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Executive Editor
Porfirio Loeza, Ph.D.
Professor, Graduate and Professional Studies in Education
California State University, Sacramento
Sacramento, CA

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About the Journal

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The Journal of Transformative Leadership and Policy Studies (JTLPS) is a peer-reviewed journal sponsored by The California State University and the Doctorate in Educational Leadership Program at California State University, Sacramento. JTLPS accepts articles that focus on current research promoting and documenting work in P-20, an integrated education system that extends from pre-school through higher education.

Address all correspondence to:
Journal of Transformative Leadership and Policy Studies
Doctorate in Educational Leadership Program
College of Education, Sacramento State
6000 J Street, MS 6079
Sacramento, California 95819
Email: jtlps@csus.edu
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Letter From the Executive Editor

The *Journal of Transformative Leadership and Policy Studies (JTLPS)*, Volume 8.2, proffers a central thematic link focusing on the importance of transformative leadership, community building, and innovation across the systems in both K-12 and higher education. This focus is built upon by each manuscript, and together they coalesce to create a story about the importance of utilizing the resources within each educational community. They serve as a testament for the significance of abandoning a deficit-based mindset and lifting up the strengths of all affiliates within the institution.

Volume 8.2 of JTLPS begins by featuring two Conceptual Analyses. The first, *Moving Past Disconnected Hurdles: Empowering Graduate Students to Affect Positive Change Through the Thesis and Dissertation Experience* engages readers on issues surrounding the dissertation and thesis process within educational programs, particularly those with a practitioner focus. The authors suggest that the thesis and dissertation focus and process within these programs must be altered to better match the preparation and needs of students who are practitioners within the field of education. The piece further illustrates that for many of the students the thesis and dissertation and its necessitation of strong research skills, including data collection and analysis, and academic writing is disconnected from the complex realities of the classrooms and administrative offices where these students work or will work. The authors conclude the piece by suggesting several pragmatic recommendations for improving the educational thesis and dissertation process as well as suggestions for mentoring and strategic coaching methods.

A second featured conceptual analysis, *Beyond the Public-Private Nexus: A Framework for Examining School Partnership Governance in a Blended Capital Reality* highlights school-based partnerships and collaborations. The authors emphasize the realities of educational funding in the PK-12 space and introduce a new framework to establish school-based collaborations to fit the current contexts and challenges facing education today. This framework proposes that the existing needs of the education warrant a "blended-capital" approach to school governance underscored by cross-sector collaboration and de-centralization. This piece offers guidance for school leaders, providing insight on how to manage relationships with an innovative variety of allies, who will join in their focus on matters of curriculum, personnel, policy, programming, and providing valuable tools to aid in the transformation of schools.

The third manuscript in Volume 8.2, a reflective essay, written by lifelong educators and practitioners working to transform schools in Guatemala, is presented as a bi-lingual article with both the Spanish and the English versions provided within the volume. The piece focuses on the challenges within the education system in the Western Highlands of Guatemala despite the efforts that have been made to improve the system and foster economic growth and development within the region. The piece highlights the work of the U.S. Agency for International Development (USAID) which has implemented specific educational projects to support the National Ministry of

Education to foster economic and social growth in education in this area. The authors emphasize the importance of a transformative pedagogical leadership approach, which shifts strategies from a management-oriented system to a mentoring system allowing for all affiliates to thrive within this strength-based leadership environment. Furthermore, additional suggestions are proposed to gain the support of stakeholders, expanding implementation to bilingual and multicultural contexts to maximize the country's potential to improve the quality of education for all students. Practitioners and leaders can use this manuscript evidence of the power of transformative leadership for all members of educational institutions.

The volume also includes an engaging policy brief on the implementation process of a Grow-Your- Own (GYO) model to address the necessity for special education teacher recruitment and retention strategies. The brief touched on this need by highlighting the critical shortage of highly-qualified, well-trained and seasoned teachers within special education programs in California schools. The issue of special education teacher recruitment and retention is presented by the author as a potential equity problem for student success. Utilizing a Leader-Member exchange theory framework as well as personal communications from practitioners, the brief provide rich and detailed reasoning for why GYO models meet these challenges and how implementation of GYO modeling works at the site level.

The volume concludes with two book reviews from recent educational leadership research publications, which collectively describe the experiences of transformative leaders in the field. The first review highlights *Transformative Leadership in Education: Equitable and Socially Just Change in an Uncertain and Complex World* a critical approach to transformative leadership, provoking leaders across the nation to rise against the inequities within their institutions. The book presents a framework for approaching leadership that is mindful of the nuances, fluidity, and uncertainty of education. The reviewers offer both positive feedback and several key recommendations for future considerations. The second review focuses on Culturally Responsive School Leadership which emphasizes the importance of School and cultural improvement initiatives that transcend surface-level school interactions. This book proffers that educators must not only call out the racism they see around them, but must also take part in a self-reflection which analyzed the ways in which they too perpetuate racism within their institutions. Together, these books, rich with qualitative data as well as theoretically and empirically backed research, serve as tools and inspiration for educational leaders, that through transformational leadership, meaningful, lasting change is both possible and attainable.

The JTLPS and its editorial board wishes to thank the Chancellor's Office of the California State University and the College of Education at California State University, Sacramento for its continued support. We also invite future authors to submit their manuscripts with the understanding that they are accepted for review on a rolling basis.

Porfirio M. Loeza, Ph.D.
Executive Editor

Foreword from the President of Sacramento State

Dear Colleagues,

The Journal of Transformative Leadership and Policy Studies (JTLPS) is a peer-reviewed Journal sponsored by the California State University Chancellor's Office and the CSU's 16 Education Doctorate programs. I encourage you to read and share Volume 8.2 with your colleagues and scholarly communities.

Volume 8.2 highlights the importance of leadership and the impact of leadership development in the transformation of educational institutions. Each article has a unique perspective, and collectively, the volume emphasizes the vital role of leadership, innovation, and change in institutional equity initiatives.

Real institutional change requires transformational leadership, and transformational leadership requires critical thinking and a willingness to upset the status quo. The articles in Volume 8.2 demonstrate the significance of implementing transformative leadership strategies for educators and administrators. The authors draw on their own experiences as educational practitioners to suggest recommendations on how to improve institutional effectiveness and equity and to create meaningful and lasting changes.

Critical insights to help us move toward a brighter future are offered in this volume – a future where we not only meet our students' basic needs, but where our students' greatest potentials are also realized. I encourage you to utilize Volume 8.2 as both a leadership tool and a guide for how to think about and instigate institutional change.

Respectfully,

Robert S. Nelsen
President
California State University, Sacramento

Letter From Interim Director Rose Borunda

What does it mean to be "a teacher?" Moreover, how have the expectations of and preparation of teachers changed over the years? While many of us are in the position to directly or indirectly impact the teacher preparation pipeline, the ultimate question becomes, "What is the impact that we want teachers to have?"

Over the years, teachers have assumed a range of identities and orientations, from purveyors of knowledge to warriors in the classroom who inspire future generations. In the end, for those of us who have been moved by an outstanding human being serving in the teacher role, we recognize that teachers can literally change the lives of those born into marginalized statuses. So, in the end, what do we expect of teachers when we know that their preparation takes years in the making? Coming to us, with good heart, teachers generally look to become that "inspiration" for the next generation. So, my questions now are directed to those of us who guide and inform their training. I ask, then, how do we foster the goodwill of those who commit their lives to this profession so that they are more than purveyors of knowledge but, instead, transformative educators who ultimately make an impact?

Every day, we send our children to a school where they spend countless hours with a teacher in a classroom. These teachers are significant and their impact on our children and ultimately on our society cannot be underestimated. For this reason, we reflect on not only how we secure the best of us to serve in this vital role but how we prepare them for the critical role that they serve. From local to international contexts, teachers inspire hope and change. Let us consider, then, how to not just prepare them, but also how we preserve their intentions.

Dr. Rose Borunda
Interim Director
Doctorate in Educational Leadership
Sacramento State

CONCEPTUAL STUDY

Moving Past Disconnected Hurdles: Empowering Graduate Students to Affect Positive Change Through the Thesis and Dissertation Experience

Donna Roberts, *Associate Dean of Academic Administration and Associate Professor, Humphreys University, Stockton, CA*

Jim Riggs, *Professor, Advanced Studies in Education, California State University Stanislaus, Turlock, CA*

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Abstract

This article argues for the need to significantly adjust the process and focus of the educational thesis and dissertation to better match the preparation and needs of students who are practitioners in order to help these students become stronger and better educators and leaders. To that end, the article presents innovative approaches to improve experiences for graduate students who are developing, conducting and completing master's degree theses and doctoral dissertations in the field of education.

The vast majority of students who pursue master's or doctoral degrees in education do not intend to become researchers or university faculty. Rather, most of these students are looking to improve their skills as teachers and educational leaders, and will likely never conduct a major research effort beyond the thesis or dissertation. While these students have a great deal of practical experience in their field, most of them have had little or no exposure to graduate level research, scholarly literature or academic writing. Recognizing that research skills, including data collection and analysis, and academic writing, are essential skills for all graduate students, including those in educational programs, these skills alone are inadequate in preparing educators for the realities they face as they work to conduct multi-tiered and multi-faceted research that will affect positive change and contribute to the field to improve overall student success. For many of these students the thesis and dissertation, while a significant requirement for the degree, are viewed as major "hurdles" that are too often disconnected from the realities and complexities of the classroom and administrative office.

Appropriate theoretical and conceptual frameworks are used to examine how the educational thesis and dissertation process can be improved to better serve the needs of educational practitioners. This includes the use of Role Acquisition Theory to examine and help facilitate the intrinsic change process in graduate students in education during the thesis and dissertation process. Transformative Learning Framework is used to better understand and advance developmental changes and scaffolding that are necessary to examine problematic frames of reference, openly reflect, and to emotionally change from the experience. The Loss/Momentum Framework is

used to better understand and advance developmental changes and scaffolding that are necessary to examine problematic frames of reference, openly reflect, and to emotionally change from the experience. The Loss/Momentum Framework is used in two separate ways: first, to scrutinize specific institutional barriers and supports that exist in graduate and doctoral programs in education as well as throughout the university that influence the process of completing the thesis and dissertation. Second, it is used to identify and examine individual characteristics, skills, and attributes of these students that serve as either barriers or assets to completing a meaningful thesis or dissertation.

Practical recommendations for improving the educational thesis and dissertation process are provided, and mentoring and strategic coaching approaches discussed.

Keywords: *Educational Dissertation; Educational Thesis; Advising Professional Educators in Graduate School; Role Acquisition; Transformative Learning through the Dissertation/Thesis Process*

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Introduction

Over the past decade and half, there has been a flurry of articles focused on improving the educational doctoral dissertation, and to a lesser extent, discussion on the need to improve the thesis for students seeking master's degrees in education (Archbald, 2008; Biddle, 2015; Cassuto, 2013; Perry & Imig, 2008; Roberts, 2017; Shulman, Gold, Bueschel & Garabedian, 2006; Storey, Caskey, Hesbol, Marshall, Maughan & Dolan, 2015; UCEA, n.d.). While there is consensus that both the thesis and dissertation in education leadership (T/D) need to be focused on helping graduate students develop 21st century leadership skills through what has become commonly known as "capstone project" theses and "problems of practice" dissertations, the reality is the T/D still rely heavily on conventional approaches to research design and often focus more on the scholarly interests of advisors than the leadership development needs of students. In doing so, these research projects end up concentrating on problems and areas in education in traditional ways and thus yielding research projects that have little to do with preparing students for the complex challenges they will face as they move into higher levels of administration, and confront growing complexities of the public school and community college classroom environment.

While completing the thesis and dissertation helps students meet credentialing needs of obtaining a master's and doctoral degree in education, it may not serve the students well in the areas of leadership development. The mastery of research skills, including data collection and analysis and academic writing, are essential but woefully inadequate to be successful as effective teachers and educational leaders. For many of these students, the process of completing the thesis and dissertation, while a significant requirement for the degree, are viewed as major "hurdles" that are too often disconnected from the realities and complexities of the classroom and administrative office. Simply put, the commonplace approach to developing and completing the thesis and dissertation does not serve these students well. Most of these individuals will not use their dissertation or thesis as a platform to pursue a career in academia, nor will they likely take on another large research project as they did with their

thesis or dissertation. For these individuals, the thesis and dissertation, once accepted by the university, will most likely occupy some space on a shelf or take up a few megabits in a university library database. Too often educational theses and dissertations are viewed as "something to get out of the way" with little purpose other than satisfying a degree requirement. These challenges can be attributed to a number of things, including:

A. The requirements for the educational master's thesis and doctoral dissertation support (at least default toward) the traditional T/D process and traditional outcomes.
B. Many of the professors who serve as dissertation/thesis advisors come from university research backgrounds with little direct field experience in the area of educational leadership. Oftentimes, epistemological frames of references regarding the value of the educational thesis and dissertation and the overarching purpose of scholarly research do not always match up between those whose careers have been primarily as university faculty members and those who are educational practitioners.
C. Most institutions provide little or no ongoing training or guidance for faculty on how to be an effective T/D advisor.
D. The process of guiding students through the T/D process is rarely viewed and approached systematically and developmentally, with a focus on building leaders for the 21st century. The default process focuses on completing the final report at the expense of developing and transforming the learner. The commonplace process does not focus on transforming the student and fails to proactively anticipate and mitigate barriers that are in the way of the student.

The requirements and focus for the traditional dissertation and thesis in educational doctorate and master's degree programs are not likely to go away any time soon. As noted by Archbald (2008), there are "powerful structures and values holding in place the traditional research dissertation…a genre in doctoral education [that] is fixed by centuries of tradition," (p. 704-705). Nor will there be a major shift in the preparation and priorities of those who make up the bulk of dissertation and thesis advisors. With provincial and closed hiring practices in colleges of education and throughout graduate programs, along with the lack of financial incentives and requirement of a long and vulnerable path to tenure and full professorship, those who are leaders in the public school and community colleges are not likely going to be either welcomed or motivated to move into the university faculty ranks.

Comments on the lack of utility of the traditional education dissertation/thesis along with calls for significant changes in this part of the graduate experience will certainly continue. However, with graduate education being viewed as "the Detroit of high learning," (Taylor, 2009) with a glacial pace of change, insular environment and entrenched interests, faculty who serve as advisors for T/D are likely to perpetuate the long standing practice of having students conduct dissertation and thesis research that will do little to prepare these students for the complex realities of educational leadership.

The literature on improving the educational doctorate and educational master's degree focuses mainly on ways to improve the final product/outcome of the T/D. What is missing is a discussion about how to make the journey of "doing" the dissertation and thesis a meaningful experience, and the kinds of support, mentoring and guidance students need to help them move toward becoming the next generation of educational leaders. Rather than spending effort attempting to improve the end product of the T/D, time would be better spent on working to improve the process involved in developing and completing the T/D. In doing so, colleges of education and graduate schools could begin by:

1. Addressing the training needs for those who serve as dissertation and thesis advisors.
2. Improving the dissertation and thesis process by purposefully addressing the student's needs through each stage of development and removing institutional barriers that often impede progress toward completing the dissertation and thesis.

In this article, we discuss innovative approaches to improve experiences for graduate students who are working on master's degree theses and doctoral dissertations in the field of education. We focus on the need to significantly adjust the approach of leading students through the process of designing, conducting and completing the educational thesis and dissertation to better match the preparation and needs of students who are practitioners in order to help these students become stronger and better educators and leaders. While there has been some emphasis in the scholarly literature on the transitional needs and socializing for doctoral students, the focus is on the process of becoming independent researchers with the intent of entering into the professorial ranks at the university (Gardner, 2008; Golde, 2005; Lovitts, 2005; Rosser, 2004).

This article is intended for faculty who serve as thesis and dissertation advisors for students who are educational practitioners/professionals (primarily PreK-12 and community college teachers and administrators) and are pursuing master's and doctoral degrees in the field of education. The article may also be helpful for students who are pursuing a doctorate or master's degree in educational leadership to help them anticipate the stages they will go through and the challenges they may face in order to proactively seek out assistance.

Theoretical frameworks and lenses are used to examine how the educational thesis and dissertation process can be better understood and improved in order to more effectively serve the needs of educational practitioners. More specifically, Role Acquisition Theory (Thornton & Nardi, 1975) and Loss/Momentum Framework (RP Group, 2012) are used to provide a linear/progressive model of stages (phases) students go through and what influences exist at each stage as they work toward the end goal of completing the T/D. The Transformative Learning Framework (Cranton, 2016; Mezirow, 2000) is used to better understand the developmental changes and scaffolding that are necessary for students to effectively examine problematic frames of reference, openly reflect, and to emotionally change from the T/D experience.

Practical recommendations for improving the educational T/D process are provided, including mentoring and strategic coaching as well as new and seasoned perspectives from the field. Finally, all analysis will be reconnected back into theoretical frameworks that are firmly grounded in research that stands at the forefront of education today.

Students Who Are Pursuing Master's Degrees And Doctoral Degrees In Education

The vast majority of students pursuing and completing doctorate degrees or master's degrees in education are teachers, student service professionals and educational administrators who want to use the degree to move up on the pay schedule, increase their opportunities for advancement, for personal satisfaction, and to improve their effectiveness as educators and leaders. While these students often have a great deal of practical experience in their field, most of them have had little or no exposure to graduate level research, scholarly literature or academic writing. Recognizing that research skills, including data collection and analysis, and academic writing, are essential skills for all graduate students, these skills alone are inadequate in preparing educators for the realities they face as they work to affect positive change and improve overall student success in their institutions.

The University Council for Educational Administration (n.d.) identified and compared several key differences between students who are pursuing master's (M.Ed.) and doctoral degrees in education (Ed.D.) with those students who are pursuing Ph.D. degrees. As noted, there are several major differences in primary career intent and knowledge base-related educational issues. In addition, there are significant differences between educational practitioners' and university-based scholars' view of the relative importance of pursuing scholarly research as related to career intent/goal, the primary purpose of research, and how research is conducted (p. 1-2).

Building on the work of UCEA (n.d.), Table 1 below compares critical differences between how T/D students (those who are educational practitioners) and T/D advisors (those who are university research-oriented faculty) view and value scholarly research. The table also illustrates the significant differences that exist between the professional worlds of students and advisors.

Table 1

Comparison of T/D Student and T/D Advisor Profiles and Characteristics

	T/D Student	T/D Advisor
Features of the Professional Work Environment	Most students pursuing a doctorate or master's degree in education work in a fast paced, "just in time" educational setting associated with large teaching and/or administrative workloads. Emphasis is on teaching, classroom management, resource management, educational program development and delivery, community relations and, as needed, attending to students' needs beyond the classroom. They work with a wide diversity of students with constant interaction with students and others. Pressures of the professional work environment leave little time to develop and pursue scholarly interests.	Teaching is only a part of T/D advisors' obligations with limited classroom contact hour requirements. T/D advisors may have limited interaction with students and others which allows for some of their work obligation to be completed from home or other off-campus location. Advisors have pressure to conduct research and publish as part of their work obligations. Advisors may also have a number of administrative tasks associated with the traditional university obligation of "service." Rigorously pursuing scholarly interests is a major part of the professional work environment with continuous pressures to publish, consult, and present at academic conferences.
Career Aspirations	Primary career aspirations include directly improving student learning and success through strengthening teaching and administrative support for the teaching/learning process. Students at the master's level may be pursuing entry-level administrative or lead teacher positions, and other opportunities to have greater influence on decisions within the campus or school district environment. At the doctoral level, students are likely to be pursuing multi-step administrative career paths from division/program leadership and/or building administrator all the way to superintendent or community college president.	Primary career aspirations can include pursuing tenure status, and professorship related promotions from assistant, associate to full professor. Developing and pursing a scholarly research agenda takes precedence. A strong body of scholarly work can help T/D advisors establish an identity within university and discipline research communities, and enhance the possibility of advancing to more prestigious universities over the course of the T/D advisor's career.

	T/D Student	T/D Advisor
Rewards and Recognition within the Work Environment	Successful teaching and effective administrative practices, including improving student success rates, stakeholder satisfaction, and resource efficiency. Opportunities to be assigned greater administrative responsibilities, including project leadership and promotions. Peer recognition at the local, regional and national level for excellence in student success and effective educational program leadership. Scholarly research and publishing are not generally valued or rewarded in this environment.	Rewards and recognition for T/D advisors often include promotions based around scholarly research and publication, service to the university, recognition within a particular discipline community, and to a much lesser extent, successful teaching. Acknowledgement for publications and other scholarly pursuits, including peer recognition of scholarly work, is important as is the development of new and novel theories and conceptual frameworks that are viewed as advancing greater understanding of particular aspects within a field of expertise. Credit and recognition for service to the university and academic field, as well as pursuing and directing grant-funded research projects that bring recognition to the institution is valued. Acknowledgement can also be given for scholarly work that was conducted by or with students.
Preparation for and Purposes of Conducting Scholarly Research	Little or no experience with scholarly literature and scholarly writing. Research is viewed as a way to gather important data for decision-making and addressing specific and practical problems that are within the scope of the student. Research and evaluation/assessment are viewed as one in the same and primarily atheoretical. Many students have concerns about their ability to conduct research, which can create fear, anxiety and anticipation about being able to adequately complete the large research study in a timely fashion.	T/D advisors are highly skilled and accomplished in established research methodologies. Scholarly research pursuits are for the purpose of contributing to the general knowledge base. Focus is on applying appropriate theories and conceptual frameworks related to educational issues, and generalizing findings for the purpose of deepening the understanding of particular phenomena related to education.

	T/D Student	T/D Advisor
Primary Experiences and Knowledge Sources That Inform Understanding About Critical Educational Issues	With real life sustained experience in the field, there is a strong emphasis on insider knowledge and a practitioner/pragmatic orientation to addressing critical issues facing education. Personal experience is valued over generalized research findings. Solutions to problems and challenges in education are viewed through an atheoretical lens and best understood through personal experience and the experiences of other educational practitioners rather than through generalized research, scholarly literature, or university-based experts.	May have little or no recent experience in the field as a classroom teacher or other direct provider of educational services; and may lack sustained and progressive leadership experience in education. Knowledge about critical issues in education comes from scholarly literature, as well as direct research and observation and generalized "big picture" perspectives. Often the understanding of problems and challenges in education is viewed through an a priori or predictive theoretical framework that guides what data are collected, how the data are analyzed, and how conclusions and understandings are formed. The T/D advisor who has limited or no direct experience working in a public school or community college setting as an instructor and administrator may not fully understand and appreciate the complex working environments of T/D students.

Viewing the Graduate Student Thesis/Dissertation Experience Through Three Interrelated Frameworks and Lenses

Role Acquisition Theory (Thornton & Mardi, 1975) is used to examine the intrinsic changes in graduate students in education as they begin, process through and complete the T/D. Second, it is used to identify and examine individual characteristics, abilities, attributes and disposition of these students that serve as either barriers or assets to completing a meaningful thesis or dissertation. Attention is focused on the stages of role development including: initiation/orientation, formalization, informalization, and completion/exit/transition.

The Loss/Momentum Framework (RP Group, 2012) is used to scrutinize specific institutional barriers and support that exist in graduate and doctoral programs in education that influence the process of completing the thesis and dissertation. The Loss/Momentum Framework phases focus on the important and predictable interface and exchange with the institution (including the advisor) that students experience at each major part of progression toward completing the T/D. These phases include connection with and entry into the T/D process. Progress part one is where students start working on the research proposal, data collection plans and competing the conceptual aspects of the T/D. Progress part two focuses on the actual data collection, analysis and drafting the report. The completion phase includes finalizing the report and preparing for and completing the defense process. The transition/exit is the last phase and focuses on completing all graduation paperwork, obtaining all necessary approvals, filing the T/D with the appropriate library process; all within the prescribed timeframe.

The final lens is through Transformative Learning, which is defined as "the processes by which people examine problematic frames of reference to make them more inclusive, discriminating, open, reflective, and emotionally able to change," (Cranton, 2016, p. 27). These experiences are keys to fostering social justice, equity, and change in the educational system. Only through collaborative dialogue and critical reflection, in the setting of problem-posed learning, can one come to put meaning to his or her words through this organic process. An advisor guiding a graduate student through a culminating thesis or dissertation experience must engage the individual in learning experiences throughout that are carefully articulated and planned to foster self-reflection regarding one's habits of mind or kinds of knowledge.

Both Role Acquisition Theory (RAT) and Loss/Moment Framework (LMF) focus on a linear progression students make from beginning to completion, and are used to examine the importance of the socialization process students go through as they move from being novice researchers to becoming experts as a result of the T/D process. The RAT view can help advisors better understand the changing mindset, self-perception and sense-making students go through. In a related way, the LMF helps advisors pinpoint specific challenges may likely face as well as the specific areas of support students need at each stage of the process. Figure 1 illustrates the specific stages as associated with RAT and LMF.

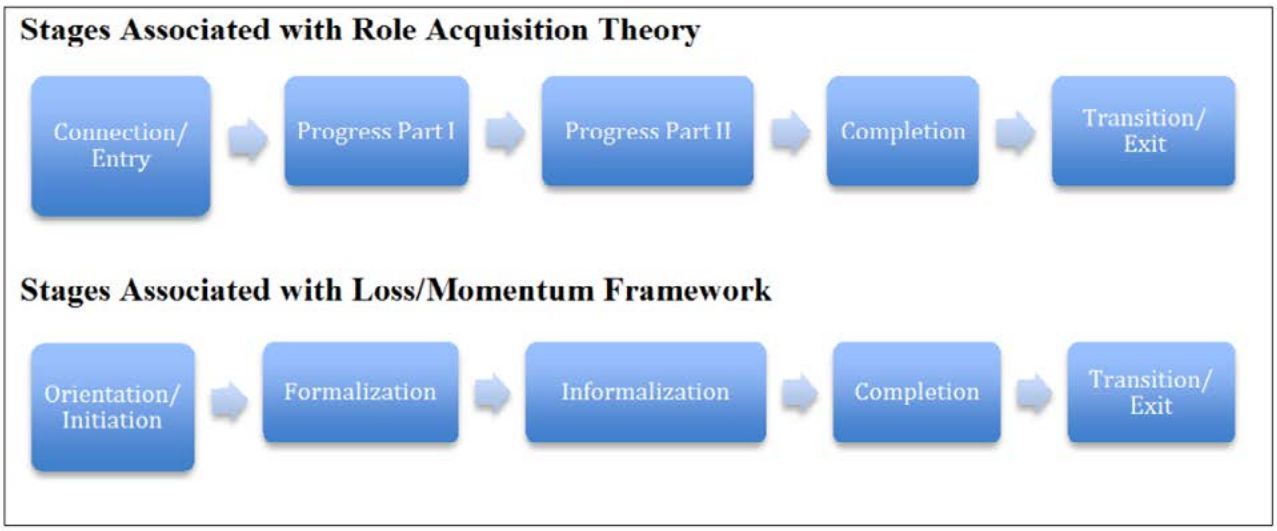

Figure 1. Stages Associated with the Role Acquisition Theory and Loss/Momentum Framework

Initiation: Anticipation, Connection, Orientation, and Entry into the T/D Process

The student has completed program coursework including research methodology instruction and has a basic foundation in which to support the development of a T/D research project. The student is likely to understand and be comfortable in one's role as someone who is capable of being successful in graduate courses, however, may not be comfortable in the role as a researcher.

While there is a sense of growing excitement and urgency around the opportunity to make a contribution and affect change through a thesis or dissertation experience, there is often a sense of loss of where to begin as well as feelings of anxiety regarding the vast ground to cover throughout the research process. As a result, a student can feel intimidated even though basic foundation courses have been completed in order to set the stage for success regarding the T/D development. During this initial stage, the student may feel bouts of role confusion perceiving that one is ready for the task. However, the student also recognizes that he or she cannot do this alone, is easily overwhelmed, and becomes heavily reliant on guidance from a skilled advisor. Confidence waivers as the T/D process begins and the advisor must be ready to support and encourage the student on multiple levels. The advisor, who often serves as a professor within the program, is well aware of the institutional requirements for the T/D experience and conveys these expectations throughout the student's foundational course experiences. The advisor is working in a role to ensure that all the student's prerequisites are met prior to the onset of the T/D experience in conjunction with a program fostering a supportive climate that allows a student to navigate fluidly through the graduate experience.

During this initial phase of the journey, the student learns how to conduct and read graduate level writing and research as well as understand roles, expectations, and workload through the foundational courses as well as during the onset of the T/D process. Theoretical knowledge is multi-faceted in nature and applied to concepts of policy, practice, history, and one's work experiences throughout the program. Technical knowledge or instrumental learning is accumulating during this time which allows the graduate student to manipulate and control one's environment through principles and skills. Current perceptions and fact-based knowledge is aggregated and evaluated for validity and worth. The student is also "buying-in" to the graduate level role and expectations, building leadership skills to contribute to data-based decision-making processes, and perceiving the T/D process as a culminating experience to contribute to one's work environment and/or the field. A student in educational leadership graduate programs most often plan to take theoretical understanding and evaluation of research and shape it in the form of action research to address an area of need or challenge within one's setting.

Additionally, it is important to note that the student is arriving at the T/D experience with a wealth of theoretical discussions and experiences, graduate level reading on relevant topics in the field, and a selection of papers or research documents to possibly contribute to this culminating experience. Skillsets are developing and fluid. During this initial phase, the student learns how to conduct and read graduate level writing and research as well as understand roles, expectations, and workload throughout the foundational courses and during the onset of the T/D process. The student is ready to apply frameworks and experiences throughout the program to the T/D process.

Formalization: Learning the Rules and Expectations, Beginning the Process of Conceptualizing and Designing the Research Project

The next stage of the journey focuses on learning the rules and expectations of the T/D experience, including correct research protocols and complying with program as well as university regulations that govern the experience. The student is figuring out firsthand how to navigate through the myriad of resources and services related to the T/D process, such as library resources to conduct extensive literature reviews, Institutional Review Board protocols, and how to access university resources including online survey tools or SPSS software. This stage can be characterized by periods of frustration and a sense of being overwhelmed by the many formal, informal, and overlapping systems and norms in place for graduate programs as well as individual approaches and uneven expectations of advisors.

The T/D advisor shares the overarching process, prepares the student for the individual stages thesis/dissertation endeavor, and assigns them to complete a series of tasks related to research and writing. The advisor engages the student in sharing ideas, goals, and honing the research question. Additionally, the student and advisor examine an array of research designs together to best answer the research question, review relevant frameworks to anchor the study for analysis and context, and discuss prospective sample populations for the study. The advisor

becomes instrumental in supporting the student in writing the proposal, making recommendations for a T/D committee that is a good fit, and serving as a mentor/advocate during the proposal presentation and acceptance process.

During this time, the student begins to define one's self as a "graduate level researcher and writer." This process begins to evolve and it is realized that the dynamic will not always be linear and that knowledge will become communicative in nature. This time is focused on the deep understanding and meaning to one's pursuit. A student will take one's new information from current research conducted during the T/D process and integrate it with prior learning from the program and one's constructs of the world. This analytical process will further define understanding about the topic, promote reflection on various conclusions that have been attained on the topic thus far, and propel the student to integrate new learning into one's own "already well-developed symbolic frame of reference, an active process involving thought, feelings, and disposition" (Mezirow, 1997, p. 10). The student will continue to engage in the Content-Process-Premise questioning approach (Cranton, 2016) that promotes self-reflection and fosters deep learning experiences that demonstrate understanding of the whole (See Table 2). This reflection will continue to gain momentum as the student moves further into the study.

In relation to the T/D experience, the student comes to terms with why it is necessary to perform at such a high level while meeting rigorous demands and expectations. Time management and study skills often strengthen during this phase and content reading for in-depth understanding and writing a literature review are pursued. It becomes a time where the student often thrives on group consensus and shared interpretation (Cranton, 2016).

Throughout this time, the graduate student is seeking regular input and advice from the advisor. When Socratic Dialogue techniques and others are applied by the advisor, he or she then takes on the role of a guide or facilitator that promotes student autonomy and critical thinking. The student continues to encounter challenges that must be worked through and when one hits roadblocks or dead ends, then strategically selected advice is provided by the advisor to reorient and get the student back on track. The grad student builds independence during this experience as well as sees the need to persevere along this long road.

Additionally, personal transformation begins to take shape and interaction with groups begin to evolve. Family relations and support may strain during this interval as a graduate student typically works full-time, has a family, and other major commitments. Balance and support from key members in the student's life are paramount. There can be a pivotal moment during this phase or set of moments when a grad student must get one's academic goals placed in order of importance with the rest of their lives and make it work to find success. If a student is unsuccessful with this, the individual may then delay the T/D process way beyond anticipation, get detoured in life, become discouraged, or give up. This is where peers, especially those who have formerly completed the T/D process, can serve as mentors and role models to propel the student towards completion. Furthermore, there is often a change regarding a student completing the T/D process in the work setting. The student is often internalizing oneself as a leader and feels motivated to share with individuals in the workplace,

including employers, the research purpose, goals, and attempt to seek approval and support. The student may also become excited about the prospective change that his/her study can bring to the work community. Cranton (2016) noted that "leadership training, interpersonal skills, teamwork, conflict resolution, communication skills, and the new emphasis on emotional intelligence illustrate the importance of communicative learning in work place settings" (p. 10). As a result, people in the graduate student's workplace may begin perceiving the individual in more of a leadership capacity.

If an advisor does not carve out adequate time to work with the student, and place proper supports or serve as a sincere mentor during this critical time, discouragement, frustration, and broken attachments may result. The graduate student needs someone to trust throughout this arduous journey. If this does not happen, jaded perceptions may result toward the advisor, program administration, as well as the journey as a whole. Advisors must build off the prior knowledge and experiences a student brings to the table. Part of the advisor's role includes supporting the student in channeling interests and passions, which are often action research-based in nature and related to their educational work environment, into a solid research design. As a result, it is paramount that the advisor be a good personality fit for the graduate student as well as have the expertise related to the area of study in order to foster a successful journey through common challenges and difficulties. During this time, the advisor must also discuss the process of change and growth that the student is experiencing throughout this stage. It is encouraged that the advisor and student reflect together and discuss the development of one's cognitive, social, and interpersonal dimensions as well as self-directed behaviors that are necessary to achieve the steps throughout the process. It becomes important to evaluate what is working for that individual and what is still needed to further empower the student and set the stage for success.

Informalization: Developing and Owning Routine and Process, Conducting the Study, Completing the Analysis and Beginning to Draft the T/D

As the student enters into a more informal stage of this journey and becomes increasing aware of how to access services and navigate through the norms and processes related to the T/D process, the student gains confidence and realizes the enormous responsibility for completing the thesis or dissertation. As a result, the student does not depend as heavily on the advisor to navigate the T/D process. Related processes and experiences become predictable and socialization patterns are established during this stage. The student has adapted to the T/D process and advisor expectations, and is beginning to understand what must be done to be successful, what is optional, and what is required. The student also becomes keenly aware of inconsistencies in expectations, quality of work, and levels of engagement with different advisors, and how these experiences compare to others who are also in the T/D process. It is at this point of the student's journey where some may drift toward complacency and look for the paths of least resistance to get through the T/D process. Therefore, advisors must provide a consistent message about high expectations and the need to be actively involved in all aspects of the T/D process.

Additionally, learning and reflection experiences become deeper as the student engages in analyzing data in relation to the research questions to understand the impact of the phenomena on the sample population as well as determining the scope of generalizations that can be drawn. From this process, the student will use data to reflect and formulate recommendations for current policy and practice to improve the environment and experiences within the environment.

Completion: Finalizing and Finishing the T/D

Program and university expectations are made clear for all stakeholders regarding the completion of the T/D experience. Protocols, processes, and timelines are shared in addition to rubrics that clearly outline oral defense expectations. During this completion phase, the student reverts back to heavy reliance upon the advisor to support the oral defense preparation and presentation along with the other final steps in the completion process, which can be extensive. The advisor does everything possible to prepare the student for the oral defense as well as to quell anxiety. Expectations are uniformly maintained and the T/D committee's role is to make sure that rigor and quality research standards have been adhered to throughout the process. As a result, numerous revisions may be requested by the T/D committee in order to produce the best product possible. If the committee is not pleased with the research project or disagrees among one another, the student's confidence may be greatly shaken after such a grand endeavor. If program deadlines or time restrictions press too close, massive stress may also result. Advisor support is paramount and he or she must stand at the side of the graduate student in front of the T/D committee and actively support the student's research endeavors.

Once the oral defense is completed successfully, leadership confidence and research confidence result. This process affirms oneself as a proficient graduate student who has successfully finished the final stage of the program. It celebrates the research endeavor with the community and opens discussion on one's research endeavor with the academic community's feedback. These experiences are keys to fostering social justice, equity, and change in the educational system. Only through collaborative dialogue and critical reflection, in the setting of problem-posed learning, can one come to put meaning to his or her words through this organic process (Mezirow, 2000).

Furthermore, emancipatory knowledge is gained in which the student undergoes growth, personal development, and freedom. Personal change often results as one's perception of self, knowledge and understanding within one's field, or an evolving understanding that limiting beliefs can no longer fit a new worldview (Cranton, 2016). This can result from the findings and conclusions of one's study. The student reflects on the validity of one's assumptions and whether or not those assumptions should be revised. Empowerment on multiple levels arises with demonstrated proficiency in: (1) research reading and writing skills, (2) APA formatting and referencing skills, and (3) successfully analyzing data in relation to the research question to understand the impact of the phenomena on the sample population as well as making recommendations.

From this process, a presentation of results can be transferred to one's work setting. The individual demonstrates data-based decision-making in action through a presentation of one's research findings. As a result, the perceptions of those in the student's professional community reshape as they begin seeing potential for the student to advance in leadership (stepping up from the current role) as a result of this contribution and shared expertise. Individuals within the work community may also begin making inquiries or asking questions related to the research topic and findings, and seek advice and information. Furthermore, the new graduate may be asked to present to others and represent the institution as a whole, and to publish the results of the study.

Exiting: Transitioning to a New Role

Completing and exiting this process enables the student to become more independent and to begin applying what was learned directly into the classroom or other work settings. There is an emerging openness to new ideas as well as the desire to help others through one's field of study. The student is acting in a different way and has developed a new, more profound self-image as a scholar/practitioner. The student has now contributed new knowledge to the field, and is engaging in self-reflection, self-determination, and personal growth. This also results in new self-confidence and empowerment as titles change. Community recognition abounds and promotion within one's work setting may be reachable. Momentum is renewed and at an all-time high moving forward with community recognition in both the academic and work circles.

Graduate programs in education and individual advisors actively assist the student through this last and important transitional stage by providing assistance with career and transition options, and by helping the student to understand what to expect in other aspects of life beyond the graduate program. The advisor and other key individuals remain available after the student exits the program in order to provide additional guidance and support. Furthermore, the institution provides social events and other group support activities for program alumni to assist with professional networking.

Transformative Learning

Graduate level education has the power to be taught in a way as to develop and emancipate an individual. Instructors can engage in deliberate actions to disconnect students from status quo thinking and reformat them to develop new characteristics, attributes, behaviors, and perspectives that become new habits of mind (Cranton, 2016). Additionally, students become critical thinkers and skilled practitioners or researchers in their field who lead and contribute to the positive development of society. This transformative learning approach sets the stage to empower graduate students to understand the meaning of their research experience, particularly through the thesis or dissertation process. This process can then serve as the vehicle for developing awareness and a way to foster change as a developing leader in the field of education. Cranton (2016) affirmed a content-process-premise questioning approach that promotes self-reflection and fosters deep learning experiences that demonstrate understanding of the whole as illustrated in Table 2.

Table 2

Critical Reflection and Knowledge Levels Associated with Transformative Learning

Reflection	**Knowledge**		
	Instrumental	**Communicative**	**Emancipatory**
Content	*Where are the facts?*	*What do others say about the issue?*	*What are my assumptions?*
Process	*How do I know this is true?*	*How do I integrate other points of view?*	*How do I know my assumptions are valid?*
Premise	*Why is this knowledge important to me?*	*Why should I believe in this conclusion?*	*Why should I revise or note my perspective?*

Table from Cranton, 2016, p.28

This can range from reflection regarding one's perception of self, knowledge and understanding within one's field, or an evolving understanding that limiting beliefs can no longer fit a new worldview (Cranton, 2016). Methods can also include but are not limited to "critical incidents, metaphor analysis, concept mapping, consciousness raising, life histories, repertory grids, and participation in social action" (Mezirow, 1997, p. 10). Additionally, he noted that new information is only a resource and must be incorporated into an "already well-developed symbolic frame of reference, an active process involving thought, feelings, and disposition" (Mezirow, 1997, p. 10). Transformative learning thus becomes a process of effecting change in a frame of reference (Mezirow, 1997, p. 5). This transformative learning approach sets the stage to empower graduate students to understand the meaning of their research experience, particularly through the thesis or dissertation process. This process can then serve as the vehicle for developing awareness and a way to foster change as a developing leader in the field of education.

Graduate students have "acquired a coherent body of experience-associations, concepts, values, feelings, conditioned responses-frames of references that define their life world" (Mezirow, 1997 p. 5). How do these students

learn and process information that is encountered throughout the research endeavor which culminates in a thesis or dissertation product? There are four processes of learning which include: (1) elaborating on a point of view, (2) establishing new points of view, (3) transforming our point of view, and (4) becoming aware and critically reflective of our generalized bias in the way we view things, including groups other than our own (Mezirow, 1997, p. 7). Students move through stages as they seek three types of knowledge which result from learning: (1) technical knowledge or instrumental learning which allows people to manipulate and control their environment through principles and skills, (2) practical or communicative knowledge which allows people to understand and interact through language, and (3) emancipatory knowledge in which people are seeking self-knowledge, growth, personal development, and freedom (Cranton, 2016). Additionally, Cranton noted that,

> Emancipatory learning occurs in informal and formal educational settings, including community development groups, self-help groups, professional development programs, literacy education, union education, and political and environmental movements, to name a few. Perhaps most important, emancipatory learning can occur in any setting where learning occurs. A person acquiring a technical skill can gain new self-confidence and begin to see his or her place in the world in a new light. (2016, p. 10-11)

As applied to the thesis and dissertation process, graduate students have experienced cognitive (i.e., approaches to learning and understanding), social, and psychological changes.

This is in alignment with the transformational learning framework where students move through stages as they seek three types of knowledge which result from learning.

Technical knowledge in relation to the graduate level experience occurs when students learn how to conduct and read graduate-level writing and research as well as understand roles, expectations, and workload. "Empirical or natural scientific methodologies produce technically useful knowledge, the knowledge necessary for industry and production in modern society" (Cranton, 2016, p. 9). This includes the technical skills that are needed to be a highly qualified and successful practitioner in one's field. Students often feel challenged during this period and question whether this is a goal in their lives that can be achieved.

Practical or communicative knowledge is constructivist-based and focuses on the deep understanding and meaning to one's pursuit. In relation to the graduate level experience, students come to terms with why they need to perform at such a high level while meeting rigorous demands and expectations. Time management and study skills often strengthen during this phase and content reading for understanding is pursued. It becomes a time where students often thrive on group consensus and shared interpretation (Cranton, 2016). The same author also noted, "leadership training, interpersonal skills, teamwork, conflict resolution, communication skills, and the new emphasis on emotional intelligence illustrate the importance of communicative learning in work place settings" (2016, p. 12).

Finally, *emancipatory learning* allows graduate level students to do something with their learning such as an applied project or thesis. There is an emerging openness to ideas as well as the desire to help others through one's field of study. Students are acting in a different way because they see themselves in a different way from when they started the program experience. They are now contributing to their field, engaging in self-reflection, self-determination, and personal growth. Habermas stated,

> The goal of adult education is to help adult learners become more critically reflective, participate more fully and freely in rational discourse and action, and advance developmentally by moving toward meaningful perspectives that are more inclusive, discriminating, permeable, and integrative of experience. (1984, p. 224-225)

Graduate level education has the power to be taught in a way as to develop and emancipate an individual. Instructors can engage in deliberate actions to disconnect students from status quo thinking and reformat them to develop new characteristics, attributes, behaviors, and perspectives that become new habits of mind (Cranton, 2016). Additionally, students become critical thinkers and skilled practitioners or researchers in their field who contribute to the positive leadership and development of society.

Recommendations for Practice

This section provides recommendations to help both advisors and students not only make it through the T/D process, but also be able to make the most out of their experience.

For Individual Advisors and Students

1. Even the best student hits a wall. The advisor needs to anticipate at what point this will happen and have plans to help the student through, which at the time may seem like an insurmountable barrier to the student. It is important to advise the student that when he or she is overwhelmed by exhaustion, confusion or frustration, it is time to take a break from the T/D process for a least a full day. As the calendar is developed for completing the T/D process, down-time and break-time should be factored in.
2. The advisor needs to lay out the "big picture" regarding what is necessary to complete the T/D, and at the same time emphasize the step-by-step process. The student will benefit from having the advisor work jointly to develop a detailed calendar with each step clearly outlined, including deadlines and benchmarks. This will help ensure that the student is staying on track, and will serve as a continuous reminder that the student needs to work on the T/D incrementally, and on a regularly scheduled basis rather than trying to complete the process by planning large chunks of time. Too often when a student plans on approaching the T/D by scheduling large amounts of time in conjunction with other things, life gets in the way and the student is unable to use the scheduled time as intended. Advisors should encourage the student, when possible, to schedule the same time each day to work on the T/D to establish routine. For the student with family and/or other fixed obligations, dedicating daily T/D work either in the early morning or late evening time blocks may be useful. This planning should be done at the front end of the process and monitored throughout.
3. Both the student and the advisor need to regularly and frequently revisit the research framework. This can

help the student keep from deviating from the research framework and unnecessarily expanding the scope of the research project. This can also provide an opportunity for both the advisor and the student to discuss and make timely adjustments to the research project rather than being forced to react late in the process when they discover that parts of the research project are not working as planned.

4. The advisor needs to personally provide writing and research support, and not rely solely on sending the student to writing centers or one-time workshops on writing a dissertation or thesis. While these one-time workshops can provide useful information, the need for intentional and ongoing writing and research support by the advisor is critical to the student's success.
5. Both the students and the advisor need to come to a common understanding as to what constitutes "quality" writing and research in the context of the T/D process.
6. Early in the relationship between the advisor and the student the advisor should make every effort to spend at least one full day shadowing the student at his/her work site. This should give the advisor a good perspective and understanding of the student's work environment.
7. As appropriate throughout the T/D process, the advisor should engage the student in discussions about leadership lessons that are emerging from the student's research. This can help the student to contextualize the leadership lessons within a particular work setting.

For Departments and Programs

1. Consistent processes and approaches are needed throughout the department with all advisors regarding timelines, content expectations, overall structure of the T/D, and standard of quality of research and writing. A person or group of individuals should be tasked with monitoring and maintaining quality control over the T/D development process and outcome.
2. There needs to be ongoing professional development and assistance for T/D advisors including regularly scheduled forums for advisors to discuss the dissertation/thesis process with open and candid discussions regarding what is working well and what challenges they are facing.
3. The department should develop and maintain a readily available database of relevant and timely dissertation/thesis-related support materials and documents. (See Appendix A for a partial list of suggested materials and documents that could be included in the database.)

Recommendations for Future Exploration

This article relied primarily on the experiences and observations of the authors and is intended to provide a better understanding of the complex and transformative journey a graduate student undertakes as one begins, progresses through and completes an educational master's degree thesis or an educational doctoral dissertation. Moreover, the paper examined transformation of the student as a result of this experience. The article focused on students who are educational practitioners and who are enrolled in graduate programs in education for the purpose of improving their effectiveness as teachers, student services professionals and educational leaders.

The article did not take into consideration the actual content outcome, subject matter focus of the thesis or dissertation or any particular research methodology. As a next step, it is recommended that an empirical research study be conducted which would include in-depth interviews and surveys with students regarding their experiences with T/D process as well as interviewing and surveying T/D advisors about their experiences and observations. We believe that the three theoretical frameworks and lenses used to guide the discussion in this article could also be used to guide an empirical study.

Thesis and dissertation advising is more than helping students complete a major research project. It is also about establishing ongoing collegial and mentor/mentee relationships. By recognizing the transformational and developmental stages students go through during the T/D process, both advisors and students can anticipate and be prepared to address the predictable challenges at each stage. Clearly, in order to successfully and productively negotiate the T/D process, it must be viewed and continually approached as shared responsibility and shared commitment between the advisor and the student.

Author Bio

Jim Riggs, Ed.D. is a professor in the doctoral program at CSU Stanislaus. For 10 years, Dr. Riggs served as President of Columbia College (Yosemite Community College District). He has an extensive background in higher education administration.

Donna Roberts, Ed.D. is an Associate Dean of Academic Administration and Associate Professor in Graduate Studies at Humphreys University in Stockton, California. She holds a doctorate in Educational Leadership as well as several credentials. She has served as an administrator and educator in both P-12 as well as higher education. Her work is focused on student success efforts including the enhancement of graduate level distance learning education.

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Appendix

Partial List of Materials and Documents for a Dissertation/Thesis Support Database

In building and adding to a department dissertation/thesis support data it is important that all advisors review and come to consensus on what is placed into the database, and that what goes into the database represents an appropriate text sample, outline or support document. Having all advisors and students work from a common database will help to establish and maintain a reliable level of quality and rigor within dissertations and theses. Below is a partial list of recommended documents and support materials for this database.

- All required institutional forms related to the dissertation or thesis including IRB processes, department/institution approval forms for the dissertation, and forms for submitting the completed dissertation for publication through the university library.

- Institutional document templates, and required guidelines for preparing and completing the dissertation.

- Basic outlines for each chapter of the dissertation and thesis, including separate outlines for qualitative, quantitative, and mixed methods studies. Examples of well-written chapters or parts of chapters may also be helpful.

- Selected articles and chapters on several aspects of writing a dissertation or thesis including:
    - Elements of a T/D proposal
    - Writing a literature review
    - Insider research and controlling for insider bias
    - Various articles and chapters on specific research methodology

- Samples of standard verbiage (text) used in dissertation/theses that students can adapt to their particular study including sample text for:
    - Justifying the study
    - Transitioning from chapter to chapter
    - Ethical considerations and protection of participants involved in the study
    - Trustworthiness, transferability, credibility, dependability and confirmability (qualitative and mixed methods studies)
    - Memorandums of Understanding (MOU) granting permission to conduct research at a particular institution or location
    - Controlling for insider bias
    - Population and/or sample selection (quantitative or mixed methods studies); Participant selection (qualitative or mixed methods studies)
    - Letter of invitation to participate in a study

- Sample forms and worksheets including:
    - Pre-proposal worksheet
    - Proposal worksheet
    - Protocols for conducting expert reviewer and pilot testing of survey and/or interview questions
    - Research design graphics and sample figures

- Links to APA formatting websites as well as a collection of the most common APA formatting issues that students deal with when writing a dissertation or thesis.

CONCEPTUAL STUDY

Beyond the Public-Private Nexus: A Framework for Examining School Partnership Governance in a Blended Capital Reality

Walter Balser, Ed.D., *University of Denver*
Hardin Coleman,Ph.D., *Boston University*

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Abstract

Increasingly, school-based partnerships have been tied to education reform and the entrance of private capital into the PK-12 space, most prominently from a philanthropy sector that contributes nearly $60 billion annually to education causes. As a result, what may have been an at-will school-business partnership in the 1980s may today resemble an embedded multi-partner arrangement around professional development, teacher evaluation, or turnaround support. In this paper, a new framework is introduced to situate school-based collaborations in a contemporary context, notably acknowledging that schools today live in a new "blended capital" reality involving diverse sector influences, multiple sources of private and public funding, and therefore multiple measures of accountability.

Keywords: *school partnerships, education partnerships, neoliberal education, blended capital in education, education philanthropy*

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Introduction

The number of for-profit and nonprofit organizations working with and in schools has grown exponentially since the 1990s, due in large part to a dramatic increase in private capital entering the education space. As a result, today there are over 185,000 nonprofit organizations working in the PK-12 marketplace, many of which did not exist two decades ago (NCCS, 2014; Guidestar, 2019). While some offer supplementary services in areas like childcare, athletics, youth development, mindfulness, and mentoring, others are engaged in more embedded arrangements around curriculum, teacher evaluation, or turnaround support.

In this paper, we consider the evolving governance concerns at the school and district levels brought by the infusion of private capital in these partnerships, and we offer a conceptual framework for examining these arrangements moving forward. Specifically, we argue that the proliferation of investment and giving in the education sector, which in 2018 included over $1.4 billion in venture capital (Wan, 2018) and nearly $60 billion in philanthropic giving (Giving USA, 2018), respectively, is not only transforming how schools meet their students'

academic and emotional needs (through new services and providers), it is also affecting how school and LEA leaders at all levels share power with these outside agencies. In practice, leaders are confronted with not only persistent issues that have faced partnerships for decades, but also emergent pressures brought by working with a new breed of autonomous players more deeply invested in the process. Added to age-old concerns around setting clear role expectations, shared objectives, and measurable outcomes with partners are deeper questions around policy, funding, and accountability – in other words, governance – between insiders and outsiders. In this new reality, the notion of private versus public or traditional versus reform operates in a gray space where no one group (or agency) provides all of the services, holds all of the control, or owns all of the risks. In terms of a marketplace, we are witnessing an opaque transformation of what constitutes "vendor" and "partner" at all levels of schooling. Therefore, a critical framework for understanding and researching school partnerships in the current context is needed.

A Foundation Laid for Blended Capital Partnerships in Public Schooling

The integration of external partners has become commonplace in sustainable-development urban strategies (Oliviera & Breda-Vázquez, 2012). Perhaps the most robust example of this is the Harlem Children's Zone, where a multitude of community partners embed in virtually all aspects of a student's life from birth to graduation. Integrated approaches like these are advantageous in regions that have historically been deprived of social services and innovation. Especially in these communities, clustering resources are seen as being socially innovative if they introduce changes in the "social landscape characterized by injustice, or if they contribute to the empowerment of local actors, particularly the underprivileged in public decisions" (Oliviera & Breda Vázquez, 2012 p. 24; Mouleaert, Martinelli, Swyngedouw and Gonzalez 2005). Trujillo, Hernandez, Jarrell, and Kissell (2014) suggest that third party programs are essential to overcoming implicit biases that produce inequitable outcomes along racial lines. Therefore, more than ever, educators must enter into alliances, networks, coalitions, consortia, virtual relationships, councils, federations, compact agencies or other arrangements that bind resources together.

A case can be made that policies emphasizing partnerships are nothing new; schools are merely turning, as they have in the past, to community partners and outside funders to buoy lagging resources or meet needs through comparative advantage. The difference, some would argue, is that partners of the past – say, the YMCA or the Boys and Girls Club – are being joined by a new breed of agencies focused on social impact, innovation, scale, and reform. Collaboration with outside partners has played a role in altering the organizational processes of schools and may explain the rising popularity in public-private partnerships as organizations across the spectrum look beyond sector boundaries to meet their own needs, and to learn from each other (Smith and Wohlstetter, 2006; Sagawa and Segal, 2000). According to Osborne and Gaebler (1992), "each of the three economic sectors – nonprofit, for-profit and public – possesses distinct strengths. From this perspective, public-private partnerships are motivated largely by a pursuit of the comparative advantages inherent to organizations in the other sectors" (p. 250). Reformers go even further, suggesting that schools lack the capacity to solve problems and improve their own performance (Smith & Wohlstetter, 2006) as public sector organizations are too often constrained by the political system rather than the economic system (Boyne, 2002). School leaders face constant

disagreement between different constituent groups (Datnow, 2000) and struggle to institute change because educators hold a range of opinions on any reform agenda; thus, every effort is resisted by some contingent of school staff and faculty (Malone, 2011). External providers, on the other hand, are not subject to political authority and can act as agents for creativity, alternative thinking, and the introduction of new systems (Corcoran and Lawrence, 2003). This freedom can help site leaders stay focused on long-term policy mandates while external partners focus on instituting meaningful change in operations and teacher practice (Beabout, 2010).

Regardless of disposition or political party, government plays a key role in codifying partnerships. Since 2000, policies like No Child Left Behind (NCLB) or Race to the Top (RTT) and programs like My Brother's Keeper (MBK) have raised the profile of embedded partnerships by combining the government's resources with those of other impact investors through a concept known as "blended capital," a form of investment whereby public, private and philanthropic dollars are pooled for a common cause (Starr, 2012). Blended capital arrangements are envisioned as transformative partnerships between districts, nonprofit groups, higher education, or business (Adams, 2013). Similarly, the Investing in Innovation Grants (i3) instituted under the Obama administration introduced over a billion dollars directly into blended capital collaborations. Unlike its predecessors, i3 grants stated explicitly that grantees must have partnerships with the private sector that will provide matching funds.

Governance Concerns: Elites as the New Missionaries

Partnerships are most effective when collaborative efforts are seen as mutually beneficial (Hands, 2005). Historically, however, schools are not seen as equal contributors but rather the primary beneficiaries of most arrangements. Some argue this is the result of relationships founded under adverse circumstances that have placed schools at a major disadvantage, and where educators are seen as failing (Hoff, 2002). This is supported by early research on school-business partnerships that showed executives exerting control and exhibiting harsher tones as they sought to institute their values on school leaders (Trachtman, 1994). Today these concerns have taken on new meaning as educational leaders face pressures to improve schools with the looming threat of receivership by external providers or Lead Turnaround Partners (LTPs). Not surprisingly, the demand for some partnerships, especially those with LTPs, remains low among superintendents. The mantra from educators is that the burden of accountability (and blame) is placed on schools and districts while partners receive only credit for success. "School-improvement in districts and schools," Datnow (2000) notes, "is de facto a conflict-ridden process because power is distributed (usually unequally) among individuals, groups, and organizations possessing dissimilar education values and interests" (Kowalski, 2010, p. 76). Naturally, educational leaders balk at any relationship that would see them turn over their schools to an outside organization, even more so to relatively unproven ones with a mixed record of success (Corbett, 2011). While LTPs represent an extreme example of outside partnerships exerting control over schools, they offer a relevant microcosm of a changing schooling infrastructure where higher-stakes services are operated by private agencies.

There is little research on the power relations and the influence of the environments within which partnerships are implemented (Miraftab, 2004). Private sector firms approach local governments and their impoverished

communities with the message of power-sharing, but once the process is in motion the interests of the community are often overwhelmed by those of the most powerful member of the partnership – the private sector firms (Miraftab, 2004, pg. 89). Some critics contend that, in this context, partnerships have less to do with altruism and more to do with access and power. Mazzoni's Arena Models (Fowler, 1994) and Elite Theory (Anfara & Mertz, 2006) assert that policy decisions, particularly in education, are being made outside of the public sphere. Decisions that appear to be made in the macro arena through voting or public pressure, for example, are actually being made by leadership elites through subcommittees, interest groups, or, more recently, foundations and giving. There is a growing chorus of critics expressing unease at the role of philanthropists as de facto policymakers who are circumventing democratic due process under the guise of collaboration. Kowalski et al. (2010) agree, speculating that state policymakers have, in counsel with business elites, relied on a political-coercive change strategy that has taken command of school reform from educators whom they viewed as incapable of acting independently to improve their own schools. Philanthropic organizations, in particular, act as "policy patrons" that use funding to influence educational reform and bolster support for private control and privatization of public goods (Heilig, 2019). Cuban (2004) argues that today, community elites are using the media to spread a message of "civic capacity" and "social capital" that is, at its core, inspired by business schools.

Examples of Elite Theory and Arena Models in the PK-12 space are becoming increasingly common. Take, for instance, the evolution of Barack Obama's My Brother's Keeper from a quasi-policy initiative with $400 million in private giving in 2014 to a behemoth foundation with more than $1 billion in assets by the time he left office. In explaining his reason for scaling MBK, President Obama stated the need to grow in order to serve more communities. "The foundation will channel corporate and individual donations to existing programs for minority youth, with an emphasis on local programs that can be replicated in other cities" (Goodwin, 2013). At least on the surface it appears this would be a worthwhile initiative irrespective of community context. However, below the surface it is not so simple as MBK, the Gates Foundation, and other intermediary organizations (Vasquez-Heilig, Brewer, Adamson, 2019) push for massive scale by blending private dollars with public positions of authority. Again, that is not to say that this initiative is not worthwhile, or that the mechanisms by which MBK distributes its funds are not democratic (many would argue they are); it is the precedent of morphing elite giving with national policy that needs a rigorous examination. One may agree with this president's priorities in public education, but will they agree with the next?

Viewed in this broader context, the modern school partnership landscape lies squarely at the intersection of educational policy, philanthropic and foundation giving, and a burgeoning nonprofit and education technology industry. These represent powerful interests that are influencing programs and practice in all-new ways. The introduction of blended capital, both in terms of dollars, or in terms of expertise, values, norms, or priorities, suggests this is more than a new era of partnerships; it is a paradigm shift facing school leaders brought by years of macroeconomic policy. For example, the current push to emphasize STEM programs, individualized learning, and other priorities may crowd out local initiatives to benefit industry, or more cynically, these are merely pet projects that are not rooted in empirical evidence. While creating a generation of coders may seem noble, we have not established whether this is the desire of parents, employers, or, better yet, the students in a particu-

lar community. One could argue that reduced class sizes, recruitment of more teachers of color, and providing robust mental health services, all empirically proven ways to improve urban schools, are more appropriate interventions. However, these voices get drowned out under the weight of powerful national organizations now working under a quasi-united front. Especially given the technology-based origins of these sources of funding, we must be vigilant that a new "tyranny of missionaries" (Abowitz, 2000) does not usurp the tenets of a supportive partnership between equals with genuinely converging interests.

Elusive Scale in a New (Private) Bureaucracy

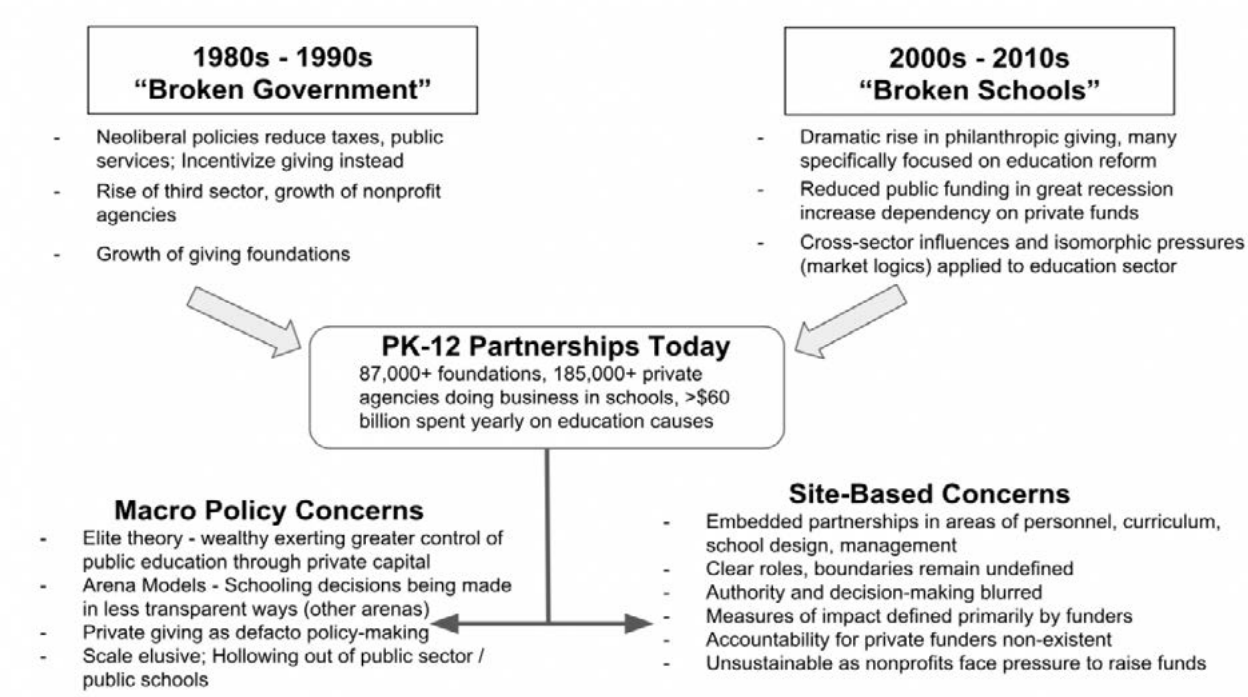
Determining who makes decisions in partnerships, how they are made, and how accountability is measured remains elusive. Yet, in recent years, there has been less emphasis on partnership governance in regards to nonprofits, particularly the engagement of citizens and a greater emphasis on reaching scale and efficiency (Rees, Mullins, and Bovaird, 2012). While the blended capital system is designed to build organizations to scale, the truth is few entities can match the reach and scope of public institutions, especially schools. Goldberg (2009) argues that for all its fanfare, popular prototypes in the nonprofit sector still only reach a small fraction of publicly funded initiatives. After 20 years of remarkable growth, he notes, the best case study for social innovation in education is still only reaching 3.3% of the total need it set out to meet (Goldberg, 2009, p.3). Interdependence theory tells a similar story. Salamon (1987) writes that demand for new services may initially induce private support, but it is questionable whether that alone is enough to drive nonprofit density in the long term. For example, in education the government may choose to engage with agencies providing services, such as funding outside tutoring agencies, rather than engaging in activities itself, like hiring more teachers. As a result of this "hollowing out" (Lecy and Van Slyke, 2012), there is less willingness in the long term by the government to offer services on the premise that private markets are better suited to fill voids (Miraftab, 2004). In time, both groups rely increasingly on scarce government monies as their key source of revenue to fulfill their respective mission (Milward and Provan 2000). In the end both the schools and agencies become dependent on even more limited public monies and less reliable private sector funds.

Seen through this lens, one could argue the new push for scale in PK-12 innovations is not replacing bureaucracy with local control or removing redundancies in the public sector (Cram, 2012), but rather replacing public with private control. Depending on the size of the agency, one monolith is merely replacing another. Many detractors see the introduction of innovation funded by philanthropy as a veiled shift toward privatization and singular agendas that leave many key stakeholders, e.g., parents, teachers, or principals, unable to compete for influence.

> Beneath the surface … a much more nuanced shift in administration and policy has gone virtually unnoticed…. Even if the public institution in your neighborhood, or the one that your child, niece, or nephew attends, is a public school in name, outside partners may be tasked with duties ranging from teaching to counseling. (Faraone, 2015, p.4)

These concerns emerged in the late 1990s but are finding new traction amongst anti-reformers. Leading critics, most notably former Assistant U.S. Secretary of Education Diane Ravitch, warn that we are yielding too much too soon to organizations with solutions that worked in one community but may not in another (Ravitch, 2011).

Illustration 1.0: Evolution of PK–12 Blended Capital Partnerships, Concerns



Anfara V.A. & Mertz (2006); Fowler, F.C. (1994); DiMaggio, P.J. & Powell, W.W. (1983); Howell, K. (2014); Sun, Frank, Peneul & Kim (2013); Starr (2102); NCCS (2014)

A Conceptual Framework for Examining Partnerships in a Blended Capital Reality

To better understand the nuances of these relationships, we are introducing a conceptual framework that places PK-12 partnerships within the construct of "blended capital." Blended capital captures the understanding that all educational practice demands resources. Historically, those resources have been provided by some form of public taxation, e.g., property taxes. As presented above, an increasing percentage of the "capital" used to fund educational practices, particularly those focused on innovation and system change, comes from independent courses such as corporations or philanthropic organizations. One purpose of this paper is to build a conceptual framework for how this blend of capital resources can be used to support the improvement of educational practice.

A core contention of this framework is that educational leaders and outside agencies working in schools represent distinct cultures and, in too many cases, competing entities to whom they are responsible. For example, it is fair to assume that both school leaders and partners are driven by localized objectives such as school improvement and meeting the needs of students. However, the former are influenced by expectations of elected school boards, presumably echoing the desires of constituents or state officials. In comparison, outside partners may be driven by a funder's expectations to bring programs to scale, or perhaps by meeting other measures of efficacy

that are part of their respective industry, such as "social impact" or, increasingly, "replication of innovation." While both groups may share the espoused goal of improving student or school outcomes, there may exist other motivations driving their decision-making processes and, ultimately, the way each partner measures success, which may not be shared. We believe this is more than semantics. Parsing out these differences can highlight fears surrounding education reform in general and collaborations with outside agencies in particular. Therefore, this framework distinguishes these types of arrangements as distinct from traditional Public-Private Partnerships and School-Business Partnerships. Table 1.0 introduces the proposed framework.

Table 1.0: A Changing Partnership Landscape: Proposed Conceptual Framework

	Traditional Public- Private Partnerships (PPP)	School-Business Partnerships	**PK-12 Blended Capital Partnerships**
Players	School districts and LEAs, community agencies, higher education agencies, government agencies, legacy foundations	K-12 schools, businesses, municipal agencies	School districts and LEAs, individual schools, community agencies, government agencies, non-profit companies, for-profit companies, various types of foundations
Examples	K-12 School and YMCA partner to offer activities beyond-the-school-day; School district and university partner for professional development	K-12 School and IBM partner to offer internships and career pathway programs	K-12 School and talent agency partner to recruit, train and evaluate teachers; K-12 School and STEM curriculum providers offer embedded curricular program; Giving foundation provides matching funds for major statewide overhaul
Services	Supplementary Services; Physical Space; Turnaround Support; Professional Development	Sponsorships; Physical Space; Technology; Internships, Speakers	Supplementary Services, Curriculum and Program Development; Turnaround Support; Professional Development; Teacher Evaluation; Human Resources; Technology; Financial & Operations Expertise
Primary Funding Sources	Local, State, Federal Grants	Businesses grants; Direct corporate giving	Public Grants, Foundation Grants (community, family, corporate); Private Direct Giving; Arrangements requiring committed sources of matching funding
Outcome Priorities	Supports current school and partner objectives	Supports partner and school objectives	Supports current school and partner objectives; New services, Social innovation; Scaling ideas
Scale Objectives	Impacts immediate school, district & local community	Impacts business and school community	Impacts school, district & local community; Replication regionally or nationally
Accountability	Established by school or education agency through grant RFP or MOA	Established by school and/or partner loosely; rarely present	Established by multiple funders through philanthropic grant RFP; Increasingly, oversight through philanthropy
Obligation	At-will collaboration; Agreed upon by schools/LEAs and policy agencies	At-will collaboration	At-will collaboration by the funder; Depending on partnership, school or LEA participation is not voluntary

Examining Power and Resistance in Partnerships

Since we are focused on the use of capital resources, issues of power and control need to be addressed. For impact investors, including the government, partnerships operate in a sweet spot between business and public policy, making them more autonomous and uniquely appealing for growing programs to scale. At the school and district level, however, it is not so simple, as leaders must now attend to multiple, often conflicting, elements of feedback and interpret these messages collaboratively to guide practice (Riley, 2004). Specifically, many believe that K-12 leaders are relatively unfamiliar with the intricacies of managing school partnerships in general, leaving them even more unprepared to deal with the dynamics between powerful organizations in pursuit of radical change (Bennett & Thompson, 2011). Rees, Mullins, and Bovaird (2012a) contend that we must frame our understanding of partnerships in and with the third sector within a longer historical development and a wider picture of changes in the governance and organization of public service delivery.

While proposing a specific methodology is beyond the scope of this paper, we believe using the blended capital conceptual framework coupled with a micro ethnographic analysis of the relationship among partners that is focused on power dynamics may contribute to building a useful logic that is transferable from one partnership to another, and from one community to the next (Hays & Singh, 2012, p. 200). Collectively, this may provide ecological validity (Braun & Clarke, 2013) for understanding school partnerships within a deeper theoretical context. This approach to understanding these relationships is grounded in the ethnographic works of Max Gluckman as described by Michael Burawoy (1991). They are particularly relevant for their emphasis in examining how different institutions interact with one another and how power is shared—or transferred—as those interactions take place. Max Gluckman's work on transforming interpretive case method may provide an appropriate application to this line of research (Burawoy, 1991). Gluckman started by examining micro instances of colonialism in villages, yet his research evolved from present villages and urban settings to the wider political and economic forces associated with colonialism. "Whereas in the original study of the bridge opening Gluckman had regarded the social situation as an expression of the wider society, many of his followers viewed the village, the strike, the tribal association as shaped by external forces" (Burawoy, 1991, p. 276). In the most literal sense, one could say that through neoliberal policies, a bridge has been opened between the PK–12 sector and the many other sectors now working in the space. "It is as if the whole lodges itself in each part in the form of a genetic code, which is uncovered through a process hermeneutic of interpretation" (Burawoy, 1991, p. 213).

We contend that public school systems are, increasingly, expansive blended capital ecosystems that are experiencing phenomena akin to colonialism, where powerful outside forces have entered previously uncharted territory, and where multiple agendas, perspectives, and power struggles are occurring in schools and districts. This is particularly true in historically under-resourced districts that are most vulnerable to externally driven reform efforts. Comparing the current educational climate to colonialism is not meant to be pejorative but to highlight the role of power differentials for understanding what is happening in a particular sector, the American public education system. Considering that educational policy decisions can dramatically affect employment, distribution of wealth, and democratic participation, one need not be a Marxist scholar to benefit from a reading

of political economy perspectives this line of research is likely to bring.

Ethnographers point out that the environment is not an arena where laws are played out, "but a constellation of institutions located in time and space that shape the domination and resistance" (Burawoy, 1991, p. 282). Currently, there are a constellation of emergent players and funding forces exerting gravitational forces in new directions. As other researchers have done with villages in post-colonial periods or the opening up of Eastern Europe after the Cold War, this line of research would consider the interactions between school leaders and outside partners as microexpressions (Burawoy, 1991, p.213) of macroeconomic policy and a decentralizing infrastructure.

As such, we are suggesting that we need to think of public school districts, particularly those that are historically under-resourced, as targets for economic and cultural expansion for the owners of private capital. If the relationships between private capital and public capital are going to be effectively integrated in a manner that serves the needs of children, we propose that this framework for understanding blended capital will provide a guide for those seeking to use multi-sector partnership to improve the opportunities for all children.

Closing

In this paper, we contend that collaboration with organizations outside the school system has re-emerged as a significant element driving PK–12 reform. Beyond providing mere goods and services, the nearly 200,000 organizations now doing business in education can help solve many of the obstinate challenges facing our schools. The codification of policy and funding systems prioritizing partnerships with outside agencies is confirmation that schools, like other industries, must incorporate practices and stakeholder input through an elaborate system of co-production.

While acknowledging that decentralization, cross-sector collaboration, and blended capital is not a phenomenon specific to schooling, the literature highlights a historical record of the challenges school leaders face in effectively using blended capital to drive improvement in their schools (Cuban, 2004; Abowitz, 2000). Indeed, while the promise of harnessing community resources is undeniable, the fact remains that for decades, PK–12 partnerships have been beleaguered by problems ranging from ambiguous roles for external partners to inconsistent goals between school leaders and outside agencies. On a macro level, partnerships may represent expressions of neoliberal policy that see privatization as the pathway for school improvement. The model for a blended capital approach proposed in this paper , provides guidance for school leaders to manage collaborations with a new breed of partners that are focused on matters of curriculum, personnel, policy, and programming that systematically improves school performance. More research is needed to understand how school/LEA leaders and outside partners effectively engaged in blended capital arrangements that improve school performance , and what, if any, challenges to success may be manifesting at the school and district level. Without a clear understanding of the dynamics at play we could be undermining the intent of policies aimed at stimulating stronger community ties and social innovations in the education sector; at worst, we may be ignoring the development of a new "blended capital" PK-12 infrastructure that is redefining how we share authority and accountability between school leaders and outside agencies.

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PERSPECTIVA CRÍTICA

Acompañamiento Educativo en el Altiplano Occidental de Guatemala: Una Introspección Histórica sobre Políticas, Prácticas y Transformación Educativa

Gabriela Núñez, M.A. y Dra. Sophia Maldonado Bode

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Abstracto de Artículo

En el Altiplano Occidental de Guatemala, se han hecho grandes esfuerzos en educación para fomentar el crecimiento económico y el desarrollo social. Sin embargo, en este país lingüístico y culturalmente diverso, todavía existen desafíos en términos de cobertura y calidad educativa. Mediante los proyectos de educación de USAID se ha provisto asesoría técnica al Ministerio de Educación en procesos de fortalecimiento del recurso humano educativo. Ello ante la escasa formación inicial docente, la ausencia de inducción al servicio y de acompañamiento en la práctica docente. Se elaboró una propuesta de acompañamiento pedagógico mediante un modelo de coaching basado en un ciclo de mejora continua que propone el fortalecimiento de la persona como formadora, a partir de la autorreflexión de su práctica docente para empoderarse de su propio proceso de aprendizaje y crecimiento profesional, y se focaliza en el aprendizaje de los estudiantes. Con ello se busca cambiar de un sistema de fiscalización a uno de acompañamiento escolar, que fortalezca las capacidades de los docentes en la aplicación de metodologías innovadoras que contribuyan al mejoramiento de la calidad educativa. Su implementación a nivel escolar empieza a mostrar resultados en las prácticas docentes; pero todavía se requieren mayores esfuerzos para que los actores de las diferentes instancias reconozcan, amplíen su implementación en contextos bilingües e interculturales y aprovechen su potencial para mejorar la calidad educativa.

***Palabras clave**: acompañamiento pedagógico, política educativa, desarrollo profesional docentes, calidad educativa*

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La Agencia de los Estados Unidos para el Desarrollo Internacional (USAID): Preámbulo

La Agencia de los Estados Unidos para el Desarrollo Internacional (USAID, por sus siglas en inglés) tiene entre sus objetivos mejorar el acceso a educación de calidad y mejorar los niveles de crecimiento económico y desarrollo social en el Altiplano Occidental de Guatemala, una región lingüística y culturalmente diversa. Para ello, brinda apoyo técnico al Ministerio de Educación y a otras entidades gubernamentales y no gubernamentales, mediante proyectos de política educativa. Adicionalmente implementa proyectos a nivel regional enfocados en lectura y formación técnica e inserción laboral de jóvenes. En este sentido el proyecto USAID Leer y Aprender (2014-2019) está apoyando al Ministerio de Educación en la implementación de diferentes estrategias orientadas al fortalecimiento del recurso humano educativo. El proyecto tiene cuatro metas principales: 1) mejorar las competencias lectoras de estudiantes en los grados iniciales de primaria, 2) fortalecer el desarrollo profesional docente, 3) incrementar el acceso equitativo a la educación, 4) mejorar las oportunidades educativas y laborales para jóvenes fuera de la escuela. Para cumplir con estos objetivos es fundamental mejorar el liderazgo y la formación del personal del Ministerio de Educación.

Guatemala tiene una gran diversidad cultural y lingüística con 25 idiomas nacionales. En este contexto tan diverso, si bien es cierto que se han hecho esfuerzos significativos en el área educativa, el país todavía enfrenta serios desafíos en términos de cobertura, principalmente en los niveles preprimario y secundario, así como en la calidad educativa. Según los datos del Ministerio de Educación para 2018, la tasa neta de participación en el nivel preescolar es solo del 52.57%, mientras que el nivel de la escuela primaria es del 77.94%. Desafortunadamente, la participación en el ciclo básico de secundaria es 43.24%, y en el ciclo diversificado de secundaria es 24.91% (Ministerio de Educación, 2019). En cuanto a la calidad educativa, la media nacional de los resultados de la evaluación de lectura en primer grado fue de 47.51% en 2010. En la prueba de Tercer grado en 2014 el logro nacional fue de 49.93% (Ministerio de Educación, 2016). Por tanto, los mayores retos que tiene el sistema educativo del país son brindar educación de calidad a la totalidad de población en edad escolar. Para esto se requiere una serie de condiciones referidas a la política e inversión educativa, que se traduzcan en recurso humano fortalecido y competente en metodologías apropiadas para el aprendizaje y desarrollo de los estudiantes, entre otros.

Este artículo presenta algunas de las acciones que los proyectos de USAID están realizando en apoyo al Ministerio de Educación para el fortalecimiento de capacidades docentes y de acompañamiento educativo, que favorezcan la calidad educativa.

I. Transformando la Formación y Desarrollo Docente

Existe un consenso generalizado en el que se reconoce al docente como elemento prioritario y determinante para llevar la reforma educativa al aula y, mejorar la calidad educativa de la población. Hasta hace apenas cuatro años se oficializó una política educativa para que los docentes de primaria tuvieran que asistir y egresar de programas de formación inicial a nivel universitario, ya que anteriormente la formación docente se realizaba a nivel de secundaria. En consecuencia, aunque algunos maestros se han inscrito voluntariamente en programas universitarios para actualizar sus conocimientos, un alto porcentaje, particularmente los que trabajan en las escuelas del nivel primario, solo tienen un título de secundaria y no han recibido ningún proceso de inducción al servicio y de acompañamiento en la práctica docente. A pesar de que algunos se han involucrado en programas universitarios de actualización docente, no ha sido establecido como un requisito para ejercer la docencia a nivel de la educación preprimaria y primaria.

Un modelo común en Guatemala es que los maestros viajen a un centro urbano para recibir, durante uno o dos días, talleres grupales de capacitación intensa sobre técnicas de enseñanza y luego regresen a sus respectivas escuelas para practicar lo que han aprendido. Desafortunadamente, la investigación demuestra que, en el mejor de los casos, solo del 5% de los maestros aplican lo aprendido en los talleres (Joyce & Showers, 2002). Por otro lado, cuando un formador de formadores, aún de forma esporádica, les modela a los maestros nuevas prácticas de enseñanza y luego ellos las practican en su aula y reciben retroalimentación inmediata, la percepción de los docentes es que su trabajo es valorado y su motivación aumenta para mejorar su práctica de enseñanza, elevando el grado promedio de implementación a aproximadamente 90-95% (Joyce & Showers, 2002). Sin embargo, estos porcentajes tan altos de implementación también dependen de formadores de formadores altamente calificados (Wise y Zwiers, 2013).

Las dificultades de acceso a las escuelas en las áreas rurales del país ha sido una limitante. Si bien han existido algunas experiencias en el país, principalmente en el área rural donde personal técnico visita a docentes y orienta en algunos aspectos en los que han sido previamente formados mediante talleres de capacitación, estas no han sido sistemáticas ni sostenibles.

Es por ello, que los proyectos de educación de USAID han enfocado sus esfuerzos en apoyar al Ministerio de Educación a implementar una política educativa que requiere la implementación de un mecanismo de liderazgo y fortalecimiento de capacidades de directores y maestros en las escuelas, mediante el acompañamiento pedagógico para mejorar el rendimiento académico de los estudiantes.

II. Cambio del paradigma: de control o supervisión a acompañamiento educativo

El Ministerio de Educación a lo largo de las últimas décadas ha mantenido un sistema de supervisión docente, creando diversos puestos de trabajo mediante los cuales se ha ejercido la función de supervisar o monitorear el trabajo de la escuela y del aula, enfocándose sobre todo en señalar el trabajo que el docente no hace o no hace bien. Según información proporcionada por algunos supervisores educativos y funcionarios ministeriales, se dedica aproximadamente 20 % a labores técnicas como visitar y orientar a docentes y directores escolares y entre el 70 y 80% a trabajos administrativos. En la medida que se concentren los esfuerzos en aspectos administrativos, se limita el tiempo para atender los temas relacionados con el aprendizaje de los estudiantes basados en buenas prácticas pedagógicas. Consecuentemente, los proyectos de educación de USAID coinciden con diversos autores en la urgente necesidad de cambiar la función que desempeñan y pasar de un modelo de inspección a un modelo de liderazgo que incluya formación y acompañamiento pedagógico a los docentes.

A partir de 2010, el Ministerio de Educación introdujo la formación de docentes mediante el Programa Académico de Desarrollo Profesional Docente (PADEP-D), implementado por la Universidad de San Carlos de Guatemala, el cual incluyó el componente de acompañamiento pedagógico a los docentes participantes. Datos recolectados por USAID/Reforma Educativa en el Aula en el Altiplano Occidental del país, en el año 2013, indican que hay un efecto positivo en el crecimiento de lectura en los estudiantes, cuyos docentes recibieron acompañamiento, mientras que las visitas de supervisión realizadas a los docentes por personal del Mineduc mostraron que el efecto fue negativo. De ahí, la importancia del cambio de paradigma enfocado en el acompañamiento y no en el control de la práctica docente.

Con base en esta investigación los proyectos de educación de USAID reconocen que los esfuerzos de formación y acompañamiento a directores y docentes tienen sentido únicamente si los mismos se reflejan en las prácticas docentes a nivel de aula y si resultan en la mejora del aprendizaje de los estudiantes. Esto ha significado un cambio de visión, en cuanto a que más que ser "supervisados o controlados" se requiere orientar y acompañar para mejorar las competencias de los docentes y estudiantes.

Con apoyo de consultores nacionales e internacionales se elaboró en 2006 la propuesta para rediseñar y fortalecer el sistema nacional de supervisión educativa, donde se sentaron las bases para una nueva conceptualización y abordaje de la supervisión educativa enfocados en liderazgo y acompañamiento educativo.

Sobre este sustento en 2010 los proyectos de USAID trabajaron conjuntamente con el Ministerio de Educación en el diseño del Sistema Nacional de Acompañamiento Educativo –Sinae-. Este sistema está orientado a proveer asesoría, coordinación y supervisión a los centros educativos, para mejorar los aprendizajes de los estudiantes, por medio de una estructura integrada por diferentes actores, que apoya a directores escolares, docentes y padres y madres de familia. Este sistema ha propuesto articular los diferentes niveles del sistema

educativo: local, distrital, departamental y central y lograr la coordinación estratégica y funcional del mismo.

En respuesta al Ministerio de Educación se desarrolló una propuesta con el apoyo de los proyectos de educación de USAID. Esta se desarrolló mediante un proceso participativo y diálogo entre autoridades ministeriales, direcciones ministeriales centrales y departamentales del Ministerio de Educación responsables de la gestión de la calidad y la entrega educativa, organizaciones sindicales de educación, representantes del Consejo Nacional de Educación, así como agencias de cooperación internacional y universidades.

En nuestras diversas experiencias de trabajo hemos encontrado que los docentes han abierto un poco más las puertas de sus aulas y reconocido que otras personas expertas en educación pueden entender su entorno y apoyarles a mejorar sus actividades en forma cercana. A la vez, consideramos que las autoridades, funcionarios y técnicos en educación han reconocido que ir a supervisar lo que hacen los docentes genera resistencia y muy pocos cambios en las prácticas docentes, mientras que se pueden lograr mejores resultados si se les apoya directamente en sus aulas, mediante la observación, el diálogo reflexivo y la orientación para el establecimiento de metas concretas que repercutan en el aprendizaje de sus estudiantes.

Es más, hemos notado que se han dado algunos cambios en la provisión de acompañamiento pedagógico, ya que en ciertos casos anecdóticos ya se incluye la reflexión sobre observaciones hechas a docentes y a estudiantes, así como resultados de evaluaciones. También hay algunas experiencias en donde el acompañante o docente experto modela una técnica de enseñanza dentro del aula del docente y posteriormente la aplica y el acompañante lo observa, para posteriormente reflexionar juntos al respecto; consideramos que esto permite que el trabajo sea más directo y colaborativo entre ambos.

Sin embargo, hemos enfrentado retos; por ejemplo, algunos acompañantes regresan a su rol de supervisión y quieren centrarse en señalar lo que los docentes no hacen o no tienen certeza en cómo orientarles para que ellos mismos establezcan metas de crecimiento profesional. Esto ha requerido una estrategia de dar "acompañamiento a los acompañantes pedagógicos", para también ellos, a través de un proceso de coaching y autoreflexión personal, se vayan fortaleciendo en el tema y orienten mejor a los docentes.

III. Reforma para una política nacional de acompañamiento educativo

Con el apoyo técnico del Programa de Apoyo a la Calidad Educativa –PACE– de la Cooperación Internacional Alemana –GIZ– y de nuestro proyecto USAID/Reforma Educativa en el Aula, el Ministerio de Educación realizó en 2011-2012 la implementación piloto del SINAE en municipios seleccionados de siete departamentos del país. El pilotaje consistió en: (a) formar a recurso humano de las Direcciones Departamentales de Educación, (b) formar a los acompañantes pedagógicos, (c) hacer un diagnóstico escolar, (d) validar instrumentos y manuales

desarrollados para ejercer la función de acompañamiento, (e) brindar acompañamiento escolar a docentes de primaria. Este pilotaje permitió obtener resultados para mejorar la propuesta sobre la estructura organizativa del sistema, la participación de la comunidad educativa, el desarrollo de estrategias de acompañamiento escolar dirigidas a directores y docentes, la validación de metodologías e instrumentos (frecuencia de visitas, orientaciones para realizar intercambios entre el acompañante y el docente, involucramiento del director escolar, entre otras).

Con base en la experiencia piloto se estableció en 2013 la estrategia de implementación del Sinae que abarcó varios aspectos claves: (a) implementación a realizarse en tres fases priorizando las áreas con mayor rezago educativo; (b) selección de personal calificado y desarrollo de competencias específicas; (c) conocimiento profundo de los distritos escolares y planificación del abordaje; (d) formación continua del recurso humano mediante plan estratégico de formación, planes anuales y trabajo grupal colaborativo; (e) el trabajo conjunto entre los diferentes niveles del sistema educativo; y (f) disponibilidad presupuestaria para asegurar la implementación del sistema (Ajcabul, Marcelino, Sontay, & Estrada, 2014).

Desde 2017, el Ministerio de Educación ha iniciado la implementación del Sinae con el apoyo del Proyecto Leer y Aprender de USAID, presentando una nueva estrategia para el desarrollo profesional de los docentes en servicio. Al mismo tiempo, un número cada vez mayor de programas de formación docente promovidos por universidades, ONG, fundaciones y agencias de cooperación internacional incluyen el acompañamiento pedagógico en sus programas de desarrollo profesional. Además, el tema ahora forma parte de las agendas educativas de diferentes sectores y puede conducir a la creación de una cultura educativa de liderazgo y formación que favorezca la implementación de metodologías actualizadas y efectivas para la enseñanza y la evaluación del aprendizaje, Que a la vez, incluya las mejores prácticas de gestión de la escuela y el aula, entre otros cambios positivos y necesarios, para mejorar el crecimiento económico y social del país.

IV. Reforma para una política nacional de acompañamiento educativo

En los últimos años, el tema de acompañamiento pedagógico ha permeado diferentes niveles del sistema educativo y ha sido valorado como una acción prioritaria para mejorar las prácticas docentes y el rendimiento académico. La actual administración del Ministerio de Educación ha incorporado al Sinae como una de las líneas de acción estratégicas dentro del Plan Estratégico Plurianual para 2016-2020.

Mientras tanto, se ha demostrado que es necesario fortalecer las capacidades de todos los educadores a cargo del desarrollo docente y la necesidad de desarrollar, en el corto plazo, líderes que promuevan e implementen efectivamente el Sinae. También se ha evidenciado la necesidad de que este tipo de programas sea facilitado por expertos en esta área, de un trabajo continuo en la implementación del acompañamiento educativo y de instrumentos y protocolos de apoyo. En este contexto, el proyecto ha apoyado en el desarrollo de programas

de formación en liderazgo para el acompañamiento educativo a nivel universitario dirigidos a personal técnico que labora en el Ministerio de Educación. Como resultado se cuenta con más de 250 profesionales graduados a nivel de posgrado y maestría. Vinculado a esto otras entidades han desarrollado cursos de acompañamiento educativo a nivel universitario.

V. Retos para la implementación de un sistema de acompañamiento educativo

Desde el punto de vista del Proyecto Leer y Aprender de USAID existe viabilidad para institucionalizar y operacionalizar el Sinae en el país, pero se requiere realizar un esfuerzo continuado y sistemático para propiciar los cambios necesarios. Estos retos incluyen:

- Institucionalización del acompañamiento educativo como parte sustantiva del sistema educativo, que requiere de las previsiones administrativas y financieras correspondientes, y de la voluntad política y liderazgo del Mineduc y de los diferentes actores y tomadores de decisiones involucrados.
- Promoción del liderazgo de los actores involucrados a nivel de aula, de escuela, de comunidad educativa con un enfoque hacia la mejora de la calidad educativa y del aprendizaje de los estudiantes.
- Cambios en la organización interna del Ministerio de Educación para dar cabida al sistema de acompañamiento educativo a nivel nacional, regional y/o distrital.
- Establecimiento de los enfoques de acompañamiento educativo con base en: (a) diferentes oportunidades de aprendizaje existentes en la escuela: infraestructura, servicios como electricidad, agua, teléfono, internet, disponibilidad de libros de texto y otros recursos educativos para estudiantes y docentes, cantidad de estudiantes por docente, (b) niveles educativos (preprimaria, primaria, y secundaria), (c) áreas curriculares, y (d) formación académica de los docentes.
- Operativización del sistema a nivel de escuela que requiere considerar varios factores, entre estos: idioma o idiomas de enseñanza y de la región, condiciones geográficas tales como distancia y transporte para llegar a la escuela, tamaño de la escuela (número de directores, docentes y alumnos), entre otros.
- Participación activa de los directores escolares como acompañantes pedagógicos, para lo que se necesita establecer una nueva normativa relacionada con su nombramiento y permanencia en este puesto.
- Promoción de un aprendizaje permanente en liderazgo y acompañamiento educativo, que responda a las necesidades cambiantes de directores, docentes y estudiantes, lo cual requiere de programas de desarrollo profesional en estos temas, que esté vinculado con un sistema nacional de formación del recurso humano educativo.

Comentarios finales

Los esfuerzos para mejorar el sistema educativo en el Altiplano Occidental de Guatemala han sido objeto de atención por parte de USAID durante décadas. Al trabajar directamente con el Ministerio de Educación para

promulgar políticas educativas y un plan estratégico, y a través de proyectos, la USAID ha identificado que la mejor forma de fortalecer la calidad del sistema educativo del país es fortalecer su recurso humano, reemplazando el modelo de supervisión con un modelo de acompañamiento pedagógico para brindar apoyo directo a directores y maestros. El modelo de liderazgo y coaching pedagógico tiene como objetivo fortalecer a los maestros y directores como líderes educativos al brindarles la oportunidad de reflexionar sobre su práctica profesional y capacitarlos para que se apropien de su aprendizaje y los procesos de desarrollo profesional con base en un ciclo de mejora continua. A nivel escolar, la implementación de este modelo está comenzando a dar resultados positivos en la práctica pedagógica de los docentes; sin embargo, aún se necesitan esfuerzos significativos. La participación de los directores departamentales de educación será imprescindible para garantizar que el modelo se implemente completa y exitosamente para obtener los máximos beneficios. Esto también requerirá que las partes interesadas en varios niveles reconozcan y aprovechen su potencial para mejorar la calidad de la educación y ampliar su implementación en contextos bilingües y multiculturales, tanto en áreas urbanas como rurales del país. Para garantizar la sostenibilidad de la formación dentro de estas áreas, las universidades deben continuar apoyando al personal dentro del campo de la educación.

Biografías del Autor

M.A. Gabriela Núñez

Gabriela Núñez, M.A., tiene más de 25 años de experiencia trabajando en proyectos de educación y género con organizaciones de cooperación internacional y entidades gubernamentales en Guatemala en puestos de alto nivel, incluyendo al nivel de ministro y al nivel ejecutivo. Brindó asistencia técnica y coordinación interinstitucional en actividades de diálogo, diseño, implementación y evaluación educativa.

Email: mgnunezp@gmail.com

La Dra. Sophia Maldonado Bode

La Dra. Sophia Maldonado Bode es Asesora Superior de Educación en Juárez & Asociados Inc. Ha liderado procesos de asistencia técnica para programas de cooperación internacional durante 15 años y ha trabajado con entidades y líderes gubernamentales para promover reformas en el sistema educativo nacional de Guatemala.

Email: mgnunezp@gmail.com | SophiaMBode@gmail.com

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REFLECTIVE ESSAY

Transforming Education Through Instructional Coaching in the Mayan Highlands of Guatemala: A Historical Introspection on Policy, Practice and Educational Transformation

Gabriela Núñez, M.A. and Dr. Sophia Maldonado Bode

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Abstract

Significant efforts have been made to improve the educational system in the Western Highlands of Guatemala to foster economic growth and social development in the country. However, given the country's linguistic and cultural diversity, challenges in terms of coverage and quality of education persist. Inadequate teacher preparation training and the absence of an induction for new teachers and a pedagogical coaching system for all teachers are some of the impeding factors. The U.S. Agency for International Development (USAID) has executed targeted educational projects to support the National Ministry of Education in strengthening the human capital in education. A transformative pedagogical leadership and coaching model was developed that focuses efforts from an oversight system to a mentoring system that strengthens leadership and the capacities of teachers in the application of innovative methodologies that contribute to educational improvement. This model allows for a continuous cycle of improvement to teaching by providing teachers with feedback on teaching practices in the classroom and opportunities for teachers to self-reflect and be empowered in their own learning process and professional growth. This approach has shown positive effects with respect to teaching practices at the school level; however, additional measures are required to gain the support of stakeholders to expand its implementation to bilingual and multicultural contexts to maximize the country's potential to improve the quality of education.

Keywords: *instructional coaching, education policy, teachers' professional development, quality education*
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The U.S. Agency for International Development (USAID): Preamble

The U.S. Agency for International Development (USAID) works to advance access to quality education as a mechanism for fostering economic growth and social development in the Western Highlands of Guatemala, a culturally and linguistically diverse region with 25 national languages. To achieve this, USAID provides technical support to the Ministry of Education and other governmental and non-governmental organizations on the execution of several educational projects aimed at improving literacies, technical training, and job placement for the region's youth. One of these projects, the USAID Lifelong Learning Project (2014-2019), aimed to support the implemen-

tation of professional development programs. The project had four distinct goals, which included: (1) improve reading competencies of students in primary school, (2) strengthen the professional development provided to teachers, (3) increase equitable access to education, and (4) improve education and employment opportunities for youth outside of school. Central to meeting these goals is improving the leadership and coaching of the Ministry of Education personnel.

While significant efforts have been made to meet the goals of the project, the country still faces serious challenges in terms of participation and quality, mainly at the preschool and secondary education levels. According to the Ministry of Education data for 2018, the net rate of participation at the preschool level is only 52.57%, while the primary school level is 77.94%. Unfortunately, participation at the lower secondary level drops below the preschool level at 43.24%, and upper secondary level drops even further at 24.91% (Ministry of Education, 2019). In terms of quality, the biggest challenge the country´s educational system faces is providing a quality education to the entire school-age population given Guatemala's cultural and linguistic diversity. Consequently, the national reading test average for the first grade in 2010 was 47.51%. Four years later, in 2014, the national reading test average for the third grade was 49.93% (Ministry of Education, 2016). To improve this, a series of conditions linked to educational leadership, policies, and investments are required, if they are to translate into strengthened school personnel that are competent in the effective methodologies that contribute to the learning and development of diverse students.

This article presents some of the actions currently being executed by USAID's projects to support the Ministry of Education's efforts to strengthen the capacities of teachers through instructional coaching to improve the quality of education.

I. Transforming Teacher Preparation and Development

There is a consensus that the teacher is a critical and determinant element of educational reform and quality classroom instruction. Previously, Guatemalan policy only required teachers to have a high school-level education and offered no induction process or academic coaching to support new teachers. Consequently, although some teachers have voluntarily enrolled in university programs to update their knowledge, a high percentage of the country's teachers, particularly those working at primary schools, only have a high school diploma and receive no induction support. Understanding that both limitations serve as impediments to education quality, official policy was enacted four years ago requiring all primary teachers to attend and complete university-level teacher training programs.

A common model of staff development and teacher training in Guatemala entails teachers traveling to an urban center for large group training workshops where they receive one to two days of intense training using the latest teaching techniques before returning to their respective schools to practice what they have learned. Unfortu-

nately, research demonstrates that the average degree of implementation of new teachers using this model is only 5% at best (Joyce & Showers, 2002). On the other hand, when new teaching practices are demonstrated to teachers by a coach and then practiced in their classroom with immediate feedback, even sporadically, the perception of the teachers is that their work is valued and increases their motivation to improve their teaching practice, raising the average degree of implementation to approximately 90-95% (Joyce & Showers, 2002). However, such high percentages of implementation also depend on highly skilled instructional coaches (Wise & Zwiers, 2013).

In the rural areas of Guatemala, where technical staff visit the teachers and provide guidance based on the training they received at workshops, these practices have neither been systematic nor sustainable. The difficulties related to education access in these areas have deterred specialized personnel from the Ministry of Education from visiting and providing coaching to principals and teachers at rural schools. This has prompted the USAID's education projects to support the Ministry of Education to propose an educational policy that requires the implementation of a leadership and pedagogical coaching mechanism, in situ, with a coach to strengthen the induction, professional development processes, and ultimately the capacities of principals and teachers in the classrooms to improve academic performance.

II. Paradigmatic Change from Supervisory Control to Instructional Coaching

Throughout the last decades, the Ministry of Education has maintained a teacher supervision system whereby they have created various work positions to monitor the work at the school level and in the classroom; however, this system is primarily exercised when schools or teachers are not doing well. According to the information provided by some education supervisors and Ministry of Education staff, approximately 20% of their time is designated to technical tasks like visiting and providing guidance to teachers and school principals, while 70% to 80% is dedicated to administrative tasks. With the concentration of efforts going to administrative aspects, there is limited time to address issues related to student learning based on best pedagogical practices. Consequently, the USAID's education projects concur with several scholars that there is an urgent need to change the functions they perform from a model of oversight to a leadership model consisting of training, support, and instructional coaching of teachers.

In 2010, the Ministry of Education introduced a teacher training model through a program called "Academic Program for Professional Development of Teachers (PADEP-D)" that was implemented by the San Carlos University of Guatemala and included a pedagogical coaching component for participating teachers. In 2013, data collected in the Western Highlands of the country by USAID's Education Reform in the Classroom indicated that there is a positive effect between teachers who received coaching and student literacy, while inspection-based supervision visits carried out by Ministry of Education staff showed a negative effect. Hence, a paradigmatic shift from a supervisory model to a coaching model is warranted.

Based on this research, USAID's education projects understand that the efforts to provide training and coaching to principals and teachers makes sense only if these efforts are reflected in the practices applied by the teachers in the classroom and translate to academic improvements in student learning. This has transformed the vision of teaching and learning in the country of Guatemala from a "supervision and control" model to a "guidance and coaching" model to improve the competencies of teachers and their students.

In 2006, with the support of national and international consultants, a proposal was developed to redesign and strengthen the national system for educational supervision. This proposal served as the foundation for a transformative conceptualization to address educational supervision and improve educational quality by focusing on leadership and instructional coaching.

Based on that proposal, in 2010 USAID's education projects collaborated with the Ministry of Education to design a National System for School Coaching – SINAE (name in Spanish). This system focuses on providing advisory services, coordination, and supervision to the country's education centers to improve teaching and learning using an integrated approach involving different personnel to support school principals, teachers, and parents. This system proposes to articulate the distinct levels that comprise the educational system – local, district, departmental – and is central to achieving strategic and functional coordination. In response to the Ministry of Education, a proposal was developed with the support of the USAID's education projects. A participative process and ample dialogue were conducted between central and departmental directorates, education unions, and representatives to the National Education Council, as well as working in cooperation with international agencies and universities.

In our work experience, USAID's education projects have discovered that teachers are opening the doors to their classrooms and recognizing that other education experts may understand their context and provide support to help them improve their craft. At the same time, USAID's education projects believe that the authorities, officials and technical staff working on education have come to accept that supervising teachers generates resistance and results in very little change in teaching practices. Instead, USAID's education projects believe that directly supporting teachers in the classroom via observation, thoughtful reflection, dialogue and guidance in the establishment of concrete goals in the classroom has a greater impact on students.

The USAID's education projects have seen real changes now that pedagogical coaching has been added. These changes are a result of reflections/remarks of both teachers and students and test scores. There are some experiences in which the academic coach models a teaching technique within the teacher's classroom. The teacher applies it while the coach observes, and then they reflect on it together. The USAID's education projects feel this fosters a closer and more collaborative approach to the professional development of teachers.

However, USAID's education projects have experienced some challenges to this implementation. For example,

some coaches are reluctant to completely rid themselves of their supervisory roles and continue to focus on identifying what the teachers are not doing or are uncertain of how to guide them to establish their own professional development goals. This has required a strategy for the provision of "coaching to the pedagogical coaches" to strengthen the guidance provided by means of a personal coaching and self-reflection process.

III. National Reform for a National Instructional Coaching Policy

In 2011-2012, with technical support from the Support Program for Quality of Education (PACE) of the German International Cooperation (GIZ) and the USAID Education Reform in the Classroom project, the Ministry of Education piloted the SINAE project in chosen municipalities in seven areas of the country. The pilot project consisted of the following objectives: (a) train personnel within the Department of Education, (b) train pedagogical coaches, (c) construct a school diagnostic model, (d) validate the instruments and handbooks developed to exercise the coaching function, and (e) provide school coaching to primary teachers. This pilot project informed further improvements on the organizational structure of the system, the participation of the education community, and the development of school coaching strategies for principals and teachers (i.e., frequency of visits, guidance for exchanges between the coach and the teacher, the involvement of the school principal, etc.).

Based on the pilot experience, in 2013 the strategy for implementation of SINAE was finalized and included the following key aspects: (a) implementation in three phases, prioritizing the areas with a larger educational gap; (b) selection of qualified staff and development of specific competencies; (c) deep knowledge of the school districts and planning of how to approach each one; (d) continuous training of personnel by means of a strategic training plan, annual reflections and collaborative group work; (e) collaboration between the different levels of the educational system, and (f) annual budgeting to ensure funds are available to implement the system (Ajcabul, Marcelino, Sontay, & Estrada, 2014).

Since 2017, the Ministry of Education has initiated the SINAE´s implementation with the support of the USAID Lifelong Learning Project introducing a new strategy for in-service teachers' professional development. At the same time, an ever-increasing number of teacher training programs promoted by universities, NGOs and foundations, and international cooperation agencies include direct coaching in their professional development programs. Furthermore, the issue is now part of the education agendas of different sectors and potentially may lead to the creation of an educational leadership and coaching culture that favors the implementation of updated and effective methodologies for teaching and assessing learning that includes best school and classroom management practices, among other positive and needed changes, to improve economic and social growth in the country.

IV. Specialized Training on Instructional Coaching

In recent years, the issue of pedagogical coaching has permeated different levels of the educational system and has been valued as a priority action to improve teacher practices and academic performance. The current Ministry of Education Administration has incorporated SINAE as one of the strategic action lines within the Multi-Year Strategic Plan for 2016-2020.

Meanwhile, the USAID´s Lifelong Learning Project has proven that it is necessary to strengthen the capacities of all educators in charge of teacher development and in the short term to develop leaders that will effectively promote and implement the SINAE. In this context, the project has participated in the development of training programs on leadership for instructional coaching at the post-graduate and master's levels, especially addressed to technical staff employed at the Ministry of Education. Linked to this, other entities have developed instructional coaching courses at the university level. There is a need for these types of programs that facilitate teacher development with experts in this area.

One of USAID´s education projects have resulted in more than 250 graduates with post-graduate-level degrees, with a specialization in leadership and instructional coaching. At the same time, continued work on the implementation of instructional coaching and support protocols are needed.

V. Challenges to Implementation of an Instructional Coaching System

It is USAID´s Lifelong Learning Project opinion that it is feasible to institutionalize and make the SINAE operational in the country but requires that a national system for educational coaching continues. There are challenges that the Ministry of Education still needs to address to transform the processes initiated into an education policy on a national scope. These challenges include:

- Institutionalization of instructional coaching as a central component of the educational system, which requires administrative and financial provisions, and continued political will and leadership by the Ministry of Education and the different stakeholders and decision-makers involved.
- Promotion of leadership by all stakeholders involved at the classroom, school and community levels, with a focus on improving teaching and the quality of education.
- Organizational changes in the Ministry of Education to embrace the instructional coaching system at a national, regional and/or district level.

- Establishment of instructional coaching approaches based on: (a) the different learning opportunities available at school: infrastructure, electrical services, water, telephone, internet, availability of textbooks and other academic resources for students and teachers, and appropriate student-teacher ratios, (b) education levels (pre-school, elementary school and secondary school), (c) curricular areas, and (d) teacher professional development.
- The operation of the system at the school level requires the consideration of several factors, including the language of the region or teaching language, geographic conditions such as distance and means of transportation to reach the school, size of the school (i.e., number of principals, teachers, and students), among other factors.
- Active participation of school principals as pedagogical coaches, which means the implementation of new rules for their appointments and permanence in their positions.
- Promotion of permanent learning on leadership and instructional coaching in response to the changing needs of principals, teachers, and students through professional development programs in these areas that are linked to a national training system for education personnel.

Final Comments

The efforts to improve the educational system in the Western Highlands of Guatemala has been a focus of USAID for decades. By working directly with the Ministry of Education to enact educational policies and a strategic plan, and through focused projects, the USAID has identified that the best way to strengthen the quality of the country's educational system is to strengthen its human capital by replacing the supervision model with a pedagogical coaching model that provides direct support to principals and teachers. The leadership and pedagogical coaching model aim to strengthen teachers and principals as educational leaders by providing teachers with the opportunity to reflect on their professional practice and empower them to take ownership of their learning, and professional growth processes based on a cycle of continuous improvement. At the school level, the implementation of this model is beginning to indicate positive results in teachers' pedagogical practice; however, significant efforts are still necessary. Participation from the directors of education departments will be imperative to ensure the model is fully and successfully implemented for maximum benefits. This will also require stakeholders at various levels to recognize and take advantage of their potential to improve the quality of education and expand its implementation in bilingual and multicultural contexts, both in urban and rural areas of the country. To ensure the sustainability of training within these areas, universities must continue to support personnel within the field of education.

Author Bios

M.A. Gabriela Núñez has over 25 years of experience working in education and gender projects with international cooperation organizations and government entities in Guatemala in senior positions, including Minister and Executive level. She has provided technical assistance and inter-institutional coordination in policy dialogue, design, implementation and evaluation activities.

Email: mgnunezp@gmail.com

Dr. Sophia Maldonado Bode is a Senior Education Advisor in Juárez & Associates Inc. She has been leading technical assistance processes for international cooperation programs for 15 years and working with government entities and key actors to promote reforms in Guatemala national education system.

Email: smaldonado@juarezassociates.com | SophiaMBode@gmail.com

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POLICY BRIEF

Human Resources Special Education Teacher Recruitment: Utilizing Grow Your Own

Meredith Galloway, *Ed.D. student, California State University, Sacramento*

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Abstract

This article seeks to analyze the implementation process of a Grow-Your-Own (GYO) model to address special education certified teacher recruitment and retention. Though rooted in California, the needs articulated here are generalizable throughout the U.S. It addresses human resources managers who may seek to implement a GYO model for teacher recruitment at the site level. By leveraging national and state databases, well-respected research, and several qualitative interviews with those currently overseeing a GYO model, the article answers: a) what persistent gaps in special education teacher pipelines and equity outcomes currently exist, b) why GYO models meet these unique challenges, and c) how Leader-Member Exchange Theory can aid implementation of GYO modeling at the site level.

The author concludes with several key recommendations for districts, and specifically HR managers among them: 1) *Recognize the need for long-term planning and conduct needs analysis with current staff.* 2) *Develop capacity through culture and strategic partnering including grant funds-seeking,* and 3) *shadow current successful programs.*

Keywords: *Teacher Recruitment, Grow Your Own Models, Special Education*

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Introduction

In 2016, California Superintendent of Public Instruction Tom Torlakson addressed the state Board of Education with a problem: On average, inexperienced/uncertified teachers primarily serve poor and minority students. The converse – White and relatively affluent students experience well-trained and seasoned teachers – was also true (California Department of Ed., 2016). Torlakson positions teacher preparation and retention as an equity issue for student success, a lens which this brief adopts while discussing how Grow-Your-Own Models can address a chronic shortage of highly qualified special education teachers.

This article analyzes the implementation of a Grow-Your-Own (GYO) model to address special education certified teacher recruitment and retention. More specifically, it serves as a human resources model for: a) what gaps in special education teacher pipelines and equity outcomes exist, b) why GYO models meet these unique challenges, c) which theory of leadership/motivation best applies to GYO, and d) how GYO modeling works. Though various recruitment models exist which are termed "Grow-Your-Own," this brief will limit its definition and discussion to site-originated models whereby paraprofessional staff (often termed "teachers' aids" or "classified paraprofessionals") are mentored and trained to become credentialed special education teachers (Valenzuela, 2017). Furthermore, while this brief utilizes Leader-Member Exchange Theory (LMX) to propose how GYO can address both school staffing and student outcome disparities, the author supplements theory with primary interviewing of two HR staff currently implementing GYO at the district level in Northern California.

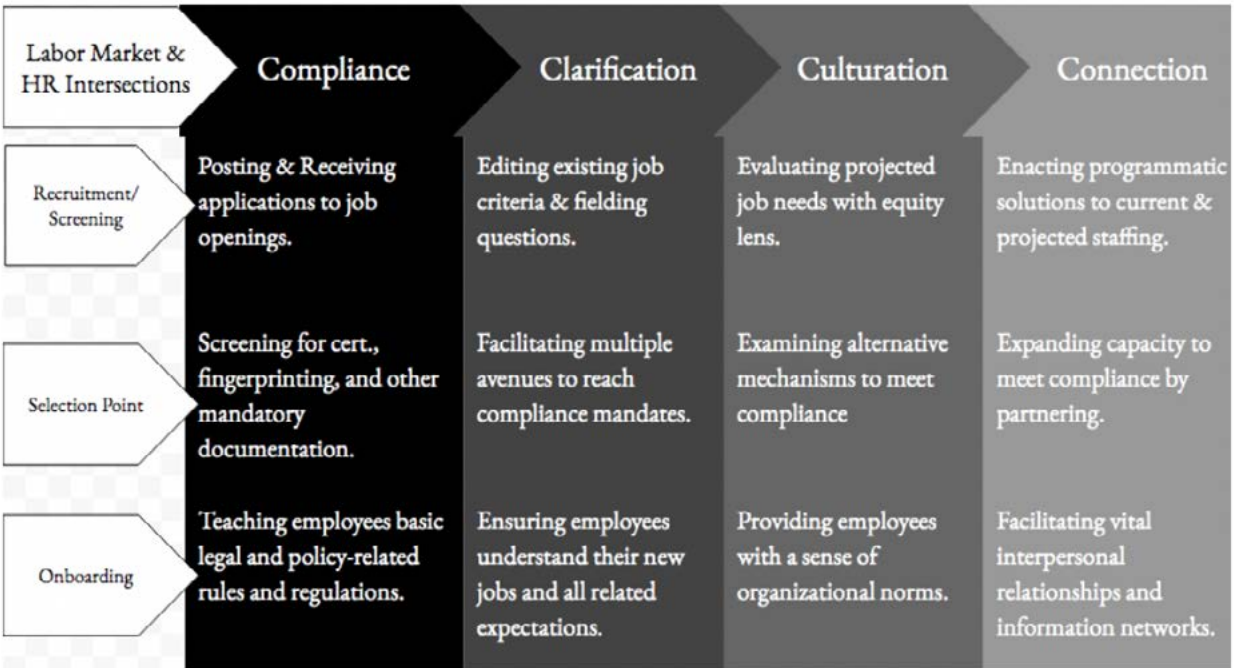
Human Resources Departments and Staff Recruiting

One of the key roles human resources (HR) personnel play in school districts is the recruitment of skilled staff and the strategic planning of future staffing needs (Webb & Norton, 2013). Nationally, 16% of K-12 teachers turn over each year, leaving a site-level vacancy that often must be filled (*NCES School and Staffing Survey, 2013*) to meet capacity demands. Additionally, research supports that high-quality teachers are the most influential determinant of student success (Rivkin, Hanushek, & Kain, 2005) and future earnings (Chetty et. al., 2011). In the last decade, increasing K-12 populations (U.S. Dept. of Ed., 2015) and class size reductions (U.S. Dept. of Ed., 2004) contributed to growing workforce shortages, which are projected to expand further (Hussar & Bailey, 2014).

However, a 2015 Center for American Progress survey of a nationally representative national sample of 200 school districts reveals that human resources recruitment practices are often hyperlocal, untargeted, and lack strategic diversity mechanisms (Konoske, Partelow, & Benner, 2016). This misalignment of supply/demand and HR strategy often results in teacher and administrative staffing shortages and an over-reliance on inexperienced, uncertified teachers, especially in high-poverty and high-minority schools (Ingersoll & Merrill, 2010).

Though human resources departments are often mired in the complexities of compliance, best practices in human resources leadership necessitates moving beyond a compliance or reactionary role to proactive forecasting (Webb & Norton, 2013). The Society for Human Resource Management (SHRM) posits a theoretical framework of this shift in its "4 C's Model" which the author has adapted in Figure 1. The model advances the theory that recruitment/selection of new staff and induction/onboarding should be viewed as one continuum (Bauer, 2004). Therefore, SHRM posits that though compliance lenses provide critical functions within an organization, moving HR staff beyond mere compliance to fostering staff acculturation and connection yields lasting benefits through improved collegiality (Runhaar, Konermann, & Sanders, 2013) and reduced attrition rates (College Board, 2006; McCullom, 2011). Therefore, the author will build on the "4 C's Model" later when clarifying the role for HR in implementing GYO models.

Figure 1: 4 C's of Human Resources in Recruitment, Selection and Onboarding New Employees



Adapted from Bauer, T. (2004). Onboarding New Employees: Maximizing Success. SHRM Publications

The Problem: Persistent Gaps in Special Education Teacher Pipelines and Student Equity

Chronic need for special education teachers. Though teacher shortages are much-discussed in the popular press, districts – and requisite HR personnel – experience staffing challenges incongruently by region, by school demographics, and by teacher certification area (Feng & Sass, 2013). Table 1 (Appendix A) illustrates the percentage of schools reporting vacancies they were unable or found very difficult to fill (NCES, 2016). Though only 9.1% of schools report difficulty recruiting elementary teachers, more than **triple** that amount relay difficulty staffing special education positions. Furthermore, staffing provision disparities increase with concentrations of student poverty. Just shy of one-third of all schools serving high-poverty populations document being very challenged or unable to fill special education positions. The American Association for Employment in Education (AAEE) echoes these findings in its teacher supply/demand assessment (see Figure 2). Across **all** U.S. regions, AAEE reports some or considerable shortages in the special education teacher preparation pipeline.

Figure 2: AAEE's Teacher Supply and Demand, by Region, 2016-17

Elem./ Middle	Pre-K Education	3.42	3.67	3.75	3.48	2.91	3.32	3.00	2.51	3.00	4.67	3.19
	Kindergarten/Primary Education	3.39	3.63	2.58	2.78	2.85	3.18	2.63	2.04	2.00	3.00	2.85
	Intermediate Education	3.38	3.79	2.82	2.64	3.22	3.43	2.81	2.56	2.50	3.25	3.12
	Middle School Education	3.72	3.93	3.64	3.35	3.54	3.90	3.21	3.17	3.00	3.50	3.55
Adm.	Elementary Principal	3.31	3.24	3.53	3.23	3.30	3.04	3.38	3.13	4.50	2.67	3.22
	Middle School Principal	3.31	3.35	3.80	3.35	3.50	3.24	3.57	3.31	5.00	3.33	3.39
	High School Principal	3.31	3.45	3.93	3.45	3.61	3.39	3.80	3.52	5.00	3.33	3.53
Special Education	Multicategorical Special Education	4.64	4.40	4.50	4.55	4.43	4.60	4.31	4.29	4.25	5.00	4.45
	Dual Cert (General & Special Ed.)	4.33	4.52	4.56	4.21	4.55	4.43	4.10	3.87	4.33	4.33	4.27
	Early Childhood Special Education	4.57	4.29	4.80	4.38	4.18	4.48	4.23	3.62	4.67	4.67	4.23
	Emotion/Behavioral Disorders Sp. Ed.	4.62	4.58	4.86	4.65	4.57	4.59	4.50	4.25	4.67	4.67	4.55
	Hearing Impaired Special Education	4.79	4.43	4.62	4.75	4.53	4.66	4.29	4.47	5.00	4.33	4.54
	Learning Disability Special Education	4.54	4.38	4.46	4.40	4.27	4.50	4.12	3.94	4.33	4.00	4.31
	Cognitive Disabilities Special Ed.	4.69	4.38	4.62	4.44	4.33	4.56	4.13	4.09	5.00	4.00	4.38
	Mild/Moderate Disabilities Sp. Ed.	4.62	4.37	4.38	4.33	4.38	4.46	4.20	4.03	4.25	4.00	4.32
	Severe/Profound Disabilities Sp. Ed.	4.71	4.58	4.71	4.78	4.63	4.73	4.43	4.41	4.67	4.67	4.61

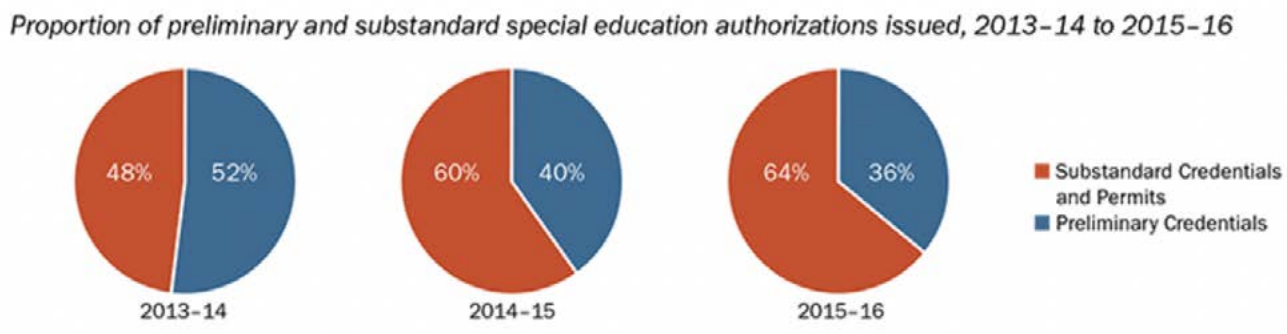
Considerable shortage (4.21 – 5.00)	Some shortage (3.41 – 4.20)	Balanced (2.61 – 3.40)	Some surplus (1.81 – 2.60)	Considerable surplus (1.00 – 1.80)

Source: American Association for Employment in Education (2017). Educator Supply and Demand Report.

In California, the supply gap of highly qualified special education teachers is acute and growing (See Figure 3). According to the California Commission on Teacher Credentialing, special education substandard and emergency teaching permits nearly doubled between 2011 and 2016 (Carver-Thomas & Darling-Hammond, 2017). Over the same time period, preliminary highly qualified credentialing dropped by nearly 30%. These trends correlate with and are perhaps partially driven by an increase in students identified for special education services.

Table 2 (see Appendix B) traces the reported special education enrollment from the first authorization of the Individuals with Disabilities Act (1975) to the most recently available year. Trends demonstrate a sharp uptick from 1976 to 2001 which plateaus or diminishes to the present (NCES, 2017). Research notes that, in addition to the labor market under-producing special education teachers (McLeskey, Tyler, & Saunders Flippin, 2004), long-term filling of special education teaching positions is even more complex as these teachers are at high attrition risk through burnout (Brunsting, Sreckovic, & Lane, 2014).

Figure 3: Longitudinal Trends in CA Special Educator Teacher Credentialing



Source: California Commission on Teacher Credentialing (2016).

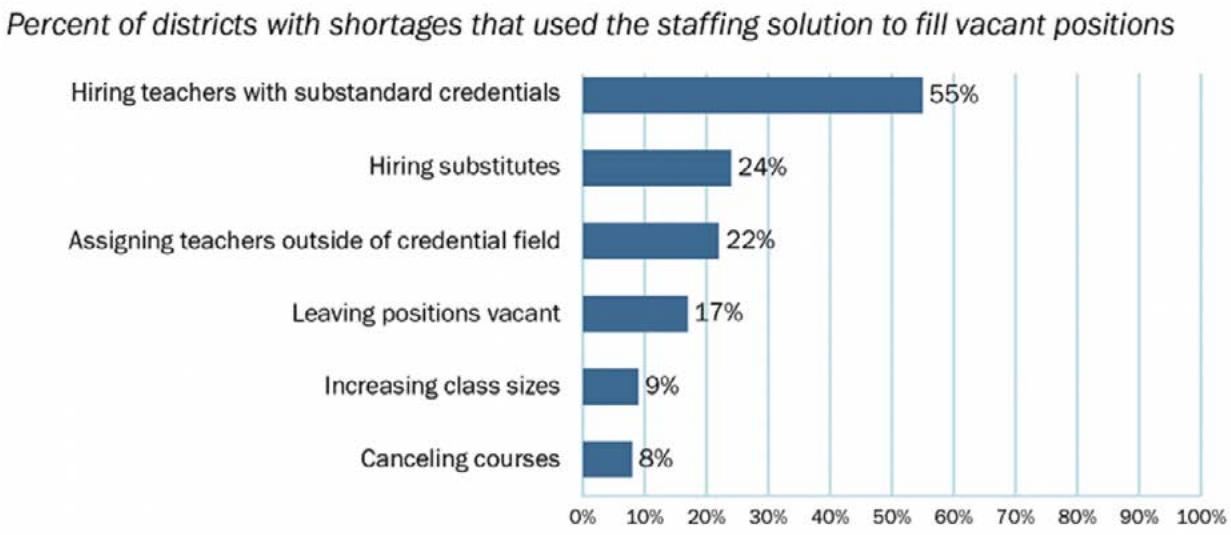
Equity issues within special education. In addition to staffing challenges, HR managers willing to apply an equity lens must confront three additional complexities: 1) Special education teachers are concentrated in low-poverty schools and are often White (Table 3, Appendix C); 2) African American and Native American students are over-represented in special education (Table 4, Appendix D); and 3) All persons of color who receive special education services except those who identify as Asian are less likely to receive a regular education diploma than their White peers (see Table 5, Appendix E).

Therefore, though certain minorities are overrepresented in special education, their outcomes are much bleaker: 21.2% of African American and 18.5% of Latinx special education students exit school without receiving a diploma. In contrast, only 14.5% of White and 7.6% of Asian counterparts do so (Table 5, Appendix E). Though this may be partially explained through disability type (Table 4, Appendix D), primary research supports persons of color experience a "double stigmatizing" (Craft & Howley, 2018) and that access to teachers of color can mitigate this stigmatizing effect (Milner, Pearman, & McGee, 2013; Matias, 2016).

The Research: Why Grow-Your-Own Models Meet Unique Challenges

What are districts doing now? K-12 districts face steep challenges in staffing special education classrooms with highly qualified teachers and in generating equitable special education outcomes. Eighty-eight percent of California districts who face special education teaching shortages report currently filling them with persons holding either substandard or no credential (See Figure 4; Podolsky & Sutcher, 2016). Interview conversations conducted with two Sacramento-area HR personnel indicate the region's schools respond similarly. One explained, "We may know the person isn't the best fit, and the placement is always a challenge. But we're tied by the number of students we have to serve. Ultimately, we've been using [interns] more than we like. That's part of what's driving us to look for other solutions here" (Personal Communication, 6 June 2019).

Figure 4: CA Respondents to Strategies Used to Fill Hard to Staff Positions



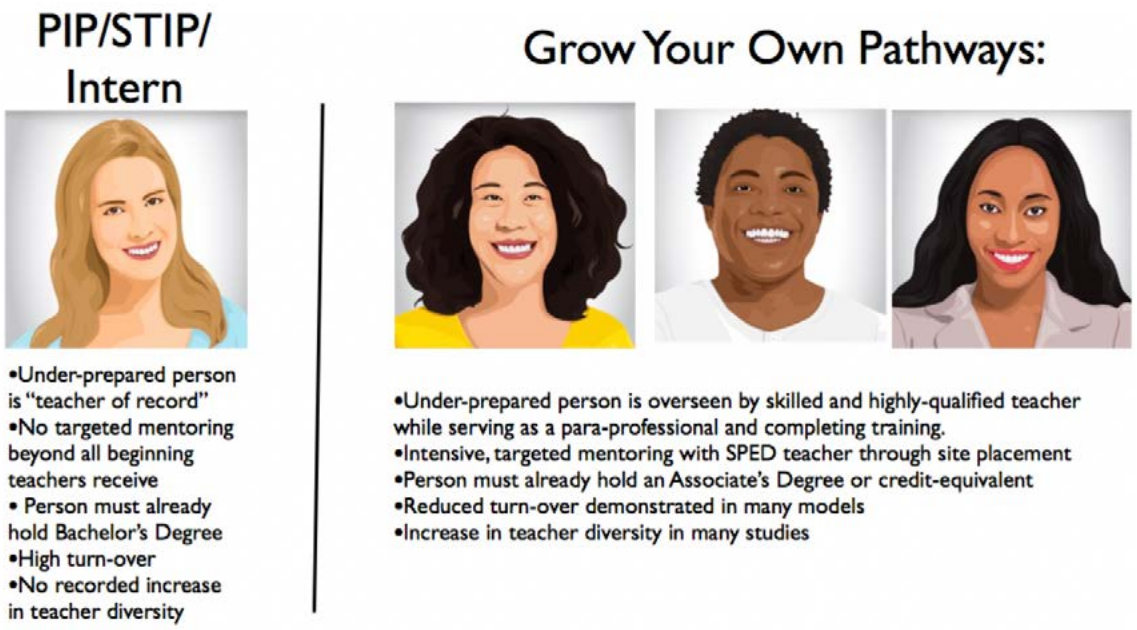
Source: California School Boards Association (CSBA) and the Learning Policy Institute, 2016.

While clearly widespread, special education positions staffed with non-credentialed or emergency placements as shown above (often through Provisional Intern (PIP) or Short-Term Staff Permits (STIP)) have several disadvantages for long-term workforce stability and student outcomes (California Commission on Teacher Credentialing, 2012). First, both PIP and STIP internships place under-trained teachers in front of students with the highest socio-emotional needs (Ruijs, Van der Veen, & Peetsma, 2010), which research has found may contribute to classroom environments that negatively impact learning beyond that school year (Mohr & Anderson, 2001). Second, internships couple balancing multiple subject domains with those least-experienced pedagogically (Sindelar, Fisher, & Myers, 2016) and fail to include targeted mentoring, which research has demonstrated as critical to reduce turnover in

hard-to-staff positions (Ingersoll, Merrill, & May, 2014). Last, though internships provide a pathway to teaching for those already holding a bachelor's degree, they do not demonstrate recruiting more persons of color nor reduced attrition rates as compared with traditional models (Bireda, & Chait, 2011).

Why is GYO a better solution? In contrast, site-originated GYO models pair currently employed paraprofessionals with highly qualified special education teachers in an ongoing and embedding mentorship which research demonstrates is highly effective (Carter, O'Rourke, Sisco, & Pelsue, 2009; Brownell, Sindelar, Kiely, & Danielson, 2010). While still employed as a paraprofessional, support staff works with a partner institution of higher learning to complete necessary bachelor's degree requirements. In this way, GYO models eliminate a significant barrier for those who would otherwise need to exit employment to gain teacher certification. Figure 5 illustrates the relative merits of GYO models contrasted with interns.

Figure 5: Emergency Certification Vs. Grow Your Own Models



Sources: Carver-Thomas, 2018; Carter, O'Rourke, Sisco, & Pelsue, 2009; Brownell, Sindelar, Kiely, & Danielson, 2010; Gist, 2017; and California Commission on Teacher Credentialing, 2018

As illustrated, GYO models recruit more diverse teacher candidates measured both by race/ethnicity and gender (Gist, 2017) and demonstrate better long-term teacher retention than traditional or intern models by reducing job-shock and inculturation timelines (McCullom, 2011; Fortner, Kershaw, Bastian, & Lynn, 2015). Steep upticks in retention are also evident across many GYO models. A 2011 examination of a GYO special education model found a near 60% same-school six-year retention rate for program completers (Abramowitz & D'Amico, YEAR). Lau et al. (2007) report even stronger retention rates – over 90% ten years after completion – in their AASU Pathways Program evaluation. These findings are significant as evidence suggests teachers of color raise both academic outcomes and feelings of acceptance in students of color (Carver-Thomas, 2018) and previously referenced national statistics indicate overrepresentations of students of color in special education (NCES, 2016).

Furthermore, GYO models often mitigate barriers for diverse and community-based special education candidates which districts sorely lack (Madda & Schultz, 2009). Shroyer et al. (2009) reports all Latinx teacher candidates found the GYO model of financial support and peer mentoring to be "very" or "extremely" beneficial while completing the program. A Chicago-based bilingual GYO model, Project 29, has also related success in imbuing the district with the linguistic and cultural capital of its community-based recruits (Sakash & Chou, 2007).

GYO models for targeted teacher recruitment are not new. From the mid-1960s, programs emerged concentrated in inner-city school systems largely in response to federal policies to address social inequities (Gist, Bianco, & Lynn, 2018). GYO has recently enjoyed a resurgence in popularity with states such as California, Illinois, and Washington, stimulating growth through grant funds (Muniz, 2018). In a televised interview with Eric Duncan, former policy fellow at the U.S. Department of Education, Duncan reported current GYO site-based models in Chicago, Tennessee, and Portland are flourishing by connecting community-based practitioners with a service area most in need (American Institutes for Research, 2017).

In California, the 2018-19 state budgets included a $50 million allocation for site-based GYO development termed "Special Education Teacher Residency Grants" (California Commission on Teacher Credentialing, 2018). Twenty-six Local Education Agencies (LEAs) across the state have received funding for the 2019-20 school year for a five-year scaling of GYO; this program supplements Local Solutions Grants under which funds can also be used to implement a site-based GYO model or for other incentives (California Commission on Teacher Credentialing, 2018b). In an interview, an HR manager responsible for writing and overseeing that LEA's grant stated, "The money will help us tremendously scale what we've already been doing here. We know if we can help our [paraprofessionals] become full teachers, that's a win for both of us. In this program, we are looking for how we help them stay employed full-time with us and get their course work paid for. In turn, we know they will be with us for some time... Everyone wins, especially the students who already have relationships with these people" (Personal Communication, 6 June 2019).

In addition to their more general purpose of boosting supply for hard-to-staff teaching positions, these grants aim to promote diverse candidate entry through both selective recruitment and an ongoing support model discussed in the following section. Two-thirds of K-12 grant recipients currently partner with a California State University (CSU) campus which describes these residencies as a tool to "diversity the teaching profession" (CSU Office of the Chancellor, 2018, pg 3). As they are at the beginning stages of implementation, future research will be required to assess their ability to recruit and retain these targeted populations.

The Positionality: Leadership and Motivation Theory: HR Beyond Compliance

Implementing Grow-Your-Own models for Special Education teacher recruitment is a long-term solution which must be carefully scaled. HR personnel seeking to realize a program at their districts should be versed in both leadership and motivation theory, as a successful GYO model requires distributed leadership capabilities and strong knowledge of personnel needs. Here, the author explores Leader-Member Exchange Theory (LMX) and its application in enacting GYO models at the district level.

Leader-Member Exchange Theory (LMX) holds that effective leadership derives from relationship and acculturation (Dansereau, Graen, & Haga, 1975; Gerstner & Day, 1997). More specifically, it theorizes employees move through a continuum of belonging in a new institution – from stranger to acquaintance to mature partner – as relationship, trust, and reciprocal influence build (Nevarez & Wood, 2010). Much research supports the notion that authentic relationships with peers and supervisors reduce turnover and inure early-career teachers in otherwise challenging work environments (Lau et. al., 2007; Player, Youngs, Perrone, & Grogan, 2017; Weiqi, C., 2007).

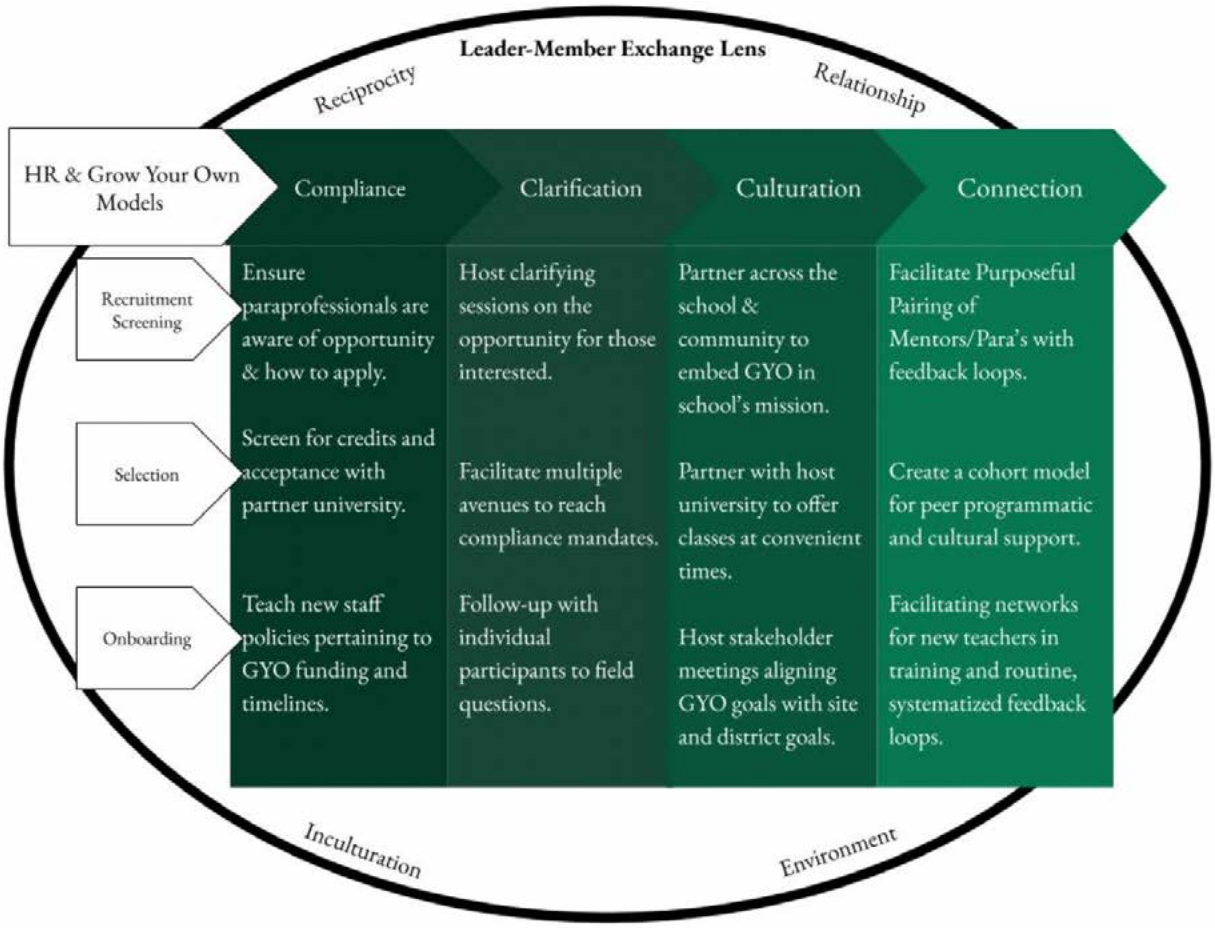
Applying LMX theory, GYO teacher development programs demonstrate distinct advantages over traditional or intern models as GYO necessitates embedded ongoing, relationship-driven mentoring of the paraprofessional, a type of mentoring associated with higher retention Bressman, Winter, & Efron, 2018). Therefore, faithful application of LMX theory requires carefully selected pairing and relationship-building for mentor teachers and paraprofessionals. HR personnel who can successfully negotiate this mentor/mentee pairing should see reduced attrition (Van Dick et. al., 2004) and increased work performance (Clarke & Mahadi, 2017) in candidates.

GYO models also offer an opportunity for equity-minded solutions to previously illustrated special education outcome disparities. Lau, Dandy & Hoffman (2007) demonstrate when GYO candidates are preferentially selected based on community representation, disparities in numbers of teachers of color and outcomes for students of color lessen. However, this is not to say GYO models serve as an equity panacea. An Illinois program was found to have counseled out a large number of teachers of color prior to their completion (Hunt et. al., 2002), and structural obstacles such as certification exams, child care costs, and transportation supports have all been cited by non-continuing diverse participants as a substantial factor in their exit decision (Ross & Ahmed, 2016).

Interviews with those implementing GYO echoed the research. One HR manager states, "I think the big benefit we see to the relationship piece is that we require the aide [paraprofessional] to get a mentor-teacher sign off on the application. That means that everyone who is hired as an aide at our school knows that this opportunity to move up exists and that it's contingent in part on relationship building... negotiating a stressful workload as a team" (Personal Communication, 6 June 2019). Another HR manager added, "For us, we try to be strategic from day one about where aides are placed and that aid/teacher relationship. It's as much on the certified teacher, or even more, than the aide to build that bridge. We learned through this [GYO] program we are starting, we didn't know that some relationships we thought were fine actually weren't. So I'd say examining those channels for communication with new hires is a key piece to get right if the hire is going to last at your school" (Personal Communication, 6 June 2019).

Therefore, HR managers overseeing a GYO model may utilize Leader-Member Exchange Theory tenants to smooth the process. LMX holds that a Grow-Your-Own model will be best implemented if reciprocity, relationship, site environment, and effective inculturation have all been part of the planning and actualizing process, a lens to which the author now turns in direct GYO proposed solutions.

Figure 6: Moving Beyond Compliance for GYO Implementation



The Proposal: Implementing Grow-Your-Own at the Site Level

By adapting the 4 C's model to the Grow-Your-Own process (See Figure 6), and by implementing the tenets of LMX discussed previously, the author makes several recommendations to HR managers wishing to begin a GYO model for special education teacher pipelines.

1) Recognize need for long-term planning and conduct needs analysis. While GYO models demonstrate empirical benefits, they are not an immediate solution to staffing shortages. HR managers must therefore forecast future needs and respond accordingly while understanding immediate needs may require a short-term alternative solution. Successful programs require careful consideration of both need and capacity. An internal personnel file audit, including forecasted staffing needs, paraprofessionals' current education records, and veteran teachers who may serve as quality mentors, may help the HR manager begin.

2) Develop capacity through culture and strategic partnering. As illustrated in Figure 6, successful GYO programs are embedded in the fabric of the LEA's culture. Because they require partnering with an institution of higher learning as well as a significant investment in time and human capital, GYO models should be seen as a natural extension of the school's mission to bring educational opportunities to the community. HR members should therefore carefully solicit buy-in and craft messaging that situates GYO at the center of the school's pathos for equity and change while communicating the dollar value of the program. One such example of successful strategic partnering can be found in a 2006 study wherein northern California's University of San Francisco, regional K-12 schools and the Multicultural Alliance/AmeriCorps joined together in an effort to recruit candidates for a community-based GYO model. It placed 400 new, highly diverse teachers before it was later unfunded due to 2008 recession budget cuts (Nuñez & Fernandez, 2006).

3) Shadow implementing programs. While not always feasible, shadowing LEAs which are currently implementing a GYO model is a desirable advantage for those who seek to begin a local program. HR members should hope to interview community stakeholders, HR and other leadership team members, participating teachers, and participating paraprofessionals to obtain a snapshot of opportunity and potential pitfalls. Well-established programs exist throughout the nation, as mentioned previously in this text, while more emergent programs in California are published on online lists hosted by the California Commission on Teacher Credentialing.

Conclusion

This brief analyzes the implementation process of a Grow-Your-Own (GYO) model to address special education certified teacher recruitment and retention. Using both Leader-Member Exchange theory and primary research, it provides human resources members information on a) gaps in special education teacher supply and equity outcomes, b) why GYO meets these challenges, c) LMX theories and personal communication on GYO best practices, and d) how implementation of GYO modeling works at the site level.

Author Bio

Meredith Galloway is a lifelong educator who finds her passion and purpose by unlocking excellence in others. She envisions a world where all teachers feel valued and vibrant and works to leverage partnerships to enact that vision. Meredith works as a research assistant at Sacramento State where she is pursuing her doctorate in Educational Leadership. Her research includes global trends in education, school privatization, and teacher labor markets. When not working, Meredith can be found running on Sacramento's river trail, or enjoying her family with a mug of coffee in tow.

Open a conversation by emailing: **meredithteaches@gmail.com** or Tweeting: **@meredithteaches**

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Appendix A

Table 1: Percent Schools Reporting "Very Difficult or Unable to Fill" Teaching Vacancies, by field and selected school characteristics: 2015–16

Selected school characteristic	General Elementary	Special Education	Middle School/High School, Single Subject	English as a Second Language (ESL)	Foreign Languages	Music or art	Career or technical eduation
All Public Schools	**9.1**	**31.4**	**23.6**	**28.6**	**36.5**	**15.3**	**30**
By percent of K-12 students who recieved free or reduced price lunches (FRL)							
0-34	5.3	30.5	19.2	23.3	34.2	13.6	34.6
35-49	5.2	32.1	24.74	26.3	34.6	14	29.3
50-74	10.2	31.1	24.52	35.6	45.8	13	29.6
75 or more	13.0	33.1	27.24	30.7	35.8	19.7	24

Source: NCES National Teacher and Principal Survey (NTPS), "Public School Data File," 2015–16.

Appendix B

*Table 2 Special Education Disability by Type as a Percentage of Total K-12 Enrollment, Longitudinal by Selected Years from 1976-77 to 2014-15.***

Type of Disability	1976–77	1980–81	1990–91	2000–01	2010–11	2014–15
All disabilities	**8.3**	**10.1**	**11.4**	**13.3**	**13.0**	**13.0**
Autism	—	—	—	0.2	0.8	1.1
Deaf-blindness	—	#	#	#	#	#
Developmental Delay	—	—	—	0.5	0.8	1.1
Emotional Disturbance	0.6	0.8	0.9	1	0.8	0.7
Hearing Impairment	0.2	0.2	0.1	0.2	0.2	0.2
Intellectual Disability	2.2	2	1.3	1.3	0.9	0.8
Multiple Disabilities	—	0.2	0.2	0.3	0.3	0.3
Orthopedic impairment	0.2	0.1	0.1	0.2	0.1	0.1
Other health impairment^	0.3	0.2	0.1	0.6	1.4	1.7
Specific learning disabilities	1.8	3.6	5.2	6.1	4.8	4.5
Speech or language impairment	2.9	2.9	2.4	2.9	2.8	2.6
Traumatic brain injury	—	—	—	#	0.1	0.1
Visual impairment	0.1	0.1	0.1	0.1	0.1	0.1

^ Other health impairments include having limited strength, vitality, or alertness due to chronic or acute health problems such as a heart condition, tuberculosis, rheumatic fever, nephritis, asthma, sickle cell anemia, hemophilia, epilepsy, lead poisoning, leukemia, or diabetes.

— Not available.

Rounds to zero

*Source: NCES Table 204.30 (2017). Children 3 to 21 years old served under Individuals with Disabilities Education Act (IDEA), Part B, by type of disability: Selected years, 1976-77 through 2014-15 **Figure here represents total enrollments in program as a percent of total k-12 enrollments in both traditional public and charter schools. Figure does not account for private, non-charter school enrollments such as parochial schools.*

Appendix C

*Table 3 Number and percentage distribution of K–12 public school teachers who reported special education as their main teaching assignment field by sex, and selected school and teacher characteristics: 2011–12***

School and teacher characteristics	Total	Percent Total	Percent Female	Percent Male
All public special education school teachers, by gender	430,600	100	86.1	13.9
School site Percent of K–12 students who were approved for free or reduced-price lunches				
0-34	134,890	31.3	86.4	13.6
35-49	70,000	16.3	83.7	16.3
50-74	119,370	27.7	87	13.0
75 or more	100,040	23.2	87	13.0
School did not participate	6,300	1.5	72.1	27.9
Teacher Race/ethnicity				
Hispanic, regardless of race	22,600	5.2	83.4	16.6
White, non-hispanic	353,420	82.1	86.4	13.6
Black or African-American, non-Hispanic	36,640	8.5	84.1	15.9

*Source: U.S. Department of Education, National Center for Education Statistics, Schools and Staffing Survey (SASS), "Public School Teacher Data File," 2011–12. **Figure here represents teachers who report special education as their main teaching assignment as a percent of total k-12 teachers in both traditional public and charter schools. Figure does not account for private, non-charter school teachers such as parochial schools.*

Appendix D

*Table 4 Percentage of students served under the Individuals with Disabilities Education Act (IDEA), Part B, by race/ethnicity as a percent of total enrollment, and type of disability: 2017-18 ***

Type of Disability	White	African American	Latinx	Asian	Pacific Islander	American Indian/Native Alaskan	Two or more races
All disabilities	**14.1**	**16.0**	**13.0**	**7.1**	**10.9**	**17.5**	**13.8**
Autism	1.5	1.3	1.2	1.7	1	1.1	1.5
Deaf-blindness	#	#	#	#	#	#	#
Developmental Delay	1	1.1	0.7	0.6	0.8	1.8	1.1
Emotional Disturbance	0.7	1.1	0.4	0.1	0.4	0.9	0.9
Hearing Impairment	0.1	0.1	0.2	0.2	0.2	0.2	0.1
Intellectual Disability	0.8	1.4	0.8	0.4	0.8	1.1	0.7
Multiple Disabilities	0.3	0.3	0.2	0.2	0.3	0.4	0.2
Orthopedic impairment	0.1	0.1	0.1	0.1	0.1	0.1	0.1
Other health impairment^	2.3	2.4	1.4	0.6	1.2	2.1	2.2
Specific learning disabilities	4.2	5.8	5.3	1.4	4.6	6.9	4.1
Speech or language impairment	2.9	2.3	2.6	1.8	1.4	2.9	2.7
Traumatic brain injury	0.1	0.1	#	#	#	0.1	0.1
Visual impairment	0.1	0.1	#	#	0.1	0.1	#

^ Other health impairments include having limited strength, vitality, or alertness due to chronic or acute health problems such as a heart condition, tuberculosis, rheumatic fever, nephritis, asthma, sickle cell anemia, hemophilia, epilepsy, lead poisoning, leukemia, or diabetes.

Rounds to zero

Source: NCES Table 204.50 (2017). Percentages for 3- to 5-year-olds by sex are based on total public school enrollment in prekindergarten and kindergarten by sex. Percentages for 6- to 21-year-olds by sex are based on total public school enrollment in grades 1 through 12 by sex. Percentages for 3- to 21-year-olds by race/ethnicity are based on total public school enrollment in prekindergarten through grade 12 by race/ethnicity.

Appendix E

Table 5 Percentage distribution of 14- through 21-year-old students served under the Individuals with Disabilities Education Act (IDEA), Part B, who exited school, by exit reason

Enrollment/ Dropout Status	Total	White	African American	Latinx	Asian	Pacific Islander	American Indian/ Native Alaskan	Two or More Races
Proportional Enrollment		**14.1**	**16.0**	**13.0**	**7.1**	**10.9**	**17.5**	**13.8**
Total number enrolled in Special Education Services, Ages 14–24	**413,353**	203,362	86,180	96,796	7,365	1,736	6,511	11,403
Percent by Enrollment, **Graduated** with Regular Diploma	**70.9**	74.3	63.7	70.3	76.5	69.4	68.3	68.2
Percent by Enrollment, **Dropout** or otherwise unknown to continue	**17.1**	14.5	21.2	18.5	7.6	21.4	26.5	20.9

Source: NCES Table 219.90. (2017). Percentages for 3- to 5-year-olds by sex are based on total public school enrollment in prekindergarten and kindergarten by sex. Percentages for 6- to 21-year-olds by sex are based on total public school enrollment in grades 1 through 12 by sex. Percentages for 3- to 21-year-olds by race/ethnicity are based on total public school enrollment in prekindergarten through grade 12 by race/ethnicity.

BOOK REVIEW

Transformative Leadership in Education

Carolyn M. Shields

Reviewed by:
Alicia Souza, MA**,** *Ed.D. Candidate, California State University, Sacramento*
Amy Leung, MA, *Ed.D. Candidate, California State University, Sacramento*

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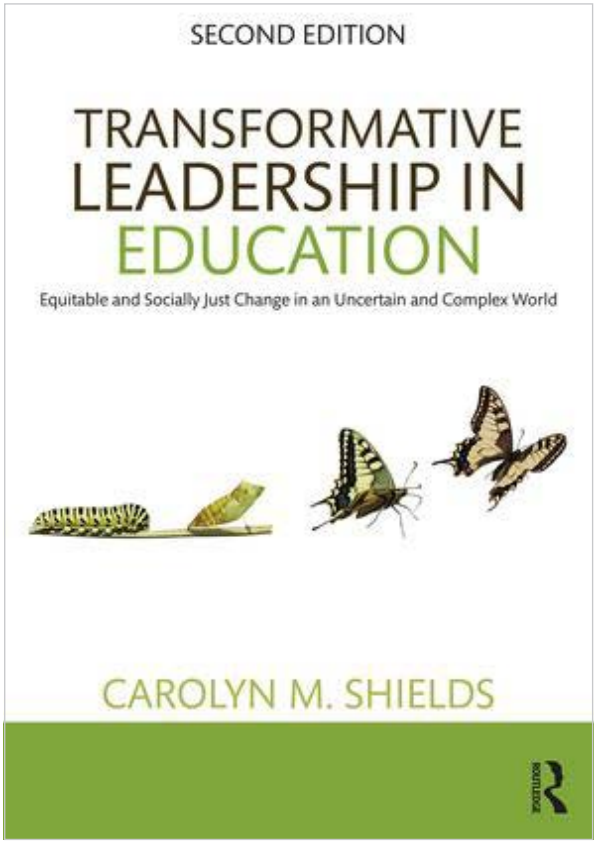

Introduction

At a time in our nation's history when rising above the forces of injustice and taking a stand as leaders have become not just moral imperatives but actions necessary for survival and persistence, Carolyn M. Shields (2018) offers a critical approach to transformative leadership, provoking leaders across the nation to rise against the inequities within their institutions. Shields (2018) illustrates how a changing political, environmental, and economic landscape, on both a global and national scale, have shaped social injustices for minoritized groups, leading to inequities for students within these groups. More egregious, she argues, is that those in positions of power often ignore or remain indifferent to the obvious inequities within our organizations, refusing to transcend the limits of our current perceived boundaries, perpetuating the hegemonic injustices of the greater society within the institutions designed to protect our most vulnerable members. Thus, Shields (2018) does not offer surface-level, one-size-fits-all solutions; instead, she suggests a framework or perspective for approaching leadership mindful of the nuances and fluidity of education. In this framework she outlines the necessity for leaders to possess and balance several abilities. These skills, vision, understanding, clarity and agility are offered as a response to the current status of our society, which Shields describes as volatile, uncertain, complex and ambiguous (VUCA).

This review provides a general summary of Shields' arguments and its three basic ideas, then an analysis of the overall strengths as well as recommendations for the book. In this review, the authors suggest that Shields' work

is paramount to the field of educational research, highlighting the lived experiences of those in the field and the students they affect. Additionally, Shields (2018) elucidates the realities of certain situations that are often absent from leadership conversations, including the impact on global democracy and the effects that the geo-political climate has on students, schools, and leaders. Although the authors find that educators, administrators, and community leaders can all benefit from Shields' (2018) work, there are key areas which we suggest may be improved upon in later editions. These recommendations include expanding upon the discussion of self-knowledge within diverse transformative leaders and adopting a leadership inventory to serve as supplemental material for the book, allowing leaders to assess their abilities and identify areas for improvement, building upon Shields' (2018) contention that self-reflection is critical to transformative leadership.

Transformative Leadership in Education is in its second edition and follows several of Shields' previous books on transformative leadership. Shields (2018) includes an additional tenet to her transformative leadership principles, as well as providing additional qualitative data, and an overall more in-depth and detailed account in the latest book. Furthermore, Shields (2018) updates figures and data with additional qualitative data and consideration of two important minoritized groups: a) transgender students and b) refugees. Within these updates, Shields emphasizes the connection between transformative leadership and social justice, strengthening her claim that a transformative approach effectively attends to education's democratic promise.

As a lifelong educator and leader, both within schools and within her community, Shields has experience as a teacher, professor, and administrator, as well as a multitude of scholarly publications within the field of educational research. Her understanding of the nuances and hidden curriculum within the current model of education shapes her perspective and provides thoughtful insight to the book. She brings data and case study observations as support for her theoretical framework. Her work is set aside from other scholars within the discipline, as her utilization of these experiences creates a rich, detailed illustration of the reality of the experiences of both students and leaders. These leaders, Shields (2018) explains, consist of both teachers, administrators, and others who want to make a difference, as it is their moral imperative to actualize transformative leadership within schools.

Taking a Stand: Transformative Leadership in Education

In her book Shields (2018) proffers three main arguments: The first, that understanding the educational context in which leadership operates within organizations is of the utmost importance. Second, that the leaders of organizations who wish to actualize effective, lasting, and truly equitable change must be highly reflective and self-aware. Last, Shields (2018) argues that leaders must adopt a transformative leadership approach, a critical, socially aware, and equity-driven method, for which she outlines eight tenets.

Using qualitative findings Shields (2018) illustrates how changes in geopolitics have shaped social injustices, leading to inequities for minoritized students. Shields (2018) uses the term minoritized not to describe the number of students within these groups, but to describe the ways in which their voices have been excluded from the conver-

sation and from participation in politics, education, and economics. To describe the unpredictable geopolitical landscape of our society, Shields (2018) offers an acronym borrowed from the military, VUCA (volatile, uncertain, complex, and ambiguous). Shields (2018) proffers that VUCA better encompasses the reality of education, pushing back against the conventional notion that schooling can be analyzed with rational, technical, and prescriptive measures. Shields (2018) cautions that it is this very approach to education reform which fails to address the true injustices and inadequacies of our organizations. To address these failures, she suggests that leaders must understand not only the social and cultural contexts of schools, but be critically self-aware of their own positions, perspectives, and biases. She posits two recommendations for educational institutions to adopt: a) to reorganize schools so that all affiliates benefit from the implementation of a transformative leadership style and b) to reimagine pedagogy to adopt a wholistic approach in which the student's natural intellectual curiosity is piqued, stimulated, and nurtured. Qualitative research methods allow Shields (2018) to highlight the voices of minoritized students, illustrating the often hard-to-read realities that they face. By doing this she outlines the harmful effect that homogeneity and its normalization can have on intellectual communities, including the othering and exclusion that result from this perpetuation of elitism and privilege. Additionally, qualitative data allows Shields to animate key terms from her research such as "moral courage," bringing her theoretical underpinnings to life.

Analysis of Strengths and Recommendations for Further Consideration

Although this book offers many insights currently missing from the field of educational research, one element that could enhance the book is the adoption of a transformative leadership inventory, which would allow readers to actualize Shields' model for self-awareness. Second, while Shields enunciates the dynamics of diversity within the student population, she could extend the conversation to leaders, perhaps in her discussion of critical self-knowledge, in which she requires that leaders understand their own intersecting identities. Additionally, the proposed transformative leadership inventory could include opportunities for leaders to not only assess areas of improvement, but areas of strength, including the wealth of knowledge that springs from diverse transformative leaders.

In addition to this recommendation the authors found several major strengths in Shields' (2018) book. One is that following prescribed standards and curriculums that are based on ready-made programs and manufactured education packages which, although unintended, granulate the educational experience to a general panacea solution, ignoring the differences in students and perpetuating social inequities. The neglect of these differences disregards the culture, learning strategies, socio-economics, and traditions of individual students and their communities, and perpetuates a deficit-based approach.

Another strength of Shields' (2018) piece is her demonstration of transformative leadership. For example, Shields provides detailed information about the critical necessity for the facilitation of meaningful, positive relationships. This element of the work solidifies Shields' (2018) argument for the importance of rising above misaligned and underdeveloped policies as well as the emptiness of unsubstantiated theoretical frameworks. This critical

component, described as an example of activism or critical action, sets Shields' (2018) framework aside from other leadership perspectives, offering insightful examples rich with the details of leaders, whom Shields (2017) describes as transformative. These leaders surpass the perceived limitations of the hegemonic and elite norms typically present within their institutions and often modeled by their colleagues. In transcending these boundaries, these leaders fostered relationships through inviting students and parents to their homes for meals and for casual conversations, as well as making visits to students' homes. These leaders insisted that these relationships were the only way they could build trust and facilitate positive learning experiences and the achievement of success. These leaders understood that the benefit of creating learning communities which foster inclusivity acts for the greater good of the entire school community. In this way, Shields' model of transformative leadership not only seeks to transform the educational organization, but all of society. Furthermore, Shields' piece focuses heavily on several topics often neglected or absent from leadership frameworks, including transgender students, refugees, and language differences. Her critical lens is obvious in every detail of her book including her explicit and intentional use of language, which she argues is a critical aspect of transformative leadership. This precision is evidenced by her careful consideration and reasons for using the word minoritized.

Readers will find Shields' (2018) Transformative Leadership in Education to be loyally rooted in Freirean underpinnings yet refreshingly current with the unique challenges that contemporary leaders face. This edition particularly proves resourceful for the educational leader whose goal is to affect socially just, substantive transformation in education.

Author Bios

Alicia Souza is an Ed.D. candidate and research assistant at California State University Sacramento.

Amy M. Leung is a doctoral candidate in educational leadership at California State University, Sacramento and a full-time professor of economics at Cosumnes River College.

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BOOK REVIEW

Culturally Responsive School Leadership

Dr. Muhammad Khalifa

Reviewed by Mich Kiwan, *Ed.D. student, California State University, Sacramento*

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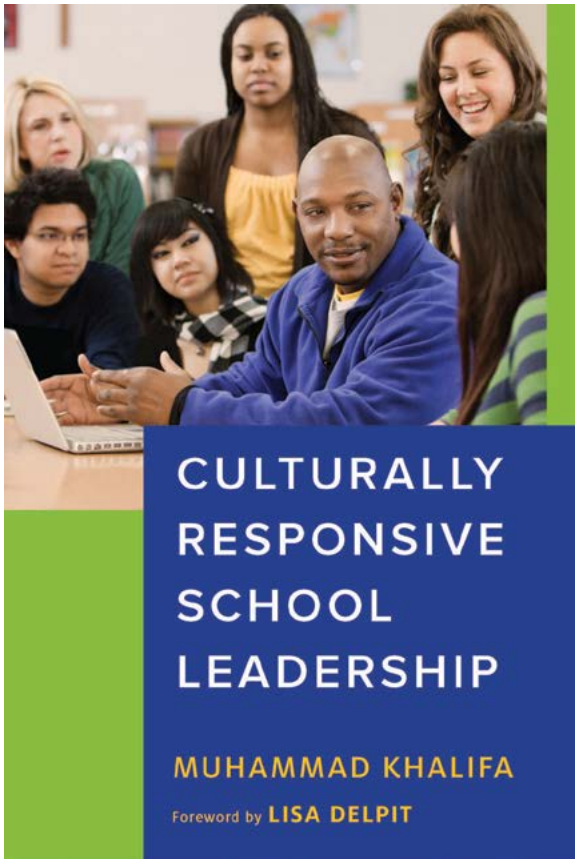

Never did I imagine that more than thirty years after meeting Eazy-E at Sam Goody's Music store where I worked in Cerritos, California, I would be sitting in a lecture hall at a major national university hearing our guest speaker and celebrated author of his new book, Dr. Muhammad Khalifa, quote N.W.A., an American hip hop group from Compton. He provided research-based support for the emotional duress of our nation's minoritized youth as expressed in this genre of popular music. In his book, Dr. Khalifa uses the term "minoritized youth" to describe students who have been historically marginalized in our society.

Now, as a middle school educator, I wrestle with the topics Dr. Khalifa addresses in his book, *Culturally Responsive School Leadership (CRSL)*. Rap and hip hop culture continue to draw in our minoritized youth with quick-witted lyrics and messages of resistance and rebellion. Research has demonstrated we, as educators, can provide for the social and emotional learning of our students by providing them with culturally appropriate lessons with which they can relate. In order to do this, we have to understand their culture.

Along with my colleagues, I find myself asking my male students to pull up their sagging pants, yet we praise them when their swagger takes a more positive form. Which begs the question: whose positive persona is it I'm praising, theirs or mine? Yesterday I heard a White teacher at our school explaining to a Black child's mother why it is inappropriate for her son to call his second grade friend, his N****. The scene, although brief, was painful to watch. This all-too-common exchange between a parent and teacher directly relates to themes Dr. Khalifa refers to in his book. How do this young child and his mother see the school? Does the school seek to support them in their understanding of the painful history of our nation, which was implicit in the theft, murder, rape, linguistic and cultural destruction of their African ancestors? Or does the school act to erase, cover up, and hide the painful past so as to reproduce the colonial, unequal, and oppressive culture outside its walls?

In Dr. Khalifa's book, he relates his interactions with a family of three generations of Black women who attended an unnamed and highly respected school and described their interactions with Principal "Joe." Although the school is no longer there, the author's interactions with the memorable principal are documented in brief vignettes throughout the later chapters along with examples of the principal's caring yet direct demeanor with faculty, parents, and students.

Additionally, the author and researcher describes Principal Joe's notable "Rap sessions" which form a critical part of the Culturally Responsive School Leadership, or CRSL, process. In these Rap Sessions, students and faculty were asked to come together regularly to openly discuss their feelings, observations, concerns, and criticisms. Although most faculty might immediately react in disbelief at the thought, or fear, they would have their students openly criticize them in front of the whole school, it appeared to have the opposite effect. The students observed the whole school coming together to listen to them, hear their concerns, and address them directly in an open forum. They were able to be honest about their own interactions, responsibility, and accountability to their peers, their teachers and their school. The rap sessions served to repair and strengthen the essential fibers which formed the heart, the soul, and the collective body of the school as a valued institution and cultural beacon in the community.

The premise of Dr. Khalifa's work in Culturally Responsive School Leadership can be summarized thus: School and cultural improvement initiatives require honest reflection on our own participation in the process of promulgating racism in our public institutions. According to Dr. Khalifa, if we don't address our own biases, our own prejudice, our own contributions to the inherent racism in our public schools, then we are allowing it to continue and are promoting its continued growth.

If we don't see race, and we don't see color, then we are being insensitive to the differences which should serve to bind us as a multicultural nation. Even a blind person can detect cultural nuances in the voices of people they meet. Rejecting our cultural heritage by claiming to ignore our cultural differences promotes a colonialist perspective, an air of one culture's superiority over their oppressed population. If I don't see you, then you are invisible, irrelevant, and unimportant. If I don't see your color, your race, your language, your heart, then it must be invisible, irrelevant, and unimportant. Understood; we have to recognize our cultural differences, but that can be very difficult.

During his book talk, Dr. Khalifa shared with us one of his greatest challenges: school district leaders acknowledge the need for a shift in cultural leadership but they want the skinny. They tell him, "I don't have a lot of time. Give it to me in a few minutes; how can you summarize what we need to do starting now?" He replies, "There is no quick fix." *Culturally Responsive School Leadership* is a guide for educational leaders to use at their sites. How long does it take for a leader to read the book? How long does it take for them to conduct a cultural equity survey? How long does it take to work with faculty and staff to examine their school's climate? The process is as continuous as the need arises.

How should educational leaders go about having their faculty and staff address cultural differences? Dr. Khalifa recommends starting with a cultural equity survey. By examining faculty, student, and community attitudes toward school and each other, communication can begin to shed light on what he refers to as the path toward redemption. By working together, faculty can improve their interactions with their students, the students' parents, and community members to reflect on how they are either contributing to the oppression or taking steps together with their minoritized youth toward a path of redemption.

Dr. Khalifa acknowledges his own mistakes as a minority educational leader working with minoritized youth. As a minority, and as an educational leader, I have the added responsibility to question why I feel the way I do and what effect that might have on my students and the community in which I serve. Dr. Khalifa's purpose reminds us to begin with a humble approach to recognizing our own part in the problem, our contributions to the minoritization of our youth, and our ability as leaders in the classroom, the main office, and in our board rooms to make significant strides to place value in each other and trust in the multicultural fiber of our nation. The skinny is: it's going to take work! But if we don't start now, we may never start and we'll continue to propagate the same inadequate system expecting different outcomes.

Culturally Responsive School Leadership can be used as a handbook. It includes useful information for school leaders who wish to implement an improvement plan and is supported by research at the end of every chapter. It is organized in a manner for leaders to learn, reflect, and then implement a plan at their site. If leaders are to lead, they must do so by example. Humility, an open mind, and the commitment to work through uncomfortable situations is a necessary requirement prior to engaging in a concerted effort to change the culture of an entire organization.

Dr. Khalifa is right – schools and districts have the data; it's in their reports of citations, referrals, suspensions, and expulsions. Those are the symptoms of the problem, not the problem itself. To understand the problem, we have to examine the situations that led to those events, and the role of the adults in how it played out. Minority educators are just as likely to offend if they are not aware of their thoughts, words, and actions in promoting a culturally responsive school environment.

Although rap music is an enormous genre, it has often been a vehicle of expression for the disenfranchised youth of our society. Mixing rebellious teen angst with the frustration, anger, and resentment of racism has often been a source of emotional inspiration musicians have drawn from to create artistic pieces which reflect the feelings of kids and young adults who are unhappy with their surroundings. Our children will learn from us, and they'll learn from their surroundings. Popular culture will continue to repeat these themes in an effort to profit from the sale of their merchandise.

CRSL begins by seeking to understand the nature of the problem. Dr. Khalifa's program requires educational leaders to examine whether the school is 1) projecting toward the community, or if 2) the community is projecting toward the school. If school leaders are not from the community, they need to bring in community leaders

to shed light on the community's needs and desires. If you care to know about the community, the community will know you care about them. Bringing all stakeholders together, especially the voices which are not often heard in our schools, is necessary to repair the fabric of our public schools which should serve as healthy centers of learning, sharing, and growing in the common celebration of our children's academic progress and future opportunities.

Some critics of the book may argue, "We don't have minority students in our school," or "Our school is almost entirely made up of minorities." In both cases, race and discrimination needs to be addressed in our public schools. Hospitals heal the pain in our community and promote physical and mental wellbeing. Schools heal the emotional pain of our history and promote a positive society capable of adapting and improving the human condition through the leaders of tomorrow, who are the students in our classrooms today. Emotional pain and suffering do not discriminate; every child is susceptible. Our White children are just as likely to benefit from the dialectic approaches Dr. Khalifa proposes in coming together to synthesize, combine, and respect each other for who we are. Providing children the understanding that education is the most important path toward achieving their potential is our common goal.

Author Bio

Mich Kiwan *is an educator, Teacher Consultant with the National Writing Program, Bilingual Induction Mentor, and student in the Sacramento State Ed.D. program. Email him at* ***mkiwan@csus.edu.***

Call For Papers

Submission Guidelines: Open Submissions

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Sponsored by the California State University's Chancellor's Office and the system's thirteen Education Doctorate programs, the Journal of Transformative Leadership and Policy Studies (JTLPS) publishes peer reviewed studies for the educational leadership and policy community in California and beyond. The focus is to advance our understanding of solutions to the problems faced by the nation's schools and colleges.

The Journal of Transformative Leadership and Policy Studies welcomes your submission of original research papers in the areas of educational leadership and policy in P-20 public education, including schools, community colleges, and higher education.

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- Strategies for educators to affect the school change process
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(916) 278-3464
jtlps@csus.edu
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Submission Guidlines

Journal of Transformative Leadership and Policy Studies

Overview

JTLPS primarily publishes peer-reviewed empirical studies of interest to the educational leadership and policy community that advance our shared understanding of possible solutions to the many inequities present in America's schools and colleges. Our offerings are meant to help focus our distributed, collective actions to transform schools and colleges from places with uneven opportunities to learn from to institutions that provide an abundance of opportunities for all learners. We believe that leadership and policy are twin levers in the struggle for social justice. We are particularly interested in research into leadership in STEM education and plan to publish 1-3 articles per issue on this topic as a regular part of the journal. We invite submissions in the following genres: Empirical studies, concept papers grounded in empirical and scholarly literature, policy briefs, and reflective essays on professional experience. General guidelines regarding format must be applied to all submissions. Particular guidelines for empirical studies and for policy briefs are applied as appropriate. Independent of the genre selected for publication submission, all submissions will follow a strict peer review process. At the same time, every effort will be made to match topics with the expertise area of respective reviewers.

The Journal of Transformative Leadership and Policy Studies (JTLPs) is a peer-reviewed journal sponsored by the Doctorate in Educational Leadership Program at California State University, Sacramento. JTLPs accepts articles that focus on current research promoting and documenting work in P-16 public education, including: schools, community colleges, and higher education.

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General Guidelines

Please read the general guidelines thoroughly. Articles will be accepted in the following format:

1. The submission file is in Microsoft Word.
2. Use 12-point Times New Roman or similar font.
3. Margins should be 1.0 inches on the top, bottom, and sides.
4. Include a title page with each author's name and contact information. (Please indicate the institutions and/ or grant numbers of any financial support you have received for your research. Also indicate whether the research reported in the paper was the result of a for-pay consulting relationship). If your submission is derived from a paper you have published elsewhere please make that evident on your title page as well.
5. Include an abstract of 175 or fewer words. The abstract should reflect the content and findings of the article and emphasize new and important aspects of or observations related to the study. In general, it should include information on the background or context of the study as well as the purpose(s), methods, results, conclusions, and policy and/or leadership recommendations.
6. Using the APA Style Manual, 6th edition, fully reference all prior work on the same subject and compare your paper to that work. In addition to referencing the work of other scholars, you should be certain to cite your own work when applicable.
7. Figures and Tables
    - Please state the number of figures, tables, and illustrations accompanying your submission so that editorial staff and reviewers can verify their receipt.
    - Where possible, supply figures in a format that can be edited so that we can regularize and edit spelling, the font and size of labels and legends, and the content and presentation of captions.
    - Illustrations need to be of publishable quality as we do not have a dedicated graphics department.
    - If you are submitting a figure as an image

file (e.g., PNG or JPG), do not include the caption as part of the figure; instead, provide the captions with the Word file of the main text of your article.

8. We recommend short, effective titles that contain necessary and relevant information required for accurate electronic retrieval of the work. The title should be comprehensible to readers outside your field. Avoid specialist abbreviations if possible.
9. We may publish a picture on the journal home page with each article. We encourage authors to submit their own digital photographs.
10. The submission has not been previously published, nor is it before another journal for consideration.
11. Where available, URLs for the references are provided.
12. Upon acceptance of the manuscript, all revisions must be made in 'Track Change Mode' when resubmitted.

General Guidelines

EMPIRICAL STUDIES

We are interested in submissions of academic studies of educational leadership consistent with quantitative, qualitative, and mixed methods research designs. For our purposes, quantitative studies seek to examine, compare, describe, or discover relationships among variables through the analysis of reliable and valid numerical data. Qualitative studies seek to explore institutions, people, and their practices, activities, cases, social or cultural themes, or experiences to find meanings shared by participants in a setting; such studies rely on observations, interviews, document analysis, focus groups, and related data sources useful in interpreting local meanings. Mixed methods studies incorporate a quantitative phase and a qualitative phase orchestrated to provide the broadest possible understanding of a phenomenon, problem, or case. In this section we present some guidance in the preparation of a manuscript for JTLPS. First, we discuss our assumptions about quantitative studies. Next, we outline our expectations for qualitative studies. Finally, we refer back to these guidelines as necessary and explain what we would like to see in a mixed methods study. Note that we ask our reviewers to read for these elements as they review and provide feedback on submissions.

QUANTITATIVE STUDIES

1. The introduction should state the research problem and justify its importance for an audience of school administrators, professors, other researchers, and policy makers. As a leadership and policy studies journal, we seek submissions for peer review that advocate for equity and social justice and focus on educational problems of impact on high-poverty, diverse learners. Readers should have a clear understanding early in the study of the key factors or variables causing or associated with the research problem and the posited relationship among those variables under study. These variables should constitute the set of factors measured during data collection. Additionally, these factors should be named in the research question(s).
2. The introduction should provide the theoretical perspective of the researcher(s) on previously published scholarship about the research problem and its key factors, including mention of established or emerging theoretical models or policy concepts. Extended discussion of the literature should not take place in the introduction, though collections of referenced authors in parentheses can be used as sign posts for the discussion of the literature.
3. The introduction should include a statement of purpose that explains for the audience what the researcher(s) aim to accomplish by conducting and publishing the study. Again, as a policy studies journal, we welcome submissions that logically and cogently advocate for under-served learners. To that end, the introduction should also include a carefully crafted research question(s) or hypothesis about the key factors in the context of learning communities made up of high poverty, diverse learners.
4. Following the introduction, the discussion of relevant literature should make a theoretical argument for the importance of and relationships among the key variables and include current seminal empirical studies with a clear bearing on the research question and on the key factors, while engaging the readers in a critical analysis of these studies. A conceptual or theoretical framework should lead readers to a point of clarity about the logical reasons for selection of the research question(s) as the basis for data collection. We ask authors not to view the discussion of the literature in a quantitative report as they might traditionally view a full-blown review of the literature. Three critical elements we seek are currency, quality, and relevance of the studies discussed. Researcher(s) should assume the audience has non-expert knowledge of the topic and should therefore

provide sufficient context for engaged readers to grasp the relevant meanings of concepts.

5. The methods section should fully explain the research design, i.e., everything connected with participants, interventions, instruments, chronology, and procedures for data collection and analysis. If human subjects are involved, readers should be provided with sufficient information to understand the nature of the population, sampling procedures employed if appropriate, criteria for inclusion and exclusion in the study, and any other information required to understand the study in its context. If a treatment is employed, it should be fully explained with attention to any ethical issues raised by the study. If instruments or surveys or other materials are employed, they should be fully explained. Planned statistical analyses should be described and explained with attention to how the analysis will answer the research question(s). Limitations and delimitations should be stated explicitly, using the terminology of threats to internal and external validity where appropriate.
6. The findings section should logically and sequentially address all research question(s) and/or hypotheses. Tables and Figures are used to contribute to the readability and comprehensibility of the report. Results of statistical tests or other analyses are explained and interpreted with sufficient background to make clear the connections between the results and the research questions.
7. The discussion section comments on conclusions drawn with regard to the research problem. The discussion should have a clear connection to the theoretical perspective and framework developed in the introduction and literature review. In this section researcher(s) should trace implications from the study with an eye toward alternative interpretations, make recommendations for action. It is appropriate for reports published in JTLPS to argue for particular policy and leadership actions and strategies that are supported by findings as advocates for students. We encourage authors to be purposeful in taking a strong stance on the phenomena under study, when such a stance is supported by the study's findings.

QUALITATIVE STUDIES

1. Like quantitative studies, the introduction to a qualitative study should state the research problem and justify its importance for an audience of school administrators, professors, other researchers, and policy makers. As a leadership and policy studies journal, we seek submissions for peer review that advocate for equity and social justice and focus on educational problems of impact on high poverty, diverse learners. Unlike quantitative research, however, a research problem appropriate for qualitative study has not been theorized to the point that variables have been identified and defined; the need for the study derives from the need for clarity about the underlying concepts, practices, meanings, or variables involved in the problem. Alternatively, existing theory may be inaccurate, incomplete, or biased, and a need for exploration of such theory in practice invokes qualitative study.
2. The introduction should provide readers with a clear sense of any theoretical lens researchers are using to view the concept or phenomenon under exploration, e.g. critical race theory, funds of knowledge, distributed leadership models, etc. Often, qualitative studies are written from a first-person point of view, and readers are provided with insight into the experiences of the researchers that led to the study. In light of this personal stance toward the audience, writers should provide multiple reasons for the significance of the study vis a vis its contribution to existing scholarship, its potential to improve practice, or its potential to improve policy.

Quantitative studies seek to examine, compare, describe, or discover relationships among variables through the analysis of reliable and valid numerical data. Qualitative studies seek to explore institutions, people, and their practices, activities, cases, social or cultural themes, or experiences to find meanings shared by participants in a setting; such studies rely on observations, interviews, document analysis, focus groups, and related data sources useful in interpreting local meanings. Mixed methods studies incorporate a quantitative phase and a qualitative phase orchestrated to provide the broadest possible understanding of a phenomenon, problem, or case.

3. The statement of purpose should include information about the central concept or phenomenon under study, the participants in the study, and the research site or context. Unlike quantitative studies where at least two variables are identified with the intention of comparing or relating them, qualitative studies focus on one central concept or idea as it plays out in a setting with participants going about their ordinary lives. One main purpose of qualitative research is to identify and explore concepts, factors, or variables (themes) emerging from the qualitative data and to develop insights that explain what these themes mean in the lives of the participants.
4. The introduction should conclude with the central question of the research followed by a limited set of subsidiary questions. The relationship between the central question and the chosen qualitative research strategy should be made explicit. For example, the ethnographic strategy is

designed to explore meanings, beliefs, expectations, values, etc., of a group sharing a culture; the central question should focus on a group and shared culture. On the other hand, a phenomenological strategy is designed to produce a theory of the constituent parts of common individual experiences; the central question should focus on the individuals and the experience.

5. The methods section should identify, define, and document a recognized qualitative inquiry strategy with a brief discussion of its history. Criteria for site selection and for purposeful sampling of participants should be clearly stated. Specific strategies for data collection should be mentioned with a rationale given for their use. Procedures and protocols for recording and organizing data during collection in the field should be described. Specific steps in data analysis should be described consistent with the qualitative strategy selected, including methods of coding. Elements in the research design that emerged during the fieldwork should be described. The role of the researcher should be thoroughly discussed, including personal experiences or connections with the site and/ or participants. Checks implemented to ensure qualitative reliability and validity should be described.
6. The write-up of the findings should be consistent with the qualitative strategy. For example, narrative inquiry should include the presentation of an analysis of stories told by individual participants with appropriate quotes and chronologies. An ethnographic study should provide a detailed, thick description of life in a group that shares a culture. Tables, matrices, figures, and diagrams may be helpful in communicating findings. Unlike quantitative studies, which are often written in the third person point of view, the findings section in qualitative studies can be written from the first-person point of view. Interpretations from the researcher(s) are often made as data are presented to help the audience grasp meaning as experienced by the participants in the setting.
7. The discussion section should be consistent with the qualitative strategy employed. For example, if the purpose of the study was to derive a grounded theory of a process or event from the fieldwork, the discussion should articulate this grounded theory and link it to previous scholarship. In almost all cases, the discussion should focus on recommendations to improve policy and/or practice as well as suggestions for future research directions.

MIXED METHOD STUDIES

1. The introduction to a mixed methods study should be consistent with the emphasis in the study. If the dominant phase of the study is quantitative, that is, if a central purpose is to explain the relationship between two or more variables using measurements and statistical analysis, while the qualitative phase is follow up to explore the meanings of concepts for participants, the introduction should read like a quantitative introduction. If the dominant phase of the study is qualitative, that is, a concept or phenomenon is explored to identify its parts/ factors, while the quantitative phase is follow up to test any hypothesis that emerged during the qualitative phase, then the qualitative introduction is appropriate.
2. The mixed methods purpose statement should appear early in the study as a significant signpost for the reader. Because the study will report on two different designs with distinct inquiry strategies and research questions, readers will need to know quite clearly the rationale for integrating two designs in the study of one research problem. Readers also should be given a general overview of the procedures that were followed during the course of the study, including the timing and weighting of the two designs.
3. The methods section should begin with an overview of the design of the mix, that is, a general framework specifying when, how, and why each phase of the study was done. This overview should include an announcement of the way in which the data sets will be integrated. For example, a sequential mixed methods study with a dominant qualitative phase implemented first could be employed to discern a grounded theory of the variables important in setting; the findings from this phase might be used to develop a survey implemented to discern how widespread a particular practice or behavior is. All of the elements of the methods section in the single paradigm studies should appear in the methods section of a mixed methods study where there are two separate designs, which are connected in the end.
4. The findings section should present the data and its analysis in separate sections consistent with each paradigm. Visuals such as Tables and Figures should be displayed as appropriate for each paradigm. Integrated data analysis to show the convergences and tensions between the data sets should be presented.
5. The discussion section should clearly and explicitly explain the conclusions drawn from each of the separate designs as well as interpretations that emerge from mixing the findings. As with all other discussions, this discussion should focus on recommendations to improve policy and/or practice as well as suggestions for future research directions.

TRANSFORMATIVE CONCEPT PAPERS GROUNDED IN EVIDENCE FROM SCHOLARSHIP, POLICY, AND PRACTICE

JTLPS seeks to publish concept papers developing a perspective on an issue or problem facing the K-12 or community college systems that analyze, discuss, and document evidence and theoretical arguments that support one or more critical recommendations for action. Such papers integrate and synthesize peer reviewed empirical studies conceptual or theoretical or philosophical articles, policy briefs, legal or historical texts, or other papers of policy or practice germane to the selected topic. The expectation is that these papers will adhere to APA Guidelines (6th edition) and will be accessible to a wide audience of academics, professionals, and practitioners. Although we would be interested in seeing concept papers on a variety of topics of current interest, we have a special interest in concept papers related to STEM education for diverse students. We want to offer papers that emerge from deep and careful reading and thinking about influential and significant texts and present an original perspective on the topic grounded in evidence and scholarship.

Evaluative criteria for transformative concept papers:

1. Coverage
2. Original Perspective
3. Mixed Methods Perspective
4. Scholarly and Transformative Importance
5. Rhetorical Effectiveness