective in being influential. These methods were all active methods that required the superintendent to reach out in some way to the legislator. Personal relationships were a strong driver of perceptions of success in being influential, and the closer the relationship, the better the perception of influence. Responding superintendents were also strongly tied to the notion that certain professional organizations, particularly the IASA, provided better access to legislators and therefore better options for being influential. The results also indicated, in order to be most successful, a superintendent needed to have been involved in multiple administrative positions prior to becoming a superintendent. There was also a recognition that university superintendent preparation programs had not done a good job of preparing aspiring superintendents for the work of influencing state-level education legislation and policy-making. Finally, there appeared to be no correlation between a superintendent's perceived success in being influential and his knowledge of the legislative process.

Superintendent C might have been the most pointed and yet most poignant regarding the need to be influential in state-level education legislation and policy-making:

It's maddening that I can't run this place like I'd like to run it, because I've got to look over my shoulder about what state mandate we've got to meet, or what regulation, what stupid hoop we've gotta jump through... We have to treat local communities with the uniqueness that they have, and that's the beauty of Vision

20/20. I'm hoping that carries some legitimacy with our legislators... We've got to get the message to them...

REFERENCES

- Advance Illinois. (2013). Illinois Must Act Now. Retrieved August 6, 2013, from
Advance Illinois: <http://www.advanceillinois.org/alternatives-to-proration-pages-333.php>
- Alliance Leadership Summit. (2015). Alliance Leadership Summit: Leading our schools in our communities. Retrieved February 17, 2015, from Cvent Online Event Registration: <http://www.cvent.com/events/alliance-leadership-summit/event-summary-6c02f6f53de74d86ae4d5b8e87d49eee.aspx>
- Avner, M. (2006). The lobbying and advocacy handbook for nonprofit organizations: Shaping public policy at the state and local level. St. Paul, Minnesota, United States: Fieldstone Alliance.
- Broadway, J. (2012, July 17). State slowly digging out of fiscal black hole. Jim Broadway's Illinois School Policy Updates. Springfield, Illinois, United States. Retrieved January 30, 2013
- Broadway, J. (2013, March 5). Bills clog first-chamber committee agendas; many will die soon. Jim Broadway's Illinois School Policy Updates. (J. Broadway, Ed.) Springfield, Illinois, United States. Retrieved March 5, 2013, from <http://www.schoolnewsservice.com/2013updates/030513clogged.htm>
- Broadway, J. (2015, January 29). Separate committee assigned to shape House charter school policy. State School News Service, 21(8).
- Broadway, J. (2015, February 12). TECHnically most School Code-amending bills have no effects. State School News Service, 21(14).

- Broadway, J. (2015, February 18). Like most Illinois tax policy, tax rate cut mostly benefits the rich. *State School News Service*, 21(16).
- Cambron-McCabe, N., Cunningham, L. L., Harvey, J., & Koff, R. H. (2005). *The superintendent's fieldbook*. Thousand Oaks, California, United States: Corwin Press.
- Cahill, J. (2015, January 17). Rauner's real task as governor is this: End corruption. *Crain's Chicago Business*. Retrieved January 31, 2015, from <http://www.chicagobusiness.com/article/20150117/ISSUE10/301179985/rauners-real-task-as-governor-is-this-ending-corruption>
- Canary, C., & Redfield, K. (2012, September 1). Lessons learned: What the successes and failures of recent reform efforts tell us about the prospects for political reform in Illinois. Retrieved March 10, 2013, from *The Simon Review (Occasional Papers of the Paul Simon Public Policy Institute)*: http://opensiuc.lib.siu.edu/cgi/viewcontent.cgi?article=1037&context=ppi_papers
- Carr v. Koch, 2012 IL 113414 (Illinois Supreme Court November 29, 2012). Retrieved July 31, 2013, from <http://www.state.il.us/court/Opinions/SupremeCourt/2012/113414.pdf>
- Carter, G. R., & Cunningham, W. G. (1997). *The American school superintendent: Leading in an age of pressure*. San Francisco, California, United States: Jossey-Bass Publishers.
- Center on Education Policy. (n.d.). *A brief history of the federal role in education: Why it began & why it's still needed*. Washington, D.C. Retrieved April 6, 2013, from <http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=5&cad=rj>

a&ved=0CEQQFjAE&url=http%3A%2F%2Fwww.cep-
 dc.org%2Fcfcontent_file.cfm%3FAttachment%3DStark-
 Rentner_BriefHistoryFedRoleEd_100199.pdf&ei=Yi9gUa6THYqhrAGnuIHwB
 A&usg=AFQjCNHxNBHppRDKvCvC9gvRg

Chamness, M. (2014, September). Farooqui issues call to defend public education, rouse silent majority. *Leadership Matters*, 2(8).

Collins, P. M. (2010). *Challenging the culture of corruption: Game-changing reform for Illinois*. Skokie, Illinois, USA: Acta Publications.

Cook, J. W. (1912). *Educational history of Illinois; growth and progress in educational affairs of the state from the earliest day to the present, with portraits and biographies*. Chicago, Illinois, United States: Henry O. Shepard. Retrieved April 7, 2013, from Internet Archive: <http://archive.org/details/educationalhisto00cook>

Creswell, J. W. (2009). *Research design*. Los Angeles, CA: Sage Publications, Inc.

Cubberley, E. P. (1922). *A brief history of education: A history of the practice and progress and organization of education*. Boston, Massachusetts, United States: Houghton Mifflin Company. Retrieved April 14, 2010, from <http://books.google.com/books?id=F6oAAAAAYAAJ&printsec=frontcover&output=reader&authuser=0&hl=en&pg=GBS.PP1>

D Ravitch. (January, 20 2013). [Web log comment]. Retrieved August 12, 2013, from dianeravitch.net: <http://dianeravitch.net/2013/01/20/illinois-time-to-rethink-common-core-and-slow-down/>

- Davey, M. (2008, December 9). Governor accused in scheme to sell Obama's Senate seat. The New York Times. Retrieved January 30, 2013, from http://www.nytimes.com/2008/12/10/us/politics/10Illinois.html?_r=0
- Davey, M. (2011, December 7). Blagojevich sentenced to 14 years in prison. The New York Times. New York, New York, USA. Retrieved March 3, 2013, from <http://www.nytimes.com/2011/12/08/us/blagojevich-expresses-remorse-in-courtroom-speech.html>
- Debertin, D. L., & Goetz, S. J. (1994, January). *Differences in rural and urban schools: Issues for Policymakers*. Retrieved January 7, 2015, from http://www.uky.edu/Ag/AgEcon/pubs/res_other/schlurvr.pdf.
- Dietrich, M. (2015, January 12). Bruce Rauner inaugural address: Let's make Illinois great again; it's going to take sacrifice. Retrieved January 31, 2015, from Reboot Illinois: <http://www.rebootillinois.com/2015/01/12/featured-articles/mattdietrich/bruce-rauner-inaugural-address-lets-make-illinois-great-going-take-sacrifice/31798/>
- Edwards, M. E. (2007). *The modern school superintendent: An overview of the role and responsibilities in the 21st century*. New York, New York, United States: iUniverse Inc.
- Enten, H. (2015, January 23). DataLab. Retrieved January 31, 2015, from FiveThirtyEight: <http://fivethirtyeight.com/datalab/ranking-the-states-from-most-to-least-corrupt/>
- Fogarty, J. (2011). *Political activity as advocacy: Through the eyes of the Illinois superintendent*. (Order No. 3454996, Loyola University Chicago). ProQuest

- Dissertations and Theses, 225. Retrieved from
<http://search.proquest.com/docview/871628616?accountid=14982>. (871628616).
- Gall, M. D., Gall, J. P., & Borg, W. R. (2007). *Educational Research*. Boston, MA: Allyn & Bacon.
- Gelak, D. R. (2008). *Lobbying and advocacy*. Alexandria, Virginia, United States: TheCapitol.Net.
- Glass, T. E. (2000). The superintendency: A historical perspective. In Glass, T. E., Bjork, L., & Brunner, C. C. (Eds.), *The Study of the American School Superintendency 2000* (1-7). Arlington, VA: American Association of School Administrators.
- Guarino, M. (2015, January 11). New Illinois Governor Bruce Rauner's inauguration raises questions of corporate influence. Retrieved January 31, 2015, from Huffington Post: http://www.huffingtonpost.com/2015/01/12/bruce-rauner-inauguration-corporate_n_6451146.html
- Handy, J. (2013, April 30). Support EQUITY in Education Funding. Retrieved August 6, 2013, from Stand for Children Illinois:
<http://stand.org/illinois/blog/2013/04/30/support-equity-education-funding>.
- Hoyle, J. R., Bjork, L. G., Collier, V., & Glass, T. (2005). *The superintendent as CEO: Standards-based performance*. Thousand Oaks, California, United States: Corwin Press.
- Illinois Association of School Administrators. (2013). About IASA. Retrieved November 6, 2013, from Illinois Association of School Administrators:
<http://www.iasaedu.org/about/>

Illinois Association of School Boards. (2013a). Alliance Legislative Report 98-19.

Springfield: Illinois Association of School Boards. Retrieved July 31, 2013, from <http://www.iasb.com/govrel/alr9819.cfm>

Illinois Association of School Boards. (2013b). Illinois Statewide School Management Alliance. Retrieved February 10, 2013, from Illinois Association of School Boards: <http://www.iasb.com/govrel/about.cfm>

Illinois Campaign Finance Task Force. (1997). Tainted democracy: How money distorts the election process in Illinois and what must be done to reform the campaign finance system. Springfield. Retrieved March 10, 2013, from <http://illinoisissues.uis.edu/projects/icfreport1996.pdf>

Illinois Constitution

Illinois Education Association. (2013). Mission & History. Retrieved April 13, 2013, from Illinois Education Association: <http://www.ieanea.org/about/history/>

Illinois Federation of Teachers. (2010). Home. Retrieved April 14, 2013, from Illinois Federation of Teachers: <http://www.ift-aft.org/home.aspx>

Illinois Freedom Coalition. (2013). nocommoncore.blogspot.com. Retrieved August 12, 2013, from No Common Core in Illinois: <http://nocommoncore.blogspot.com/>

Illinois General Assembly. (2013, June 17). Bill Status of SB1715, <http://www.ilga.gov/legislation/BillStatus.asp?DocNum=1715&GAID=12&DocTypeID=SB&SessionID=85&GA=98>. Retrieved January 3, 2014, from Illinois General Assembly.

Illinois House Democrats. (n.d.). How a bill becomes a law. Retrieved March 10, 2013, from Illinois House Democrats: <http://www.housedem.state.il.us/billlaw.htm>

- Illinois Review. (2013, April 10). Tea partiers work to stop Common Core curriculum in Illinois. Retrieved August 12, 2013, from Illinois Review:
<http://illinoisreview.typepad.com/illinoisreview/2013/04/common-core-.html>
- Illinois Senate GOP. (2013). School funding in Illinois: An examination. Retrieved April 6, 2013, from <http://www.senategop.state.il.us/Portals/0/Docs/Cost-Shift-FINAL.pdf>
- Illinois State Board of Education. (n.d.). Data analysis and accountability. Retrieved November 13, 2013, from Illinois State Board of Education:
http://www.isbe.net/research/xls/dir_ed_entities.xls.
- Illinois State Board of Education. (2013, April 12). apr12.htm. Retrieved August 6, 2013, from Illinois State Board of Education:
<http://www.isbe.state.il.us/news/2013/apr12.htm>
- Illinois State Board of Elections. (2013, January). Campaign Disclosure. Retrieved June 17, 2013, from Illinois State Board of Elections:
<http://www.elections.illinois.gov/Downloads/CampaignDisclosure/PDF/Contribution%20Limits.pdf>
- Illinois Statewide School Management Alliance. (2013). Alliance Legislative Report 98-07. Illinois Association of School Boards. Retrieved April 6, 2013, from <http://www.iasb.com/govrel/alr9807.cfm>
- Illinois Vision 20/20. (n.d.). Time to Engage with Legislators. Retrieved February 17, 2015, from Illinois Vision 20/20: <http://illinoisvision2020.org/wp-content/files/Time%20to%20Engage%20with%20Legislators.pdf>.

- Illinois Voices for Reform, Inc. (n.d.). SHELL BILLS. Retrieved January 3, 2014, from Illinois Voices for Reform, Inc.: <http://ilvoices.com/shell-bills.html>
- Ives, J. (2015, January 12). Time to take the game back from House Speaker Mike Madigan. Retrieved February 1, 2015, from Reboot Illinois: <http://www.rebootillinois.com/2015/01/12/editors-picks/jeanne-ives/jeanne-ives-time-take-game-back-house-speaker-mike-madigan/31740/>
- Jacoby, M. A. (2013, March). “Taking Back” the Vision for Public Education in Illinois – A New Policy Priority. Retrieved July 31, 2013, from www.iasbo.org: http://www.iasbo.org/files/public/SP13_p09_Office.pdf
- Joint Committee on Administrative Rules. (n.d.a). Joint Committee on Administrative Rules. Retrieved September 23, 2013, from Illinois Government: <http://www.ilga.gov/commission/jcar/>
- Joint Committee on Administrative Rules. (n.d.b). Illinois Rulemaking Process. Retrieved September 23, 2013, from Illinois Government: <http://www.ilga.gov/commission/jcar/ILRulemakingProcess.pdf>
- Jones, T. (2013, January 16). Dysfunction capital of U.S. moves to Illinois. Retrieved February 6, 2013, from Bloomberg: <http://www.bloomberg.com/news/2013-01-17/fighting-irish-make-illinois-center-of-fiscal-dysfunction.html>
- Klonsky, F. (2014, November 13). CBTA SB16: School Funding Reform Act of 2014 (Sen. Manar). Retrieved January 31, 2015, from Fred Klonsky: <https://preaprez.wordpress.com/2014/11/13/cbta-sb16-school-funding-reform-act-of-2014-sen-manar/>

- Konnert, M. W., & Augenstein, J. J. (1990). *The superintendency in the nineties: What superintendents and board members need to know*. Lancaster, Pennsylvania, Unites States: Technomic Publishing Company, Inc.
- Kowalski, T. J. (1999). *The school superintendent: Theory, practice, and cases*. (D. A. Stollenwerk, Ed.) Upper Saddle River, New Jersey, United States: Prentice-Hall, Inc.
- League of Women Voters. (2011). *The history of federal government in public education: Where have we been and how did we get here?* Retrieved April 6, 2013, from http://www.lwv.org/files/VoterReady_2_FedGovinPubEd.pdf
- Legislative Information System (n.d.b). *Bill status of HB3787*. Retrieved March 4, 2015, from Illinois General Assembly: <http://www.ilga.gov/legislation/BillStatus.asp?DocNum=3787&GAID=10&DocTypeID=HB&LegId=46593&SessionID=76&GA=96>.
- Legislative Information System. (n.d.c). *How A Bill Becomes Law in Illinois*. Retrieved June 18, 2013, from Illinois General Assembly: http://www.ilga.gov/commission/lis/98bill_law.pdf.
- Lobbyist. (n.d.). In *Dictionary.com, LLC online*. Retrieved January 9, 2014, from Dictionary.com: <http://dictionary.reference.com/browse/lobbyist>.
- Lodico, M. G., Spaulding, D. T., & Voegtle, K. H. (2006). *Methods in educational research*. San Francisco, CA: Jossey-Bass.
- Long, R., & Guerrero, R. (2013, May 2). *Madigan: Pension overhaul will pass muster with legislature -- and court*. Chicago Tribune. Retrieved August 6, 2013, from <http://articles.chicagotribune.com/2013-05-02/news/ct-met-illinois-pension->

reform-0502-20130502_1_pension-benefits-house-republican-teachers-president-dan-montgomery

Marshall, C., Mitchell, D., & Wirt, F. (1989). Culture and education policy in the United States. Bristol, Pennsylvania, USA: The Falmer Press.

Masters, N. A., Salisbury, R. H., & Eliot, T. H. (1964). State politics and the public schools: An exploratory analysis. New York, New York, United States: Alfred A. Knopf.

McKinney, D. (2014, September 10). Rauner calls on Quinn to disassociate himself from Lavin. Chicago Sun Times. Retrieved January 31, 2015, from <http://chicago.suntimes.com/politics/7/71/158981/rauner-calls-on-quinn-to-disassociate-himself-from-lavin/>

Mooney, C. Z., & Van Dyke-Brown, B. (2003). Lobbying Illinois: How you can make a difference in public policy. Springfield, Illinois, USA: Institute for Legal, Legislative and Policy Studies.

National Center for Education Statistics. (n.d.a). Prior Urban/Rural Classification Systems. Retrieved November 11, 2013, from National Center for Education Statistics: <http://nces.ed.gov/surveys/ruraled/priorclassification.asp>

National Center for Education Statistics. (n.d.b). Definitions. Retrieved November 11, 2013, from National Center for Education Statistics: <http://nces.ed.gov/surveys/ruraled/definitions.asp>

National Conference of State Legislatures. (2013). School Leadership. Retrieved February 3, 2013, from <http://www.ncsl.org>: <http://www.ncsl.org/issues-research/educ/school-leadership-licensure-and-certification.aspx>

- National Partnership for Women & Families (2014). *America's women and the wage gap*. Retrieved March 3, 2015 from <http://www.nationalpartnership.org/research-library/workplace-fairness/fair-pay/americas-women-and-the-wage-gap.pdf>.
- National Policy Board for Educational Administration. (2011). Program Standards and Report Forms. Retrieved September 24, 2013, from NCATE: <http://www.ncate.org/LinkClick.aspx?fileticket=tFmaPVIwMMo%3D&tabid=676>
- Nowlan, J. (2009, May). The politics of education: Erosion of local control. Illinois School Board Journal. Retrieved June 19, 2013, from http://www.iasb.com/journal/j050609_02.cfm
- Nowlan, J. D., Gove, S. K., & Winkel, R. J. (2010). *Illinois politics: A citizen's guide*. Champaign, Illinois, United States: University of Illinois Press.
- Nowlan, J. D., & Johnson, J. T. (2014). *Fixing Illinois: Politics and policy in the Prairie State*. Urbana, Chicago, and Springfield, Illinois: University of Illinois Press.
- Paprocki, M. (2012, November 7). Election yields Democratic supermajorities in Illinois General Assembly. Retrieved February 6, 2013, from Illinois Policy Institute: <http://illinoispolicy.org/blog/blog.asp?ArticleSource=5221>
- Peterson, G. J. (2011). Superintendent leadership. In S. Conley, & B. S. Cooper, *Finding, preparing, and supporting school leaders: Critical issues, useful solutions* (p. 162). Lanham, Maryland, United States: Rowman & Littlefield Education.
- Politics: Who gets what, when, how. (2013). In *Encyclopedia Britannica online*. Retrieved April 6, 2013, from Encyclopedia Britannica: <http://www.britannica.com/EBchecked/topic/679251/Politics-Who-Gets-What-When-How>

Quinn, P. (2013, February 6). Governor Quinn Delivers 2013 State of the State Address.

Retrieved February 10, 2013, from Pat Quinn, Governor:

<http://www2.illinois.gov/gov/Documents/State%20of%20the%20State/State%20of%20the%20State%202013.pdf>

Ravitch, D. (2013, March 10). Time to kill "No Child Left Behind". *Education Week*, 28(33), pp. 30, 36. Retrieved March 10, 2013, from Kelly Gallagher Building

Deeper Readers and Writers:

http://www.edweek.org/ew/articles/2009/06/04/33ravitch_ep.h28.html

Redfield, K. D. (2001). *Money counts: How dollars dominate Illinois politics and what we can do about it*. Springfield, Illinois, USA: The Institute for Public Affairs.

Redfield, K. D. (2010). Elections. In J. D. Nowlan, S. K. Gove, & R. J. Winkel, Jr., *Illinois politics: A citizen's guide* (p. 265). Urbana, Illinois, USA: University of Illinois Press.

Reeder, S. (2013, March 22). Illinois Senate Republicans author study that debunks Madigan's 'free lunch' claim. *The Telegraph*. Retrieved April 6, 2013, from http://www.thetelegraph.com/opinion/columnists/article_b56a5cdc-9334-11e2-8093-001a4bcf6878.html

Riopell, M. (2014, October 23). Lawmaker: Controversial school funding plan won't move soon. Retrieved January 31, 2015, from Daily Herald:

<http://www.dailyherald.com/article/20141023/news/141029227/>

Rosborg, J., McGee, M., & Burgett, J. (2003). *What every superintendent and principal needs to know: School leadership for the real world*. Santa Maria, California, United States: Education Communication Unlimited.

- Salles, A. (2012, July 16). Property Tax Protesters Hope to Send A Message. Retrieved July 31, 2013, from Oswego Patch: <http://oswego.patch.com/groups/politics-and-elections/p/property-tax-protesters-hope-to-send-a-message>
- Schwarm, B. (2013, September/October). How a bill really becomes law. Retrieved January 3, 2014, from Illinois Association of School Boards: http://www.iasb.com/journal/j091013_05.cfm
- Secretary of State. (2014, October 13). State of Illinois, Index Department - Lobbyists List. Retrieved April 13, 2013, from www.cyberdriveillinois.com: <http://www.cyberdriveillinois.com/departments/index/lobbyist/lobbyistlist.pdf>
- Sheltzer, J. M., & Smith, J. C. (2014). Elite male faculty in the life sciences employ fewer women. *PNAS*, *111*(28), 10107-10112. Retrieved March 3, 2015, from <http://www.pnas.org/content/111/28/10107.full.pdf+html>.
- Simpson, D., Nowlan, J., Gradel, T. J., Zmuda, M. M., Sterrett, D., & Cantor, D. (2012). Chicago and Illinois, leading the pack in corruption. University of Illinois at Chicago, Department of Political Science, Illinois Integrity Initiative of the University of Illinois' Institute for Government and Public Affairs, Chicago. Retrieved March 10, 2013, from <http://www.uic.edu/depts/pols/ChicagoPolitics/leadingthepack.pdf>
- Stand for Children Illinois. (n.d.). What we've done. Retrieved April 13, 2013, from Stand for Children Illinois: <http://stand.org/illinois/about/what-weve-done>
- State Universities Retirement System of Illinois. (2012). How a bill becomes law in Illinois. Retrieved March 4, 2015, from http://www.surs.org/pdfs/legal/How_a_Bill_Becomes_a_Law.pdf.

- The Council of Chief State School Officers. (2008). Educational Leadership Policy Standards: ISLLC 2008. Washington, DC: Council of Chief State School Officers. Retrieved July 17, 2012, from http://www.ccsso.org/Documents/2008/Educational_Leadership_Policy_Standards_2008.pdf
- The University of Texas at Austin. (2011, September 21). Response rates. Retrieved January 8, 2014, from Instructional Assessment Resources: <http://www.utexas.edu/academic/ctl/assessment/iar/teaching/gather/method/survey-Response.php>.
- U.S. Constitution
- U.S. Const. amend. I. Retrieved March 2, 2015, from <http://www.uscis.gov/sites/default/files/USCIS/Office%20of%20Citizenship/Citizenship%20Resource%20Center%20Site/Publications/PDFs/M-654.pdf>.
- United States Census Bureau. (2013, May 6). Metropolitan and Micropolitan. Retrieved November 11, 2013, from United States Census Bureau: <http://www.census.gov/population/metro/>.
- United States Department of Education. (1995). Seventeenth Annual Report to Congress on the Implementation of the Individuals with Disabilities Education Act. Retrieved November 11, 2013, from <http://www2.ed.gov/pubs/OSEP95AnlRpt/ch7a-1.html>
- Urduan, T. C. (2005). Statistics in plain English. Mahwah, New Jersey: Lawrence Erlbaum Associates, Inc., Publishers.

- Vagias, W. (2006). *Likert-type scale response anchors*. Retrieved February 22, 2015, from www.academia.edu: http://www.academia.edu/4384441/Likert-Type_Scale_Response_Anchors_Citation_Vagias_Wade_M._2006_._.Likert-type_scale_response_anchors._Clemson_International_Institute_for_Tourism
- Wheeler, G. (2011, July/August). School reform: Beyond silver bullets, capes. *Illinois School Board Journal*.
- Wilson, R. E. (1960). *The modern school superintendent: His principles and practices*. Westport, Connecticut, United States: Greenwood Press.
- Wise, T. (2010). *Colorblind*. San Francisco, CA: City Lights.
- Wood, J. B. (1994). *The Texas school superintendent's role in state level educational decision-making*. (Order No. 9430350, East Texas State University). ProQuest Dissertations and Theses, 144-144 p. Retrieved from <http://search.proquest.com/docview/304142384?accountid=14982>. (304142384).
- Zamzow, Jr., C. W. (2009). *Illinois politics: Corruption, selfishness, greed*. Ottawa, Illinois, USA: Jupiter Technical Solutions.

APPENDIXES

APPENDIX A

Political Knowledge, Experiences, and Success Survey

State-Level Education Legislation and Policy-Making Influence Survey

1. Introduction and Consent

I would appreciate your support in a research study to determine the level of involvement of Illinois public school superintendents and their influence related to state-level education legislation and policy-making. The purpose of this research is to determine the level of involvement, political activities, and self-described level of influence of public school superintendents in the state of Illinois in regard to state-level educational policy-making. You were selected as a possible participant because you are a public school superintendent in the state of Illinois.

Please read this page. If you have any questions about the research study, please contact: Dan Oakley, 309-255-9814, doakley1964@gmail.com; or supervisor Dr. Sandra Watkins, Educational Leadership Department, Western Illinois University, 309-298-1070, SG-Watkins@wiu.edu.

The survey questions will be about: 1. information related to your experiences in influencing state level education legislation and policy; and 2. questions regarding your knowledge of key points in the state level legislative and policy making process.

Your participation in this research study is voluntary. If you decide to participate in this research survey, you may withdraw at any time. If you decide not to participate in this study or if you withdraw from participating at any time, you will not be penalized and no benefits for which you would otherwise be entitled will be forfeited.

The procedure involves filling an online survey that will take approximately 30 minutes. Your responses will be confidential and we do not collect identifying information such as your name, email address or IP address, unless you wish to provide such information to us later in the survey.

We will do our best to keep your information confidential. All online survey data is stored in a password protected electronic format. To help protect your confidentiality, the surveys will not contain information that will personally identify you, unless you choose to give us that information during the course of the survey. The results of this study will be used for scholarly purposes only.

This research has been reviewed according to Western Illinois University IRB procedures for research involving human subjects.

We appreciate your participation in this survey.

ELECTRONIC CONSENT: Please select your choice below.

Clicking on the "agree" button below indicates that:

- you have read the above information
- you voluntarily agree to participate

If you do not wish to participate in the research study, please decline participation by clicking on the "disagree" button.

***1. I give consent to participating in the research project and to allow my responses to be used as a part of the project.**

Agree

Disagree

State-Level Education Legislation and Policy-Making Influence Survey**2. Demographics*****2. What is your gender?** Female Male***3. What is your age category?** Under 30 30-39 40-49 50-59 60-69 70 and over***4. For how many years have you been a superintendent, including this school year?** 5 or less 6-10 11-15 16-20 21-25 26-30 31 or more***5. How many total years have you been in the field of education?** Five or less 6-10 11-15 16-20 21-25 26-30 31 or more

State-Level Education Legislation and Policy-Making Influence Survey**6. What other types of administrative experience have you had?**

- Principal
- Assistant Principal
- Chief School Business Officer/Business Manager
- Assistant Superintendent
- Curriculum Director

Other (please specify)

***7. How many students are in your current school district, based on your fall enrollment count? If you are a superintendent for more than one district, use your combined student enrollment.**

- Less than 500
- 501-1000
- 1001-2000
- 2001-3000
- 3001-5000
- 5001-10000
- 10001-20000
- 20000 or more

***8. What is the configuration of your current school district?**

- Unit district
- Elementary district
- High school district
- Both elementary and high school
- Multiple districts
- Other (please specify)

State-Level Education Legislation and Policy-Making Influence Survey

***9. What is your current district's level of state funding as a percentage of total revenues?**

- 0-20%
- 21-40%
- 41-60%
- 61-80%
- 81-100%

***10. What is your current district's poverty level, based on the district's latest DHS Low Income calculation and the district's 2013-2014 ADA?**

- 0-20%
- 21-40%
- 41-60%
- 61-80%
- 81-100%

***11. With which of the following location codes would you classify your current district?**

- City
- Suburb
- Town
- Rural

***12. What type(s) of association do you currently have with state-level representatives/senators? (choose all that apply)**

- State representative/senator lives in my school district
- State representative/senator lives in a neighboring school district
- State representative/senator does not live in my or a neighboring school district
- State representative/senator's children attend my school district
- State representative/senator lives in my neighborhood
- State representative/senator and I share common organizations such as church or community clubs and organizations
- State representative/senator and I have familial ties, either by birth or by marriage
- State representative/senator and I have a personal relationship aside from professional relationship
- Other (please specify)

State-Level Education Legislation and Policy-Making Influence Survey

3. State-level education legislative/policy-making processes

***13. The following is a quiz that relates to the legislative process and legislative control in Springfield. Please respond to each statement with True, False, or Don't Know.**

False	Neutral	True
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Lobbyists and advocates may not legally advocate for legislation outside of committee hearings.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Legislation must be passed in the exact same form from each house and signed by the Governor in order to become law.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Governor retains a measure of control over legislation that has become law through the proposal of rules to the Joint Committee on Administrative Rules by "coded agencies" such as the Illinois State Board of Education.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Any member of either the Illinois House or Senate may introduce legislation, as prescribed by the Constitution and House and Senate rules.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assignments to legislative committees are made on the basis of seniority only.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Governor can veto legislation sent to his desk by simply refusing to sign the legislation.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Joint Committee on Administrative Rules solely undertakes the task of developing rules for any legislation that becomes law.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A bill can be "killed" by a floor vote of the house on either the first, second, or third reading.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A bill passed in one chamber and then amended in the second chamber is effectively dead legislation.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A committee can effectively "kill" a bill during a hearing on the bill by not returning the bill to the floor of the chamber.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A bill that is not substantially amended during passage in the first chamber of the General Assembly may not be substantially amended in the second chamber.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Legislation may be amended at any point during the bill process.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A bill that has passed both houses but with amended language can be sent to a conference committee to iron out differences that, upon agreement, would then be resubmitted to each house.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The majority and minority leaders of each house, during any election, may choose to financially support all, some, or no candidates.		
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

State-Level Education Legislation and Policy-Making Influence Survey

4. Modes of access to legislators

*** 14. Through what mode(s) do you contact state-level legislators in order to influence state-level legislation/policy-making? (choose all that apply)**

	Never	Sometimes	Occasionally	Often	Always
One-to-one meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
As part of a small group, such as an ROE meeting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
As part of a professional organization, including IASA, IASB, IASBO, or IPA	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Through the Alliance (Illinois Statewide School Management Alliance)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
As part of an audience at professional conferences or seminars	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Telephone	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Email	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Letter	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Internet-based teleconference, such as Skype or Google Hangout	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Social media (Facebook, Twitter, etc.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Legislative events in the legislative district	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Legislative events at the capitol	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Attended with or alumnus of same high school	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Attended with or alumnus of same college or university	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify)					

State-Level Education Legislation and Policy-Making Influence Survey

Other (please specify)

***16. Through what educational organization(s) do you seek to influence state-level education legislation/policy-making? (choose all that apply)**

	Never	Sometimes	Occasionally	Often	Always
Alliance (Illinois Statewide School Management Alliance)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Association of Illinois Rural and Small Schools (AIRSS)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Association for Supervision and Curriculum Development (ASCD)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Education Research Development (ED-RED)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Federal Representation, Education and Communication (FED ED)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Illinois Education Association/Illinois Federation of Teachers (IEA/IFT)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Illinois Association of School Administrators (IASA)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Illinois Association of School Boards (IASB)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Illinois Association of School Business Officials (IASBO)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Illinois Principals' Association (IPA)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Large Urban District Association (LUDA)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

State-Level Education Legislation and Policy-Making Influence Survey

***17. Rate your perceived level of effectiveness in influencing state-level education legislation through the organization(s) noted. Use the Likert scale from Highly Effective to Highly Ineffective.**

Highly Ineffective	Mostly ineffective	Somewhat Ineffective	Neutral	Somewhat Effective	Mostly Effective	Highly Effective	N/A
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Alliance (Illinois Statewide School Management Alliance)							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Association of Illinois Rural and Small Schools (AIRSS)							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Association for Supervision and Curriculum Development (ASCD)							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Education Research Development (ED-RED)							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Federal Representation, Education and Communication (FED ED)							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Illinois Education Association/Illinois Federation of Teachers (IEA/IFT)							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Illinois Association of School Administrators (IASA)							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Illinois Association of School Boards (IASB)							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Illinois Association of School Business Officials (IASBO)							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Illinois Principals' Association (IPA)							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Large Urban District Association (LUDA)							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other							
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify)							
<input type="text"/>							

State-Level Education Legislation and Policy-Making Influence Survey

***18. The following are possible aids or impediments in influencing state-level educational legislation and policy-making. Please use the Likert-type scale to indicate your experience (s) for each.**

	Greatly inhibits	Somewhat inhibits	Neither inhibits nor facilitates	Somewhat facilitates	Greatly facilitates
Relationships with legislator	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Educational PACs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Educational Organizations (IASA, LUDA, etc.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Regional Support Groups (ROE, etc.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Locale	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Finances	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Political connections	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Graduate coursework preparation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify)	<input type="text"/>				

State-Level Education Legislation and Policy-Making Influence Survey**5. Perceived Success in Influencing State-Level Education Legislative/Policy-M...**

***19. Overall, how would you rank your efforts to influence state-level education legislation/policy-making? Use the Likert scale from Highly Effective to Highly Ineffective.**

Highly Ineffective	Mostly ineffective	Somewhat Ineffective	Neutral	Somewhat Effective	Mostly Effective	Highly Effective
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

20. Would you be willing to be interviewed regarding your experiences?

- Yes
 No

State-Level Education Legislation and Policy-Making Influence Survey**6. Personal information****21. If your answer to Question 17 was YES, please complete the following:**

Name	<input type="text"/>
District	<input type="text"/>
Telephone number	<input type="text"/>
Email address	<input type="text"/>

State-Level Education Legislation and Policy-Making Influence Survey**7. Thank You!**

Thank you for taking this survey.

APPENDIX B

Institutional Review Board Approval



**WESTERN
ILLINOIS
UNIVERSITY**

Hello,

Western Illinois University Institutional Review Board, FWA00005865, has reviewed and approved your INITIAL REVIEW in accordance with all applicable statutes and regulations as well as ethical principles.

Reference Receipt#: 301318174/22/2014

PI NAME: SANDRA WATKINS

PROJECT TITLE: Illinois Public School Superintendents: Influencing State-Level Education Legislation and Policy-Making in Illinois

STUDENT INVESTIGATOR NAME: DANIEL OAKLEY

IRB ID: #3013

APPROVAL DATE: 5/2/2014

EXPIRATION DATE: 5/1/2015

LEVEL OF REVIEW: Expedited

Please Note: Modifications do not extend the expiration of the original approval

Approval of this project is given with the following obligations:

- 1. If this IRB approval has an expiration date, an approved renewal must be in effect to continue the project prior to that date. If approval is not obtained, the consent form(s) and recruiting material(s) are no longer valid and any research activities involving human subjects must stop.**
- 2. When the project is finished or terminated, a completion form must be completed and sent to the board.**
- 3. No change may be made in the approved protocol without prior board approval, whether the approved protocol was reviewed at the Exempt, Expedited or Full Board level.**
- 4. Exempt approval are considered to have no expiration date and no further review is necessary unless the protocol needs modification.**

Approval of this project is given with the following special obligations:

Thank you,

Belinda Adamson, B.S., M.Ed., CIP
Compliance Specialist
Western Illinois University

Office of Sponsored Projects
Sherman Hall 320, 1 University Circle, Macomb, IL 61455-1390
Tel 309. 298.1191 Fax 309.298.2091



WESTERN ILLINOIS UNIVERSITY
 INSTITUTIONAL REVIEW BOARD
 (FWA: 00005865)
 1 University Circle, Sherman Hall 320
 Macomb, IL 61455
 Telephone: 309-298-1191 Fax: 309-298-2091
 Email: IRB@wiu.edu

Review of Research Involving Human Subjects

Guidelines for completing this research protocol:

- All research protocols must be typed.
- Each individual on the research team that needs to be listed on the approval letter must be listed as an investigator or co-investigator on this form.
- If new personnel are added after IRB approval you must notify the IRB by submitting the WIU Review and Monitoring Form.
- All items on the research protocol must be answered (*see the exception for existing data protocols). If a particular item does not relate to your protocol, indicate "not applicable."
- In order to ensure a timely review, research investigators are encouraged to be clear and concise, use lay language, and avoid the use of discipline specific language.

Before you submit your research materials check the boxes below to ensure that you have the following documents prepared for IRB review:

- Adequate training of research team (i.e., you must submit a copy if OSP does not already have a copy of your NIH/CITI training certificates on file)
- Complete IRB protocol
- Informed consent/assent/parental permission document(s)
- Research materials (e.g., surveys, interview items, questionnaires for data collection, etc.)
- Recruitment materials
- Letter(s) of support

*Guidelines for completing the IRB protocol and other research materials can be located at: <http://www.wiu.edu/irbform>.

Complete research protocols should be submitted electronically to:

The Office of Sponsored Projects
 C/O: Jacqueline Reid, Compliance Specialist
irb@wiu.edu

If you have questions, please contact Jacqueline Reid, Compliance Specialist at 309-298-1191.

Section 1. Research Personnel	
<i>In the space provided, include all individuals who will interact or intervene with human subjects or their private, identifiable information. Additional personnel can be added under Section 9. If new members are added to your research team after IRB approval, the PI must submit the WIU Review and Monitoring Form with the information below.</i>	
Project Title:	Illinois Public School Superintendents: Influencing State-Level Education Legislation and Policy-Making in Illinois
Principal Investigator/ Faculty Advisor: <i>(Cannot be a student investigator.)</i>	Dr. Sandra G. Watkins
Department:	Educational Leadership
Address:	
Telephone Number:	309-298-1070
Email Address:	Sg-watkins@wiu.edu
Research with Human Subjects Training:	<input checked="" type="checkbox"/> NIH <input type="checkbox"/> CITI – Social and Behavioral Module
Co-Investigator/Student Investigator:	Daniel L Oakley
Department/Non-WIU Affiliation:	Educational Leadership
Telephone Number:	309-255-9814
Email Address:	Doakley1964@ymail.com
Research with Human Subjects Training:	<input checked="" type="checkbox"/> NIH <input type="checkbox"/> CITI – Social and Behavioral Module <input type="checkbox"/> CITI – Student Class Projects Module
Co-Investigator/Student Investigator: <i>(List additional investigators under section 9.)</i>	
Department/Non-WIU Affiliation:	
Telephone Number:	
Email Address:	
Research with Human Subjects Training:	<input type="checkbox"/> NIH <input type="checkbox"/> CITI – Social and Behavioral Module <input type="checkbox"/> CITI – Student Class Projects Module
Is another institution engaged in the research? (i.e., an agent of another institution/entity will interact or intervene with human subjects or their identifiable private information for research purposes, or obtain informed consent.) <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes	
Is another institution or review committee reviewing this research proposal? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes, list the institution(s): If yes, has approval been obtained: <input type="checkbox"/> No <input type="checkbox"/> Yes <i>(Submit all documentation from the external committee for IRB review, if applicable.)</i>	
Section 2. Funding or Anticipated Funding Source	
<input checked="" type="checkbox"/> Not Applicable <input type="checkbox"/> Name of External Funding Agency: <input type="checkbox"/> Name of Internal Grant Program:	
Contract or Grant Title:	
Contract or Grant Number:	<input type="checkbox"/> N/A - funding is pending

Section 3: Participant Population and Recruitment
<p>1. Targeted participant population, select all that apply:</p> <p>Age: <input checked="" type="checkbox"/> Adults (>/= 18 years old) <input type="checkbox"/> Minors (< 18 years old) <input type="checkbox"/> Specific age range:</p> <p>Gender: <input checked="" type="checkbox"/> No targeted gender population (i.e., both males and females will be recruited) <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Other (e.g., Transgender):</p> <p>Race: <input checked="" type="checkbox"/> No targeted race population (i.e., a variety of races will be recruited) <input type="checkbox"/> African-American/Black <input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Asian <input type="checkbox"/> Hispanic/Latino <input type="checkbox"/> Indian (India) <input type="checkbox"/> Middle Eastern <input type="checkbox"/> Native-American <input type="checkbox"/> Non-Hispanic White <input type="checkbox"/> Other:</p> <p>Sexual orientation: <input checked="" type="checkbox"/> No targeted sexual orientation population <input type="checkbox"/> Heterosexual <input type="checkbox"/> Sexual minority (e.g., homosexual, bisexual), specify:</p> <p>College students: <input checked="" type="checkbox"/> No targeted college population <input type="checkbox"/> WIU general student body <input type="checkbox"/> Targeted WIU student population (provide the instructor or course information, name of the departmental subject pool, or specific characteristics): <input type="checkbox"/> Students at institution(s) other than WIU, specify:</p> <p>Other: <input type="checkbox"/> Illiterate <input type="checkbox"/> Inpatient participants <input type="checkbox"/> Institutionalized participants <input type="checkbox"/> Low income or economically disadvantaged persons <input type="checkbox"/> Non-English speaking <input type="checkbox"/> Mentally/Emotionally/Developmentally Disabled or impaired decision making capacity <input type="checkbox"/> Outpatient participants <input type="checkbox"/> Physically impaired <input type="checkbox"/> Pregnant women <input type="checkbox"/> Prisoners <input checked="" type="checkbox"/> Other: Illinois Public School Superintendents</p>
<p>2. Describe participant characteristics not included above, if applicable: <input checked="" type="checkbox"/> Not applicable</p>
<p>3. For each group of participants,</p> <p>a. Describe inclusion criteria (if children, prisoners or other vulnerable participants will be recruited, explain why their inclusion is necessary): Must currently, as of the survey date, be a superintendent of a public school district in the state of Illinois.</p> <p>b. Describe exclusion criteria: Does not include Chicago Public Schools superintendent</p>
<p>4. For each group of participants,</p> <p>a. Provide an estimated population size: 865</p>

<p>b. Provide an estimated sample size: 865</p>	
<p>5. If participants are selected from records, (<input type="checkbox"/> Not applicable) a. Provide the name of the individual who has given the research team permission to use the records: Public records available via FOIA request from the Illinois State Board of Education</p> <p>b. Are the records private student or medical records? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><i>(Include the appropriate documentation to obtain these records, e.g., consent forms, FERPA/HIPAA release form, etc.)</i></p>	
<p>6. Recruitment procedures, select all that apply:</p> <p><input type="checkbox"/> Student subject pool <input checked="" type="checkbox"/> E-mail distribution via: <input type="checkbox"/> TeleSTARS <input type="checkbox"/> Personal email account <input checked="" type="checkbox"/> Survey software tool (e.g., SurveyMonkey, Qualtrics, etc.), specify: SurveyMonkey <input type="checkbox"/> U.S. mail <input type="checkbox"/> Handout/flyer <input type="checkbox"/> Web site ad <input type="checkbox"/> Newspaper ad <input type="checkbox"/> Verbal announcement <input type="checkbox"/> Other, specify:</p> <p><i>(Submit all recruitment materials, written materials as well as a sample of verbal recruitment announcements, for IRB review and approval, if applicable.)</i></p>	
<p>7. For each group of participants, describe the details of the recruitment process (e.g., how are you obtaining email/ mailing addresses, where are you distributing flyers, describe snowball sampling, etc.). The email list will be obtained by FOIA request from the Illinois State Board of Education. All superintendents will be notified by email two weeks prior to the release of the survey, and then will be notified again that the survey is available.</p>	
<p>8. Describe how permission has been or will be obtained from outside institutions or entities to recruit, conduct research, or access records at their site. (<input checked="" type="checkbox"/> Not applicable)</p> <p><i>(Append letters of support from outside entities, if applicable.)</i></p>	
<p>9. What, if any, relationship exists between the researcher(s) and participants involved in the research or records? (<input type="checkbox"/> Not applicable) The student researcher and the participants are all public school superintendents in the state of Illinois.</p>	
<p>10. Describe any compensation, monetary inducements, or reimbursement for participation (e.g., if participants are paid or offered extra credit, include the amount, how and when it will be coordinated). (<input checked="" type="checkbox"/> Not applicable)</p>	

Section 4. Informed Consent Procedures

1. Will participants sign a written consent/assent/parental permission document? Check Yes/No below.

(For an explanation of the elements of informed consent and documenting it, please see: <http://www.wju.edu/consent/>).

<input type="checkbox"/> Yes	<p>If yes,</p> <p>a. By whom will written consent be obtained (e.g., PI, student researcher, etc.):</p> <p>b. Describe the method that will be used to obtain voluntary informed consent/assent/parental permission (e.g., consent letter/form, script for phone interview, etc.) and in what setting will it be obtained (e.g., in-person, by phone, in a classroom, in the workplace).</p> <p>c. For assent/parental permission procedures, describe how you will ensure that only minors with</p>
------------------------------	---

	<p>parental permission forms will be included in the research. If applicable, describe how you will match or align minor assent forms with parental permission forms. <input type="checkbox"/> Not applicable</p> <p>d. Will participants receive a copy for their records? <input type="checkbox"/> Yes <input type="checkbox"/> No, explain:</p> <p><i>(Submit all informed consent documents for IRB review and approval.)</i></p>
<input checked="" type="checkbox"/> No	<p>If no,</p> <p>a. Will participants be asked to complete an online survey in which the research team will present them with a written statement including all of the required elements of consent and will they be asked to complete the survey, thereby ensuring their voluntary participation in the research? <input checked="" type="checkbox"/> Yes (skip to part d. below) <input type="checkbox"/> No</p> <p>b. If participants will not sign a written consent/assent/parental permission document or be presented with a written statement, you must explain in detail why a written statement will not be utilized and how you will ensure voluntary participation in research (e.g., oral consent procedures).</p> <p>c. If participants will not sign a written consent/assent/parental permission document, will they receive an information sheet that provides them with what they need to know before deciding to participate? <input type="checkbox"/> Yes <input type="checkbox"/> No, explain:</p> <p>d. Will participants receive a copy for their records? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No, explain: The consent page will not automatically present for printing purposes, but participants may print a copy for their records.</p> <p><i>(Submit all information sheets for IRB review and approval, if applicable.)</i></p>
	<p>2. If potential participants or their legally authorized representatives are non-English speaking, please explain how the investigator will identify these participants and ensure their ability to understand information about the study to provide consent. <input checked="" type="checkbox"/> Not applicable</p>
	<p>3. Indicate factors that might interfere or influence consent procedures:</p> <p><input checked="" type="checkbox"/> No known factors.</p> <p><input type="checkbox"/> Research will involve enrolled students in a course/program taught by a member of the research team.</p> <p><input type="checkbox"/> Participants are employees whose supervisor(s) is/are recruiting/requiring participation.</p> <p><input type="checkbox"/> Participants have a close relationship to research team.</p> <p><input type="checkbox"/> Other, specify any relationship that exists between the research team and the participants:</p> <p>a. Describe the procedures to mitigate the above factors: <input type="checkbox"/> Not applicable</p>

Section 5. Study Description

1. Provide a brief description of the purpose of the proposed research project, including research questions or hypotheses, and any relevant background information. Use language understood by a person unfamiliar with your area of research.

The ISLLC and ELCC standards both indicate that school superintendents should be involved in influencing education public policy, including at the state level. This area has had little scientific research, with only one study in Texas and one study in Illinois in the past 20 years. This research study will garner demographics regarding Illinois public school superintendents' activities and successes in influencing state-level education policy in order to garner resources for the students of the superintendent's district. It will also look at the subset of rural superintendents in comparison to the population to determine what commonalities there are between the two groups.

Background information: Public school superintendents in the state of Illinois face a phalanx of issues in attempting

to reach the goal of influencing state-level education policy. The state's complex legislative structure plays a large part, especially the role of money and control as displayed by the Speaker of the House and the President of the Senate. There is a stain of corruption in the legislative process, in some cases actual, but more often perceived, as those who make large donations to campaigns are usually the ones given the golden key to help craft legislation. In the face of this, public school superintendents face an uphill battle in trying to influence legislation. Even through their professional organizations, the amount of money that can be donated pales in comparison to many special interest groups.

Research questions are:

1. What level of knowledge do Illinois' superintendents possess regarding the state-level legislative and policy-making process?
2. Through what modes do Illinois' superintendents attempt to influence state-level legislation and policy-making?
3. Through what specific educational organizations do Illinois' superintendents attempt to influence state-level educational legislation and policy-making?
4. To what extent do Illinois' superintendents perceive their efforts to influence state-level educational legislation and policy-making to be successful?
5. What activities, affiliations, or relationships do Illinois' superintendents believe are helpful in being successful in their efforts to influence state-level educational legislation and policy-making?
6. What activities, affiliations, or relationships do Illinois' superintendents believe are obstructions or impediments to being successful in their efforts to influence state-level educational legislation and policy-making?
7. What are the commonalities among superintendents who self-determined success with state-level legislation and policy-making?
8. What was the effect of a superintendent's locale in influencing state-level education legislation and policy-making?

2. Type of research, select all that apply:

- Faculty/independent research
- Student research
- Class project – course:
- Honor's thesis or project/Master's thesis/Dissertation
- Research conducted in established or commonly accepted educational settings, involving normal educational practices (e.g., effectiveness of or the comparison among instruction techniques, curricula, or classroom management methods).
- Other, specify:

3. Do you plan to publish, present, or archive your results? Yes No Uncertain

4. Provide an estimated data collection period: August/September 2014
(This timeframe must begin after the IRB approval date.)

Section 6. Study Procedures

1. Select all research methods that apply:

- Paper surveys/questionnaires
- Online surveys/questionnaires, specify which survey software tool:
- Telephone surveys/questionnaires
- Standardized written/oral/visual tests
- Intervention (e.g., experimental manipulation)
- Interviews
- Focus groups
- Oral history
- Field work: public observation classroom observation work site observation Other:
- Ethnography: participant observer participant-observer
- Voice, video, digital or image recordings made for research purposes
- Moderate exercise and muscular strength

<input type="checkbox"/> Materials (i.e., archived data, documents, records, or biological specimens) that have been collected or will be collected for non-research purposes. <input type="checkbox"/> Materials (i.e., archived data, documents, records, or biological specimens) that have already been collected or that which currently exists. Provide the source of the existing or archived data: <input type="checkbox"/> Collection or study of materials (i.e., archived data, documents, records, or biological specimens) that are publicly available or if the information is recorded so that participants cannot be identified, directly or indirectly through identifiers <input type="checkbox"/> Materials (i.e., archived data, documents, records, or biological specimens) that have been collected for another research project <input type="checkbox"/> Other, specify:
2. List and briefly describe the testing instruments, surveys, interview items, and/or additional research materials which will be used in the research (<i>instruments included in this item must be labeled and submitted for review</i>): <input type="checkbox"/> Not applicable Political Knowledge, Experiences, and Success Survey Informed Consent Document - Interviews <i>(Submit all materials for IRB review and approval, if applicable. The titles or labels you use in this item must match your submitted materials. Do not submit copyrighted or print restricted materials. In the space above provide a description and indicate that there are copyright and/or print restrictions.)</i>
3. Describe the research methods (i.e., the methods selected in Item 1), procedures to be used, and the tasks participants will be asked to complete (i.e., the materials described in Item 2): <p>The research design is a mixed-methods approach, with a sequential explanatory design. There will be a quantitative survey followed by qualitative interviews.</p> <p>Participants will be asked to complete the survey online. The research population will be notified by email two weeks prior to the opening of the study. When the survey is opened, the population will again be notified by email. The survey will be held open for a period of four weeks, with an email reminder being sent after two weeks.</p> <p>The quantitative portion of the study will utilize a descriptive research design, a sample at one point in time. Data will be collected from responses to an online survey. The survey will contain a consent form at the beginning of the survey, and will be comprised of research-developed questions.</p> <p>The qualitative portion of the study will utilize interviews with three self-identified superintendents through the earlier survey instrument. The three superintendents will be randomly selected from the complete pool of self-identified superintendents. Questions developed for the interviews will follow the quantitative survey, as the purpose of the qualitative interviews is to enhance the quantitative data obtained. Participants will be asked to sign a consent form prior to the interviews. The interviews will be audio recorded. The recordings will be transcribed and coded in written format.</p> <p>All recorded and written data will be stored either in a locked file cabinet in the researcher's home, or on a password protected computer available only to the researcher, in order to protect individual identities and responses.</p> <p><i>(Your procedures should be presented in sequence and include details of any equipment or interventions to be used; clearly distinguish between activities that are research and activities that would occur regardless of whether the research was being conducted; describe what non-participants will do during this period, e.g., activities and supervision.)</i></p>
4. Describe any other data or data collection tools not included in item 1, 2, or 3 above (e.g., items included on the demographic sheet, data collection sheet, collection of unique identifiers or IP addresses): <input type="checkbox"/> Not applicable List of superintendent names, mailing addresses, and email addresses from ISBE via FOIA <i>(Submit all materials for IRB review and approval, if applicable.)</i>
5. Location of research, select all that apply: <input type="checkbox"/> Western Illinois University Macomb Campus, specify the general characteristics of the location (e.g., reserved

<p>classroom, open computer lab, University Union or Library, etc.) or if available the specific location (e.g., building and/or room number):</p> <p><input type="checkbox"/> Western Illinois University Quad Cities Campus, specify the general characteristics of the location (e.g., reserved classroom, open computer lab, etc.) or if available the specific location (e.g., building and/or room number):</p> <p><input checked="" type="checkbox"/> Off campus location(s), specify: Interviews will be conducted at a mutually agreed location</p> <p><input checked="" type="checkbox"/> Internet research</p> <p><input type="checkbox"/> Other, specify:</p>
<p>6. Describe the duration (how long will the participants be involved?) and frequency of procedures (how many times will the participants be asked to engage in the research activities?):</p> <p>The online survey is expected to take approximately 30 minutes to complete.</p> <p>The follow-up interviews are expected to take approximately 45 minutes to 1 hour to complete.</p> <p>Most participants will be engaged one time only, during the online survey. Only six superintendents will be engaged a second time, during the interview.</p>
<p>7. If your study does not involve any of the procedures below skip to question 8. Otherwise, select all data collection activities that apply:</p> <p><input type="checkbox"/> Blood samples by finger stick, heel stick, ear stick or venipuncture.</p> <p>a. Indicate the type of participants:</p> <p><input type="checkbox"/> Healthy, nonpregnant adults who weigh at least 110 pounds</p> <p><input type="checkbox"/> Other adults or minors, describe:</p> <p>b. How many times per week will blood be drawn?</p> <p>c. How much blood will be drawn at one-time?</p> <p>d. How much blood will be drawn in an 8-week period?</p> <p>e. How often will collection occur?</p> <p>f. Include blood borne pathogen training and procedures to dispose of needles:</p> <p><input type="checkbox"/> Noninvasive procedures to collect biological specimens for research purposes</p> <p><input type="checkbox"/> Sterile surgical/invasive procedures</p> <p><input type="checkbox"/> Banking of biological materials</p> <p><input type="checkbox"/> Noninvasive procedures to collect data such as use of physical sensors applied to the surface of the body and electrocardiography</p> <p><input type="checkbox"/> Procedures involving x-rays</p> <p><input type="checkbox"/> Ingestion of wholesome foods without additives</p> <p><input type="checkbox"/> Ingestion/application of substances other than wholesome foods without additives</p> <p><input type="checkbox"/> Clinical study of a drug/medical device</p> <p><input type="checkbox"/> Obtaining medical data from a health care provider, health plan or health care clearinghouse</p> <p><input type="checkbox"/> Genetic testing</p> <p><input type="checkbox"/> Other, specify:</p>
<p>8. Is this research FDA-regulated (i.e., It is an experiment that involves one or more of the following test articles: foods/dietary supplements that bear a nutrient content/health claim, infant formulas, food/color additives, drugs/medical devices/biological products for human use)?</p> <p><input type="checkbox"/> Not applicable</p> <p><input checked="" type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>If yes, explain:</p>
<p>9. Will medical clearance be necessary for participants to be included in your research (e.g., high risk physical exercise or conditioning, tissue or blood sampling, administration of substances such as food or drugs, etc.)?</p> <p><input checked="" type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>If yes, explain how the clearance will be obtained:</p>
<p>10. Describe your debriefing procedures (e.g., how and when will participants be debriefed about the research):</p> <p>The research data will be published in the researcher's dissertation. The dissertation will be available via ProQuest.</p>

(If needed, attach your debriefing script.)

Section 7. Data Privacy and Security

1. How are participant data, records, or specimens identified when they are made available or collected by your research team?

- No identifiers (e.g., neither the researcher nor the source providing the data can identify a participant based upon information provided with the data). *Skip to Item 2.*
- Direct identifiers (e.g., participant name, SSN, date of birth, email, street address, medical record number, or any other identifying variables listed under Section 6. Study Procedures, item 4).
- a. Authorized personnel who will have access to identifiable information includes:**
- Indirect identifiers (e.g., an assigned code or pseudonym used to track participants)
- a. Does the research team have access to the code which links the data to the participants' identities?**
- No Yes Only the six interview subjects will be tracked with a pseudonym
- b. Authorized personnel who will have access to identifiable information includes: Dan Oakley, student researcher; Dr. Sandra Watkins, faculty researcher**

2. How are data, records, or specimens shared by your research team? (Note: Sharing includes releasing, transmitting and providing access to any individual or entity outside of the research team). **Check all that apply:**

- Data collected anonymously. (For all online survey participants)
- Data will be anonymized or de-identified (i.e., the participants' identity was once associated with the data but identifying information will be destroyed/removed before it is shared). Indicate who is destroying the identifiers, when, and how:
- Coded and linked data (data is coded. With the code, the data may be linked back to identifiers, but the link back to identifiers will not be shared). (For the six interview subjects)
- Identifiable data (e.g., participant name, SSN, date of birth, email, street address, medical record number, or any other identifying variables listed under Section 6. Study Procedures, item 4).

3. Safeguarding research materials, check all that apply and elaborate when necessary:

- Data is not linked to identifying information.
- Consent/assent/parental permission forms will be stored in a separate location from data.
- Participant codes/ID numbers or pseudonyms will be used on all data and if there is a key linking the codes with the identifiable information it will be stored separate from the data.
- All research materials will be maintained for a minimum period of three years in the following secure location on the WIU campus (i.e., you must provide a building and room number):
- Data will be kept on a password protected computer in the following secure location (e.g., your response may include a building and room number or a specific owner/user of the equipment):
- PDA's and removable media will be kept secure. Explain (e.g., password protected, encrypted, limited access, etc.):
- Research data or materials transmitted or maintained in electronic format will be kept secure. Explain (e.g., encrypted when transferring or storing):
- Provide additional information for any other technology or medium used to store and/or transmit information not addressed above which may apply to your specific research: Audio recordings will be made on the researcher's handheld digital audio recording device and transported to the researcher's computer for storage. The handheld digital device will then be cleared of all data.

Section 8. Risk-Benefit Analysis

1. Do the data or records to be collected relate to any illegal activities (e.g., immigration status, drug use, abuse, assault)?

- No Yes

If yes, explain:

<p>2. Will participants be asked to provide information or records that may be harmful to their reputation or employability, or to the company/entity that they are representing? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes If yes, explain how you will mitigate this harm:</p> <p>Participants will be asked to identify information related to their activities, as outlined in ISLLC and ELCC standards 6, at the state level in regard to influencing education legislation and policy-making. In some cases, the participant might be personally identifiable due to unique circumstances.</p> <p>To mitigate the concerns and protect the participant, the following will be done:</p> <ol style="list-style-type: none"> 1. All participants will be anonymized in the research findings. 2. Specific incidents that are highly personally identifiable will not be quoted in the research findings.
<p>3. Will information or records be requested that participants might consider to be personal or sensitive? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes If yes, explain:</p> <p>Participants will be asked to identify information related to their activities at the state level in regard to influencing education legislation and policy-making.</p>
<p>4. Will the participants be presented with materials that might be considered to be offensive? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes, explain:</p>
<p>5. Please answer both a. and b. below:</p> <ol style="list-style-type: none"> a. Identify any foreseeable stress or psychological, social, physical, criminal or legal risks for participants: There are no such known risks associated with this research b. Will the participants encounter the possibility of stress or psychological, social, physical, criminal or legal risks that are greater than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes, provide justification for the use of greater than minimal risk procedures:
<p>6. Will the participants be deceived or misled in any way? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes, explain:</p> <p><i>(If yes, you must complete Section 6. Item 10.)</i></p>
<p>7. Describe specific measures used to minimize or protect participants from anticipated risks:</p> <ol style="list-style-type: none"> 1. All participants will be anonymized in the research findings. 2. Specific incidents that are personally identifiable will not be quoted in the research findings. 3. Data will be stored in locked or password protected facilities.
<p>8. Describe any expected benefits for research participants or society as a whole:</p> <p>There may be no direct benefits to individual participants per se; however, superintendents as a whole may gain knowledge of best practices and methods in working with state-level legislators in order to influence education legislation and policy. This research also builds groundwork for future researchers.</p>
<p>9. If your research involves an invasive or high risk procedure, cite your experience with this kind of research and/or this population. List any co-investigators who will be working with you and cite their experience, if applicable. <input checked="" type="checkbox"/> Not applicable</p>

Section 9. Miscellaneous

1. Include all other research personnel working with human subjects or their private, identifiable data not

<p>listed on page 1 (Information needed: Name, Affiliation, Telephone Number, Email Address, Research Training): <input checked="" type="checkbox"/> Not applicable</p>
<p>2. Special considerations not otherwise included above: <input checked="" type="checkbox"/> Not applicable</p>

<p>Section 10. Assurance and Submission <i>Your submission certifies that as a part of the research personnel you understand and accept the following obligations to protect the rights and welfare of research subjects in this research:</i></p>
<p>COMPLIANCE WITH FEDERAL AND UNIVERSITY REGULATIONS AND STANDARDS</p> <ul style="list-style-type: none"> ◆ I recognize that as a member of the research team, it is my responsibility to ensure that this research and the actions of all research personnel involved in conducting the study will conform with the IRB approved protocol, IRB policies, and all applicable federal regulations including but not limited to HHS, FERPA, PPRA, and/or HIPAA regulations. ◆ I understand that failure to comply with all applicable HHS, FERPA, PPRA, and/or HIPAA regulations, IRB policies and procedures, and the provisions of the protocol as approved by the IRB may result in suspension or termination of my research project, notification of appropriate governmental agencies by the IRB, and/or suspension of my freedom to present or publish results. <p>IRB APPROVAL OF ALL PROTOCOLS</p> <ul style="list-style-type: none"> ◆ I will not initiate any change in protocol without IRB approval except when it is necessary to reduce or eliminate a risk to the subject in which case the IRB will be notified as soon as possible. ◆ I understand that IRB approval is valid for no more than one year with continuing review by the IRB required at least annually in order to maintain approval status. I will not enter subjects in the study before IRB approval or if IRB approval expires. In the latter case, I will immediately contact the IRB to obtain permission to continue subjects in the research study. ◆ I recognize that it is my responsibility to ensure that the study has been reviewed for scientific merit and ethical content. ◆ I recognize that it is my responsibility to ensure that there is constant open dialogue between myself and the other research personnel to ensure that the research is conducted correctly, and the safety and protection of the subjects are ensured. ◆ I recognize that it is my responsibility to ensure that valid informed consent/assent/parental permission has been obtained from all research subjects or their legally authorized representatives. I will ensure that all project personnel involved in the process of consent are trained properly and are fully aware of their responsibilities relative to the obtaining of informed consent according to the IRB guidelines and applicable federal regulations. I will use only the currently approved, informed consent form or script for recruiting subjects. ◆ I understand that I am part of the collaborative effort to maintain the integrity of the human subjects' research approval process and procedures to ensure continuous quality improvement and academic excellence at WIU. <p>COMMUNICATION WITH THE IRB</p> <ul style="list-style-type: none"> ◆ I will promptly inform the IRB of any event that requires reporting in accordance with IRB policies and procedures on unanticipated events involving risks to subjects or others and adverse events (serious and/or unexpected). ◆ I will inform the IRB immediately of <i>any</i> significant negative change in the risk/benefit relationship of the research as originally presented in the protocol and approved by the IRB. ◆ I will inform the IRB immediately if I become aware of any violations of HHS regulations (45 CFR 46), FERPA regulations (34 CFR 99), PPRA regulations (34 CFR 98), HIPAA regulations (45 CFR 164.530), or IRB policies and procedures for the protection of human subjects. <p>IRB MONITORING OF STUDIES</p> <ul style="list-style-type: none"> ◆ I will maintain all required research records and recognize that the IRB and federal government is authorized to inspect these records. ◆ I understand that, per OHRP/FDA guidelines, the IRB will be monitoring adherence to approved research protocols. The oversight process does not end with approval of a research protocol. <p>PRINCIPAL INVESTIGATOR/FACULTY ADVISOR ASSURANCE</p>

- ◆ I certify, as a faculty sponsor, that the student investigator is knowledgeable about the IRB policies and applicable federal regulations governing research with human subjects and has sufficient training and experience to conduct this study in accord with the approved protocol. In addition, I will meet with the student investigator on a regular basis to monitor study progress. Should problems arise I agree to be available personally to supervise the student investigator in solving them. If I will be away, I will arrange for an alternate faculty sponsor to assume my responsibilities.
- ◆ **By submitting this request to irb@wiu.edu from my WIU email address**, the Principal Investigator (and responsible faculty member if this is a student research project) accepts responsibility for ensuring that all members of the research team: 1) complete the required training to fulfill their study responsibilities, 2) follow the study procedures as described in the IRB approved protocol and comply with Western Illinois University's Policy and Procedure for Human Subjects and all IRB communication and 3) uphold the rights and welfare of all study participants.

APPENDIX C
NIH Training Certificate

2/12/2014

Protecting Human Subject Research Participants



APPENDIX D

Permissions to Use Materials

2/2/2015

Print

Subject: Re: Permission needed

From: James Broadway (jbroadway@stateschoolnews.com)

To: doakley1964@ymail.com;

Date: Sunday, February 1, 2015 9:36 PM

Permission granted. Congratulations on reaching such a lofty status and best wishes for your dissertation. You've picked a meaty subject, one with more complications every year. Thanks for asking. You can feel free to use anything I've written for academic purposes. - Jim

>
> From: doakley1964@ymail.com
> Subject: Permission needed
> Date: 01/31/2015 at 02:56 PM (GMT -6) from 173.22.51.222
>
>
> County: Woodford
> Comment: I am in the process of working on my dissertation, which regards
> superintendents working to influence state-level education legislation. I
> have some quotes from your newsletters that I would like to use in the
> research area of the dissertation, but need your permission to do so. An
> email providing permission would suffice, if you are so willing to do so.
>
> Sincerely
> Dan Oakley
> Do you want SSNS to reply to your comment? Yes
>

1/31/2015

Print

Subject: Re: Permission to quote needed

From: Mike Chamness (mchamness@iasaedu.org)

To: doakley1964@ymail.com;

Date: Saturday, January 31, 2015 3:30 PM

Certainly. Feel free to use anything we publish. Thanks Dan.

Sent from my iPhone

On Jan 31, 2015, at 2:58 PM, "Dan Oakley" <doakley1964@ymail.com> wrote:

Michael: I am in the process of working on my dissertation, which regards superintendents working to influence state-level education legislation. I have a quote from your recent article on Farooqui that I would like to use in the research area of the dissertation, but need your permission to do so. An email providing permission would suffice, if you are so willing to do so.

Sincerely
Dan Oakley

Superintendent, Fieldcrest CUSD 6

APPENDIX E

Informed Consent Document

Informed Consent Document Template
*Illinois Public School Superintendents: Influencing State-Level
 Education Legislation and Policy-Making in Illinois*

Purpose:

You are being asked to participate in a research study about Illinois public school superintendents and their political affiliations, activities and successes. The purpose of this research is to determine the level of involvement, political activities, and self-described level of influence of public school superintendents in the state of Illinois in regard to state-level educational policy-making. You were selected as a possible participant because you are a public school superintendent in the state of Illinois and responded on a previous online survey that you would be interested in being interviewed regarding your experiences. Please read this form and ask any questions that you may have before agreeing to be in the research.

Information about Participants' Involvement in the Qualitative Portion of the Study:

The study will take place in an agreed upon location. It should take approximately 45 minutes to complete the interview.

If you agree to be a participant in the qualitative interview portion of the research, we would ask you to do the following:

- Agree that the interview can be audio recorded.
- Be open and candid in your responses to the interview questions.

Risks:

This research has the following risks:

- There is a risk of audio recordings or transcribed data being personally identified by comments made by you. To minimize the risk, audio recordings and transcriptions will be stored in a locked filing cabinet in the researcher's home.
- There is also risk that a quote used in the research study could be personally identified. Every effort will be made to eliminate quotes that could be identifiable, and instead generalize regarding such noteworthy information.

Benefits:

The benefits of participation are:

- This study is the first statewide scientific research on Illinois public school superintendents' political activities in influencing state-level education legislation and policy-making.
- This study builds a ground-level framework of information regarding basic successful and unsuccessful practices of superintendents in influencing state-level education legislation and policy-making.

Compensation:

There is no compensation for participating in this study.

Confidentiality:

The information in this research will be kept confidential. Research data will be stored in a locked filing cabinet in the researcher's home. The data will be made available only to the persons conducting the research. No reference will be made in oral or written reports that could link participants to the research. Any printed or audio data with individual-specific information will be destroyed after three years.

Voluntary Participation:

You do not have to perform any activity you do not want to. You do not have to answer any question you do not want to answer. Participation in this study is voluntary. If you decide to participate, you may withdraw from the study at any time without penalty and without loss of the benefits to which you are otherwise entitled.

Contact Information:

If there are any questions at any time about the study or the procedures, or if you experience adverse effects as a result of participating in this study, please contact:

Dr. Sandra Watkins
Educational Leadership Department
Western Illinois University
309-298-1070
Sg-watkins@wiu.edu

Dan Oakley
309-255-9814
doakley1964@ymail.com

This project has been reviewed and approved by the WIU Institutional Review Board. Questions concerning your rights as a participant in this research may be directed to Jacqueline Tharpe, Compliance Specialist at (309) 298-1191 or IRB@wiu.edu.

Consent:

I have read the above information, and I have received a copy of this form. I agree to participate in this study.

Participant's Printed Name	Signature	Date
Daniel Lee Oakley		
Investigator's Printed Name	Signature	Date

APPENDIX F
ISBE FOIA Letter

Freedom of Information Office
Illinois State Board of Education
100 North First Street
Springfield, IL 62777-0001
ATTN: FOIA Request

August 14, 2014

Dear Sir or Madam:

I, Dan Oakley, hereby request that the Illinois State Board of Education produce the following public records pursuant to the provisions of the Illinois Freedom of Information Act, 5 Ill. Comp. Stat. Ann. 140/1 et seq. for the purposes of Doctoral research at Western Illinois University which is being supervised by Dr. Sandra Watkins, Professor in the College of Education and Human Services, Educational Leadership.

1. The names, district names, district mailing addresses, email addresses, and phone numbers for all public school superintendents in the state of Illinois.

Please produce the requested records electronically to **Dan Oakley**, doakley1964@ymail.com, or if not available electronically, to **Dan Oakley, 804 West 5th Street, Minonk, IL 61760**, within five (5) working days of your receipt of this request (Ill. Comp. Stat. 140/3 (c)). If the requested records cannot be produced within five (5) working days, please notify me in writing of the reason(s) for the delay and the date by which the requested records will be available.

If you do not understand this request, or any portion thereof, or if you feel you require clarification of this request, or any portion thereof, please contact me at 309-255-9814.

Thank you for your attention this matter.

Sincerely,

Dan Oakley

VITA

DANIEL LEE OAKLEY
516 East 4th Street
Minonk, IL 61760

EDUCATION HISTORY

Western Illinois University, Macomb, IL, Educational Specialist in Educational Leadership, December, 2007.

Western Illinois University, Macomb, IL, Masters of Science in Educational Administration, May, 1997.

Eastern Illinois University, Charleston, IL, Bachelors of Arts in Mathematics, January, 1986.

CERTIFICATIONS

Administrator – Superintendent

Administrator – Principal

Teacher – Secondary Mathematics, grades 6-12

EMPLOYMENT HISTORY

2013 – present – Superintendent: Fieldcrest Community Unit School District 6, Minonk, IL

2007 – 2013 – Superintendent and PreK-5 Principal: Avon Community Unit School District 176, Avon, IL

2003 – 2007 – High School Principal: Hamilton High School; Hamilton Community Consolidated School District 328, Hamilton, IL

2002 – 2003 – Administrative Assistant: Colchester Community Unit School District 180, Colchester, IL

1997 – 2002 – Athletic Director/Technology Coordinator: Colchester Community

Unit School District 180, Colchester, IL

1988 – 1997 – Secondary Mathematics teacher: Colchester Community Unit

School District 180, Colchester, IL;

1986 – 1988 – Mathematics teacher: RUCEDistrict 13, Reddick, IL