2019-06-01

District Leadership Building Principal Capacity in Improving Teacher Quality: Implementing Effective Professional Development

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A dissertation submitted to the faculty of
Brigham Young University
in partial fulfillment of the requirements for the degree of

Doctor of Education

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ABSTRACT

District Leadership Building Principal Capacity in Improving Teacher Quality: Implementing Effective Professional Development

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This article focuses on lessons learned from district implementation of Utah Senate Bill 64 passed in 2012, which requires large-scale reform in evaluating teacher quality. This state-mandated reformation effort requires all principals to evaluate teacher performance using new state teacher standards adopted in 2011. District implementation efforts used effective professional development that included peer collaboration and practicum experiences as evidenced by successfully certifying all principals in the evaluation of teacher performance. Twenty-seven principals representing nine districts were selected for this qualitative study. Data was collected during a one-on-one interview with each principal to gather insights about district efforts to prepare them individually to effectively evaluate teacher performance. In addition, data were coded and analyzed for evidence of change knowledge principles. The central lesson learned is that sustainable and continuing teacher quality improvements require a continual collective capacity vision and approach at all levels of the educational system.

Certifying principals in the use of an improved teacher evaluation tool through effective professional development efforts is one step in achieving improvements in teacher quality. Consideration of the following four components of change knowledge principles foster and strengthen district efforts when implementing strategic targets for the continuation of teacher quality improvements: (a) expand teacher quality improvements to include both individual and collective capacity building opportunities; (b) create a plan of action that builds on efforts to comply with state law and expands implementation efforts to use the evaluation tool for improved student learning through continual teacher quality improvements; (c) provide professional development that includes strategic opportunities for principals to build their capacity in their critical role and responsibilities to continue teacher quality growth; (d) provide supports in the context of a principal's school through practicum experiences that foster the acquisition and sustainability of skills that support teacher quality improvements.

Keywords: collective capacity building, system change, teacher quality, leadership capacity building, system reform, professional development

ACKNOWLEDGMENTS

I wish to express my extreme appreciation to colleagues, teachers, family members, and friends for all their encouragement and support over the past several years of graduate studies. Their relentless belief in my abilities gave me hope and faith in myself in forging forward.

I am indebted to Shannon Dulaney, who encouraged me to apply and participate in the doctoral program (EDLF) at BYU. I am grateful for Patrick Flanagan, a fellow doctoral student, who was relentless and dedicated to our collaborative work in developing our prospectus and in determining foundational elements that supported our individual dissertations.

A special thank you to my chair, Sterling Clint Hilton, for his patience, expertise, and dedication in guiding me through the process of completing a dissertation.

I am extremely grateful to my husband, Carl L. Johnson, who supported, encouraged, and spurred me on. His belief and faith in me has inspired me to become more than I ever thought I could.

Thank you to my children and siblings for their endearing love for me and continual encouragement every step of the way.

Finally, I know that my Heavenly Father has helped me accomplish this major feat through divine intervention. He has inspired me, prompted me, and helped me with ideas in my writing that are part of this dissertation.

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

DESCRIPTION OF DISSERTATION STRUCTURE

This dissertation, *District Leadership Building Principal Capacity in Improving Teacher Quality: Implementing Effective Professional Development*, is a hybrid dissertation approved by Brigham Young University's David O. McKay School of Education. The hybrid dissertation focuses on producing a journal-ready manuscript. As a result, the final product has fewer chapters than the traditional dissertation format and focuses on the presentation of the scholarly manuscript as the centerpiece. Following the journal manuscript are appendices that include an extended review of literature and a methodological section sufficient for the requirements of an institutional review board.

The target journal for my dissertation is *Educational Management Administration & Leadership* (EMAL). The target audience of EMAL is the international community of educational leaders. This journal is peer-reviewed and publishes original and significant contributions on educational administration, management, and leadership from all over the world. It includes primary research projects located in schools, vocational, and higher educational settings. The journal is a member of the Committee on Publications Ethics (COPE). The EMAL journal publishes six times per year. The purpose of EMAL is to inform and educate a global community of scholars, practitioners, researchers, and students across a broad range of subject areas through quality and innovative research.

Introduction

The US public education system has traditionally relied upon legislative mandates and policy initiatives to achieve school improvements—specifically, to improve teacher quality in order to improve student learning. Such policies are assumed to bring about these targeted improvements or changes. These improvements and changes become uncertain and problematic when district and school implementation plans and execution of a given initiative do not strategically align to generate the targeted federal or state desired outcomes. Perhaps this dilemma occurs when the three phases of the change process—initiation, implementation, and institutionalization—are not considered as foundational understandings for facilitating change efforts (Fullan, 2016).

Three Phases of the Change Process

According to Fullan (2016), institutionalization of improvement is always the end goal of the change process. Institutionalization occurs when a newfound practice becomes routine and sustainable and when a collective commitment from participants to its purpose and effect become embedded in the culture of the system. Although institutionalization is the last phase in the change process, it is the first phase of the planning process in order to serve as a guide in developing the initiation and implementation phases. With this vantage point, a plan can be created through a backward design strategy to appropriately prepare for all phases of the change process, thus ensuring alignment of outcomes (Fullan, 2016).

The initiation phase of the change process is the launching stage. One of the key activities in the initiation phase is to review the current state of the organization in regard to the particular change. It also addresses how change will affect educators and students. This includes winning the hearts and minds of individuals participating in the process of change (Kotter & Cohen,

2002). This is facilitated through the articulation of a collaborative construction of a clear vision and purpose for the newly introduced initiative. During this phase, processes are created and adapted to support the innovation (Kotter & Cohen, 2002). This phase includes a clear articulation and definition to stakeholders of anticipated results based on high expectations and standards of performance (Fullan, 2016).

The second phase is that of implementation where a plan of action is initiated and supported until sustainability is embedded in the system. This phase includes continuous professional learning to improve desired results. It also incorporates the clarity of expectations of outcomes which are communicated frequently, consistently, and with accuracy. In addition, it requires constructive and supportive feedback (Fullan, 2016).

According to Fullan (2016), all three phases should be considered together and should work as an interconnected dynamic process, and when effectively orchestrated, these three overlapping phases of the change process can become institutionalized within three to five years. Lacking one or more of the dynamic phases of the change process can prevent reform efforts from generating the desired outcomes and can result in discontent if the participants do not understand the unique goals and strategies for each of the phases. When federal or state entities mandate initiatives and disregard any of these three phases, reform efforts are at risk.

Managing Compliance

Often, state initiatives are launched in districts where the traditional method for reform focuses on compliance rather than the change process necessary to carry out the desired outcomes (Cooper, Fusarelli, & Randall, 2004; Elmore, 2004). Consequently, state educational leaders typically structure reform efforts via a delivery system where information is disseminated with the assumption that the newfound knowledge will be implemented with fidelity, yet this

assumption is rarely justified or attained. Traditionally, our educational system buffers the core or in other words, seldom impacts or changes classroom practice (Elmore, 2000). In fact, Elmore (2000) posits that buffering the core results from a lack of instructional leadership.

> Instructional leadership programs for superintendents and principals purport, at least in part, to be in the business of preparing the next generation of instructional leaders. Most professional development for educational leaders makes at least symbolic reference to the centrality of instructional leadership to the work. Insofar as there is any empirical evidence on the frequency of actual instructional leadership in the work of school administrators, it points to a consistent pattern: direct involvement in instruction is among the least frequent activities performed by administrators of any kind at any level, and those who do engage in instructional leadership activities on a consistent basis are a relatively small proportion of the total administrative force. (Elmore, 2000, p. 7)

If state education leaders want improvements in teacher effectiveness that will generate improvements in student learning, utilizing all aspects of the change process is paramount (Fullan, 2010; Levin & Fullan, 2008). This change process includes the acquisition of instructional leadership skills (Elmore, 2000).

Successful change efforts require more than just the use of management strategies. They include the planning, organization, directing, and controlling of all the parts of the system the change affects (Gill, 2002; Leithwood, Harris, & Hopkins, 2008). For instance, changing curriculum without considering changes in instruction and other essential components or individuals connected to curriculum within the educational system is likely to lead to limited implementation of the new curriculum (Sparks, 2002). Likewise, simply implementing a new policy or initiative does not guarantee required changes that will lead to sustained improvements.

In contrast, meaningful educational reform requires a strategic plan that relies on knowledge of the change process that will lead to the proposed outcomes of the initiative (Hallinger, 2003; Harris, 2010, 2011).

With the constant expectation to improve student achievement, state education leaders are pressing district leadership to improve student outcomes. District leaders must understand their essential role not only in aligning initiatives with the three phases of the change process, but also in developing and orchestrating appropriate leadership strategies and professional development within these phases in order to reach higher state expectations. There are numerous participants within the district educational system that contribute to targeted improvements, and district leaders have the daunting task of empowering these individuals through capacity building opportunities (Brewer, Hentschke, & Eide, 2008; Hallinger, 2003; Leithwood & Seashore-Louis, 2011).

In sum, effective district leadership needs to shift "from enforcing procedures to building capacity [and] from managing compliance to managing improvement" (Fullan, 2010, p. 32). Managing improvements requires a system that collectively builds the capacity of all participants within the system, each empowered to perform his or her roles and responsibilities aligned to impact teacher quality and student learning outcomes (Harris, 2011). These efforts would become institutionalized through continuous learning opportunities (Leithwood & Seashore-Louis, 2011). Building such a system would more likely generate improvements in student achievement than will naively assuming that state initiatives will be effectively implemented. Furthermore, professional development opportunities would expand to include all individuals that impact the classroom. As a result, assumptions of effective implementation are replaced with assurances of improvements in student achievement. Furthermore, continuous supports and the

far reaching professional development made available to all necessary participants during and after implementation would likely make these efforts sustainable (Gill, 2002; Fullan, 2002).

Several principles and lists have been suggested for when there is a need to create a new system in which change efforts result in improvements (Fullan, 2010). These principles and lists facilitate capacity building within organizations in general and in education specifically. These principles and lists are frequently referred to as "change knowledge" but no single comprehensive definition of change knowledge has been clearly defined in the research literature (Fullan, 2006; Levin & Fullan, 2008). Change theory research suggests that a critical component to leaders' capacity to aid in a change of practice among those they lead requires this change knowledge (Kotter, 2007; Kotter & Cohen, 2002; Kotter & Schlesinger, 2008; Sanders, 2012; Selznick, 1996). Furthermore, the literature substantiates that effective leadership includes the use and artful implementation of the principles of change knowledge. In fact, the successful manipulation of these components is believed to enhance the skills and the performance of individuals. There are three main areas that have been identified through the literature as key components to support effective reform efforts (Adelman & Taylor, 2003; Elmore, 2004; Fullan, 2010; Gill, 2002; Harris, 2010; Kotter & Cohen, 2002; Kotter & Schlesinger, 2008). These change knowledge components are, (a) creating a clear plan of action (b) developing appropriate systems for implementation, including professional development, monitoring, and accountability systems, and (c) understanding and utilizing a theory of human behavioral change.

Defining Change Knowledge Components

Clear plan of action. A clear plan of action is the careful and strategic design of a plan prior to implementation. In fact, one of the fundamental errors that leaders can make is implementing before sufficiently considering the foundational planning (Adelman & Taylor,

2003). A clear plan of action consists of four main categories: (a) two to four strategic targets, (b) consideration of a monitoring system, (c) consideration of accountability, and (d) consideration of aligned resources.

Two to four strategic targets. Two to four Strategic Targets refers to limiting initiatives to no more than two to four targets that impact student outcomes (Levin & Fullan, 2008). Research suggests that too many strategic targets overload the system and become unattainable (Fullan, 2010; Levin & Fullan, 2008). Prioritizing and narrowing down the initiatives to a small number of key priorities supports necessary capacity building required for successful outcomes (Harris, 2011).

Consideration of a monitoring system. The consideration of a monitoring system implies the need for data points as a measurement to determine and navigate growth toward a strategic outcome. The predetermination of data measurement and focus on growth are critical elements that are essential considerations during the creation phase of a clear plan of action (Florida Department of Education, 2013; Fullan, 2010; Harris, 2011; Leithwood & Seashore-Louis, 2011).

Consideration of an accountability system. Additionally, the consideration of an accountability system is of import in a strategic clear plan of action. This plan will be designed to hold all participants accountable for carrying out their individual roles and responsibilities in order to ensure fidelity toward achievement of a strategic target or goal (Elmore, 2004; Fullan, 2006; Harris, 2010; Honig, Copland, Rainey, Lorton, & Newton, 2010).

Consideration of aligned resources. Finally, the consideration of resources in the development of a plan is the consideration of essential components strategically aligned to support the whole or parts of the system. These components could be human resources to support

roles and responsibilities or other supports such as time management and funding (David, 2009; Elmore, 2004; Leithwood, Leonard, & Sharratt, 1998; Levin & Fullan, 2008; Loacker, 1986).

The consideration of strategic targets, monitoring and accountability systems, and aligned resources are integral elements to the creation of a clear plan of action.

Appropriate systems for implementation. After the clear plan of action, another critical component of change knowledge is the art of using effective systems during the implementation phase (see Figure 1). There are three major elements to consider that are crucial for successful implementation of any initiative: (a) a monitoring system, (b) a professional development system, and (c) an accountability system.

Monitoring system. A monitoring system refers to the use of data in decision making to navigate direction toward improvements during the implementation phase. It includes problem solving and data driven decision-making processes, feedback loops, and the alignment of resources to support direction and the achievement of goals (Florida Department of Education, 2013; Harris, 2011; Leithwood & Seashore-Louis, 2011; Sharratt & Fullan, 2009).

Professional development system. Professional development is another element within the context of systems that is essential during the implementation phase. Professional development, when strategically aligned and orchestrated, can provide the necessary capacity building of participants in order to successfully produce the targeted outcomes desired (Elmore, 2004; Fullan, 2002; Honig et al., 2010; Sparks, 2002). This includes providing participants the opportunity to acquire the necessary skills and knowledge required to accomplish a particular strategic designated target (Leithwood & Seashore-Louis, 2011). Capacity building thrives within a context of an organization that collectively and systematically supports and contributes

toward the process of acquiring these targeted skills and building the necessary knowledge (Elmore, 2004).

Professional development provides collaborative experiences among leaders to harness capacity building opportunities through discourse exchange (David, 2009; Dulaney, Hallam, & Wall, 2013; Fullan, 2002). Collaboration's primary role is to empower teachers and educational leadership to engage in discourse opportunities that will facilitate deeper understanding of what knowledge and skills are required to support the improvement of teacher quality and thereby impact student outcomes. The use of data-driven decisions is used during these collaborative sessions as well as problem-solving processes to address real concerns and challenges in connection with improvement efforts (Elmore, 2004; Leithwood & Seashore-Louis, 2011). These collaborative opportunities also allow participants to reflect upon and refine their practice as they "fully engage in the change process and feel a high degree of ownership about outcomes" (Harris & Jones, 2010, p. 174).

Mentoring supports are an integral part of professional development. They are tailored to provide the acquisition and sustainability of skills. This skill acquisition is facilitated through a coaching model that lives in the context in which one works (Elmore, 2004; Hallinger, 2003; Leithwood & Seashore-Louis, 2011; Levin & Fullan, 2008; Sparks, 2002). A quality coaching model includes the necessary individualized instructional supports and continual learning opportunities that foster learning and growth (Hallinger, 2003; Leithwood & Seashore-Louis, 2011). Furthermore, an effective coaching model includes strategies that promote multiple exposures for skill acquisition and involve observations aligned with the new knowledge and skills that will be manifested in professional practice (Elmore, 2004).

Accountability system. The last element of systems for the implementation phase is accountability. This element consists of two main areas: incentives and interventions. Educational leaders that hold stakeholders accountable use incentives such as rewards, recognition, promotions, and even money to inspire participants to continually move towards a desired outcome (Kotter, 2007). Using incentives, leaders clarify expectations and set direction towards the desired outcome (Fullan, 2006, 2010; Levin & Fullan, 2008; Sparks, 2002). Those participants that are not meeting growth trajectories toward strategic targets are provided intervention opportunities to build their capacity to meet expectations (Leithwood & Seashore-Louis, 2011).

Theory of change. The final component of change knowledge is the theory of change itself. Theory of change includes the process of changing the hearts and minds of individuals. This refers to guiding and facilitating human behavioral change through analytical and emotional dynamics that can shape behavioral change (Kotter, 2007; Kotter & Cohen, 2002). Theory of change begins with a guiding coalition (Fullan, 2010; Kotter & Cohen, 2002) consisting of a variety of stakeholders that lead the change process (Adelman & Taylor, 2003; Fullan, 2010; Honig et al., 2010; Levin & Fullan, 2008; McIntosh, Horner, & Sugai, 2009). These leaders of change have the responsibility to appeal to the mind and capture the hearts of those that are participants of a targeted change effort (Kotter, 2007; Kotter & Cohen, 2002).

Appealing to the mind. Appealing to the mind refers to appealing to logic. Leadership's role is to help others catch the vision: to see, understand, and articulate the change initiative. Articulating a clear vision and purpose in order to create a context leads to sustainable change (Gill, 2002; Kotter & Cohen, 2002). Another aspect of the mind is that of stakeholder representation to support a collective commitment. Stakeholder involvement encourages a

representation of individual groups that impact, support, and affect the system. These individuals need to represent each group in order for all aspects of an initiative to be considered. The last aspect of the mind is producing a logical rationale or explanation of benefits that articulates sensibility (Copeland, 2003; Fullan, 2010; Hallinger, 2003; Kotter, 2007; Kotter & Cohen, 2002; Leithwood et al., 2008).

Capturing hearts. Capturing hearts refers to the appealing of emotions that will create a feeling that inspires participants to move in a particular direction producing behavioral changes that will align with and support the desired outcomes. These emotional feelings produce a positive effect that speaks to one's heart, "This feels right." In turn, a personal benefit is realized or felt (Gill, 2002; Kotter, 2007; Kotter & Cohen, 2002; Leithwood & Seashore-Louis, 2011; Leithwood et al., 1998).

Change agent leaders will capitalize on the strategic use of capturing hearts with a focus on cultural improvements and collective commitment in creating a context in which followers feel motivated (Gill, 2002). They will also fuel these improvements and build collective commitment supported with incentives. Such collective commitment ignites and builds synergy. This process validates one's performance or the acquisition of skills, producing a sense of valued contribution and success towards a particular desired outcome (Fullan, 2010; Sparks, 2002).

In summation, successful understanding and implementation of these constructs contained within change knowledge has the potential to support and sustain change efforts. In particular, it is believed that these three areas (clear plan of action, systems, and theory of change) have the potential, when considered, aligned, and implemented within the context of the three phases of the change process, to support district leadership in building the capacity of stakeholders in their educational system. These considerations will likely result in achievement

and sustainability of the desired outcomes they are seeking. Incorporating these principles may require a new system in which to operate. It may require replacing ineffective systems with effective systems that embrace the artful use of change knowledge (see Figure 1).

Research Context

The Utah State Board of Education (USBE) made districts responsible for implementing Utah Senate Bill 64 (USB64). USB64 was passed in February of 2012 and is designed to hold principals accountable to evaluate teacher instructional quality using the state teaching standards adopted in 2011 (Utah State Office of Education, 2012). Furthermore, USB64 was intended to change the present educational system in Utah by improving teacher quality through teacher evaluations based on the teacher standards (Utah Administrative Code, 2018). The new teacher standards are described in the Utah Effective Teaching Standards and Indicators (USBE, 2013).

The USBE has provided a teacher quality evaluation tool based on the Utah Effective Teaching Standards and Indicators (2013), as well as on an online professional development tool; however, the USBE has not required districts to use this evaluation tool. Should districts decline to implement the state tool, they could develop their own on the condition that it would align and reflect the proper use of the new effective teaching standards and indicators (USBE, 2013). They also may determine the type and extent of professional development they provide to district principals in using the selected evaluation tool. Those districts that adopted the state tool had access to state provided professional development.

Those crafting USB64 assumed that through the mandate of implementing new standards and a new evaluation system, teacher quality measurements would be more accurate, leading to improved student outcomes. But would merely mandating principals to be great evaluators be sufficient effort for any district to realize such improved student outcomes? Although creating

new teacher standards and developing an evaluation tool were important steps forward in assessing teacher instruction, was a mandate from the state sufficient? We probably won't know the answer to these questions for a number of years as it takes time to fully carry out a large state initiative and this research took place during the early implementation stage.

Districts will need to focus on merging capacity efforts with principals in not only evaluating, but also in their role of building teacher quality that will empower classroom teachers in improving their instructional practice (Cooper et al., 2004; Elmore, 2004). Considering principals' unequal capacities and abilities in evaluating teacher instructional quality and building capacity in teachers, districts must provide effective professional development for principals to perform this important work. Such professional development would need to include improving teacher instructional capacity (Dulaney et al., 2013; Elmore, 2004; Sparks, 2002).

District leadership plays the key role in implementing USB64 and the contributions of principals and teachers play an essential role in their evaluation systems that lead towards the desired outcomes of this initiative. Learning what efforts districts have taken to build the capacity of principals to evaluate teachers and what change knowledge components are evident in these first efforts of implementation will inform stakeholders regarding the potential impact of USB64 (see Figure 1).

Methods

The posed research questions seemed best answered by interviewing a sample of principals across the state that had participated in their districts' implementation of USB64. Due to the variations in district size and available resources for implementation, it was deemed important to stratify the sampling frame by size in order to ensure that all district sizes were included in the sample. Despite the fact that elementary and secondary school principals have

quite different responsibilities, they both have the common responsibility of evaluating teacher quality. Therefore, stratification of the principals based on type of assignment was not used; however, in selecting participants in the study, simple random sampling was used to provide a representative sample of the elementary and secondary experiences.

Sampling and Data Collection

This qualitative study used a purposive sampling of Utah school districts stratified by the size of the student populations they serve (see Table 1). Two stages of selection were used to select principal participants in this study. The first stage focused on selecting districts, and the second stage focused on selecting principals within the selected districts.

The sampling frame for stage one of the selection process included all 41 districts in the state of Utah. Districts were stratified by size: small, medium, or large (see Table 1). A purposive sample was used to select districts within each size according to the researcher's connectivity or access to a particular district. Three large, three medium, and three small sized districts were selected totaling nine districts of 41 in the state of Utah. It was determined that at least two principal interviews would be selected from each district. The rationale was to provide opportunity for variation in experience and verification of experience. The number of principals for each district participating in this study was then determined by their size. Four principals were selected from each of the large-sized districts, three from medium-sized districts, and two from small-sized districts. There were 27 principals in total selected for this study (see Table 1).

Any principal that participated in evaluating teachers was eligible to be a potential respondent. Assistant principals, though they may do evaluations, were not included in this study. The Utah educational directory was used to generate the sampling frame for the second

stage of the selection process. All principals from the selected districts were identified, and for each district, simple random sampling was used to select candidates for this study.

Selected principals were invited to participate via email. The email message described a synopsis of USB64 and a request to interview them regarding their experience with their district's efforts to comply with this state initiative. The invitation included details regarding the interview process (approximately, a 30-minute recorded phone conversation) followed by an offer for a complimentary $25 gift card to Amazon.com for their time. They were asked to reply to the email-scripted message should they be interested in participating. If candidates were unresponsive, a second email was delivered. If still no response, a third email was sent. After the third attempt with no response, it was assumed that the potential candidate was not interested in participating. In this case another candidate from that same district was randomly selected. One small- and one medium-sized district declined participation, after which another district was selected in each of their place using the same purposive sampling strategy used to select earlier districts in this study. Seven principals were unresponsive to the email invitations. These principals were replaced using the simple random sample method. A total of 34 principals were sent emails resulting in 27 principals (10 secondary and 17 elementary) from nine Utah school districts actually participated in this study. These districts represented three small-, three medium-, and three large-sized districts. Regardless of a principal's ethnicity, age, gender, or school demographics, all principals were required to evaluate teachers. Thus, it was deemed logical to focus on a principals' assignment (secondary or elementary) and a districts' particular size rather than the personal and school demographic features. Data were collected during a one-on-one interview session with the participating principals. Each interview began with obtaining informed consent from each participant. All interviews were conducted by phone or Skype

videoconferencing, and all were recorded for later transcription. During the approximately 30-minute semi-structured interview, principals responded to interview questions involving their perceptions of district efforts to build their capacity to effectively evaluate teachers and the impact that these efforts had upon their teacher evaluation practice and the change process.

Principals were asked to describe their experiences with their district's professional development and how they felt about their participation. Principals were able to respond dependent upon their perception of the experience. Follow-up questions were used to probe for deeper meaning and understanding when appropriate.

Data Analysis

All interviews were conducted, transcribed, and imported into NVivo. All transcripts were read multiple times during the open coding process to ensure accuracy of pre-established (etic) nodes relating to change knowledge, as well as the newly emerged (emic) nodes relating to participants' experiences. Nodes that reached a minimum threshold of 50% of respondents were considered for generating themes.

Thus, the method of thematic analysis was used for coding data. An etic approach with predetermined themes and categories was used to identify change knowledge components that respondents described through the interview process. An emic approach was also utilized as emerging themes became evident.

During the axial coding process, principals (elementary or secondary) and district size (large, medium, or small) comparisons were conducted to generate any relation to change knowledge components that were either lacking or omitted in district efforts to prepare principals to effectively evaluate teachers. Patterns emerged into themes to support findings in this research.

During the final analysis process, several themes emerged as a result of district efforts and evidence of change knowledge components based on a threshold or the inverted threshold of 50% in areas of assignment and district size. This analysis served as a vehicle to describe district efforts and their relationship or lack of relationship to change knowledge components.

The following identification code was used to identify participants: (a) letter symbol-principal's school assignment (**E**lementary or **S**econdary), (b) letter symbol-district size (**L**arge, **M**edium, **S**mall), (c) **D**istrict assigned number (**D1**, **D2**, **D3**, etc.). For example, a principal at an elementary school in a medium-sized district with a district number of 5 would be EM:D5.

Findings

Professional Development as a Certification Process

Findings from the interviews revealed that 93% of principals representing 100% of the districts believed the primary purpose of their districts' professional development (PD) relating to the implementation of USBE (Utah Administrative Code, 2018) was to train them to appropriately use their district's evaluation tool for evaluating teachers, with an end goal of receiving state approved licensure and certification. One principal summed up her experience in this way, "I was mandated to attend [an] instructional conference on how to effectively evaluate teachers. [I] had to pass a test and [then] I became certified to evaluate teachers" (ES:D2). Another principal echoed this sentiment by explaining that the certification test was "a pass/fail type of thing. So, I passed it. I must have learned what I should have" (EL:D5). Yet another described the experience as a concentrated "boot camp" for understanding the standards and becoming inter-rater reliable (SM:D8). Regardless of the district and the specific and unique characteristics of their professional development experience, principals uniformly described their overarching experience as a certification process.

USB64 required that the relatively new Utah Effective Teaching Standards and Indicators (USBE, 2013) be used for evaluating teacher effectiveness. The Utah State Board of Education (USBE) developed an evaluation tool aligned with these standards for districts to use when evaluating teachers if they chose. The USBE also developed training modules for their evaluation tool (access to these tools is limited). Seven of the nine districts (78%) in this study chose to use the USBE-created tool for their district evaluation systems, while two created their own evaluation instrument. It should be noted that this study did not evaluate or probe or explore into the differences of district tools. Six of the nine districts (67%) also incorporated the USBE training modules into their district PD. A district's PD offered an opportunity for licensure and a stamp of approval by the USBE to evaluate teachers.

Each district in this study provided PD for principals in preparing them for district expectations in connection with their selected evaluation system. The elements of professional development were centered upon those areas that would provide the necessary acquisition of skills to prepare them for USBE licensure. While not all districts used the USBE training modules, they all provided professional development which followed a similar format and targeted three main areas of focus: (a) unpacking the USBE teacher standards, (b) understanding the district selected evaluation tool, and (c) achieving inter-rater reliability with the evaluation tool (see Table 2).

Elements of Professional Development

The findings reveal that these three main areas of focus were the primary targets for district PD. During professional development sessions, principals unpacked the teacher standards by digging into each standard to determine the intended meaning. Words that principals specifically used to describe the process of unpacking the standards were, "read through,"

"looked at," "identified," "reviewed," "broke them down," and "discussed," among others. An elementary principal summed up the experience by saying, "[We] focused specifically on the standards that we were looking for in teachers" (EL:D1). Of principal respondents, 56% mentioned the unpacking of standards as a focus of their professional development. Secondary principals mentioned this area with a much higher frequency than their elementary colleagues (70% vs. 47%, respectively), as did principals from large districts (75% vs. 44% & 50%; see Table 2).

Districts made concerted efforts to not only unpack the newly adopted teacher standards, but they also focused on learning the format of their chosen evaluation tool and its logistics in order to navigate through and enter evaluation scoring, along with other pertinent notes or information. Principals mentioned that PD included a focus on their evaluation tool and described it as "becoming familiar with the tool" (SL:D1) and learning "how to use the system" (SM:D3). Not only was PD focused on the unwrapping process of the newly adopted teacher standards, but it also included learning the format of the tool and its logistics in order to navigate through and enter evaluation scoring along with other pertinent notes or information. One principal summed up the experience in this way, "going through each performance expectation and discussing what it looks like and what it sounds like … really helped me understand the tool more" (ES:D9). In this study, 59% of principal respondents representing 89% of districts mentioned that their districts focused on understanding how to use their evaluation tool. This finding was consistent for both secondary and elementary principals across all district sizes (see Table 2). One secondary principal articulated the importance of their evaluation tool in this way:

> If we are still, during the year, not feeling very confident with the tool, we can click the drop-down box that's adjacent to each domain and it will further explain in detail what the expectations are for us to accomplish the task (SL:D5).

An elementary principal confirmed their district's professional development focus on their evaluation tool by stating, "So, the majority of the training was on how to use the technology of the protocol" (EL:D4).

Significant emphasis was placed on achieving inter-rater reliability with the evaluation tool during professional development. One secondary principal described his district professional development as creating opportunities "to see if we were reliable" (SM:D3), and another elementary principal described her experience as working to be "on the same page with other people" (ES:D3). This was mentioned by 67% of principals interviewed, representing 100% of districts. A secondary principal mentioned his appreciation of practicing inter-rater reliability with his evaluation tool using the support of his coordinator saying, "[It has been] very impactful for me … [to get] feedback and … ask questions" (SM:D5). Another principal shared the experience stating, "We evaluated them [using teacher videos] and then discussed what the appropriate score should be … you could compare that with your score" (EL:D5). Secondary principals mention inter-rater reliability more than their elementary counterparts; however, principals across all district sizes mentioned inter-rater reliability with similar frequency.

During the interview process, principals were asked how their district's professional development impacted them. Any response that was positive or negative in reference to their training experience was noted. A majority of principals (70%) revealed that their experience with their district's professional development was a positive one. One principal reflected these sentiments by saying, "I feel capable and ready, and I've been engaged in the process and feel

good about it" (SL:D1). Of the 19 principals who expressed positive emotions about their PD experiences, nine of them (47%) mentioned feeling "confident" to go and evaluate teachers using their district's evaluation system. Confidence was described by one principal in this way: "It gave me confidence and I knew what it looked like, what it sounded like, it was all those things that are important when you learn something" (ES:D2). Still another principal candidly articulated his feelings about whether he felt ready to evaluate teachers, "Oh, yeah, yeah! We're all trained well based on the tool that we've been given. Heck, yeah!" (SL:D4). Another six (32%) mentioned the importance of their participation in learning the evaluation process their district provided. An elementary principal mentioned this importance when she stated, "It's really helped me to be a better observer of good teaching and learning, which helps everybody" (ES:D7). Another principal confirmed this importance when he said,

> We have increased the rigor of what we're asking our students to do and the impact it has had on student outcomes. We're now applying that same rigor to our teaching practices and should expect to see the same improvements in our teaching practices that will result in improving student outcomes. (EM:D8)

The majority of secondary principals (70%) and elementary principals (71%) had a positive experience with their district's efforts to prepare them for evaluating teachers in their districts. There was minimal discrepancy between district-size effects (see Table 2).

Evidence of Change Knowledge Components: Clear Plan of Action

It was clear that principals (93%) indicated that their district's primary plan of action was to certify principals in evaluating teacher quality through their designated evaluation tool. This plan included professional development with particular elements of focus in order to support and prepare principals for the acquisition of skills to effectively use their evaluation system (see

Table 2). There was no evidence of a clear plan of action that would extend professional development beyond the evaluation tool to facilitate improvements in teacher quality. There was some evidence that principals (26%, representing 56% of districts) were aware of the need to bridge the evaluation system to support teacher improvements; however, it was not mentioned as part of any principal's experience. One elementary principal expressed the need to bridge the evaluation system to teacher improvements in this way:

> Utah Effective Teach[ing] Standards are meant to help teachers reflect … [so that they] can become effective in those areas … that's the biggest challenge. What do you do with the information [evaluation data] now that you have it? How do you follow up? How do you go into the classroom and help them with … the areas that [they] are struggling [in]? (ES:D7)

Another principal mentioned, "I want help with the conferencing [sessions with teachers] because when you evaluate a teacher, hopefully, you can [give] them some input … but I'm not sure how that works" (ES:D2). An elementary principal expressed the need to extend the tool to support teachers during a collaborative discussion with colleagues: "[We discussed] how they were hoping to use it as a coaching tool" (EL:D1). There was desire amongst these principals to extend beyond the effective use of their evaluation system to supporting teachers with instructional effectiveness. However, there was no evidence of using a clear plan of action at district offices that would explicitly connect the use of their evaluation system with improving teacher quality. The fact that no principal mentioned receiving district professional development in this area indicates that a focus beyond proficiency in using the evaluation tool had not been considered as the end goal for the state during the initiation phase of USB64. This finding was

particularly pronounced with both secondary and elementary principals, particularly in larger districts (see Table 2).

Evidence of Change Knowledge Components: Professional Development

The findings indicate that districts provided professional development that included collaborative experiences throughout the evaluation system process. Most collaborative opportunities during professional development were provided after principals were given the opportunity to practice performing observations for determining and calibrating ratings, clarifying standards, and/or performance evidences. Of all principals in the study, 74% (representing 100% of districts) mentioned participating collaboratively with their peers in these ways. One elementary principal articulated their collaboration experience as follows:

> We are all asked to certify, and we went to different schools to observe teachers live and then we calibrated with one another, discussed how we got it, and we all had a supervisor with us in the group who had already … pre-calibrated with [each] … other at the district level. (EL:D4)

Another elementary principal mentioned the greatest impact for him during the implementation of his district's efforts was:

> probably talking to my peers. [They] discussed what they were going to do, how they were going to implement, how often they were going to go in [to conduct observations], what they were going to use, and what kind of feedback they were giving their teachers. (EL:D1)

Collaborating with peers was valued by 74% of principal respondents. Although a high percentage of secondary principals mentioned this peer collaboration, no secondary principal mentioned this as a positive impact to district efforts. Principals from medium-sized districts and

small-sized districts appeared to value this collaboration more than principals from large districts.

As we look at this collaborative approach during professional development, it is interesting to note that secondary principals mentioned the focus on the elements of professional development as a positive impact or value to the evaluation process more than the elementary principals did (see Table 2), while elementary principals mentioned value to collaborative opportunities more than their secondary counterparts (see Table 3).

Practicum experiences were a part of professional development offered by districts. Practicum experiences were conducted within the context of learning the district evaluation system that would lead them to successful licensure. Like collaborative experiences, practicum experiences were integrated to support the plan of action a district had to certify principals. In this context, a significant majority of principals (74% representing 100% of districts) mentioned that they were provided practicum experiences for facilitating the necessary acquisition of skills in order to effectively evaluate teachers with their district's evaluation system. There was no indication by any principal that practicum experiences did or would extend to support principals' acquisition of skills to use the evaluation system to help improve teacher instructional quality.

Practicum experiences in the context of certifying principals to evaluate refer to both live classroom experiences and to virtual experiences. Participating in one or both practicum experiences was coded as a practicum experience (see Table 3). Live classroom experiences are those opportunities in which principals practiced the evaluation process in the context of their own school or another school setting conducting observations during teacher instructional delivery. Live practicum classroom experience was indicated by 22% of principals, representing

44% of districts, as being part of the professional development process. An elementary principal described his experience by stating:

> [My] curriculum director was available to meet with us individually … she actually came out and went to some classrooms with me … and let me ask questions concerning actual classroom instruction. [She gave] me feedback on my assessment using the evaluation instrument. (EM:D8)

Principals described these live practicum experiences as "coaches help[ing] administrators with practice [using the evaluation process]," "show[ing] us how to evaluate," "ask[ing] questions concerning actual classroom instruction and [giving] feedback on my assessment."

An elementary principal appreciated her experience with live practicum experiences when she declared,

> I have really loved just having the opportunity to go to different schools and [going] in to see some really fabulous work and be able to talk [with a coach] about what was so great about it and [other] kinds of things. (SS:D9)

The findings also indicate that virtual practicum experiences were utilized. Virtual experiences were explicitly conducted for evaluating teacher performance and calibrating with the teacher standards. This was mentioned by 67% of principals representing 89% of districts. This second type of practicum experience is a virtual classroom experience conducted via teacher video sessions. Principals would gather together and watch teachers deliver lessons that were prerecorded in a regular classroom setting. The main purpose of these videos was to provide practice with the evaluation tool and to achieve an acceptable level of inter-rater reliability. An elementary principal shared her experience and explained it in this way: "We used

different teacher videos to role play and actually practice using the tool. Then we calibrated with one another" (EL:D4). Another mentioned,

> We would watch video trainings … a video of the classroom. We would go through that evaluation cycle during that time with all the administrators present and then we would discuss the outcome of that evaluation [such as], how many counts did you get for this? (SL:D4)

Virtual practicum experiences out of the context of their assigned school was a prevailing theme for most principals and staged for working with evaluation tools in all districts. Neither elementary principals nor secondary principals mentioned or described district professional development efforts that went beyond the practical mechanics of learning their evaluation system at this point of the implementation process. Though a few principals mentioned experiencing live practicum experiences in the context of their school setting, these experiences were limited to support the effective use of their evaluation tool (see Table 3).

Evidence of Change Knowledge Components: Theory of Change

Findings revealed that districts generally provided a logical rationale for the need to evaluate teachers using the new teacher standards and/or the need for a new evaluation system. In this study, 70% of principals articulated purpose or vision for their evaluation system in their district. Principals that shared a logical explanation of any aspect of the evaluation experience were acceptable responses. One secondary principal explained that she appreciated the evaluation process because it was much better than before USB64. Another secondary principal mentioned this logical explanation of purpose, "The state mandated [a] change. So, we all had to go through [the adoption of a new evaluation system]. Once signed off … [the district would say], yup, you know what you're doing, go ahead" (SM:D6). Another principal articulated that

"all administrators went down to a training in Salt Lake [City] where they presented all those [new teacher] standards. We had to go through the state training. So, we had to be certified in how to use the tool" (EM:D3).

It was evident that both secondary and elementary principals were invested in the logical purpose of their evaluation system regardless of district size. The state had mandated districts to implement a new evaluation system based on specific standards. It made sense to principals that they would need to comply with these expectations. These expectations aligned directly with the tool itself and the required certification process based on guidelines from the state (see Table 3).

Although principals generally found value and felt some kind of impact as a result in participating in their district's professional development, there was no evidence of efforts to trigger emotions that would motivate principals at this point of the implementation phase, such as those that would appeal to teacher quality or student outcomes. This is consistent with the findings in this study that are focused on compliance (see Table 3).

Discussion

There are two major findings that emerge in this study. The first major finding is that districts' efforts did meet the first expectation of USB64, which targeted three main areas of focus 10 unpacking the USBE teacher standards, 2) understanding the district selected evaluation tool, and 3) achieving inter-rater reliability with the evaluation tool, which led to principals being licensed to conduct teacher evaluations. However, the second finding is that district efforts may have missed opportunities to support the bridging of compliance to sustainable teacher quality improvements and improved student learning. These findings also provide a deeper understanding of the essential role of district efforts.

A Focus on Compliance

Based on findings from this study, it is clear that the districts had clear plans of action, an essential aspect of change knowledge. Their plans of action focused on compliance with the law, specifically USB64. One elementary principal stated bluntly, "I was mandated to attend a … instructional conference on how to effectively evaluate teachers and … in that training had to pass a test and become certified to evaluate teachers" (ES:D3). Another principal captured the compliance focus when he explained, "Technically, we were rater certified, [so when] the law took into full effect, we were able to show proficiency [in] rating our teachers based on the way that the state would like us to rate them" (ES:D7). This assessment was affirmed when one principal stated, "I will say in general, I felt like the feeling in the room was relatively focused on compliance rather than on genuine improvement" (EL:D1).

Certification in the use of an evaluation tool is only one step in bringing about improved teacher quality, but it is a necessary one. In this study, 100% of principals were successfully certified. They were licensed to evaluate teachers in their district in their respective schools. District efforts to build a principal's capacity to evaluate teachers effectively using the new Utah teacher standards were met. Many change knowledge components were utilized to successfully reach this intended target. The clarifying of the new teaching standards, understanding the evaluation tool, and establishing inter-rater reliability in connection with a district's evaluation system were strategic targets that fostered success in becoming certified. The findings reflect that a principal's capacity to evaluate teachers effectively was accomplished. During professional development, change knowledge components were harnessed to facilitate acquisition of knowledge and sustainability of practices. Collaboration, an element of effective professional development, was used to conduct discourse between principals that was centered on the

standards, the evaluation tool, and promoting inter-rater reliability. Each was examined through discourse to probe for clarity and understanding. Districts also utilized support systems that provided practicum experiences. Collaboration and practicum experiences were sufficiently used to provide licensure. One principal summed up the experience in this way: " I think the most helpful has been the videos, [practicum experiences], and then talking about how we rate each one of those videos … I think the best part has been the sharing back and forth, [collaboration], between principals" (EM:D6).

Bridging Compliance to Teacher Quality Improvements

Research on educational systems change indicates that in order to be successful in bringing about sustainable system change, the focus of the initiative must be to improve teaching and learning. Compliance alone will not bring about sustainable change (Elmore, 2004; Fullan, 2010; Leithwood et al., 1998; Sackney, Walker, & Mitchell, 1996).

Institutionalization of a reform or change effort takes between three to five years when harnessing the use of change knowledge components within all phases of the change process. Without change knowledge, institutionalization may require additional time. Part of the institutionalization phase is beginning with the end in mind (Fullan, 2010, 2016). In this study, the goal was to improve teacher quality. A clear plan of action was then required to address a vision to acquire targeted improvement as part of developing a full implementation plan (Fullan, 2010; Kotter & Cohen, 2002). Consideration of all levels of the system (state, district, school, and classroom) and necessary Change Knowledge Components that support the building of teacher quality should be considered (Elmore, 2004; Harris, 2011).

Although USB64 was initiated in 2012 and was only three years into implementation at the time of the interviews, there are still possible next steps to consider when developing a plan

for full implementation to bring about sustainable change (Osmond, 2012). One might think that districts had done their job and passed the baton to principals to finish the work of building teacher quality. Would we stop with the evaluation tool and expect it alone to continue improving teacher quality?

Though each district had a plan of action to implement a selected evaluation system, plans did not extend into the context of principals leading teachers in improvements using the evaluation system. The findings reveal that principals felt a sense of accomplishment and finality of the state and district expectations of becoming certified. No principal mentioned that there was a vision to build principal capacity in working with teacher instructional improvements. Nor was there a principal that mentioned a continuation of supports that would move towards an effective full implementation phase of developing teacher quality (2016). In fact, principals mentioned expressions as it relates to achievement of the initiative such as, “yup, you know what you are doing, go ahead” (SM;D6), “I was told that I passed” (ES:D3), and “I passed the test. That must have been enough for me with what the district provided me” (EL:D4).

It would also be of import to note there was no evidence of districts motivating principals (or capturing their hearts in change knowledge verbiage) to move into the principal-teacher paradigm to continue teacher quality improvements. With these findings, it would appear that without these change knowledge components, districts are at risk of reaching teacher quality improvements at only the compliance level. This risk was evident with principal responses mentioning the completion of the certification process with no need to probe further into ways in which teacher quality improvements could continue.

A clear plan of action that includes institutionalized outcome planning in developing teacher quality would include a full disclosure of all methodologies, change knowledge

components, and participants that lead to furthering instructional and teacher quality improvements. These considerations would be formalized in an effective clear plan of action ready for the initiation and implementation phases (Elmore, 2004; Fullan, 2010, 2016; Kotter & Cohen, 2002).

Considering the Need for Further Individual Capacity Building

One might argue that districts had done their job of certifying principals to evaluate teachers and could then pass the baton to finish the work of building teacher quality. Without determining and examining the skills required for a principal to use an evaluation tool in supporting teacher growth and improvements, district leadership may assume that a principal can do the necessary work required. Assuming one has the necessary skills to perform a set of expectations that requires specific skills in instructional leadership, would be risky (Elmore, 2004). This assumption would mean that all principals should be ready and capable to perform at high levels whatever was required. We know that principals come with varying skill sets, and capacity building is required to meet new and challenging initiatives (Fullan, 2010; Harris, 2010, 2011). Working with teacher instructional improvements requires a different set of skills than perhaps a principal possesses (Fullan, 2010).

Considering Job Embedded Supports

In considering bridging compliance to teacher quality improvements, job-embedded professional development and ongoing systems of support are two important elements to building individual capacity (Elmore, 2004; Fullan, 2010; Harris & Jones, 2010; Leithwood et al., 1998; Leithwood & Seashore-Louis, 2011).

While most districts allocated human resources to help principals become certified in the evaluation tool, they did not allocate human resources for job-embedded coaching opportunities

that were extended into the context of their own schools (Elmore, 2004; Leithwood & Seashore-Louis, 2011; Sparks, 2002). This type of coaching would extend to not only the evaluation tool, but also other pertinent aspects of developing teacher quality. Coaching supports are critical for helping principals address real problems around the improvement of teacher quality (David, 2009; Sparks, 2002). No principal indicated they received district support to use the evaluation tool to bridge these experiences to explore any other aspects of improving teacher quality within the context of the principal's own school setting.

Research indicates that building principal capacity should take place in "schools and is geared to specific circumstances in which principals work" (Sparks, 2002, p. 431). In other words, for professional development to be effective, it must target the micro level-building individual capacity in the context in which one works (Elmore, 2004; Fullan, 2010). In fact, for improvement to become manifest, it requires a relentless focus on doing the "right things" coupled with multiple opportunities for learning those skills (Levin & Fullan, 2008, p. 296). Probing further into continued efforts to improve teacher quality would involve coaching at the principal-to-teacher level and supporting his or her role in facilitating improvement opportunities.

Considering Collective Capacity Building

Districts primarily focused their implementation efforts of USB64 on compliance in principals becoming licensed, and they hit this target; therefore, the principals' individual capacities in this specific area were expanded. However, this narrow target is unlikely to build the collective capacity within the districts to further improve teacher quality. Collective capacity building efforts would include all stakeholders involved in instruction, specifically teachers (Elmore, 2004; Harris, 2011; Leithwood & Seashore-Louis, 2011). Including teachers working

with principals involved in district implementation efforts would have been an important element in creating sustainable change in districts (Elmore, 2004). To achieve collective capacity, and thus increase the likelihood of sustainable change, districts could also provide professional development to build the capacity of teachers for the purpose of improving instruction coupled with a principal's role in supporting the continuing of efforts in teacher improvements (Fullan, 2010; Weick, 1976).

Research indicates that though teachers are the biggest stakeholders in impacting student learning (Marzano, 2003), but the findings in this study indicate that teachers (virtual or live) were observation opportunities for practicum experiences. One principal stated, referring to practicum experiences using the observation tool, "[We would] get feedback and practice and practice and practice" (SL:D4). No principals mentioned district efforts to extend building their capacity beyond the evaluation tool role. The tool was used to evaluate a teacher's performance. A principal's role, however, is not only to evaluate, but also to diagnose and prescribe direction toward improvements. A couple of principals mentioned this concept in the findings as hopeful next steps. No principal mentioned this direction was the intent of their district. If districts, as a next step, focus on developing collective capacity, then principals could utilize their evaluation system as a vehicle to strategically work with teachers to improve teaching and instruction. This work would likely result in sustaining district improvement efforts in teaching and instruction across the whole district system (Adelman & Taylor, 2003; Fullan, 2002).

Considering Collaboration in Collective Capacity Building

The findings in this study indicate a high percentage of principals mentioning the collaborative opportunities they had during professional development with their evaluation system. Consistent with the literature, these collaborative opportunities facilitated their learning.

Providing collaboration is an essential part of professional development that leads to sustainable improvement (Fullan, 2002; Harris, 2011). It is interesting to note that secondary principals, unlike the elementary principals, saw their collaboration within the professional development as means to an end since they felt satisfaction once they became licensed. While elementary principals also felt a sense of satisfaction upon completion, it appears they were not as content with just becoming licensed. The findings indicate that though they found value in collaborating amongst their peers to make sense of their evaluation process, they wanted more than certification. They articulated a need to know how to work with teachers once the evaluation took place with the tool. Rather than limiting a focus to certification that was a rite of passage to evaluate teachers using a tool, these principals felt that compliance was not nearly enough. They wanted more. One elementary principal stated, "I think the other challenge is, how do you then effectively take that information [the evaluation data] from the Utah Effective Teacher Standards and then help a teacher become better" (ES:D7)? They wanted to dialogue and collaborate with their peers in order to continue forward with building teacher capacity.

Research indicates that successful implementation requires that the intended purposes of any initiative must reach the intended individuals (Elmore, 2004; Fullan, 2010). In the context of this study, the intended beneficiaries of district efforts would be principal, teacher, and students. District efforts were successful in the context of its intended target, the principal. Becoming certified was the goal, which was met. However, in a collective capacity approach, districts would include the bridging process of principal-to-teacher paradigm, targeting the principal's capacity to continue teacher quality improvements (Elmore, 2004; Hallinger, 2003; Weick, 1976).

Practical Implications

Although this study has produced specific findings within a given context, other researchers and readers will need to determine their transferability. However, the results of this study have implications for potential positive change for state, district, school, and classroom leadership.

At the state level, the results of this study may inform policy makers to consider looking beyond compliance when driving policies into the educational system. This would mean that all levels of the educational system would be considered as essential participants and their roles critical to ensure a desired outcome. It would behoove policy makers to partner with all stakeholders in a united effort to design policies that ensure strategic outcomes, such as a comprehensive vision in improving teacher quality and student learning (Cooper et al., 2004; Elmore, 2004). This partnership would allow transference of necessary professional development to impact all participants of the multi-level system ensuring their capacity to improve student outcomes.

At the district level, the results of this study have implications for district instructional leaders in the design of appropriate professional development drawing upon change knowledge components to facilitate growth toward and achievement in the accomplishment of desired outcomes (Harris, 2010). District leadership could improve professional development opportunities for their school principals to extend to the acquisition and performance of essential skills. Providing professional development in working strategically with teachers to appropriately diagnose and prescribe direction toward improvements would ensure the continuation of improvements in teacher quality. Districts could continue supporting principals as they work with teachers through a coaching model that includes relevant problem solving,

feedback of performance, and practicum experiences in the context of their principal's setting (Elmore, 2004; Harris, 2011; Leithwood & Seashore-Louis, 2011; Sparks, 2002). The opportunity for improvements using these supports is likely to support sustainability.

At the school level, the results of this study might also have implications for principals. Principals play a critical role in building teacher capacity (Leithwood & Seashore-Louis, 2011). Principals could use their district evaluation system to support teacher growth towards improvements in teacher quality by providing teachers a context to build individual capacity. Furthermore, principals could use the evaluation data to diagnose need and prescribe strategic direction for teacher growth opportunities. Professional development that includes continual instructional supports within the context of their classrooms based on strategic need is paramount in sustainable change (Elmore, 2004). Principals who focus and align their evaluation system to focus on continual growth opportunities will likely have a positive impact on the classroom (Elmore, 2004; Fullan, 2010; Harris, 2011; Leithwood & Seashore-Louis, 2011; Levin & Fullan, 2008).

The results of this study may have further implications at the classroom level. As teacher quality improves, students will receive increased and more effective optimal learning opportunities. As state-, district-, and school-level leadership align their efforts toward improving teacher quality, students are the targeted beneficiaries (Fullan, 2010; Harris, 2010; Marzano, 2003).

Conclusion

Considering our present educational system, "reforms [seem to] come and go, ... implementation is variable and success is short lived. Many of the changes intended to improve education outcomes have simply not delivered, leaving many of the basic features of schooling

unaltered" (Harris, 2010, p. 197). Without the artful use of all components of change knowledge within the three phases of the change process, schools are unlikely to achieve meaningful and sustainable improvements (Fullan, 2010, 2016). Gill suggests that this "lack of change is due to not poor management but more likely a lack of effective leadership" (2002, p. 307). It would behoove all levels of educational leadership (state, district, school, and classroom) to align initiatives in a cohesive, unified way that builds collective capacity. When a state mandates a policy to districts to improve teacher quality, consider the inclusion of all contributors that would impact teacher quality as part of the clear plan of action. Requiring compliance alone to evaluate teachers will not improve the educational system.

This study of district implementation of USB64 took place in the early implementation phase (Fullan, 2016) and did accomplish the three targeted areas of focus, (a) unpacking the USBE teacher standards, (b) understanding the district selected evaluation tool, and (c) achieving inter-rater reliability with the evaluation tool, which led to licensure. It is hoped that in the long run, the state will accomplish the more important goal of improving teacher quality and student learning. These next steps can be accomplished through a continuous evaluation of systems and processes. Kirtman and Fullan (2016) describe these continued efforts as those that would focus on growth and development as a dynamic process and a continual push for improvements:

> Great leaders who embrace continuous learning still implement the required evaluation systems; however, they transform evaluation from a rating process that supports fear of failure to a goal-setting endeavor with dialogue that creates innovative processes for growth and development.

Though the efforts of USB64 to improve teacher quality may be a good first step, without continuation of the change and implementation of all change knowledge components, then the larger, more important goal may not be realized.

A secondary principal from a mid-sized district articulated the moral responsibility of administrators nicely when she sincerely said, “We are placing kids in the hands of these teachers, as administrators, it’s our job to guarantee they’re doing what’s best for them” (SM:D6). We know that educational leaders cannot produce the kind of outcomes in a given system if they don’t know how to lead change and if the systems are not aligned to do so (Harris, 2010; Leithwood et al., 1998).

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Tables

Table 1

Utah School District Stratified by Size, Number of Principals per District, and Number of Principals per District Size

	District size	#of districts	principals per district	per district size
Large-sized districts	>13,000 students	3	4	12
Medium-sized districts	7,000-13,000 students	3	3	9
Small-sized districts	<7,000 students	3	2	6

Table 2

Elements of Professional Development (PD)

PD targets *District efforts*	Secondary n=10	Elementary n=17	Large n=12	Medium n=9	Small n=6
Unpacking standards (US)	7(70%)	8(47%)	9(75%)	4(44%)	2(33%)
Evaluation tool	6(60%)	10(59%)	7(58%)	7(78%)	2(33%)
Inter-rater reliability	8(80%)	10(59%)	8(67%)	6(67%)	4(67%)
Positive impact	7(70%)	12(71%)	8(67%)	7(78%)	4(67%)

Table 3

Approaches Used in Professional Development (PD)

Evidence of change Knowledge components	Secondary n=10	Elementary n=17	Large n=12	Medium n=9	Small n=6
Clear plan of action					
Need for teacher quality	3(30%)	4(24%)	1(8%)	4(44%)	2(33%)
Systems-PD					
Collaboration	10(100%)	10(59%)	10(83%)	5(59%)	4(67%)
Valued collaboration	0(0%)	10(59%)	2(17%)	3(33%)	2(33%)
Practicum experiences					
Live practicum exp.	3(30%)	3(18%)	2(17%)	2(22%)	2(33%)
Virtual exp.	9(90%)	9(53%)	12(100%)	7(67%)	3(50%)
Valued virtual exp.	2(20%)	0(0%)	1(8%)	1(11%)	0(0%)
Change theory-mind & heart					
Logical explanation	7(70%)	12(71%)	9(75%)	6(67%)	4(67%)
Triggered motivation	0(0%)	0(0%)	0(0%)	0(0%)	0(0%)

Figures

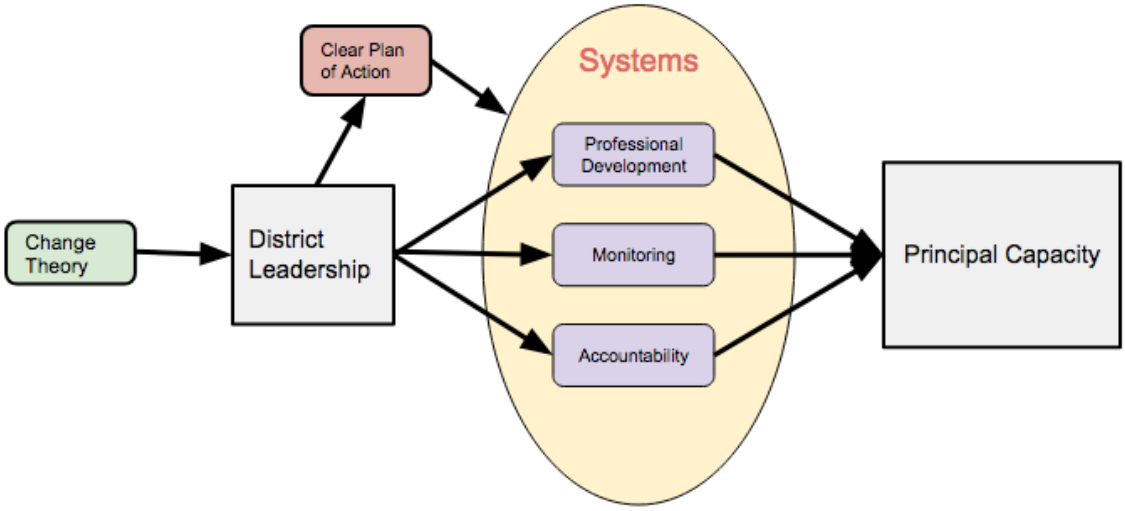

Figure 1. Theoretical framework of the change process using change knowledge components.

APPENDIX A

Extended Review of Literature

In the context of education, a successful system has been defined as one where all individual parts of the whole contribute in concert with one another for a common purpose (Fullan, 2010). Alma Harris (2010) in her research of Wale's tri-level educational system included individual parts of the whole system such as country, region, and school level systems working collaboratively in and across all levels. Each of these individual parts and levels work collaboratively for the benefit of the whole system to meet strategic targeted outcomes.

Public education systems in the United States typically comprise federal, state, district, and school-level systems. State offices of education operate within a macro system while that system influences individual parts such as district systems in terms of state policy, law, curriculum, teacher performance, and leadership standards operating interactively between districts. The central office of a district influences individual school systems to implement not only state mandates, but additionally their own expectations and initiatives. In turn, the school system ensures that all district, state, and school expectations are implemented. Teachers within their own classrooms have a system in which they implement all expectations as directed by state, district, and school-level administration within their classrooms to impact student learning and outcomes. Each of these four systems, in theory, work in concert with one another to accomplish a common purpose. Sparks (2002) described the critical ingredient for a successful system; the vital interconnected roles of each individual part of the system performing in concert for a common purpose:

> These systems are designed to produce the results it gets. School improvement efforts which operate from a "project mentality" that tries to isolate a system's parts for special

> attention while ignoring their connection to the system as a whole is an example of that view. For instance, changing elementary mathematic curriculum without simultaneously considering changes in instruction, assessment, and other parts of the system is likely to lead, at best, to a partial implementation of the new curriculum (Sparks, 2002, p. 4-2).

Much research has been done between principal and classroom teacher levels as well as the systems that impact the relationships between classroom teacher and student learning. The intersecting level of central office and school-level systems, particularly that of district leadership and principal, has often been neglected. Sparks (2002) referred this as the "gold nugget" and "yet the often treated mistreated 'stepchild' of the education system" (p. 8-4). This level of the educational system became extremely important in 2012 within the state of Utah. Senator Osmond created a bill referred to as Senate Bill 64 (USB64; Utah Administrative Code, 2018) requiring that all certified teachers' instructional performance be evaluated using a new set of teacher standards (Osmond, 2012). This mandate raised some very important questions. Does the Utah State Board of Education (USBE) have systems in place to support districts with the implementation of USB64? Likewise, do districts have systems in place that will support the capacity of principals to carry out this new initiative? Are systems in place that will support the transformation necessary to achieve the outcomes that the state desires?

In this literature review, this researcher will be discussing, (a) defining effective systems and the challenges that systems encounter, (b) what we know about various components that that support effective systems and their benefits, and (c) principal's role and district leadership's responsibilities in building the capacity of principals.

This literature review could support districts in the design and implementation of appropriate professional development. With this knowledge, districts could identify gaps in their

professional development plan for building principal capacity. This knowledge could also allow district leadership to restructure their professional development to better include elements that will lead to successful and sustainable reform.

Effective Systems

For systems to work and successfully produce their desired outcomes, leaders must understand what constitutes an effective system. An effective system is created to support a targeted outcome (Fullan, 2010; Harris, 2011). This system's purpose is to support the journey until the target is realized (Leithwood & Seashore-Louis, 2011). A system that is effective will embrace the idea that the "spotlight is on everyone" (Fullan, 2010, p. 69). This means that every participant contributes and supports the journey toward a particular outcome. This type of system values strong leadership that (a) develops a clear vision (Fullan, 2006), (b) values collective capacity building (Fullan, 2010, Harris, 2011), (c) harnesses the power of collaboration as a critical component in the system (Leithwood & Seashore-Louis, 2011), (d) recognizes that changing human behavior requires knowledge about how to change behavior and the implementation of strategies that support human behavior changes (Gill, 2002), (e) a clear plan of action (Harris, 2011), and (f) establishes appropriate structures to support the plan (Levin & Fullan, 2008).

Effective systems have leaders that can develop a clear vision. Effective leaders develop systems that focus on the "framework for seeing interrelationships rather than things" (Sparks, 2002, p. 4-3). This means that leaders will have a vision to cultivate a system that is,

> hinged upon the interconnections of individuals rather than those that heavily depend upon mostly structures, schedules, and managerial strategies to produce desired outcomes (Sparks, 2002, p. 4-3).

Effective leadership views the system as “interconnected parts, it means that everyone is in the ‘spotlight’; every person an integral part of what makes the system work” (Fullan, 2010, p. 69). In other words, leadership understands that the entire system is dependent on people and their interactions with others. Consequently, a leader will not only understand or value these interactions, but their vision will also include harnessing the strengths of their participants and the product of their interactions with each other. In the context of Senate Bill 64, a vision for district leadership would include and understanding that the principal is the conduit between the district and the school playing a vital role in connecting the district office with the school and vice-verce. As Sparks pointed out, “the principal is the key person in determining whether a school succeeds” (Sparks, 2002, p. 7-1). Thus, the interconnectivity between district and principal is of extreme import. This connectivity is a connection between individuals. This means that districts will recognize the value of interaction between principals and district leadership. Thus, it would behoove us to examine more closely this critical intersection between district leadership and principal; otherwise, a disconnect may cause failure in the implementation of any collective desired outcome, such as the effective evaluation of teachers.

Vision would also include a coalition of individuals that set direction for a shared purpose. This direction would consider culture and the identification of what needs to be changed within the system based on what is required to meet those expectations (Fullan, 2006, p. 5). This would include sharing the vision for the direction chosen as well as fostering that vision across the entire system with high performance expectations (Leithwood, Harris, & Hopkins, 2008, p. 30).

Without a vision designed to support principals in effectively evaluating the instructional performance of teachers, principals may not be able to support effective instruction within the

classroom, which will negatively impact student-learning outcomes. This means that districts should design their systems to include support for principals (Sparks, 2002) and ensure that all parts (participants) of the system are capable of fulfilling their roles in order to achieve the goal of effectively evaluating teacher quality (Elmore, 2004; Leithwood, & Seashore-Louis, 2011).

Effective systems value collective capacity building. According to Fullan (2010), collective capacity is defined as groups or parts of the system getting "better-school culture, district cultures, and government cultures" (p. xiii). Effective systems embrace the building of collective capacity. This requires a paradigm shift for most districts, the discipline of looking through the lens of "seeing wholes" that every part is connected and affects other parts of the system instead of an isolated approach where each part is a separate entity with no connectivity (Sparks, 2002, p. 43). Each part of the system affects others. These collective parts work for a common purpose. In education, the primary purpose is to raise the bar and close the gap of student learning. This major feat requires helping to "develop individual and collective … knowledge and competencies" of individuals to accomplish the task of such student achievement (Levin & Fullan, 2008, pp. 296-297). This means that (a) a district, its schools, and each individual classroom are connected culturally and structurally in one whole system to produce a specific outcome or goal, and that each entity affects the other and are intricately connected; and (b) that capacity building is critical for the system to generate the desired outcomes. Alma Harris explained it this way:

> One thing is clear, a system cannot move [implement an initiative of any kind] without the capacity to do so: it needs the collective will, skill and persistence of all those working at all levels in the system. (Harris, 2011, p. 634)

This collective will, skill, and persistence creates a synergy that Harris stated:

> enables ordinary people to accomplish extraordinary things: for two reasons. One is that knowledge about effective practice becomes more widely available and accessible on a daily basis. The second reason is more powerful still−working together generates, commitment. Moral purpose when it stares you in the face through students and your peers working together to make lives and society better, is palpable, indeed virtually irresistible. The collective motivational well seems bottomless. The speed of effective change [within an effective system] increases exponentially. (Harris, 2011, p. 633)

This knowledge would mean that every person within the system embraces their important role in contributing to the system, are supported to acquire the necessary skills, and are motivated to contribute to the cause. Thus, an effective system embraces the building of collective capacity, not just individual capacity (Elmore, 2004). In fact, Fullan (2010) suggested that collective capacity building strategies should be established first in order to support individual capacity building suggesting that collective capacity provides for the opportunity for individual capacity building to take place.

Districts that focus on collective capacity building strategies within their district systems generate an opportunity for all participants to build the skill, the will, and commitment of participants that will provide the means for building individual capacity. In this context, principals that lack skill in a particular area, such as the evaluation of teacher performance, may be able to build necessary skills through the district leadership's focus on collective capacity building.

Effective systems harness the power of collaboration. An effective system harnesses sustainable steady improvement across the entire system. Elmore supported this process by stating,

> raising the average level of quality and performance while at the same time decreasing the variation among units, and engaging people in analysis and understanding of why some actions seem to work and others don't. (Elmore, 2004, p. 57)

Thus, a system will not take a linear approach to collective capacity and assume that building skills individually is enough, but will use the power of collaboration as a vehicle to actively engage each of the individuals and take advantage of their dynamic roles they plan allowing them to contribute to refinements and adjustments that become necessary to keep the system moving toward their target. This collaboration is critical for all levels of the system. Fullan explained it this way:

> Information, of which we have a glut, only becomes knowledge through a social process. For this reason, relationships and professional learning communities are essential. (Fullan, 2002, p. 18)

Collaboration opportunities no matter what level of the system, are crucial to what makes a system work. Collaborative strategies provide social networking for a collective approach to problems and solutions (Fullan, 2002). This collaborative process of problem solving and finding solutions is an important part of an effective system.

In the context of district leadership and principal system interconnectivity, the district office will recognize the value of collaboration in building collective capacity and will create work settings that harness opportunities for principals to communicate with their colleagues across schools engaged in the process of decision making and finding solutions to joint issues

(Leithwood & Seashore-Louis, 2011). “Communication [collaboration] is the lifeblood of the organization and the oxygen of change within it” (Gill, 2002, p. 311). This type of communication and collaborative process is a powerful tool for districts to embrace as it will be the major gear that will keep an effective system continually moving through the process of change empowering and uniting its participants.

One of the main purposes of collaboration is its power to “foster learning” (Leithwood, Leonard, & Sharratt, 1998, p. 363). When effective collaboration is embraced with the strategic purpose of fostering learning, trust is developed and professional learning increases (Copeland, 2003; Leithwood et al., 1998). As professional learning is increased through collaborative opportunities, it empowers participants. This empowerment is realized through the sharing of roles and responsibilities commonly called shared leadership. Copeland spoke of this shared leadership;

> [Shared leadership] a dynamic interaction between multiple leaders … and their situational social contexts [allows principals the opportunity] ... to lead in areas of strength bringing a collective expertise to the whole system rather than working in silos limiting access to the well of collective knowledge. (Copeland, 2003, p. 378)

Thus, this shared leadership provides for an optimal learning environment in which principals may flourish (Sparks, 2002). The collective collaboration of principals coupled with the sharing of leadership will help in the building of collective principal capacity. Phil Schlechty said,

> Understand that your most important job is to create and manage systems that will enable principals and teachers to concentrate on the core business of schools, the creation of

> intellectual activity that students find engaging and from which they learn … you are a capacity builder. Act like one. (Sparks, 2002, p. 5-1)

Effective systems recognize the importance of strategies that support behavior change. Building the collective capacity of individuals produces desired acquisition of skills. The component of acquiring skills is a major component of collective capacity, but what about will and commitment?

Systems that are created to support a specific outcome not only require the development of skill and competency but also, the involvement of individuals in the change process (Gill, 2002). This can be a major feat when cultures are rooted in archaic practices that will not produce the necessary change required to meet a desired outcome. As Kotter and Cohen have stated, "change is most challenging" (Kotter & Cohen, 2002, p. 25). Change often requires a change in culture. Levin and Fullan (2008) explained culture change this way:

> Cultures do not change by mandates; they change by the specific displacement of existing norms, structures, and processes by others; the process of cultural change depends fundamentally on modeling the new values and behavior that you expect to displace the existing ones. (p. 296)

Thus, if a system is to change a culture, modeling the new behaviors and values are the first step before a new culture evolves. Kotter and Cohen (2002) insisted that culture is the outcome of change, not the precursor to change. In other words, "culture comes last, not first" (p. 170).

It is an intentional process of shifting norms and values, and this process takes time. Creating culture isn't about merely sharing the vision and expecting behavior to change. It is

about rolling up your sleeves and experiencing the new behavior over a period of time that a desired culture evolves.

> A culture truly changes only when a new way of operating has been shown to succeed over some minimum period of time. Trying to shift the norms and values before you have created the new way of operating does not work. The vision can talk of a new culture. You can create new behaviors that reflect a desired culture. But those new behaviors will not become norms, will not take hold until the very end of the process. People say culture when what they mean is new behavior a new way of operating. (Kotter & Cohen, 2002, p. 170)

This means that to truly change culture, leaders must be focused on individuals and their behavior within the culture or system in which they work (Fullan, 2006) and model the appropriate predetermined practices and values that the new system will require (Leithwood & Seashore-Louis, 2011).

Additionally, Kotter (2007) pointed out that these new behaviors become sustainable when they are rooted in social norms and values. He stated:

> change sticks when it becomes "the way we do things around here," when it seeps into the bloodstream of the corporate body. Until new behaviors are rooted in social norms and shared values, they are subject to degradation as soon as the pressure for change is moved. (p. 103)

Hence, a system that is moving toward effectiveness recognizes that new culture comes to fruition when the focus is on targeted new behaviors that will generate a new culture of how things are done. When one examines this new culture, new social norms are embedded, and values are shared. This in turn would,

> create a common culture of expectations around the use of those skills and knowledge, holding the various pieces of the organization together in a productive relationship with each other, and holding individuals accountable for their contributions to the collective result. (Elmore, 2004, p. 59)

The challenge to implementing new behaviors in the replacement of old is that of penetrating the heart of individuals so that they are motivated to participate in the change. Kotter and Cohen (2002) suggested that the key to participation is that of "seeing" and "feeling" (p. 173). They stated, "the key to this behavioral shift, so clear in successful transformations, is less about analysis and more about seeing and feeling" (p. 173). In other words, seeing and feeling helps produce change. Gill (2002) articulated this in similar words as using personal power to win hearts and minds of people to work together toward a common goal (p. 310). *Seeing* and *minds* refer to knowing and doing while *feeling* and *hearts* are the purposes and emotions behind what we know and do. Without the right knowledge of winning hearts and providing the right knowledge for the minds of participants, systems are rarely successful.

The knowledge of how to change hearts and minds is important for districts as they work with principal's ability to evaluate teacher performance. In fact, it is not enough for principals to be instructional leaders, but also, they must lead culture change as well (Fullan, 2002; Hallinger, 2003).

This would behoove district leaders to understand and lead culture change across the entire system in order to build collective capacity. It would then become evident that district leadership should consider both the heart and mind while designing their plan to support principals in acquiring the necessary skills to perform effective evaluations. With this

understanding of culture development not only would principals would not only acquire the necessary skills to evaluate teachers but also know how to inspire them to want to acquire them.

Effective systems have leadership that consider using systems that support the appropriate design and implementation of a strategic target. An effective system will consider the importance of designing and implementing a plan that will produce the desired outcomes. Every system is designed to get the results it gets. They are organized to produce what they are setup to produce (Sparks, 2002). This means that a plan must be designed so all parts of the system are aligned to help produce the intended outcome. For all parts of the system to be aligned, effective leaders will consider developing a plan of action for the implementation of a strategic target.

Strategic target defined. Leaders will first identify a "smaller number of ambitious goals and smaller number of key priorities" (Fullan, 2010, pp. 4) rather than flooding the system with numerous initiatives in the designing of a clear plan of action. In fact, high performing systems tend to focus on two to four strategies targets or ambitious goals (Levin & Fullan, 2008) "and build the capacity to deliver them" (Harris, 2011, p. 626). Those that try to

> improve everything all at the same time inevitably leads to dispersion of effort, burnout, and failure to achieve anything worthwhile. This means starting with those goals that are most salient in the public mind—typically things like elementary school literacy or high school graduation or student safety. (Levin & Fullan, 2008, p. 293)

The idea of focusing on a few strategic targets rather than on multiple eclectic departmental goals are much more strategic.

Systems that support the design and implementation of strategic targets. Leadership will consider the effective use of strategic data, problem solving opportunities, feedback loops

and aligning of resources when developing their strategic plan to monitor and navigate through the process of design and implementation.

Using data is an essential component in the design of a district plan. The focus of data provides the compass that navigates the course of action needed for correcting direction and making adjustments. District offices often have the capacity to analyze data; however, principals and teachers could take advantage of the data if "balanced with support" (Leithwood & Seashore-Louis, 2011, p. 140) in using it to "set goals and assess progress" (Sparks, 2002, p. 5-2). Kotter and Cohen (2002) mentioned that data and analysis can influence "how we think" in supporting a plan of action. They stated, "the information and analysis change people's thinking. Ideas inconsistent with the needed change are dropped or modified" (p. 30).

This implies that within the context of district initiatives, principal skill acquisition is best supported by prescriptive data to help principals navigate direction and self-assessment within the context of their own skills to effectively evaluate teachers and in turn support teachers with the appropriate feedback needed for improvement. Using data, principals may be able to acquire the needed perspective to support teacher need for successful student outcomes.

According to Levin and Fullan (2008), the use of resources when used and planned for fully, supports successful improvement. They have suggested that "some level of additional resources is essential to successful improvement. However, "money is not the critical element driver, and that it is just as important to pursue more effective use of existing resources" (Levin & Fullan, 2008, p. 299). Yet Levin and Fullan (2008) emphasize the importance of new money as a sign of commitment for people within the system, the handling of wages to keep good people and attract them and using resources to leverage change through "supporting new ways of working" (p. 299). In addition, resources were aligned to support such efforts as professional

learning opportunities. Not only were current funds aligned to provide such professional development, but also funds were also enough to produce the learning outcomes needed (Leithwood, Leonard, & Sharratt, 1998). A major investment in appropriate professional development coupled with school control over budgets and programs to support adult learning had a significant impact according to three case-study districts that conducted major reform efforts (Loacker, 1986, p. 89).

Other resources that are often overlooked in education are that of time and support personnel. “To flourish, principal[s] need sufficient meeting time” to deal with “real problems that school administrators face” and “strong facilitators” to guide them through problem solving and professional development (Loacker, 1986, p. 89).

Systems that align resources such as sufficient time, funding that provides adequate and strategic professional development, and supportive personnel to facilitate the acquisition of new skills create an environment in which principals may grow capacity to perform new skills such as the requirements of Senate Bill 64.

Effective systems provide professional development that includes coaching. District leadership teams have found positive results when they have that trained and coached principals in acquiring new skills when implementing an initiative (Loacker, 1986). Coaching is an essential core strategy in developing principals (Fullan, 2002; Honig, Copland, Rainey, Lorton, & Newton, 2010). Sparks advocated coaching for principals quoting Alvarado:

> You cannot change behavior, change practice in organizations, without large-scale coaching by people who know the content, who know how to do it, and who know how to help people learn. At the heart of it is the simple notion that you need someone working with you to model, to give feedback, to assist in the actual trying of the new

> practice, to support in the ongoing habituation of the new practice. It is impossible to improve practice without access to high quality coaching. (Sparks, 2002, p. 2)

In addition, this coaching is best conducted on site within the context in which the recipient works (Haslam et al., 2011; Leithwood & Seashore-Louis, 2011). Elmore affirmed this by stating, "successful professional development is likely to occur in schools and classroom settings rather than off site" (Elmore, 2004, p. 97).

Principals that are acquiring new skills, such as in the case of operating a new evaluation system, will require excellent adult learning opportunities. A high-quality coach that engages principals in "continued and sustained learning" of targeted skills within the context of a principal's work environment produces improvements (Levin & Fullan, 2008, p. 296).

Effective systems use accountability strategies to sustain implementation efforts. "Accountability must be a reciprocal process," said Elmore. In fact,

> for every increment of performance I demand from you, I have an equal responsibility to provide you with the capacity to meet that expectation. Likewise, for every investment you make in my skill and knowledge, I have a reciprocal responsibility to demonstrate some new increment in performance. This is the principle of reciprocity of acceptability for capacity. (Elmore, 2004, p. 93)

This focus of reciprocal accountability (Copeland, 2003), builds cumulative capacity and responsibility that is both "internally held and externally reinforces" (Fullan, 2010, p. 66). This is what Fullan called "intelligent accountability" (p. 66), which includes the following characteristics:

1. Relies on incentives more than on punishment.
2. Invests in capacity building so that people can meet the goals.

3. Invests in collective (peer) responsibility.
4. Intervenes initially in a nonjudgmental manner.
5. Embraces transparent data about practice and results.
6. Intervenes more decisively along the way when required.

Accountability plays a key role within the process of any initiatives and requires "mutual accountability" (Harris, 2010, p. 200). There needs to be a careful balance of authority versus intervention and support versus pressure. In fact, the use of "carrots over sticks" and "capacity over cajoling" provides a better context for successful accountability measures (Fullan, 2010, p. 69). Levin and Fullan (2008) posited that,

> an emphasis on accountability by itself produces negative pressure: pressure that does not motivate, and that does not get to capacity building. Positive pressure is pressure that does motivate, that is palpably fair and reasonable. (p. 296)

This advice means that you don't lead with intervention, you follow with it (Fullan, 2010). It also implies that without this type of "internal accountability," where focus is on capacity building and the use of positive pressure, success is doubtful (Fullan, 2006, p. 9).

Principals that need to build skills in conjunction with district initiatives must be held accountable for such skills. District leadership should hold "individuals accountable for their contributions to the collective result" (Elmore, 2004, p. 59). In turn, districts should provide support and interventions while providing incentives for them to build their capacity (Honig et al., 2010). Such reciprocity between leadership and principal is required for capacity building to take place. In essence, districts that "walk the talk" (Leithwood, & Seashore-Louis, 2011, p. 231) themselves and provide reciprocity by monitoring school needs and provided supports are generally more successful. Furthermore, those districts that hold principals accountable for

implementing and following up on what is learned during "district-sponsored professional development" tend to increase principal efficacy and performance (p. 127).

Challenges That Hinder System Reformation Efforts

Institutionalized systems. Education over the past 100 years has become an institutionalized system, in which districts and schools have taken on "a life of its own," (Davis & Scott, 2007, p. 73). They develop a unique set of characteristics that are valued by the masses to which they become expected and all those involved within the organization become trained within this valued context to reflect the desires of this culture. Whether this institutionalized system fits the desired outcomes is irrelevant (Davis & Scott, 2007). Isomorphic effects began to emerge during the 1880s to the 1930s. Pressures were mounting for organizations to adopt "bureaucratic administrative forms in response to normative pressures" (Davis & Scott, 2007, p. 265). Davis and Scott continued further by saying, "Leaders [then] define the mission of the enterprise and protect its distinctive values and create a social structure which embodies them" (2007, p. 74).

The issue of institutionalizing schools is that they become stuck in archaic ways that are no longer effective. This puts them in a morpho stasis process of maintenance of the status quo as opposed to a morphogenesis process that would promote change (Davis & Scott, 2007). A morphogenesis approach would view change as an asset for reformation that would prove to produce greater outcomes. We are generally in a morpho stasis paradigm. We may say that, on the outside looking in, we are otherwise; however, as you examine district leadership, there has been little change that affects the classroom teacher. More and more schools are adopting forms of a morphogenesis, but not nearly enough to penetrate the institutionalized norms.

Richard F. Elmore (2004) shared his insights on the subject:

> The by-products of this institutional form have been, among other things: relatively weak professionalization among teachers, since teaching was thought not to require expertise on a level with other, "real" professions, and conditions of work were not conducive to the formation of strong professional associations among teachers; A relatively elaborate system of administrative overhead at the district and school level thought to be necessary for adequate supervision of the relatively low-skill teacher force; and relatively large schools, thought to be a logical extension of principles of scientific management requiring economies of scale to produce efficiencies. (p. 45)

The institution does not provide it within its structure and norms a way to meet the demands of ever-increasing expectations, a system that does not fit the dynamics and needs of the present necessary outcomes. In the present educational paradigm, we behave inefficiently to meet the needs of an ever-changing system, and yet we expect different results when faced with high-stakes initiatives. This is the ultimate dilemma. How do you work with an archaic institutionalized system that cannot produce necessary outcomes?

This presents a problem for principals. Can we, within these perceived parameters, expect administrators to perform differently than they are trained? Principals are asked to evaluate teachers with a new set of standards yet have not been trained to do so.

Loose coupling. During the 1970s and early 1980s, the educational institutionalized structure incorporated a model known as "loose-coupling" (Weick, 1976, pp. 5-6). Loose coupling can serve or impede an organization. In this case, it has preserved a culture that in fact institutionalized over the years and has served to educational disadvantage. Elmore (2004) shed light on this subject when he stated the following:

> Derived from institutional sociology, this view, in brief, posits that the "technical core" of education-detailed decisions about what should be taught at any given time, how it should be taught, what students should be expected to learn at any given time, how they should be grouped within classrooms for purposes of instruction, what they should be required to do to demonstrate their knowledge, and perhaps most importantly, how their learning should be evaluated-resides in individual classrooms, not in the organizations that surround them. Furthermore, the model posited that knowledge at the technical core is weak and uncertain. It cannot be translated into reproducible behaviors, it requires a high degree of individual judgment, and it is not susceptible to reliable external evaluation ... The administrative superstructure of the organization-principals, board members, and administrators-exist to "buffer the weak technical core of teaching from outside inspection, interference, or disruption. (p. 46)

This loose coupling model has isolated the teacher and classroom for many years. This isolation of teachers has become institutionalized: a shared belief that this is how we do education. Consequently, administrators predominate role is not to manage instruction but manage the structure and processes around instruction and "direct involvement in instruction is among the least frequent activities performed by administrators" (Elmore, 2004, p. 48).

The Hawthorne effect revolutionized research, and it headed into open territory. A simple study experimenting with environmental conditions changed trajectories. Hoping to see if lighting would have an impact on employee production, Hawthorne discovered something quite different. Just being asked to participate in the study, made them feel important, exceptional, and valued ultimately inspiring them to be highly productive. This began a journey into new territory, the open system wherein employees were not looked upon as merely objects to be manipulated,

but human resources with great potential to support productivity and outcomes. Since the Hawthorne Effect, organizations began to explore aspects of the individual (Charles, 1986).

Researchers have learned through this study that "change is interesting; and attention is gratifying" (Davis & Scott, 2007, p. 65)! This concept is simple in nature, yet very complex in organizations especially in the field of education.

Protecting the technical core (student learning) has predominantly been the responsibility of the teacher. The structure of this technical core has been very loosely coupled. Although principals manage to buffer the technical core, little is done to inspect, provide feedback, or evaluate teacher effectiveness with the ultimate desired outcome, learning.

The challenge lies in unlocking the archaic culture of the technical core by building teacher capacity and impacting student learning through a principal that has the capacity to support and lead the process. The effect we are experiencing by the lack of penetrating the core is uncertainty, and what we need is dependency (Goldring, 1995). If we can implement best practices to reduce uncertainty by changing to a better model that accesses the technical core to instructional leaders, then we will be more likely to reach desired outcomes.

The effect we are experiencing by the lack of penetrating the core is uncertainty and what we need is dependency (Goldring, 1995). If we can implement best practice to reduce uncertainty by changing to a better model that accesses the technical core to instructional leaders, then we will be more likely to reach desired outcomes.

More than a managerial leader. Our educational system is predominantly management over instructional leadership. We promote the here and now and do not ask broader questions about purpose and organizational identity. We operate in the context of identifying for subordinates a sense of what is important (Bryman, 1996). We see this often as it is embedded

within the structures of our institution, promoting management because that is what is expected and rarely breaking new ground into incorporating the very loosely coupled classroom into the system. On the other side, classical management and scientific management theories would at least focus on design of the total organization and systematically manage individual jobs in ways that would reduce uncertainty (Stone & Paterson, 2005). Thus, the need for management does play a role in efficiency and should not be overlooked. The idea that no management is needed and is separated from the organization is inefficient. If our jobs are embedded within an institutionalized system that provides supports and aligns with management only, how is instructional leadership supported?

This brings us to other very poignant questions: Under what conditions is instructional leadership learned and sustained? What fosters capacity in principals to instructionally lead to support teachers in their classrooms to reduce uncertainty? Why do we expect administrators to evaluate teachers effectively through the lens of instructional leader and yet ask them to evaluate under the experience of managerial leader?

Sustaining efforts. The biggest challenge for any initiative or reform effort is the ability to not only change practice, but also sustain and maintain that practice. It must also be maintained. It is not merely continuing a program, but rather cultivating the "new way of operating" that shifts new behaviors to align with the trajectory that would produce the targeted desired culture (Kotter & Cohen, 2002, p. 170).

Another issue that surfaces while initiating change is that of bypassing stakeholder groups within the system. System change requires significant changes at all levels of the system including leadership style and practice (Sparks, 2002). Without an effective system that fosters learning and performance at high levels at all levels of the system, it will fail (Sparks, 2002).

Consequently, most districts have yet to articulate a systematic plan to support improving schools and system-wide changes that involves leadership capacity, new knowledge, and new practices (Dulaney, Hallam, & Wall, 2013).

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APPENDIX B

Extended Methods Section

The Utah State Legislature passed a Senate Bill in 2012 aimed to provide more accountability for school administrators (Osmond, 2011). This bill, Senate Bill 64 (USB64), focused on three main areas of reform efforts: (a) annual evaluations focused on student achievement indicators, (b) leadership skills, and (c) proficiency in completing annual teacher evaluations (Osmond, 2012: Utah Administrative Code, 2018). Furthermore, the Utah State Board of Office Education (USBE) has made districts responsible for implementing USB64. USB64 attempts to hold principals accountable to effectively evaluate teacher instructional quality using newly adopted teacher state standards (Osmond, 2011). Districts play the key role in implementing USB64 to provide supports to principals in acquiring the necessary skills and knowledge to effectively evaluate the instructional quality of teachers based on these new expectations required by the state. Thus, principals are the recipients of district efforts to support and prepare them for new state expectations of effectively evaluating teachers. All principals throughout the state had participated in their district's professional development efforts to prepare them for the evaluation of teachers. All could address, firsthand, their experiences and outcomes of their district's efforts to prepare them for the evaluation process.

It was deemed important to gather information regarding not only district efforts of preparation in evaluating teachers, but also what change knowledge components were manifested in these efforts. Learning what efforts districts had taken to implement USB64 and what change knowledge principles were evident in these efforts gives insight into the likelihood of meaningful and equitable implementation of USB64, as well as the likelihood of USB64 producing systemic and sustainable improvement to the public education system.

Participants

The target population for this study was all administrators responsible for evaluating teachers in the state of Utah. Due to the variations in district size and available resources for implementation of USB64, it was deemed necessary to stratify the sampling frame by size in order to ensure that all sizes of districts were included in the sample. It was believed that elementary and secondary principals may perceive and experience the implementation efforts differently, so the decision was made to interview both types of principals in the selected districts. This qualitative study used a purposive sampling of Utah school districts stratified by size based on student population (see Table 1). Two stages of selection were used to select principal participants in this study. The first stage focused on selecting districts, and the second stage focused on selecting principals with the selected districts.

The sampling frame for stage one of the selection process included all 41 districts in the state of Utah. Districts were stratified by size: small, medium, or large (see Table 1). A purposive sample was used to select districts within each size according to the researcher's connectivity or access to a particular district. Three large sized districts, three medium-sized districts, and three small-sized districts were selected, totaling nine districts of 41 in the state of Utah. It was determined that at least two principal interviews would be selected from each district. The rationale was to provide opportunity for variation in experience and verification of experience. The number of principals for each district participating in this study was then determined by their size. Four principals were selected from each of the large-sized districts, three from medium-sized districts, and two from small-sized districts. There were 27 principals in total that were selected for this study (see Table 1).

Framework

This is an organizational and sociological behavior study within the context of educational leadership. These behaviors are combined to facilitate change. Sociological behaviors in educational leadership within the educational organization are crafted to support and facilitate strategic behavioral outcomes. The educational organization is structured to create a context in which these behaviors may be acquired and sustained. The behaviors that foster the acquisition of desired sustainable skills have emerged from the literature. In fact, there are consistent patterns that contribute to successful behavioral change. Such change is aligned with change theory. Change theory explores ways of thinking about the relationship of parts from within a system and how the parts interact to impact the collective behaviors of that system. Systems change also considers how the system as a whole interacts and forms relationships with its environment. Change knowledge as is referenced in this study exists within the theoretical framework of systems change theory.

Individual and collective capacity building are resources for systems change. The individual and collective capacity is supported through structured collaboration and systemic processes. These processes support behavior changes that produce systemic change rather than a singular change, which offers sustainability of reform efforts.

These patterns are predominately focused on the classroom teacher in the area of building individual and collective capacity. There are fewer studies done in the area of building principal capacity. Although there are fewer studies, many of the studies can be generalized at the principal capacity level. This can be justified in that principals play an integral role in the classroom system.

There is a gap in the literature in building capacity of principals. This became evident as the literature was examined. Although this gap may seem problematic, the educational system recognizes that capacity building is important at all levels whether it be at the state, district, school, or classroom level. The patterns listed above are essential for both teachers and principals.

Approach

Any principal that participated in evaluating teachers was eligible to be a potential respondent. Since principals have the primary responsibility of evaluating teacher quality, this study is from the perspective at the principal level. It seemed logical to conduct interviews in order to collect data. Interviews would allow a process in which principals would freely share their experience with district efforts to prepare them for their district's new evaluation system. Assistant principals, though they may do evaluations, were not included in this study. The Utah educational directory was used to generate the sampling frame for the second stage of the selection process. All principals from the selected districts were identified, and for each district, simple random sampling was used to select candidates for this study. Although elementary and secondary principals have quite different responsibilities, they both have the common responsibility of evaluating teacher quality. Therefore, stratification of the principals based on type of assignment was not used in the selecting participants in the study, rather simple random sampling was used to provide a representative sample of the elementary and secondary experiences.

Selected principals were invited to participate via email. The email message described a synopsis of USB64 and a request to interview them regarding their experience with their district's efforts to comply with this state initiative. The invitation included details regarding the

interview process (approximately, a 30-minute recorded phone conversation) followed by an offer for a complimentary $25 gift card to Amazon.com for their time. They were asked to reply to the email-scripted message should they be interested in participating. If candidates were unresponsive, a second email was delivered-and if still no response, a third. After the third attempt, another candidate from that same district was randomly selected. One small- and one medium-sized district declined participation, after which another district was selected in each of their places using the same purposive sampling strategy used to select earlier districts in this study. Seven principals were unresponsive to the email invitations. These principals were replaced using the simple random sample method. A total of 34 principals were sent emails resulting in 27 principals actually participating in this study. Data were collected during a one-on-one interview session with the participating principals. Each interview began with obtaining informed consent from each participant. All interviews were conducted by phone or Skype videoconferencing, and all were recorded for later transcription. During the approximately 30-minute semistructured interview, principals responded to interview questions involving their perceptions of district efforts to build their capacity to effectively evaluate teachers and the impact that these efforts had upon their evaluation practice. Interview questions stemmed from the following research questions:

1. What efforts are district instructional leaders making in order to develop the capacity of school principals to evaluate teacher performance?
2. What change knowledge principles are manifested in these efforts?

Research Design

Interviews were deemed the best avenue to gather principals' perceptions of their district's professional development efforts. Surveys were considered a method to gather such

information; however, after serious analysis of the types of questions that would adequately probe with depth and breadth necessary to capture authentic and accurate information, it was determined insufficient. Probing questions would allow for adequate opportunity to clarify and probe deeper into areas that would improve the quality of data collection (Patton, 2002). As one considers the complexity of principals' roles and responsibilities as instructional leaders in the context of evaluating teachers, interviewing with probing questions would allow for a more dynamic process to ask further questions during an appropriate opportunity.

The primary purpose of the interview questions was to explore what district efforts principals experienced in preparing them for effective teacher evaluations. This episodic interview approach (Flick, 2000) allowed participants to recall concrete events and situations around their professional development experience. Flick (2000) referred to this approach as a series of nine phases where the interviewer guides candidates through a process in which they support the retrieval of information via a structured procedural format. This allows the researcher to scaffold the interview process in a way that supports the respondent in adequately recalling experiences

Considerations of Possible Data Sources: Exclusion of Relationship Questions

This is an exploratory study. Since USB64 is in the early stages of implementation, there is very little known about what efforts districts are taking to build the capacity of their principals to implement it. Therefore, it is sensible to ask "what" questions about implementation instead of relationship questions between variables. Hence, there are no hypotheses. It is too early to ask questions that would attempt to determine whether USB64 was successfully implemented or what impact USB64 has on schools, on teacher quality, on student learning, or any aspect of the educational system.

In addition, this study can explore principals' abilities to perform the skills necessary to evaluate teacher instructional quality. Principals with varying skill sets may have inadequate resources available to them in evaluating teachers, and this inadequacy could lead to inconsistent implementation resulting in teachers receiving inaccurate evaluations that affect their merit pays.

Considerations of Possible Targeted Audiences: Inclusion of School-Level Leadership

One might argue that teachers are the best target audience for this research. Although they are the primary targeted outcome in the evaluation process, they do not have a leadership perspective to meaningfully talk about or measure principal capacity. Others might contest that the targeted audience should be state-level leadership. Although they have mandated the initiative for principals to improve their evaluation skills through USB64, state-level leaders are not implementing initiatives that affect principal capacity directly. This researcher could have interviewed district leadership and generated data centered upon their perspective of their own district efforts; however, it was determined that a principals' perspectives of their experiences may generate more opportunities to identify change knowledge components as part of the experience rather than a possible fixation on design.

Consideration of other Constructs: Inclusion of Change Knowledge

One might argue that this research should focus on leadership characteristics. It may be true that characteristics support the implementation process; however, we are more interested in the prerequisite knowledge that districts possess as it relates to the implementation process. So, one might ask, "Why are we only focused on change knowledge rather than other aspects within the context of change theory?" Change knowledge is essential to success. It is the least understood as an essential component of a reform effort. Thus, it is one that that was deemed important to explore.

Analysis

All interviews were conducted, transcribed, and imported into NVivo. All transcripts were read multiple times during the open coding process to ensure accuracy of pre-established (etic) nodes relating to change knowledge, as well as the newly emerged (emic) nodes relating to participants' experiences. Nodes that reached a minimum threshold of 50% of respondents were considered for generating themes.

Thus, the method of thematic analysis was used for coding data. An etic approach with predetermined themes and categories was used to identify change knowledge components that respondents described through the interview process. An emic approach was also utilized as emerging themes became evident.

During the axial coding process, principals (elementary or secondary) and district size (large, medium, or small) comparisons were conducted to generate any relation to change knowledge components that were either lacking or omitted in district efforts to prepare principals to effectively evaluate teachers. Patterns emerged into themes to support findings in this research.

During the final analysis process, several themes emerged as a result of district efforts and evidence of change knowledge components based on a threshold or the inverted threshold of 50% in areas of assignment and district size. This analysis served as a vehicle to describe district efforts and their relationship or lack of relationship to change knowledge components.

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APPENDIX C

Consent Form

Consent to Be a Research Subject

Introduction

This research study is being conducted by Patrick Flanagan and Karen Johnson, doctoral students at Brigham Young University, to determine what Utah school district leaders are doing to implement Senate Bill 64. Utah's new teacher evaluation system.

Procedures

If you agree to participate in this research study, the following will occur:

- You will be interviewed for approximately 45-60 minutes about your district's efforts to implement Senate Bill 64.
- The interview will be audio recorded to ensure accuracy in reporting your statements.
- The interview will take place either by via SKYPE, or at a time and location convenient for you.
- The researcher may contact you later to clarify your interview answers for approximately 5-15 minutes.
- Total time commitment will be 45-75 minutes.

Risks/Discomforts

You may feel some discomfort in providing candid answers in the interview.

Benefits

There will be no direct benefits to you. It is hoped, however, that through your participation researchers will understand the nature of professional development provided to principals. This knowledge could help improve the professional development provided to principals, which could lead to greater improvements in the education system.

Confidentiality

You are guaranteed confidentiality. No identifying information will be included in any written reports or published findings. Once the audio recording is safely unloaded to NVIVO, the original recording will be deleted from the recording device. The research data will be kept on password-protected computers that only researchers will access. At the conclusion of the study, all identifying information will be removed and the data will be kept in the researcher's locked office.

Compensation

You will receive a $25 gift card to Amazon.com for your participation.

Participation

Participation in this research study is voluntary. You have the right to withdraw at any time or refuse to participate.

Questions about the Research
If you have questions regarding this study, you may contact Karen Johnson at (801) 560-9592 for further information.

Questions about your Rights as Research Participants
If you have questions regarding your rights as a research participant contact IRB Administrator at (801) 422-1461; A-285 ASB, Brigham Young University, Provo, UT 84602, irb@byu.edu.

Statement of Consent
I have read, understood, and received a copy of the above consent and desire of my own free will to participate in this study.

Name (Printed): _____Signature_____Date_____

APPENDIX D

Instruments

Interview Questions

Research Question 1: What efforts are district instructional leaders making to develop the capacity of school principals to evaluate teacher instructional quality?

Drilling down questions if necessary:

1. Describe what those efforts look like and sound like.
2. Over what time period did this happen?
3. From your perspective, how would you describe your district's plan for preparing principals for the evaluation of teachers based on the new teacher effectiveness standards.
4. What role did you play in the development of your district's plan?
5. What supports and/or resources were provided for you during the planning phase?
6. What supports and/or resources were provided for your principals as they implement the plan?
7. How has your district assessed principal's ability to effectively evaluate teacher performance?
8. During this same period of time, were there other district initiatives that you and school principals were being asked to participate in?
9. Did the district consider ways for principals to communicate or problem solve their unique issues during the implementation of the district plan? In what ways?
10. Was there consideration from district leadership for ongoing monitoring of principal progress in evaluating teacher instructional quality?

11. What would your district do if a principal were struggling with the e*valuation of teachers?*

Research question 2: What change knowledge principles are manifested in these efforts?

Research question 3: What impact have district efforts had on principal capacity?

Drilling down questions if necessary:

1. Do principals in your district feel adequately prepared to fairly, accurately, and reliably evaluate their faculty based on the new teacher effectiveness standards? Explain.
2. How has your district's preparation efforts impact principal's evaluation practice?
3. How do principals feel about their experience with those efforts?
4. What challenges do principals continue to face in evaluating instructional quality?
5. What challenges are principals currently facing when evaluating teacher performance?
6. As you reflect on your district's plan to this point, what would you do differently or wish your district would do differently?
7. What did the district do that was helpful for principals as they evaluate teacher performance?
8. Is the district offering ongoing training? How do principals benefit from it?

Recruiting Scripts

Recruiting Materials
IRB Part H

Principals will receive a personalized phone call or email as a first contact.

- Script for phone call or text for email
  - Dear (Principal),
    My name is Karen Johnson. I'm a school principal in Beaver District and a doctoral student at BYU. I am part of a research study that is examining districts' efforts to implement Utah Senate Bill 64. We are interested in learning about the principal's perspective about their district's efforts to build their capacity to evaluate teachers with the new teacher standards. You have been randomly selected to participate in the study which consists of a 30-45 minute interview with me via SKYPE. If you participate, we would like to thank you for taking time to participate by offering a $25 gift card to Amazon.com. I would greatly appreciate it if you would let me know with a quick reply to this email if you are willing to be one of our interviewees. If you are, please include a contact phone number in your reply email so we can arrange an interview.

- Script for phone call or text for email
  - Dear (District Administrator),
    My name is Patrick Flanagan. I'm a district administrator in Granite District and a doctoral student at BYU. I am part of a research study that is examining districts' efforts to implement Utah Senate Bill 64. We are interested in learning about the principal's perspective about their district's efforts to build their capacity to evaluate teachers with the new teacher standards. You have been randomly selected to participate in the study which consists of a 30-45 minute interview with me via SKYPE. If you participate, we would like to thank you for taking time to participate by offering a $25 gift card to Amazon.com. I would greatly appreciate it if you would let me know with a quick reply to this email if you are willing to be one of our interviewees. If you are, please include a contact phone number in your reply email so we can arrange an interview.

APPENDIX E

Approval for Conducting Study

Institutional Review Board
for Human Subjects

Brigham Young University
A-285 ASB Provo, Utah 84602
(801) 422-3841 / Fax: (801) 422-0620

January 5, 2017

Patrick Flanagan
[redacted]

Re: Implementing Utah Senate Bill 64 and Building Principal Capacity

Dear Patrick Flanagan

This is to inform you that Brigham Young University's IRB has approved the above research study.

The approval period is from 1-5-2017 to 1-4-2018. Your study number is X16391. Please be sure to reference this number in any correspondence with the IRB.

Continued approval is conditional upon your compliance with the following requirements.

1. A copy of the 'Informed Consent Document' approved as of 1-5-2017 is enclosed. No other consent form should be used. It must be signed by each subject prior to initiation of any protocol procedures. In addition, each subject must be given a copy of the signed consent form.

2. All protocol amendments and changes to approved research must be submitted to the IRB and not be implemented until approved by the IRB.

3. The enclosed recruitment advertisement has been approved. Advertisements, letters, Internet postings and any other media for subject recruitment must be submitted to IRB and approved prior to use.

4. A few months before this date we will send out a continuing review form. There will only be two reminders. Please fill this form out in a timely manner to ensure that there is not a lapse in your approval.

If you have any questions, please do not hesitate to call me.

Sincerely,

Robert Ridge, PhD, Chair
Sandee Aina, MPA, Administrator
Institutional Review Board for Human Subjects