

**Beyond Compliance: Toward Effective Principal Leadership of English Language
Development Instruction**

By

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ABSTRACT

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English Language Development instruction (ELD) is at the forefront of scrutiny in many schools and districts at-large. Within the Bay Vista Unified School District (BVUSD), a storied history, highlighted by a class-action lawsuit and resulting consent decree, has set the context for large scale decision making around language instruction and how schools are held accountable. *Lau v. Nichols (1974)* began with a group of Chinese-American families alleging that the school district failed to provide the necessary language instruction to provide access for English learners to the core curriculum, much of which was presented in English. The result of the litigation was a lengthy consent decree mandating that BVUSD provide a minimum number of minutes of daily focused ELD instruction. District officials worked under the intense monitoring of a federal court judge to hold all schools accountable for the provision of this ELD instruction daily. Principals quickly became tasked with formulating a structure at school for leveled ELD instruction and a system to monitor its implementation. Items to be monitored heavily involved classroom environmental tenets of “quality” instruction.

Forty years later, *Lau* is still alive in BVUSD and principals, among the many other roles they play, are still responsible for this compliance-driven task of monitoring ELD instruction. The prevailing principal support, at the district level, is in the professional development on how to use the district’s monitoring tool to assess the level of implementation of ELD in classrooms.

The following design development study aimed to shift principal practice beyond simply monitoring for compliance into a practice of understanding the instructional indicators of effective ELD instruction and how to observe for them, thus building the capacity to acknowledge compliance, but observe and offer feedback to teachers on the highest leverage instructional tenets of truly high quality ELD instruction. The three dimensions of this design include an awareness of compliance orientation, a shared understanding of the principals’ loci of control, and the technical competence necessary to move practice forward, from environmental/compliance driven observations to instructionally sound ones. The intervention design involves ten one-hour sessions designed to have principals engage in a reflection on their reliance on compliance, come to a shared understanding of the principal locus of control, goal setting, skill building, and working toward efficacy. Through these design features and intervention activities, principals became aware of their reliance on compliance, what they, themselves, could actually impact in instruction, were able to engage in goal setting, and actually engaged in observations through the lenses of an acknowledgment of compliance and focus on instructional effectiveness.

DEDICATION

This dissertation, along with the countless hours of class, research group, reading, and refinement, is dedicated to my beautiful, supportive, thoughtful, and all-around lovely family. For my wife, Andi, and all of her patience with me during these long hours and longer weeks. You've been the best partner in life and have created such a supportive environment for me to read and write. It's hard to believe that, during LEEP, we had two kids, sold a condo, bought a house, and engaged in a six month renovation while living in a vacation rental. Here's to our Pacifica house, which exemplifies our focus on family. For Anna Banana, who was born following the first LEEP summer of classes. You've been my swimming partner on non-LEEP weekends and have brought such humor, wisdom, and adorable spirit into the lives of mommy and daddy. For Julia, who was born during research group, almost three years later, and has filled our lives with the happiest sleepless nights any parent could ask for. For Grammy and Grampy, whose bi-weekly visits kept our family together and supported during LEEP weekends, orals prep, and in the development of this dissertation. I couldn't have done it without you two amazing people. For Rose, my teacher, mentor, and inspiration in so many aspects of this privileged life I've lived. I'm bi-literate due in such large part to you and I'm an educator because I wanted to be like you when I grew up. For the Hilinskis, who always made higher education an expectation and not an option. You gave me every tool I ever needed to be successful in so many endeavors. I'm a better person because of my family.

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CHAPTER ONE

PROBLEM OF PRACTICE AND THE PROFESSIONAL KNOWLEDGE BASE

Introduction

A large achievement gap exists between fluent English proficient students and English language learners (Fry, 2007; Goldenberg, 2008; Oakes et al., 2012). With limited command of the English language, English learners have experienced difficulty accessing core curricula taught in English (Dutro & Moran, 2002). In California over the past fifty years, many significant acts of legislation have contributed to the limited access of English learner students to social services, including schools providing targeted language development instruction. With limited English and limited access to schools and English Language Development (ELD) instruction, the implications for English learners include serious academic challenges leading to an increased dropout rate and fewer opportunities for career development and advancement than their English proficient counterparts (Dutro & Moran, 2002; Fry, 2007; Goldenberg, 2008; Oakes et al., 2012).

To address this issue, a number of remedies have been tried including the establishment of leveled language development instructional blocks and limited allowances for the provision of dual language programs. Though a number of remedies have been tried, literature indicates that what works best in the development of academic English within schools is when the principal serves the role of instructional leader (Seyfarth, 1996; Quinn, 2002). One way to address the achievement gap between English learners and English proficient students is to examine ways in which principals provide instructional leadership and support of English Language Development instruction provided by teachers to English learners. Principals are responsible for observing classrooms, providing feedback to teachers, and providing professional development to support teacher practices; and thus, principals have the capacity to positively impact teacher practice. This is done by providing focused classroom observation, meaningful feedback, and targeted professional development to improve teacher instruction of English Language Development to English learners, one of the most at-risk populations of students in American schools. Thus, a focus on principal leadership is crucial in the understanding of how to improve teacher practice through impactful instructional leadership.

English Learners within the California Student Population

English Language Development instruction is an area where principal knowledge, support, and leadership are essential in ensuring that effective teaching occurs (Dutro & Moran, 2002; Castori et al., 2003). Over the past 25 years, the overall enrollment of schools in the United States has increased by more than 10 million to 55.4 million students (Oakes et al., 2012). The United States Department of Education reports that 49.4 million of these students are enrolled in American public schools, and, as of 2009, the racial demographics of public schools across the country are as follows: 55% identified as White, 22% as Latino, 15% identified as African American, and 8% as Asian (www.ed.gov). Since the 1970's, Oakes et al. (2012) state that the population of Latinos in public schools has tripled while the White population has decreased by approximately 22%. In 2008, 11.2 million students came from homes where one or more languages, other than English, were spoken. At that time, this accounted for 21% of school-age children, up from 10% in 1980 (Oakes et al., 2012). These national trends are even more pronounced in California, where English learners make up 23.2% of the public school population, with 83% of those speaking Spanish as their primary

language¹. Oakes et al. (2012) assert that Latino families are more likely to experience issues of poverty including, but not limited to, housing problems, inadequate healthcare, and shortages in other basic human needs. Issues of inequitable schools with inadequate facilities, insufficient instructional materials, and ineffective teachers have plagued minority families so much so that a notable case on the issue, *Williams v. California* (2000), was brought to trial. In *Williams v. California* (2000), the state was sued for failure to provide these minimum equitable standards in its public schools. Four years later, the case's remarkable settlement resulted in a consent decree requiring districts to ensure that all students have access to highly qualified teachers, functional facilities, and enough textbooks for all students (Oakes et al., 2012). Interestingly, it took a class action lawsuit for these necessary actions and accountability to occur.

English Language Development and Social Justice

One of the stark realities of American schools is the existence of wide gaps in achievement between English learners and English dominant students, socio-economically advantaged and disadvantaged students, and between students of the majority and minority cultures of society. Instructional leaders are often charged with closing these achievement gaps by leading for social justice and equity. Ladson-Billings (2006), asserts that a simple Google search of the term “achievement gap” will likely render more than 11 million citations. A survey of the literature includes many explanations for the existence of this gap in achievement between English proficient and English learner students. Some researchers argue that it is because many English learners come from immigrant families struggling to meet basic needs, such as food and shelter (Haycock, 2001; Becker & Luthar, 2002; Balfanz & Byrnes, 2006). Haycock (2001) specifically argues that adults will likely cite reasons about children and their families, but that the younger generation will cite reasons including ineffective teachers, dismissive principals, and low expectations from school staff. The achievement gap, though, has become part of the common lexicon around equity in schools, but it is more than a gap (Ladson-Billings, 2006). What is occurring in schools is a result of a larger educational debt from the historical, economical, moral, and sociopolitical decisions and policies creating disparate opportunities and access for socio-economically disadvantaged students of color, many of whom are African American and Latino in descent. Immigrant populations make up a significant portion of these students (Ladson-Billings, 2006). Gandara et al. (2003) argue that English learners fall behind as a result of segregation, as English learners are more likely to attend schools where they are surrounded by other students who are not proficient in English. Additionally, they claim that English learners are more likely to attend schools with ill-prepared teachers, less than satisfactory facilities, and a lack of students who are achieving at or above grade level. Over time, these disparate opportunities have resulted in a perpetual imbalance between English dominant students and English learners with regard to academic achievement, an education debt (Ladson-Billings, 2006; Gandara et al., 2003).

Instruction and instructional leadership focused on English language learners occurs within an institutional context and history that shapes how these phenomena play out in schools. Together, these contextual factors add up to a compelling issue of social justice for English learners. Evidence suggests that explicit and meaningful English Language Development instruction is essential in providing access to curricular content for speakers of other languages (Dutro & Moran, 2003). Yet, in most schools, students who struggle with the English language are unable to comprehend other curricula, taught in English, such as history and science (Dutro & Moran, 2003). These challenges

¹ Source: California Department of Education. <http://www.cde.ca.gov/ds/sd/cb/cefelfacts.asp>. Retrieved 8/30/2013

contribute to a significant gap in achievement between students proficient in English and English learners as measured by standardized tests (Fry, 2007). In 2005, the Pew Hispanic Center conducted research on the “Nation’s Report Card” and on assessments administered by 35 states as part of the No Child Left Behind law. The Pew Hispanic Center reported that 51% of eighth grade English learners lagged behind English dominant students in reading and mathematics (Fry, 2007). In the fourth grade, 35% of English learners were behind English dominant students in mathematics and 47% were in reading (Fry, 2007). These data are a stark reminder of the gap in achievement between English learners and their English dominant counterparts, one that has resulted in a focus, by many schools and districts, on English Language Development instruction for all English learners (Goldenberg, 2008). The instruction of English Language Development, however, does not take place in a setting void of powerful political forces, as the development of the English language and its impact on the student achievement of English learners has long been connected with issues of equity and social justice (Corson, 1993). Although a gap in test scores alone has been contested as a social justice problem, these gaps are related to a broader array of concerns such as high school completion and post-secondary educational opportunities (Fry, 2007; Goldenberg, 2008). These are indicators of student achievement beyond the test scores themselves.

The following section will provide the context for these issues of social justice by examining some historical landmark laws and cases that have had an impact on students and families learning English as a second language. Specifically, I examine the impact of California Proposition 63 (1986) which defined English as the official language of California, Proposition 187 (1994) that denied education and other social services to undocumented workers and their families, and Proposition 227 (1998), known as “English for the Children,” which eliminated bilingual education programs in the state of California. Although each of these California propositions brought forth a plethora of resistance and protest, both from immigrant families and supporters, among the governmental actions that produced resistance was lawsuit *Lau v. Nichols* (1974). This suit, filed by a class action of Chinese American families, claimed that the San Francisco Unified School District failed to provide adequate support for English learners in accessing the core curriculum (Watson, 2004). But, 39 years later, the wide gap in achievement between English learners and their English proficient peers continues, indicating that the United States has failed to repay its debt to English learners by providing equal access to academic content (Ladson-Billings, 2006). The following are some specific political actions that build significant context to the discourse on the challenges facing English learners.

California Proposition 63 – “Official English”

The passage of Proposition 63 during the midterm election of 1986 declared English as the official language of the state of California. While controversial amongst educators, this initiative passed with broad public support by a margin of 73% to 27%. Although six states had passed similar legislation in the past, the California initiative differed in that because it is a constitutional amendment, this initiative can only be amended or repealed by another constitutional amendment. Furthermore, under Proposition 63, any resident or person doing business in California now had the right to sue the state to enforce patron use of English. This was unlike any similar legislation in other states. In addition, this was the first time that the issue of an official language had been brought to popular vote, setting a significant precedent for other states to potentially follow (Dyste, 1989).

Examining language policy reveals that the way an issue is framed has a lot to do with the support it receives (Citrin et al., 1990). As Citrin et al. (1990) explain, the debate between “language

rights” and “official English” has involved the competitive manipulation of national unity and equality. One study, using survey data to glean the role played by feelings of national identity, the authors found that, for most citizens, English is symbolic of Americanism and that “official English” is an attempt to keep strong that now vulnerable image (Citrin et al., 1990). Following the passage of Proposition 63 in California, bilingual programs quickly faded, providing a disservice to bridge the gap between home language and English for English learners (Dyste, 1989; Citrin et al., 1990; MacKaye, 1990). Proponents of bilingual education attest that students who dominate their native language make a smoother and more effective transition into English as a second language. “Official English” and the removal of bilingual programs added a significant challenge for schools to build that native language foundation for students, which could better allow students to transition into English (Dutro & Moran, 2002; Gandara et al., 2000).

California Proposition 187 – “Save Our State”

The passage of Proposition 187 in 1994 established a state-run citizenship screening system in California to prohibit undocumented immigrants from using health care, public education, and other social services in the state. Even though the voter-approved initiative was ruled unconstitutional in Federal Court, it was considered to be symbolic due to causing friction between citizens and undocumented immigrants in California (García, 1995). García (1995) asserts that immigration law and politics have been historically intertwined with racial prejudice and that this was clearly evident when a group of concerned citizens organized around “Save Our State.” In essence, this group vehemently expressed that they were fed up with “illegal aliens sapping the state’s resources, crowding their children out of public schools, and crowding welfare offices and emergency rooms” (García, 1995). Opponents of Proposition 187 argued that the initiative was inherently racist, nativist, and motivated by antipathy toward minorities, mainly Mexican-Americans (García, 1995; Johnson, 1995). Following the passage of Proposition 187, immigrant families were denied access to a plethora of resources including healthcare and other social services. Because they were to be denied public education services, it placed district and school administrators in the place of questioning the immigration status of students. Many school and district officials, though, practiced an unwritten “don’t ask, don’t tell” ideology (Calavita, 1996). Calavita (1996) writes that the politics of Proposition 187 initiated a new era of “symbolic voting,” or using one’s vote to “send a message” and that this spoke to the larger issues of low voter turnout and power in the hands of too few. In this particular case, undocumented individuals and families were alienated, both in the policymaking process and in its outcome (García, 1995; Johnson, 1995; Calavita, 1996). Although “Save Our State” was later found to be unconstitutional, English learners and their families, many of whom were undocumented, experienced further challenges in finding equitable access in schools during this era (Alvarez & Butterfield, 2000).

California Proposition 227 – “English for the Children”

Elements of prohibition for undocumented students and families continued with the passage of Proposition 227. Sixty-one percent of the California electorate passed Proposition 227 in 1998, an initiative designed to mandate that all students of California receive instruction “overwhelmingly in English” (Parrish et al., 2006). “English for the Children” allowed for one transitional year of Sheltered English Immersion for an English learner before a mandatory transition to a mainstream English classroom. Proposition 227 banned bilingual education in the state of California and, in doing so, limited the support English learners could receive in their native languages. This initiative has been described as ‘discrimination by proxy’ (Johnson & Martinez, 1999). Johnson and Martinez (1999) contend that Proposition 227 violated equal protection under the law, as English learners

were denied support services in their native languages to support the transition to English. A later exception was made for a very limited number of bilingual programs to operate; however participation was contingent upon parent consent, waiving English Only services. Proposition 227 has been described as a subtractive approach to language instruction, in that the native language of a student was to be replaced by English (Valenzuela, 1999). Valenzuela (1999) argues that the message sent to English learners and their families was that English is the legitimate language and Spanish, for example, holds less social capital. Although Gandara et al. (2000) claim that the implementation of Proposition 227 was widely varied from district to district, the implicit message to English learners was that English is the language of power. “English for the Children” removed primary language support for English learners in California public schools, creating a significant barrier to learning (Johnson & Martinez, 1999; Valenzuela, 1999; Gandara et al., 2000).

Lau v. Nichols (1974)

Following many experiences of legislation creating significant hardships for English learners and their families, a class action of Chinese American families fought back by filing suit against “the district.” *Lau v. Nichols* (1974) was a lawsuit, brought forth by a class action of Chinese American families against the San Francisco Unified School District, whereby they claimed that these second language learners were not receiving adequate services to support their development of the English language. Citing Title VI of the Civil Rights Act of 1964, this class action argued that the lack of linguistically appropriate accommodations violated the rights of Chinese American students on the basis of their ethnicity (Watson, 2004). *Lau v. Nichols* (1974) framed the acquisition of English, as a second language, as a gateway to accessing school curricula. The plaintiffs claimed that the denial of services to support such English language acquisition was, in effect, a violation of their civil rights (Watson, 2004). Within the legal community, the literature illustrates *Lau v. Nichols* (1974) as a demand for equal protection under the law. Although opponents claimed that Lau could set a dangerous precedent of the federal government intruding on states’ rights in education, the United States Supreme Court ruled in favor of the 1,800 students named in the suit (Sugarman & Widess, 1974). The San Francisco Unified School District remains under a federal consent decree to implement English Language Development programs for all English learners. The ruling in *Lau v. Nichols* (1974) had a tremendous impact on the establishment and development of support services for English learners in San Francisco and innumerable other public schools and districts (Watson, 2004; Moran, 2005).

A Storied History in California Schools for English Learners

As is evident from these citizen and court initiated policy prescriptions, English learners have had a storied history in receiving access to public education and social welfare. The elimination of bilingual programs in the state of California, under Proposition 63, severely limited both the maintenance of students’ home languages and the strengthening of a native language foundation necessary to better transition into English as a second language. Proposition 187 went one step further and eliminated public education and other social services for undocumented immigrants. With the passage of Proposition 227, English learners were given just one year of sheltered English before abruptly transitioning into mainstream English only instruction. In response, with insufficient language development instruction and severely limited access to the core curriculum, a class action lawsuit, *Lau v. Nichols* (1974), was brought forth by nearly 1,800 Chinese American families in San Francisco public schools. The resulting consent decree, mandating a minimum standard for English Language Development instruction, validated the sentiment that regular high

quality language instruction in English is essential for English learners to access curricula and achieve at the same levels as English dominant students.

The historical events around this decree frame the context in which our English learners have been taught. This context cannot simply be ignored as school leaders monitor academic instruction. Effective, integrated, and relevant English Language Development, I assert, is the most significant instruction that teachers can impart on English learners. Without it, it is nearly impossible for English learners to access curricula, much of which is instructed in English. For this reason, it is essential that school leaders effectively monitor the instruction of English Language Development in schools. It is an academic focus that allows for English learners to access curricula to the degree of their English proficient counterparts

Problem of Practice and Design Challenge

Many Bay Vista Unified School District (BVUSD) principals lack a common understanding of the features of high quality English Language Development instruction and are unable to provide teachers with focused, goal-oriented, and academically rigorous support in the instructional planning and delivery of English Language Development. Under the pressures of compliance with a lengthy consent decree, principal knowledge of English Language Development does not extend beyond the checklists spelled out in court orders, is mostly superficial, such as what bulletin boards should be posted and which textbooks should be utilized, and, as a result of this lack of deep and consistent pedagogical knowledge, principals are unable to deliver feedback to teachers on concrete next steps in improving their practice of teaching language. The district trains principals to support teacher instruction of English language development using the consent decree as its sole module. Principals are supported in working with teachers on remaining in compliance, but this training does not extend further into the higher-level support of high quality language instruction. Without this principal support of high quality instruction, English Language Development instruction one of the most important instructional blocks, for some of our most at-risk students, is often mediocre at best and focused on the superficial elements of “quality” instruction.

Consulting the Professional Knowledge Base

To better understand English Language Development instruction, this section discusses the current state of practices related to teaching English learners. Specifically, it focuses on the ways in which English Language Development classes are structured, the ways principals observe teacher instruction, the way feedback is delivered to teachers, and how professional development is planned and delivered. I first discuss a common English Language Development structure by which students are placed in homogeneously grouped classes, based solely on their English Language Development levels. In California, these levels are determined by student scores on the California English Language Development Test (CELDT), an annual formative examination that assesses proficiency in reading, writing, speaking, and listening comprehension in English. Principals observing and providing feedback based on homogeneous student groupings is inherently problematic from the outset, as they are providing feedback on a broken structure (Dutro & Moran, 2002). Finally, I discuss how fostering a compliance orientation impacts principal leadership of English Language Development instruction in many public schools and districts. Various protocols and tools have been directly linked to issues of remaining in compliance with, in many cases, mandates around English Language Development instruction. Taken together, I argue that these components of instructional leadership for English Language Development constitute a flawed approach to improving instruction for English learners.

The Leveled English Language Development Block

Currently English Language Development instruction in many schools and districts across the United States is characterized by instruction delivered in leveled classes, where students are grouped homogeneously based on English proficiency (Saunders et al., 2006). In California, all English learners are administered the California English Language Development Test (CELDT) and the results from this examination are used to determine in which English Language Development class students will be placed. In most cases, the argument is made that these leveled classes benefit the development of oral language and allow for targeted instruction; however, the empirical literature on the effects of leveled instruction on even oral language development is limited (Saunders et al., 2006). Researchers are just beginning to study and understand what might comprise instruction that focuses on academic language and introduces students to the de-contextualized register of academic language (Dickinson & Sprague, 2001).

A survey of the literature indicates that these leveled English Language Development blocks are the result of the federal legislation No Child Left Behind which requires that all schools meet annual progress objectives based on the percentage of students meeting challenging academic standards. Mastery of these standards is often contingent upon a strong command of the English language. Because of this legislation (No Child Left Behind, 2001) requiring the assessment and progress reporting of students in subgroups, English learners being one of the most statistically significant of them, districts have responded by leveling students for English Language Development instruction to better focus language instruction (Olson, 1977; Snow, 1991). Other districts, such as the Bay Vista Unified School District, level students for English Language Development instruction, as they are mandated to do so. The resulting consent decree from *Lau v. Nichols* (1974) mandates that all English learners within the district receive no less than thirty daily minutes of leveled English Language Development instruction. Although there is increasing evidence that measures of oral proficiency that index academic language use correlate positively with other measures of academic achievement, there is little empirical research on the effectiveness of language development instruction in homogeneous groupings (Genesee et al., 2004). Schools and districts claim to level this area of instruction as an attempt to better focus instruction, but are often doing so to remain in compliance with mandates. Regardless of the rationale, principals are still tasked with structuring and monitoring English Language Development in schools.

High Inference Classroom Observation

Another prevailing practice related to instructing English learners is the use of high inference observations when principals are looking at teacher practices (Rosenshine, 1970; Rosenshine & Furst, 1971; Chávez, 1984). Observation is a multi-faceted tool for learning and there is a great need for the collection of data on classroom observations. Its experience comprises both the time in the classroom along with preparation before and follow-up after. Classrooms are complex in that many processes occur in concurrence and overlap. It is primarily for this reason that observers often seek to analyze why an event is happening in a classroom rather than simply observing for exactly what is happening (Wajnryb, 1992).. As Rosenshine (1970) notes, classroom instruction is most often measured indirectly in the evaluation of instructional programs. He cites rating systems as an example of high inference observational methods and defines inference as the process intervening between the objective data seen or heard and to the coding of those data on an observational instrument (Rosenshine, 1970). As will be discussed later, evidence shows that observations that comprise of more low inference methods may serve as better tools in shaping instructional practices (Rosenshine, 1970; Rosenshine & Furst, 1971; Chávez, 1984). That said, principals rely on high

inference rating systems in observing classrooms, but, as Rosenshine (1970) comments, these lack specificity and the observer must infer the frequency and nature of the behaviors observed. One of the root causes of principal reliance on high inference classroom observations is that the classroom is a familiar place and school leaders often overlook, or take for granted, significant events taking place that may be commonplace. Principals often enter a classroom looking for the meaning or explanation of interactions between students and teachers rather than simply noting the practices actually occurring (Wragg & Wragg, 2011). The use of high inference observation is more useful in a classroom where climate is being studied, where meaning is intended to be inferred by the observer (Chavez, 1984), but not when collecting objective data to engage teachers in a reflective conversation on how to concretely improve instructional delivery (Rosenshine, 1970).

Classroom observation tools are often designed to allow for principals to focus specifically on certain types of students, such as English learners. Observation tools designed to focus on English learners allow for focused data collection on the equitable participation of English learners and English proficient students. In addition, these tools allow principals to determine whether English learners are accessing curricula at the same rate as English proficient students (Acheson, 1981). Although these tools are designed for principals to observe a classroom through a certain lens, in this case the lens of language development and acquisition by English learners, the manner in which data is collected is inherently high inference (Haager et al., 2003). The use of a rating system or scale requires the observer to infer from objective data and general commentary is high inference in nature, but almost always part of a classroom observation (Rosenshine, 1970; Haager et al., 2003). As is often the case, even the most valiant attempts at objectively observing a classroom are hindered by rating scales, general commentary, and descriptive language that requires the observer to make meaning from raw data (Rosenshine, 1970; Haager et al., 2003). This is common principal practice in the current state.

Feedback Following Observation

Meaningful principal feedback to teachers following a classroom observation is essential in shaping teacher practice (Blase & Blase, 1999). In a study by Blase and Blase (1999), it was found that, by visiting classrooms and giving post-observation feedback, principals “hold up a mirror, serve as a critical friend, and act as another set of eyes.” The key finding was that observing classrooms and providing meaningful feedback to teachers is instrumental in improving teacher practice (Blase & Blase, 1999). Teachers in the study reported that effective feedback focused on classroom performance, was detailed and specific, expressed caring interest and support in a nonjudgmental way, provided praise, established a problem-solving orientation based on trust and respect, discussed teacher-student interactions, and further expressed the principal’s availability for follow-up.

The authors comment, though, that classroom visits without dialogue or feedback produced less of an impact on teacher reflection and improvement (Blase & Blase, 1999). This is common practice, though, as principals often get caught in functions of school leadership far removed from the classroom. If observation occurs at all, feedback is sporadic at best (Whitaker, 1997). Whitaker (1997) states that because principals often get caught up in the day-to-day office operations, discipline, paperwork, and telephone conversations, they fail to realize that the school business of importance is away from the office and inside of the classrooms. The author continues to remark that principals may pop in and quickly make rounds, but that these visits do not allow for thoughtful observation and leave no time for or importance placed on the delivery of feedback to teachers (Whitaker, 1997). Teddlie et al. (1989), in a study of effective versus ineffective schools, found the principal to be the central figure who guarded the integrity of the classroom. The authors, using

field notes from observations of 116 teachers in eight matched pairs of schools, discuss that the effective school principal is visible in classrooms and aware of innovations by teachers. On the other hand, they found that ineffective principals only appeared in classrooms for bureaucratically routine evaluation observations and that these observations were meaningless, containing neither preconference, follow-up, or feedback whatsoever (Teddlie et al., 1989). Without meaningful feedback following classroom observation, teacher practice is destined to remain stagnant (Teddlie et al., 1989; Whitaker, 1997; Blase & Blase, 1999). The prevailing behavior pattern is that principals are distracted from instructional leadership by operational tasks. Classroom observations are sporadic with little to no principal time or availability to provide meaningful feedback. Feedback is based on pop in visits and leaves teacher practices stagnant at best (Teddlie et al., 1989; Whitaker, 1997; Blase & Blase, 1999).

English Language Development Professional Development

In a survey of California teachers of English learners, Gandara and her colleagues (2005) found that teachers continually commented on the inability of their districts to provide effective professional development around the instruction of English learners and, additionally, the school to home connection between teachers and the families of English learners. More than 20% of the teachers in the study commented that insufficient time to plan and insufficient time for ongoing professional development were two large barriers in the improvement of English Language Development instruction for English learners (Gandara et al., 2005). A survey of the literature indicates that, when making budgetary decisions around the support of English learners, many teachers and principals rank the need for materials over that of professional development. Furthermore, instructional materials are often purchased without any professional development to guide implementation in the classrooms (Crookes et al., 1995; Gandara et al., 2005). In many districts, professional development is provided centrally, without ongoing coaching support, which can leave teachers feeling disconnected and fragmented in their learning (Johnson & Golombeck, 2002). Fragmented professional development without ongoing support, instructional materials without support in implementation, and inadequate opportunities for professional development are three significant issues impacting the current state of English Language Development instruction in schools.

Compliance Orientation

Principal leadership and support of English Language Development instruction is often dictated by external forces, such as laws and mandates, courts and consent decrees. *Lau v. Nichols* (1974) is just one example of how the structures of English Language Development are mandated, leaving principals few options to create structures of the English Language Development block. That stated, principals do have quite a bit of autonomy regarding the instruction that is taught. As a result of a class action lawsuit, the Lau Decree requires all BVUSD principals to ensure that English Language Development blocks are leveled and that all English learners receive this leveled instruction for thirty minutes per day. It does not mandate, though, that English Language Development must be taught in the complete absence of content area instruction, but this is often what occurs. Language is taught in isolation without a connection to content area subject matter.

These types of mandates and decrees exist in numerous districts across the state and nation (Watson, 2004). More than three thousand miles away, in New York City, *Aspira of New York v. New York City Board of Education* (1975) resulted in a consent decree that included ten years of ongoing negotiation between the plaintiffs and the district. Throughout these ten years, policy and practice

of English Language Development frequently changed in New York City. The decree determined the cutoff percentile score for students with Spanish surnames to be identified as English learners. The literature indicates that simply using Spanish surname as an indicator of English learner status is inherently flawed, as many students with Spanish surnames, in fact, have little to no Spanish language exposure at home (Reyes, 2006). This cutoff percentile for English learner identification of students with Spanish surnames moved from 20 to 40 and back to 20 again. In essence, the negotiation in the court system determined the number of English learners in the schools, students who were eligible for both English Language Development services and bilingual education. School officials were only able to qualify students based on the percentiles handed down by the courts. Students scoring above the twentieth, and then the fortieth, and then the twentieth again, percentiles were ineligible for services granted to English learners. These included English Language Development courses and access to bilingual education (Reyes, 2006).

Both *Lau v. Nichols* (1974) and *Aspira of New York v. New York City Board of Education* (1975) are clear examples of how school officials made instructional and structural decisions, impacting the education of English learners, based solely on compliance orientation. That said, Dutro and Moran (2002) argue that language development should occur beyond its designated class period and should occur within the context of content. Essentially, principals under the pressures of compliance can still lead and support impactful English Language Development instruction, as compliance orientation, in this regard, leaves many curricular decisions in the hands of school leaders. Rarely does this occur, though, as principals lead with a much more significant lens on the structures of English Language Development than the content of instruction (Dutro & Moran, 2002).

Finally, the current patterns of English Language Development leadership and instruction are marked by the tendency and, in some cases, requirement, to structure English Language Development instruction in leveled classes based solely on English proficiency. Principal observation of classrooms, high inference in nature, leans very much on the subjective and, with limited feedback, teacher practice can stagnate. Although materials are valued and, in many cases, purchased, there is a need for professional development to guide and support the implementation of effective English Language Development instruction. Mandates and directives from the exterior, such as court rulings and consent decrees, frequently dictate how English Language Development is structured and delivered, leaving principals unable to make decisions based on anything but compliance orientation. This is a rigid structure in many schools and districts across the country. Much of the current state of English Language Development is in stark contrast to the desired state of English Language Development, taught within the context of content, with strong principal leadership and ongoing support.

Desirable Patterns of ELD with Strong Principal Leadership and Ongoing Support

As noted, many of the behavioral patterns that are currently being tried include leveling students for language development instruction, the principal use of high inference classroom observation, little to no effective feedback from principal to teacher, limited effective professional development on English Language Development, and a reliance on compliance orientation. Thus, this section will discuss approaches that literatures shows are promising practices on principal leadership for English Language Development instruction. Many of these are opposite to what is currently occurring. Specifically, the remedies that have shown promise include providing content instruction in the heterogeneous classroom; using an architecture approach to language development; conducting lower inference approaches to classroom observations; providing effective feedback to teachers following classroom observations; and utilizing models of ongoing coaching

support as a form of professional development to ensure teachers receive both the training and ongoing support to deliver effective English Language Development instruction. This section will examine the literature on each of these approaches.

English Language Development Taught within the Context of Content

Susana Dutro, a prominent researcher, curriculum writer, English Language Development strategist, and practitioner with a plethora of experience working with teachers and school leaders, has been a significant voice in the English Language Development community. Dutro (2002) presents a blueprint for English Language Development instruction. In it, she claims that language development should be explicit instruction of the English language. This includes its complex grammar and usage structures. Although no language could be taught in isolation of content knowledge, language development time is a time for just that, the study of language forms and functions (Dutro & Moran, 2002). That is, just teaching “in” English is not effective language development instruction. It is the explicit instruction “of” English that sets the standard for effective English Language Development instruction. “Systematic English Language Development,” as Dutro and Moran (2002) describe, is made up of a three part blueprint. The first part is a “vertical slice” of the curriculum. That is, English instruction follows a logical scope and sequence moving from simple to more complex structures and forms. Secondly, frontloading the language of instruction is key in presenting English as a language to English learners. Frontloading is a common term used to define the teacher practice of providing students access to the key vocabulary and language structure of a lesson before presenting the content. This way, students can access the content of the lesson without struggling on the vocabulary and language nuances. This practice of frontloading is particularly important for English learners, as they are more likely to struggle with curricular content without upfront direct instruction on the nuances of language and key vocabulary (Dutro & Moran, 2002). Finally, they describe the third tenet of this blueprint as maximizing the teachable moment. Essentially, teachers should stop and address issues of grammar, usage, and language, in general, while students work “in” English throughout the instructional day. It is a missed opportunity, Dutro and Moran (2002) claim, when teachers focus on content above and beyond the intricacies of language. If a teacher does not address the issues of language, for English learners, during the instructional day, it may be the case that no one will. It should be noted that, although a broad knowledge base in the field is cited, Susana Dutro’s “Systematic ELD” is a program offered, for monetary value, to schools and districts to structure English Language Development instruction for teachers.

In a report to the University of California Language Minority Research Institute, Castori et al. (2003) cite a five year study on seven teachers and recommends that English Language Development instruction occur within the heterogeneous classroom rich with content instruction. During the time of the study, the team examined three key categories related to the instruction of English learners: a focus on language literacy in terms of reading and writing proficiency, academic literacy in terms of content acquisition, and programmatic factors that inhibit or promote effective instruction toward English learners. In studying multiple teachers across multiple schools and districts in California, Castori et al. (2003) deduced that the most effective and impactful language instruction occurred within classrooms where the language was integrated most effectively with content instruction. This is aligned with the claim that the most effective English Language Development instruction is that which is best integrated in core content areas, such as math and science (Gerstetn & Baker, 2000; Dutro & Moran, 2002; Castori et al., 2003). It provides students with a clearer understanding of how language functions within the context of content. Language

instruction is more relevant and engaging for students when they clearly see its connection with content area instruction (Gersetn & Baker, 2000; Dutro & Moran, 2002; Castori et al., 2003).

In sum, the three key features of the content integration approach are a logical sequence from simple to complex language structures, the frontloading of language, and maximization of the teachable moment during the instructional day. A teachable moment could be, for example, when a complex English sentence structure appears in the context of science. High quality English Language Development, as argued by Dutro and Moran (2002), is English Language Development instruction taught within the context of core content instruction. Delivering English Language Development instruction within the context of content could indeed be done while maintaining compliance. This, though, requires a shared understanding, by principals, of what high quality English Language Development instruction looks like.

Taken together, mixed language level students working together in content area courses, combined with the architecture approach to English Language Development, having students construct content area meaning through the structures of language, provide a more suitable starting point as the basis for observation, feedback, and teacher growth led by instructional leaders.

Low Inference Classroom Observation

The collection of data in observing classroom instruction is necessary in evaluating the effectiveness of instructional delivery (Rosenshine, 1970). Rosenshine and Furst (1971) define a low inference measure of observation as a rating system that classifies and denotes relatively objective classroom behavior and is recorded as frequency counts by the observer. Low inference measures are relevant, as they serve as a cornerstone for the development of a conceptual framework of classroom research (Chávez, 1984; Farrell, 2011). A survey of the literature indicates that the use of low inference classroom observation is effective in taking the observer subjectivity out of the process of noting both teacher and student interactions and collecting data to inform principal support of teaching and learning (Rosenshine, 1970; Rosenshine & Furst, 1971; Chávez, 1984).

One principal practice of collecting low inference observation data is known as "selective verbatim" (Acheson, 1981). Acheson (1981) defines selective verbatim as a method of having the observer record exactly what is said during a lesson, both by the teacher and students. The author argues that this observation method allows for the collection of accurate, objective, useful, and persuasive data. He defines persuasive data as data free of judgment. Using selective verbatim also allows for the observer and teacher to collaborate and define categories to focus the observation before the visit. Teacher questions, student responses, student mannerisms, teacher reward and praise statements, teacher criticism, student responses to teacher questions, and student initiated statements are some examples of these categories that could be collaboratively selected by the observer and teacher before the classroom visit (Acheson, 1981; Farrell, 2011).

Another method of collecting low inference classroom data is by using a verbal flow chart to track the direction of classroom conversation (Acheson, 1981). Acheson (1981) presents this method as an approach by which the observer observes for the direction of a conversation and draws a line on a seating chart connecting one student's name and seat to the next as the conversation moves from one student to the next. According to the literature, this observation approach encourages a teacher to ensure equitable participation in classroom conversation by English learners and English proficient students. Without careful attention to and tracking of classroom conversation, the most common teacher tendency is to consistently call on students who

either raise their hands first and are likely to have the correct answer in mind (Acheson, 1981; Farrell, 2011). The most significant purpose of collecting this low inference data, though, is to use in a follow up conference with the teacher during which the teacher can engage in the process of naming the practices and learning to inform next steps in improving classroom instruction (Acheson, 1981; Rosenshine, 1970; Chávez, 1984).

Effective Feedback

There is an abundance of literature describing the content of feedback that can support teacher instructional practice (Acheson, 1981; Brinko, 1993; Cotton, 2003; Ilgen, Fisher, & Taylor, 1979), but rarely do researchers observe the ways in which feedback is delivered to educators (Brinko, 1993). Feedback can be conceptualized as a sender, or source, delivering a message to a recipient (Ilgen, Fisher, & Taylor, 1979). Ilgen, Fisher, and Taylor (1979) argue that delivering feedback is an event and the content and purpose of feedback should be closely considered. It is essential that time is set aside for a post conference to every observation so that information can be shared from observer to teacher. Brinko (1993) claims that this does not happen without careful attention to planning the follow-up meeting after an observation.

A classic effective cycle of effective feedback from principal to teacher involves a pre-observation conference, a focused observation where data is collected, and, most significantly, a follow up meeting whereby a principal and teacher can engage in a conversation around observation findings, their meaning, and next steps to improve practice (Cotton, 2003). Cotton (2003) defines effective observation and feedback as one of 26 essential components of highly effective schools. The collection of low inference data from a classroom observation is directly connected to the delivery of effective feedback from observer to teacher (Acheson, 1981). The purpose of collecting objective data is to allow for the observer, in our case the principal, and teacher to engage in a process of naming the observed practices to identify, define, and discuss their implications (Acheson, 1981). For example, a principal should note the question that a teacher posed to the class, the amount of wait time before a student was called on, how the student was called upon (hand raised, for example), the student response, the teacher praise or redirection, and other actions following the event. During the post observation conference, the principal should share the objective data to the teacher and engage in a conversation by which the principal allows for the teacher to name the practices. In doing this, feedback is delivered objectively and the teacher is engaged in discussing the implications (Acheson, 1981; Brinko, 1993). Without a time set aside for the delivery of this feedback, the event would be less structured and far less effective (Brinko, 1993). Both the observer and teacher should be involved in a conversation during which feedback is delivered (Acheson, 1981; Brinko, 1993; Cotton, 2003).

Observation without feedback is an ineffective way of improving teacher practice and could limit the effectiveness of the instructional leader (Cotton, 2003). Although selective verbatim, seating charts, and conversation flow charting are just three examples of low inference observation methods providing data for feedback, the common thread is that data collected without inference or judgment can better engage teachers in receiving feedback and principals in delivering it.

Professional Development with Ongoing Coaching Support

Although the knowledge base is limited in professional development specifically for teachers of English Language Development, the literature points to strong value on cognitive coaching for teachers of English learners, some of our most at-risk students (McLymont & da Costa, 1998;

Gersetn & Baker, 2000; Dutro & Moran, 2002; Castori et al., 2003). Cognitive coaching, or the application of specific strategies in a nonjudgmental environment, built around a collaborative, reflective planning conference, is one way of going about taking the judgment out of the ongoing support for teachers (McLymont & da Costa, 1998). Although it presumes a non-authoritative approach, cognitive coaching ensures that the support given in professional development is continued and conducted in an ongoing manner over time. Penuel, et al. (2007) state that the incorporation of time for teachers to plan for implementation, following any professional development experience, and provision for support are significant in teacher learning. Both Penuel, et al. and McLymont and da Costa agree that the only way that workshops can be effective forms of professional development is if they are followed up by ongoing support and training in the form of nonjudgmental teacher coaching.

The idea of faculty study groups is another way of institutionalizing the ongoing support and coaching around professional development. Maintaining professional development is an ongoing commitment and that “Whole Faculty Study Groups” are one way of creating a system that ensures ongoing support and coaching. Many schools and districts invest in the practice of coaching and ongoing support within a faculty (Murphy & Lick, 2001). Instructional coaches are hired, often, to do just this and maintain the professional development of a staff through ongoing support and nonjudgmental feedback of practice to construct knowledge on content and practice. The literature is indicative that one-day or one-session workshops provided either in-house or by external consultants is simply not enough in providing adequate professional development. The ongoing support is essential and this often takes the form of coaching (Brown, Collins, & Duguid, 1989; Wilson & Berne, 2009). Coaching and ongoing support are related to the reflection tenet of learning theory (Jonassen & Land, 2000). Coaching is reliant upon teachers and principals engaging in reflective and ongoing dialogue to improve practice. Reflection is both a significant component of learning theory, as discussed by Jonassen and Land (2000), and effective professional development. Because reflection is essential in learning theory and coaching with ongoing support, it is essential in effective professional development for teachers.

The desired state of principal leadership of effective English Language Development programs includes a paradigm shift from language taught in isolation, as its own independent subject matter, to language development instruction occurring as an extension of language arts instruction, or within the context of content area instruction. I argue that this can occur within the confines of consent decree mandates and other external pressures. As discussed, consent decree mandates, as evidenced by *Aspira v. New York City Board of Education* (1975) and *Lau v. Nichols* (1974), most typically invoke mandates on the structures of English Language Development and not the content covered. With more autonomy and discretion over content instruction, principals have a significant amount of autonomy that could be used in supporting English Language Development instruction taught within the context of content. As Dutro and Moran (2002) describe, this is instruction that should be occurring throughout the instructional day anyway and not just during a designated block of time.

Four Domains of Principal Professional Development

Dempster (2001) lays out four domains of principal professional development. He classifies this framework for professional development into system maintenance, system restructuring, professional transformation, and professional sustenance. System restructuring requires the support and professional development from system administrators. In the case of school districts in the United States, this typically refers to personnel in positions of supervising and supporting principals,

such as Assistant Superintendents (Dempster, 2001). A professional sustenance is defined as emphasizing learning derived from the individual and collective subjective of people in their everyday professional practice (Dempster, 2001). Professional transformation, Dempster (2001) states, should be collaboratively initiated and implemented. The support of colleagues is required, as there should be a collective discussion on the status quo and alternative ways of doing things.

Relating Dempster to the learning theory presented by Jonassen and Land (2000), socially shared cognition is an essential element of learning. Dempster (2001) argues that the support of colleagues is required, as is collective discussion on alternative ways of doing things. Jonassen and Land (2000) detail this type of socially shared cognition as an element of learning. I assert that this is relevant to the practice of principals. Without a shared cognition of, for example, the tenets of high quality instruction, they are inherently unable to observe for it and provide meaningful feedback to teachers. This is the fundamental purpose of instructional leadership (Dempster, 2001). Finally, one clear implication from this framework is that principal professional development is more likely to be associated with “system focused” orientations, rather than “people focused” orientations (Dempster, 2001). Focusing on systems alone allows for principals to become quickly distracted from providing quality observations of classrooms and meaningful feedback to teachers, the most significant roles of the instructional leader (Acheson, 1981; Brinko, 1993; Cotton, 2003; Ilgen, Fisher, & Taylor, 1979).

Although the literature base around professional development is broad, some research claims that the common thread in findings and understanding is that engagement, relevance, organization, and the ongoing nature of the support around newly acquired knowledge are key in differentiating between prevailing approaches to professional development and highly effective cycles of professional development (Garet et al., 2001; Wilson & Berne, 2009). The tenets of effective professional development are a focus on content knowledge, opportunities for active learning, coherence with other learning activities, and duration (Garet et al., 2001; Wilson & Berne, 2009). This duration includes, but is not limited to, ongoing coaching and sharing of knowledge acquired. Additionally, Wilson and Berne (2009) claim that effective professional development should ensure collaboration to produce a shared understanding, require collective participation, focus on key instructional problems, be ongoing, and build upon norms of collegiality.

Connecting this to Jonassen and Land’s (2000) explanation of learning theory, the ongoing nature of coaching is related to reflection, a key feature of adult learning. Furthermore, the focus on content knowledge is directly related to willful actions and constructive practices, along with transfer of knowledge and cognition (Jonassen & Land, 2000). Collegiality is related to socially shared cognition (Jonassen & Land, 2000) and this cognition in a socially shared environment makes collegiality significant in the transfer of knowledge from adult to adult. This is relevant for teachers and administrators and that this adult learning is consistent across both jobs. A growing body of literature on professional development indicates that a simple workshop or one session professional development model will prove ineffective at evoking change, as they are often presented in isolation of a particular school or classroom context (Brown, Collins, & Duguid, 1989 & Wilson & Berne, 2009). Little (2006) argues that, far too often, professional development is episodic, superficial, and disconnected to the daily instruction occurring in classrooms. Although a wide range of features have been proposed, I believe that to improve the quality of instruction for English language learners, a key driver for change is to focus on supporting principal practice. This can be done by developing principals' content knowledge, willingness to engage in collegiality, and ability to coach with ongoing support.

Principal Focus on English Language Development Content Knowledge

Content knowledge, in the context of principals' work related to the issues discussed in this paper is knowledge about English Language Development instruction. The acknowledgement of prior knowledge and a focus on the acquisition of new knowledge are two key components of highly effective professional development. Van Driel et al (2001) argue that many reform efforts of the past have been widely unsuccessful, as they fail to take teachers' existing knowledge base, beliefs, and attitudes into consideration. Frequently, professional development initiatives conceptualize teacher knowledge bases as action-oriented and person-bound. Essentially, van Driel et al (2001) claim that practical knowledge integrates experiential knowledge, formal knowledge, and personal beliefs and that all of this must be taken into consideration when planning professional development with a focus on content knowledge. Finally, changes in knowledge must be monitored over time so that teachers are cognizant of their new learning. Teachers should be treated as active learners who construct their own knowledge. Situative knowledge development, on the part of teachers, is one of the more effective ways of studying content knowledge development of teachers. That is, it is important to look at not only the content of the professional development learned by teachers but also, through participation, the knowledge of the practice of teaching that is acquired (van Driel et al; Borko, 2004; Wilson & Berne, 2009). This translates to principal acquired knowledge around effective English Language Development. Principals should be engaged in professional development that monitors their content knowledge of English Language Development (Gersten & Baker, 2000; Duto & Moran, 2002; Castori et al., 2003). Relating this focus on content knowledge to learning theory (Jonassen & Land, 2000), content knowledge is a key feature of situated cognition and knowledge transfer. This transfer and situated cognition is as relevant for teachers as it is for principals within the category of professional development. It is the content knowledge that is transferred from one adult to another and this is as significant for principals as it is for teachers. Essentially, effective content knowledge transfer and acquisition for teachers and principals aligns to the same learning theory discussed by Jonassen and Land (2000).

Conclusion

In conclusion, both impactful professional development for principals on the characteristics of highly effective English Language Development instruction and tools for monitoring this instruction are crucial vehicles for change from the current to desired states of English Language Development instruction and principal leadership of these programs. Principals need a common understanding of what high quality English Language Development actually looks like and the tools, as mentioned in the desired state section (such as low inference observation tools like selective verbatim), to monitor and support teachers in its implementation.

CHAPTER TWO

THEORY OF ACTION

Introduction

Theories of action are conceptions of why a particular practice or policy ought to work; they provide a model or conceptualization that predicts how to move from a problematic state to a desirable state (Argyris & Schon, 1978). A theory of action is more open to change and reconsideration than, for example, a conceptual model that generates a firm hypotheses; however, it needs to be empirically testable in order to see whether the theory works or not or can be verified or falsified by evidence (Argyris & Schon, 1978). In this section, I describe the theory of action related to principals supporting ELD instruction and moving beyond simple compliance orientation toward the knowledge and support of teachers in providing highly impactful language instruction.

Theory of Action

There are four significant factors contributing to the problem of practice of principals lacking a consistent and deep knowledge of effective English Language Development instruction and how to utilize it in giving feedback to teachers – larger foci on organizational management, pressures from district officials to focus solely on compliance-oriented tasks, reluctance to extend beyond superficial elements of effective language instruction, and a gap in pedagogical knowledge. Contextually speaking, principals are under enormous pressures to serve as both instructional leaders and organizational managers. The role of the principal can be overwhelming with its numerous responsibilities. From managing a large operating budget to navigating the micro-politics of school communities and district offices to managing staff, students, and parents, the role of the principal requires constant communication, organization, and responsibility. With all of these responsibilities, the role of instructional leader is often overshadowed by the role of the organizational manager. The principal knowledge of the what constitutes high quality English Language Development instruction will allow principals to develop the confidence to deliver feedback to teachers on concrete next steps in providing high quality language development instruction rather than avoiding it or focusing on more superficial elements of instruction.

Lau v. Nichols (1974) was a lawsuit, filed by a class of Chinese-American families, claiming that English learners were not given access to the core curriculum due to limited direct instruction on the structure and usage of the English language. The plaintiff class claimed that the district (BVUSD) was negligent in providing effective instruction to allow for the academic achievement of students whose native language was not English. As a result of the court ruling in favor of the plaintiff class, the district became instantly obligated to provide a minimum daily instructional block of English language development to all English learners. This thirty minute daily minimum instructional block came with a series of deliverables and expectations, many of which remain, to this day, superficial at best. Principals are required to check off a series of items for review by a court monitor. These include, for example, teacher implementation of scripted curricula, maintenance of certain bulletin boards in classrooms, and student groupings, homogenous by language level. Because the district has utilized the consent decree as a guiding tool for principal development, principals are hesitant to go beyond the tenets of the ruling to support teachers in providing higher quality, less superficial, and more meaningful English language development instruction within classrooms. Essentially, feedback stops at ensuring that the superficial mandates of the court order are met.

A deep knowledge base on the tenets of high quality English Language Development instruction and how to utilize it in supervising teachers comprise another issue within the problem of practice. Many principals lack expertise in the subject areas that they oversee and English Language Development is an example of this at the elementary level. Busy managing the organization and lacking in subject-specific knowledge of English Language Development and how to teach English learners, principals are far from having a common understanding of what makes up high quality language development instruction. Focusing only on teacher fidelity to English Language Development scripted curricula and classroom environment, such as where students are seated and what bulletin boards are displayed principals struggle in providing leadership in driving the instructional program of English Language Development. Without a clear understanding of the components of high quality English Language Development instruction, teacher practice remains stagnant and often ineffective. In addition, principals have a superficial understanding of what constitutes high quality language development instruction. Their feedback to teachers and observation foci tend to surround what materials are being used and what activities students are working on, as opposed to the quality factors of student accountable talk and teaching methods of constructing language within the context of academic content (Dutro & Moran, 2002). Principals tend to focus on the checklist-style items that would account for English Language Development instructional compliance. These include, but are not limited to, focal areas on having the correct posters displayed, student grouping schemas, and textbooks being utilized. English Language Development is some of the most significant instruction to a population of our most at-risk students, our students learning English as a second language in a school system where a majority of the instruction is delivered in English. As a result of this lack of a deep and common understanding of the tenets of high quality language development instruction, the principal is far less effective in providing instructional leadership. Part of this problem is related to principal professional development structures. With limited to no effective professional development and follow up coaching, principals have little opportunity to develop their professional skills as instructional leaders (Dempster, 2001). My needs assessment of principals concurred with Dempster's (2001) research in finding that principal feel a lack of professional development extending beyond compliance tasks and support around the tenets of high quality instruction. They acknowledge a focus on more superficial elements of language development instruction and even note examples such as classroom arrangement, curricular material implementation, and bulletin board content.

Theory of Change and Intervention

The evidence-based professional development module, discussed later, is a 10 session, 20 hour module implemented to provide principals the professional development to foster a shared understanding of how to support impactful instruction for teachers of English language development. The goal of this design was to provide principals with professional development on high quality instruction (beyond compliance) to improve their understanding of the tenets of high quality English Language Development instruction so that they can best support English Language Development teachers. I identified compliance orientation, cultural proficiency, and technical competence as the three leadership characteristics most instrumental in the success of an effective school leader. Compliance orientation deals with the existing training in place for principals, much of which revolves around the lists of superficial requirements of a court ruling, cultural proficiency deals with the various differences between language development instruction and the general education program. With the structures in place, spelled out in the consent decree, ELD has become a separate class, often outside of the context of content. As a result, content teachers feel like it is beyond their responsibility to teach language. We have, in essence, departmentalized

language and created two cultures within the school, content teachers and language teachers. Additionally, this work of teaching language has to do with the recognition of ELD instruction as unique, requiring very specific thought and planning. It is not instruction delivered simply by speaking English in teaching subject matter. It is the thoughtful and systematic design of the instruction of the structures and patterns of the English language (Dutro & Moran, 2002). Technical competence deals directly with the actual knowledge of what high quality language development instruction looks like and how to effectively monitor for it. Without technical competency, it can be reasonably assured that principals will lack the fundamental knowledge of effective English Language Development instruction. Little to no effective monitoring could exist without technical competency.

English Language Development is unique subject matter requiring thought and planning into how students acquire the linguistic and social components of language. This speaks to the technical competence required of a principal supporting teachers in providing language instruction. In order to impact positive change in becoming more effective in understanding the deep pedagogy of English Language Development instruction and how to supervise this instruction, principals have to engage in a deep learning process. Principals have to learn the components of high quality language development instruction. They need modeling of what this looks like. They have to come to agreements on what indicators are the most significant in effective instruction and how to monitor for them. Principals have to understand that the most impactful English Language Development instruction occurs within the context or academic content, not in isolation (Dutro & Moran, 2002).

In my design development study, principals engaged in the development of a common understanding of the tenets of high quality ELD instruction and how to best give targeted feedback to teachers in support of their instruction. Obstacles to this learning include district training of principals on the superficial tenets of a consent decree, principal resistance to moving beyond compliance, a reliance on prevailing practices, unwillingness to have difficult conversations with less effective teachers for fear of negatively impacting culture and climate, and a feeling of insecurity in addressing poor teacher practices. If principals are unclear in their understanding of high quality instruction, relying on the checklists of the consent decree, they are more likely to avoid addressing poor instruction for fear of not being able to give concrete next steps. Finally, the practices of instructional leadership and monitoring for truly high quality language development instruction are far more in-depth and difficult than simply utilizing a checklist to monitor only for compliance orientation. It involves looking for indicators, when observing in classrooms, on student acquisition and use of the four domains of language – speaking, reading, writing, and comprehension, not the superficial aspects of instruction, such as seating arrangements and blackboard configuration. Instructional leadership involves utilizing the technical competence of the principal and being able to effectively communicate with teachers to support their skill development in delivering quality instruction. High quality language development instruction is far more than just the superficial elements of a checklist for compliance, such as classroom environment and student grouping. High quality instruction involves the thoughtful presentation of instruction, within the context of content, in meaningful and deliberate ways, to provide students an opportunity to develop and practice the four domains of language, which are reading, writing, speaking, and comprehension. Principals need this common understanding of the tenets of high quality ELD instruction in order to best observe and give thoughtful feedback to teachers on their delivery of these features of high quality instruction, not just the superficial aspects of their teaching. The following details my theory of change:

Table 2.1 - Theory of Change/Intervention

<p style="text-align: center;"><u>Theory of Change/Intervention</u></p> <p>What learning will occur to shift principal practices from the prevailing to desired states?</p>	<p style="text-align: center;"><u>Awareness of Compliance Orientation</u></p> <p>By understanding the specifics of the consent decree and its impact as a <i>starting point</i> and not the complete picture of supporting ELD teachers, principals...</p> <p>...principals will understand the superficial value of the court ruling and its place as a starting point in providing effective feedback to teachers on effective ELD instruction. Principals will work toward moving beyond compliance to provide effective feedback on truly impactful and high quality ELD instruction.</p> <p style="text-align: center;"><u>Locus of Control</u></p> <p>By understanding the unique culture, within a school, of language instruction and their roles as instructional leaders and agents of change...</p> <p>...principals will be suited to fully accept the enormous responsibility of actively supporting teachers, guided by their own technical competence of ELD instruction, who teach language instruction to second language learners within the context of content area instruction.</p> <p style="text-align: center;"><u>Technical Competence</u></p> <p>By understanding the storied history of language development, how it has been ignored for so many years and then enlivened as a result of lawsuits and consent decrees and by understanding the larger social justice picture that English Language Development fits into, such as giving minority students access to instruction provided in a language outside of their home one...</p> <p>...principals will be more likely to value the importance of language development, learn about its best practices, and provide feedback to teachers that drives the program forward in improvement.</p> <p>Principals will engage in observing modeled practice and professional development to come to a shared understanding, from the superficial elements of “quality” ELD instruction (such as classroom environment, fidelity to a scripted curriculum, and student grouping) to a deeper understanding of the pedagogy of effective ELD instruction (such as teaching ELD within the context of academic content, the activation of student prior knowledge, the use of clear total physical response strategies, and engaging students</p>
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	<p>in accountable talk to gauge progress in utilizing the English language in a real life context).</p>
<p><u>Intervention Design</u></p> <p>What activities will lead to the desired behaviors and address the design challenge?</p>	<p><u>The following are objectives/goals to support this intervention:</u></p> <p>Motivation</p> <p>An initial “hook” to grasp the engagement of participants and communicate the objectives and intentions of the study. For the purposes of this design study, the “hook” will include a compelling recorded ELD lesson to demonstrate what high impact instruction looks like and how possible it is.</p> <p>Awareness of Compliance Orientation</p> <p>Participants will come to an understanding of how their current practices of supervising, monitoring, and supporting ELD instruction is actually a function of compliance orientation.</p> <p>Locus of Control</p> <p>Participants will realize that impacting ELD instruction toward highly effective is actually within their locus of control.</p> <p>Goal Setting</p> <p>Participants will set attainable goals toward impacting ELD instruction toward highly impactful, finding a place for impactful ELD beyond simply compliance orientation.</p> <p>Skill Building</p> <p>At this point, participants will acquire the skills toward achieving the goals of impacting highly impactful ELD instruction that stretches beyond simple compliance orientation.</p> <p>Efficacy</p> <p>Participants will experience a sense of efficacy, along with a greater sense of self-confidence, in supporting teachers to provide highly impactful ELD instruction.</p>

Conditions for Design Study

There were a few significant conditions for this design study to work. First, selected principals have to have the basic fundamentals of principalship down. That is, principals cannot be overwhelmed with the administrative responsibilities of running a school. To be able to focus on improving instructional leadership, participating principals cannot serve in moving from one emergency to the next throughout the school-day. Many principals spend a considerable amount of time “putting out fires” and, for this study to be effective, the schools need to be functional to a point where the principal can focus on instruction and not only organizational management. The participating principals and schools should have at least 50% of their students classified as English learners. This will allow for principals to see this design study as an area of need. If close to or a majority of students are English learners, principals are more likely to see this intervention as a need. Participating principals need to have a level of reflection and openness that lends itself well to working through areas of challenge and struggle. A principal who is overly defensive would be less likely to open up and reflect on prevailing practices that could be improved. Finally, my role is that of a principal and researcher and this simply will not work in my own school. I would need to serve as researcher and design participant, but away from my own site where I supervise staff.

Conclusion

The following table summarizes my theory of action in support of principals supporting teachers in providing highly impactful (not simply compliance driven) ELD instruction:

Table 2.2 – Summary of Theory of Action

Problem of Practice	Principals lack a common understanding of the tenets of high quality ELD instruction and, because of this and the external pressures of compliance, they are reliant on compliance driven indicators of quality that are rooted in environmental classroom factors of ELD and not instructional best practices.
Design Challenge	Moving from environmental (compliance oriented) indicators of quality ELD instruction onto the higher leverage instructional components of quality ELD instruction and providing principals opportunities to observe for them and provide feedback to teachers.
Theory of Change and Intervention	By allowing for principals to reflect on their reliance on compliance, understand their locus of control in impacting instructional change, and providing technical knowledge, principals will move from basic compliance orientation toward an understanding and use of instructional indicators of impactful ELD in supporting teachers, observing them, and providing

	<p>feedback. Intervention goals are –</p> <p>Awareness of compliance orientation Locus of control Goal setting Skill Building Efficacy</p>
<p>Preconditions for Implementation</p>	<p>Principals need to have the basic managerial-operational functions of the principal position settled. This will allow for principals to engage in focus on the design study and not spend considerable amounts of time distracted by operational component of the role.</p>

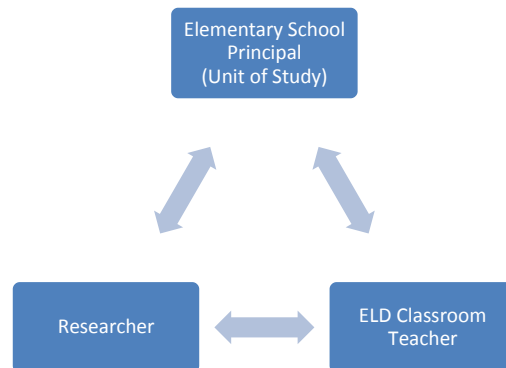
CHAPTER THREE

RESEARCH DESIGN AND METHODOLOGY

Intervention Design/Unit of Study

My unit of study in this design was the elementary school principal. I served as a researcher and co-creator of professional development with the other participating principals. The English Language Development teacher served as a unit of observation to provide baseline data and data to show whether principal practice has improved throughout the course of the study. Ultimately, as a researcher, I was also involved in this action research in creating and leading professional development. Other principals had a hand in co-creating professional development with me, but I served as an action researcher. The unit of study is detailed below as well as the 20 hour (total), 10-session professional development module.

Figure 3.1 – Unit of Study/Intervention Design Relationship Graphic



Research Design

In the following section, I will discuss the methodological choices in this design study. I will discuss the elements of design development methodology and apply them to my study. Additionally, I will discuss the elements of action research and connect them to my study, bringing to light by dual roles of practitioner and researcher. I will continue by detailing the study participants and unit of study, unit of treatment, and methods of data collection. The problem of practice of principals lacking a common understanding of high quality English Language Development instruction and their delivery of structural, and not instructional, feedback to teachers exists in real time in the real professional world of schools (with real human beings) and so a design development study, with a unit of treatment and intervention, is the most appropriate methodology. The following subsections will lay the groundwork for design development methodology and action research in both abstract terms and with specific application to my study.

Design Development Methodology

My research on developing/designing/engendering/enabling/institutionalizing a common principal understanding of high quality language development instruction attempts to address a dynamic about which not much is known. If the knowledge on this specific dynamic had already existed, there would be little to no reason to spend the time on an actual study. Furthermore, schools exist in the real world in real time and this study deals with actual principals, teachers, and students with a wide variety of personalities and demeanors. The goal of this study was to take a prevailing practice and move it forward to a more desirable state of practice. For these reasons, a design development was the most appropriate methodology. The purpose of design development research is to apply an intervention to a prevailing practice to both improve the practice and determine if the intervention worked. In design-based research, designs evolve and lead to the development of practical design principles and patterns (Anderson & Shattuck, 2012). The context of the design development study is the natural setting. In the case of my design development study, the natural setting is the elementary school with actual principals observing actual teachers teaching language development. Within the natural setting, where principal professional development is relatively non-existent, in terms deeper than mandates and compliance orientation, is where design development typically takes place, as context is powerful and essential to the understanding of process and impact. This setting is contingent and complex, not controlled or predictable. Van der Akker (1999) has been instrumental in detailing the main aspects of design development research. He details preliminary investigations, theoretical embedding, empirical testing, and documentation as essential components of design research.

Action Research Methodology

The action researcher plays two significant roles, the chief researcher and the chief agent of change. Interested in process, action research also occurs in the natural setting. Basic elements of action research include the researcher generating his/her own data (Coghlan & Brannick, 2009; Plomp, 2007). Because the researcher is also the agent of change, involved in the intervention, it is important to keep researcher bias in mind and ensure that the action researcher checks his/her own thinking throughout (Coghlan & Brannick, 2009; Plomp, 2007). Checking data against my own inferences was most crucial in my role as action researcher, as action research does lend itself well to researcher bias if measures are not taken. For my study, I had a critical friend, or person to check my data with as a measure to avoid my own bias getting in the way of objective data. One of the essential mantras of design development studies is to check for bias, or to look for what is not working. The presumption is that the design should be adjusted as it moves forward. The process is to be seen as imperfect from the start. Looking for indications of what is not working in each event is critical. Reviewing what went wrong and why, along with implications, are significant topics to review with a critical friend. My role will serve as both researcher and participant, engaging principals in the co-planning of professional development. For this reason, action research is not only a methodology relevant to this study, but also one that goes hand-in-hand with design development research, where an intervention is applied as a treatment to move a prevailing practice to a desired state. Action research helped me in this process, as I was able to participate as an agent of change in something relevant to my daily professional life, improving teacher practice in an elementary school. Because my particular professional circle includes schools with high English learner populations, this action research applied perfectly with my position within the school district as a principal. In action research, I observed interventions and working on making them occur. Essentially, I served as an observer and participant in the study, an action researcher. I highlighted,

as Gummesson (2000) does, the change process and data collection, along with the reflection on outcomes and processes as tenets of action research. Although the tenets of design development and action research have some differences, both are appropriate for the purposes of my study aimed at improving principal practices of supporting language development instruction.

Although similar in many regards, the main difference between action research and design development research is that the intent of design development research is to develop design principles that contribute to a larger knowledge base and theory. Action research is very context specific without any specific intent to be transferred or generalized. For this study, design development research is most appropriate. I expect to incorporate elements of action research into the design research model.

In understanding design development and action research, it is important to understand the tenets of and distinguish between process and impact data. The following section explains process and impact data and concludes with an explanation of a key difference between design development research and action research.

Study Participants and Unit of Treatment

The elementary school principal is the unit of study in this design. The quantity of participants, principals, was most effective in a smaller group of three. Logistically speaking, with hectic schedules, it was most feasible to have a group that already existed. Part of the principal meeting structure is principals working in triads. My group included two other principals with whom I had a relationship and that share a similar instructional model as my school, Spanish Immersion. Three elementary principals were sufficient for the amount of time dedicated to this study. I worked with three principals outside of my school, but with whom I had a relationship. Due to the short duration of the study, it was an advantage in already having an established relationship with the participating principals. This also supported my access to principals and the likelihood that they would participate for the full twenty hours of the module. An initial interview protocol with principals and a small sample of teachers was utilized to collect baseline data (included in appendix) and my goal was to become fully engrossed in this design development as an action researcher, both observing and driving the intervention process, collecting both outcome and process data.

Process and Impact Data in Design Development Research

The basic elements of design development research include the collection of both process and impact data (Plomp, 2007). As I will discuss, process data focuses on collecting data throughout the study on how the actual intervention process is progressing. Process data is non-standardized and takes place along the way, not in the form of a pre- and post- analysis. Process data is typically qualitative. Contrarily, impact data, also collected within design development research, is standardized and intended to report on the impact of the intervention, or treatment, on moving the prevailing practice to the desired state (Plomp, 2007). A mixed method study, my dissertation had quantitative and qualitative impact data, as I looked at principal understanding and attitudes toward their understanding of high quality language development instruction. I quantified observation data by using a rubric, asking questions, having the interviewee rate, then follow up with explanations. This way, I, as the researcher, had a metric and interpretation of responses. Impact data was collected pre- and post- study to determine the degree of change, if any, that the intervention had on the prevailing practice. Impact data allows a researcher to determine whether the intervention made

a difference and process data allows the researcher to demonstrate that the activities within the intervention relate to the outcome. Both are necessary in the design development study (Plomp, 2007). Process data was collected using a reflective journal and critical friend, an additional person to share ongoing feedback on the intervention process.

A key difference between design development and action research is that design development research aims to develop design principles that can be used for transferability to other studies in different contexts (Coghlan & Brannick, 2009; Plomp, 2007). Because every context is different, design development research is not generalizable or replicable to a larger population. That stated, the design principles could be transferred to other studies. Action research, on the other hand, involves a practitioner serving the dual roles of researcher and agent of change. Action research is very context specific and, as a result, relies on the collection of mostly process data (Coghlan & Brannick, 2009). Anyone seeking to learn from an action research project would have to have a firm understanding of the process data to understand the impact a practitioner/researcher had on the movement of a prevailing practice toward the desired state. In my study, I served the dual roles of researcher and participant. Later in this dissertation, I will discuss the threats to rigor, including advocacy bias, which could result in my serving both roles at the same time.

Basic Elements of Research Design

Under the previous section on design development research, I discussed the collection of both impact and process data. In the following sections, though, I will continue to relate the different aspects of data analysis relevant to design development research. Here, I will discuss the meanings and applications of reliability, validity, generalizability, replicability, transferability, and rigor. In discussing rigor, I will also explain the dangers of advocacy bias that can occur in both design development and action research. All of these factors need to be considered when studying both design development and action research.

Reliability

In a design development study, reliability has to do with the development of clear instruments up front, effective planning, and being very clear on what is to be observed (Creswell, 2009). The tightness of the intervention and the planned activities has to be tied to very clear instruments and measures of determining impact data. A reliable design development study ensures that the researcher has followed clear procedures that were clear and up front. Although design development studies do not intend to be replicated, they do need to provide clearly defined information on the methods and protocols used so that those who wish to transfer the design principles to their own context can do so with strong reliability. It is the rarity of identical contexts that makes design development research not strive for replicability. After all, we are conducting research on real life human beings in real world professional contexts that are unique in nature. That said, when thinking about reliability in a design development study, we can think about what research procedures we could follow if we wanted to create a similar design development effort. We do not replicate, though, due to the rarity of identical contexts. For the purposes of my study, reliability ensured that my measures and foci for observations are clear up front. I planned and executed a clear 20-hour professional development module, utilizing clear measures, such as participant interviews, to collect data on participant attitudes, beliefs, and knowledge. Observation data was collected with my focus on observing principals observing ELD classes and giving feedback to teachers. Finally, I collected qualitative data from participant interviews had some self-reporting (journaling) from participants, but I do recognize that self-reported data is some of the

least reliable, as there is the danger of having participants communicate their espoused beliefs, or beliefs that may not be truly their beliefs, but rather what they think they should believe based on a perceived set of norms. I collected process data by recording and memorializing, throughout, to gauge perspective on principal practices as well as utilizing a critical friend to serve as a check on process throughout the duration of the study.

Validity & Credibility

Eisenhart and Howe's (1990) article "Standards for Valid Research" indicates that valid research demonstrates a fit between research questions, data collection procedures, and analysis techniques. Creswell (2009) discusses validity in terms of the credibility of a research study. Three types of validity include internal validity, external validity, and construct validity and all three of these are necessary in the development of a valid design development study.

Internal validity establishes the believability that the intervention was the most likely cause of the impact (Plomp, 2007). Because design development research is done with real human beings in dynamic contexts, in my case, principals and schools, there are many different variables that could produce an outcome. Internal validity is the reasonable assurance that the designed intervention caused the impact and not one or more other factors (Plomp, 2007). For example, in my study, I provided a 20-hour professional development module for principals to improve their collective understanding of effective language development instruction. If they, concurrently, received different professional development from another source that provides an outcome, it would be challenging to know if my designed intervention caused the outcome. An internally valid design development study would indicate that the designed intervention actually caused the outcome and not some other factor.

External validity demonstrates that one's research is realistic, relevant, and speaks to the real world (Plomp, 2007). In my case, to attain external validity, I aimed to ensure clarity that my metrics, concepts, and interventions speak to the real world of education. I acknowledge that my participants are real life principals operating real schools in the real world. My study of principal understanding of high quality English Language Development instruction had to ensure that the results are relevant to principal practices within the context of schools and that the research is realistic with clear interventions and metrics. My 20-hour professional development module had to be realistic and relevant and the results that came from it had to be realistic and impactful in the real world setting of principals and schools.

Construct validity speaks to the design of the intervention and metrics of the study. It entails establishing the believability that the tools and metrics used are trustworthy and clearly measure the variables that they intend to measure (Plomp, 2007). In my design development study, my survey and interview questions, for example, had to be constructed to elicit responses relevant to what I was actually studying. If my interview questions and/or survey questions, for example, were irrelevant to the variables I studied, my construct validity would suffer. A design development study has to be credible in that the tools and metrics used clearly measure the variables that they intend to actually measure. A disconnect here would indicate a lack of construct validity. Construct validity involves the use of previous studies to guide the design. In my study, I am utilizing some design features of Brian Inglesby's LEEP study on principal support of special educators, specifically his design, to guide the construct of my design. Therefore, in order for a design development study to demonstrate validity, it has to demonstrate internal, external, and construct validity.

Generalizability

It is important to understand that we cannot generalize a design development study to a larger population. Design development studies occur within very specific contexts and it is extremely rare to replicate the exact context of a design development study (Plomp, 2007). After all, we are dealing with real human beings in dynamic organizational contexts. In my study, I will be working with actual principals who are leaders of actual schools comprised of many dynamic people and situations. If my intervention on a small group of principals impacts their support of English Language Development instruction, it cannot be generalized that this exact impact would occur on a larger population made up of different people in unique contexts. We can, though, specify, in design development research, why we think our actual design could be transferable to other contexts. For example, I am adapting a professional development module from a LEEP graduate who used the module to support principals in supporting special education teachers and instruction. His design could transfer to my context, but his outcomes could not be generalizable to a larger population of special education administrators just like mine could not be generalizable to a larger population of principals supporting English Language Development. These are unique people operating in very different contexts, but, as I am actually doing, the design elements of a design development study could transfer to a different context. This is why a detailed description of the design process is essential.

Transferability vs. Replicability

Although we do not intend to generalize design development study findings, we do strive to provide for other practitioners in other contexts to use the features of the design to inform practice (Plomp, 2007). That is, if another principal in another context sought out a design to improve principal support of language development instruction, my goal would be to create a design with features that could be transferred to that context. Exact replicability of impact data and the generalizability of it to a larger population are not possible with humans in unique and dynamic contexts involved, but I do look to have the features of my design able to be transferred to other contexts. There would need to be a similar problem of practice in a different context, but the features of a design development study could be transferred to support a study within a different context. As noted earlier, principals struggle to provide effective support for teachers of language development. Depending on the findings from this intervention, other principals could be able to transfer the design principals of this study to their own contexts. Again, though, we cannot replicate a unique context and cannot generalize or replicate a design study across contextual boundaries.

Rigor, Threats to Rigor, and Advocacy Bias

Rigor refers to how data are generated, gathered, explored and evaluated, and how events are interpreted (Coghlan & Brannick, 2007). It is the clear documentation of my construction, planning, participation, and evaluation of my 20 hour professional development series that will allow me to ensure focus and clarity throughout my design development study. I utilized field notes to gather data and transcriptions from interviews with participants to ensure that this study maintained the highest standard for rigor. Because, as an action researcher, I served in the dual roles of researcher and participant, it was important to have at least one critical friend to support me throughout the process. The collection of multiple data sources along with critical friends lend themselves well to maintaining a high standard of rigor throughout the design development process. Furthermore, I journaled to reflect on my own interpretations of results and utilized a critical friend to assist me in

using these reflections to expose my preconceived notions and beliefs that could potentially blur the lines between researcher and actual agent of change.

Serving as researcher and practitioner, if not intentionally addressed with safeguards up front, it is possible that I could have ended up with accusations of bias. Other issues with design development research, as Plomp (2007) discusses, that need to be taken into consideration are as follows. Plomp (2007) notes that real world settings bring real world problems and discusses that the researcher can be a cultural stranger. I looked to avoid this by selecting two to three other principals to work with where I have an established relationship. Tensions in the role division between development and research, the potential for advocacy bias, and reactions of participants to the researcher are all items that need to be addressed up front (van den Akker, 1999; Stake, 2006; Patton, 1990). In my case, having critical friends throughout, collecting multiple data sources, journaling reflections, and addressing preconceived notions could serve to avoid the accusation of bias. As a principal working with other principals on improving teacher practice, my position of authority over teachers and my role as colleague working with other principals should both be noted. Peer debriefing and seeking out disconfirming evidence throughout the design development study are both safeguards that could inhibit the threats of advocacy bias on my study.

Data Collection

The collection of qualitative data seems most appropriate for this type of design development study. I aimed to utilize interview data to gauge insight into principal perceptions and learning throughout the design, asking them to reflect on the process that they are being engaged in. This will allow for triangulation of the process data I create while analyzing the process. It would be too much to do this at each session, so every other session would seem more appropriate and manageable. Given the short time span of the study, impact data is a pre and post comparison of the basic learning targets, a common understanding of quality language development instruction and how to monitor for it. It is realistic to expect, with ten professional development sessions, interviews between every other one. An exit slip reflection was a concise way of collecting this data after each session. Additionally, the collection of process data was something that would be relevant, as, in action research and design development, the process of the intervention is as worth exploring as the outcomes. I was interested in learning how principals learn in addition to moving their practice from the prevailing to desired states. Process data can capture the change happening throughout the study, something very much worth exploring so that future research may continue this design and have insight into how change happens and what it looks like. Baseline data can be collected from interviews with principals and observing principals observing classrooms. These included observation of principals using protocols created during the professional development sessions and observations of principal classroom observations. With ten two-hour sessions, these observations could not occur following each session, but two per principal throughout the design were manageable given the busy schedules of principals. Integrating this into the design study as part of the learning process, this was the process data collected. As far as instruments for research, the use of interview data served as a baseline to inform me, as a researcher, where teacher perceptions of principal support of language development instruction and value of observation and feedback currently are in the prevailing state of principal support. Discussion protocols were used to gauge principal knowledge, attitudes, and assumptions on effective language development instruction. Throughout the study, additional observation data was collected to show if and how improvement had been made while principal knowledge, observation, and feedback improve (if they did). These data included principal participant interview quantitative results, qualitative data from

interviews with participating principals, and observational data with the researcher observing how principals observe, what they observe for, and how they plan for and deliver feedback. Because I was interested in co-creating professional development with the team of participants, I was open to the idea of some of the activities changing as the design development study progresses. The components of the design, though – awareness of compliance orientation, locus of control, and technical competence – remained consistent throughout. With regard to instruments used by principals in their work in supporting teachers, I was interested in utilizing observation protocols for classroom observation and the specific materials to be utilized at each stage of the ten-session module. Instruments for research included data from discussion protocols, qualitative interview data, and my own observations on principal practices throughout the design study, such as observations of how principals observe and give feedback to teachers. In their work, principals utilized tools for observing, note taking, and thinking through feedback to be given to teachers. Overall, though, my role was action researcher so that I could observe and participate, leading and co-creating knowledge with participating principals.

Data Analysis

The collection of qualitative data seemed most appropriate for this type of design development study. I aimed to utilize interview data to gauge insight into principal perceptions and learning throughout the design. Additionally, the collection of process data was something that would be relevant, as, in action research and design development, the process of the intervention is as worth exploring as the outcomes. I was interested in learning how principals learn in addition to moving their practice from the prevailing to desired states. Process data captured the change happening throughout the study, something very much worth exploring so that future research may continue this design and have insight into how change happens and what it looks like. Baseline data was collected from observing classrooms. I developed observation protocols, in conjunction with principals and based on the literature, which accurately captured essential elements of English Language Development instruction. As far as instruments for research, the use of interview data served as a baseline to inform me, as a researcher, where teacher practices currently are in the prevailing state of principal support. Discussion protocols were used to gauge principal knowledge, attitudes, and assumptions on effective language development instruction and therefore I utilized several. Throughout the study, additional observation data were collected to show if and how improvement had been made while principal knowledge, observation, and feedback improved (if they did). This data included qualitative data from interviews with participating principals, and observational data with the researcher observing how principals observed, what they observed for, and how they planned for and delivered feedback. Because I was interested in co-creating professional development with the team of participants, I was open to the idea of some of the activities changing as the design development study progresses. The components of the design, though – compliance orientation, locus of control, and technical competence – remained consistent throughout. With regard to instruments used by principals in their work in supporting teachers, I was interested in utilizing observation protocols for classroom observation and the specific materials to be utilized at each stage of the 10-session module. Co-creating knowledge with participating principals, instruments for research included surveys, data from discussion protocols, qualitative interview data, and my own observations on principal practices throughout the design study, such as observations of how principals observed and gave feedback to teachers. The feedback sessions did occur in the form of role modeling. In their work, principals utilized tools for observing, note taking, and thinking through feedback to be given to teachers. Overall, though, my role was action

researcher so that I could observe and participate, leading and co-creating knowledge with participating principals.

Process Data Collection

The following was utilized to collect process data throughout the design study:

Table 3.1 – Process Data Collection Methods Summary

<p style="text-align: center;"><u>Critical Friend</u></p> <p style="text-align: center;">Person outside of the study participants will be selected to engage in weekly check-ins so that researcher can reflect on data collection processes throughout the design study</p>
<p style="text-align: center;"><u>Audio Recording</u></p> <p style="text-align: center;">Sequence of activities, interviews, and observations will be audio recorded with some clips transcribed to report out on data collected</p>
<p style="text-align: center;"><u>Memoranda and Field Noting</u></p> <p style="text-align: center;">Collecting of researcher observations and impressions at each stage of the activity sequence</p>

Conclusion

Finally, the sense of urgency around the support of English Language Development instruction in elementary schools is very high. Some of this urgency is based on a wide achievement gap that exists between English learners and English proficient students that has come to light in this era of standardized testing and accountability. Additionally, class action lawsuits and resulting consent decrees has shed light on the larger social justice aspect of providing equitable access to curricula for English learners and English dominant students alike. Because principals are responsible for such a large amount of the operations of a school, instructional leadership can often fall second fiddle to the organizational management and day-to-day running of a school site. This said, their understanding of the tenets of instruction can be less than clear. With regards to English Language Development instruction, the lack of a common understanding of high quality instructional delivery has played a significant role in underwhelming teacher improvement. This design development study aimed to increase principal knowledge of English Language Development instruction to support principals in supporting teachers by providing thoughtful observation and meaningful feedback to staff providing language instruction, one of the most crucial instructional blocks, to some of our most at-risk students, our second language learners.

CHAPTER FOUR

FINDINGS

Introduction

In this design study, I endeavored to create a series of intervention activities designed to engage a small group of elementary school principals in strengthening their support of English Language Development instruction. The purpose of this study was to co-design, with participating principals, clear instructional indicators of impactful ELD instruction and engage principals in observing for them to move beyond the compliance-oriented structures of ELD support. To measure the impact of this study, I utilized pre and post interview protocols focused on the three focal areas of the design: awareness of compliance orientation, principal locus of control, and technical competence. The process data collected tells a coherent story of the sequence of intervention activities and presents our collective takeaways and learning as participants constructed and utilized knowledge in observing for high quality instructional indicators of ELD instruction, a move beyond compliance orientation.

This chapter presents the findings of my study. In this chapter, I synthesize and analyze the large quantity of process and impact data that I collected to tell a coherent story of how the selected principals of this design study responded to my intervention sequence.

Organization of Data Analysis

Two forms of data were used to evaluate the effect of my design study, impact data and process data. I begin with the presentation and analysis of baseline and outcome impact data. Utilizing a structured interview protocol for the three principals in my design study, I collected pre and post intervention interview data to determine principal perceptions of the impact of the design study.

Design research presents an occasion to analyze the various phases of the design process. Process data, as it relates to this design study, includes the collection, synthesis and analysis of ten one-hour intervention sessions with three principals, firmly focused on facilitating their growth along three dimensions: 1) their reliance on compliance in supporting language development instruction, 2) their actual locus of control in impacting instruction, and 3) their improvement in analyzing instruction. After recounting the critical incidents of the intervention series using low-inference language, I analyze these events to infer a plausible connection between the intervention process and its outcomes. Utilizing the self-perceptions of principals, from the interview process, along with a series of rubrics to interpret impact data, the following tells a story of principal learning resulting from this design study.

In this chapter, I analyze each type of data and present my findings. First, I present the analysis of impact data.

Impact Data Analysis

Impact data presents an opportunity to determine if the design challenge has been met. To recall, my design challenge was to improve principal support of English language development instruction, as articulated in the research. The prevailing climate and context in which these principals work imposed the most substantial challenge to my design study. With conditions

including a strict adherence to the tenets of a court-ordered consent decree and a difficult habit of mind to break in moving beyond compliance, the design challenge was quite significant. In this study, impact data are used to assess principal learning of the tenets of impactful ELD instruction, a move from structural indicators (I've labeled them Level I indicators) of effective ELD toward instructional ones (labeled Level II) that move beyond simple compliance orientation. Specifically, impact data were used to examine principal knowledge and mindset before and after a series of intervention activities. This study involved a sequence of ten intervention activities that were designed to measure the impact of principal support to ELD instruction along three areas: 1) their awareness of compliance orientation (specifically in terms of the district's mandates resulting from the consent decree following the settlement of *Lau v. Nichols (1974)*), 2) the locus of control they have in supporting the language development block, and 3) their technical competence, or understanding of the characteristics of high quality language development instruction and how to support teachers in providing it.

Structured Interview Findings

A structured interview protocol was used to collect baseline impact data. The interview protocol consists of eight questions focused on the three focal areas. Of these eight questions, two probed for principals' self-perceptions of their reliance on compliance to support language instruction, three dealt with perceptions of individual loci of control as site leaders, and three sought to explore principals' self-perceptions of their own technical knowledge of what comprises highly effective language instruction and how to best support it. In addition to collecting data on principals' self-reflections, I created a rubric for each dimension and rated, before and after the study, principals on their awareness of compliance orientation, understanding of their loci of control, and technical competence of ELD instruction. I then analyzed the similarities and differences between their self-rating and my rubric ratings, when values varied, to come to an understanding of knowledge, perception, and progress. Finally, I looked at the changes, from the start of the study to the end, to determine principal learning from my design.

To better understand principal growth along these three dimensions, both quantitative ratings and qualitative material from the follow-up interviews were analyzed. Quantitative metrics were five-point self-perception rating scales. Qualitative interpretation was done via the answers principals gave in response to the probing questions posed to them after they had rated themselves. The Principal Interview Protocol was administered in two time periods – before the intervention and after the intervention to gauge the impact of intervention efforts. Notably, during the debrief, or post-intervention conversations with principals, I asked the same questions from the initial interviews. This enhancement of participant evaluation of growth (or lack thereof), independent of my analysis of their growth, helped me anchor my understanding of the impact of the intervention in participants' ratings. Following each of the participants' self-ratings, I present my rubric rating of each principal within each of the dimensions. The rubrics are presented at the start of each dimension's section and they are followed, within each section, by the participants' self-ratings, my rubric score, and a narrative of portions of their responses that I used as supporting evidence for each rubric score.

Table 4.1 - Principal Interview Protocol, Organized by Dimension

Response Scale: 1=Not at All; 2=Limited Extent; 3=Not Sure; 4=Some Extent; 5=Great Extent	
A. Compliance Orientation - <i>To what extent...?</i>	
Do you visit classrooms during the mandated ELD block?	Probing questions: <ul style="list-style-type: none"> • With what frequency? Different/same compared to other blocks? • What is important to look for? Tell me more about the visits...
Can you identify some good language development teaching practices?	Probing questions: <ul style="list-style-type: none"> • Tell me about some good practices? • How did you learn this information? • Is this area important for principals to know about?
B. Technical Competence - <i>To what extent...?</i>	
To what extend do you feel you have adequate knowledge about language instruction?	Probing questions: <ul style="list-style-type: none"> • What level of knowledge would be sufficient? • How did you learn about ELD instruction? • Tell me more about this...
Do you feel confident in solving difficult ELD related problems yourself?	Probing questions: <ul style="list-style-type: none"> • Tell me if and how confidence plays into these tasks? • Tell me more about this...
Describe some of the unique differences between language instruction and content instruction.	Probing questions: <ul style="list-style-type: none"> • Is there a difference? • Is this something to be concerned about in your school? Why? • Tell me more about this area...
C. Locus of Control - <i>To what extent...?</i>	
To what extend do you think you have an open and collaborative relationship with the ELD/language teachers at your school?	Probing questions: <ul style="list-style-type: none"> • Is this area important? Why? • Tell me more about the relationships with ELD teachers...
How might you provide helpful feedback to ELD teachers?	Probing question: <ul style="list-style-type: none"> • Tell me more about the feedback? • How is it provided? • How soon after your visit? • Was it helpful? How did you know?
Do you know how to find resources for English learners?	Probing questions: <ul style="list-style-type: none"> • Tell me more about finding resources... • Whom do you contact and where do you go for information?

	<ul style="list-style-type: none"> • Why is this important for principals?
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Below, I present an analysis of impact data on principal learning organized by the three dimensions of the study.

Awareness of Compliance Orientation

The awareness of compliance orientation dimension is designed to capture participating principals’ acknowledgment of and reflection upon their reliance on environmental, more superficial, elements of an ELD lesson as quality indicators. The following presentation of impact data, detail the pre and post rating of each participant (quantitative data), in conjunction with the qualitative explanations and perceptions as explicated by the discussion probing questions posed in both the pre and post interviews.

Table 4.2 – Compliance Orientation Rubric

Indicators of Compliance Orientation	(3) Most Compliance Oriented	(2) Somewhat Compliance Oriented	(1) Least Compliance Oriented
Teacher’s Credential (EL Authorization) 30 Minute/Day ELD Block No More than (2) CELDT Proficiency Levels of Students in Any ELD Class Bulletin Board Configuration Student Desk Arrangements Use of Scripted Curriculum (eg: Carousel of Ideas) Principal Use of Lau Checklist Principal Visitation (3) Times/Week Creation of Lau School Profile	Principal overwhelmingly discusses compliance indicators with limited mention Level II indicators	Principal discusses some of the compliance indicators with some discussion of Level II indicators as well	Principal makes mention of compliance indicators, but they are weighed less heavily than other Level II indicators of effective ELD

with Staff			
Existence of Leveled Classroom Library for ELD			

Principal Jones’ Awareness of Compliance Orientation (Self-Rating)

Figure 4.1 – Principal Jones’ Impact Difference – Compliance Orientation Questions

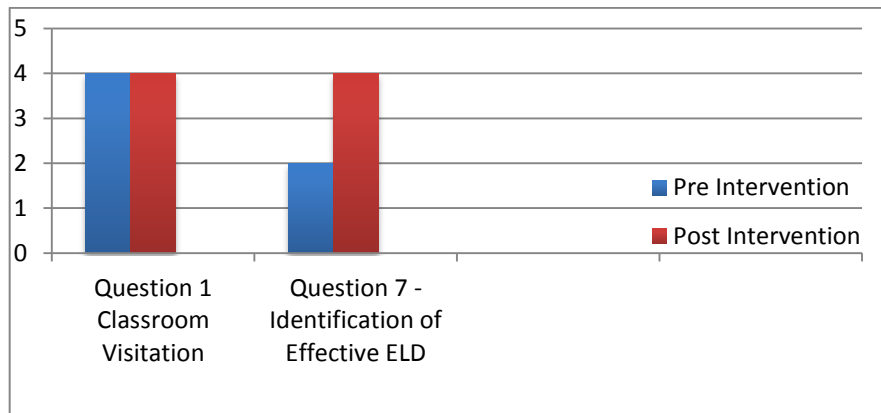


Table 4.3 – Principal Jones’ Compliance Orientation Rubric Scores

Rubric Score – Pre-Interview	Rubric Score – Post-Interview
3	2
<u>Rationale</u>	<u>Rationale</u>
Principal Jones spoke the most about his visits to classrooms. He even mentioned, on one occasion, that he sees himself as the instructional leader of the school. That said, at the start, his comments were very much engrained in the structures of the ELD block rather than the instruction happening during this time. He mentioned explicitly that, when instruction varies from room to room, he is not sure where to begin. His reliance on Level I indicators without mention of Level II indicators indicated a rubric score of 3, the most reliance on compliance with limited discussion of Level II indicators. Principal Jones even mentioned, verbatim, that it is hard to even discuss instruction without the structures “down pat.”	Principal Jones ended with a reflection on what he is “supposed to do” as a principal and this included discussion on some Level II indicators. First, he moved from not feeling like he could even discuss instruction to talking about instruction utilizing some of the indicators as examples. For example, he discussed the Common Core and our shift from state ELD standards to embedded ones in the new Common Core. Although he did speak heavily on structures, still, Principal Jones did talk about them within more of an instructional leader context. He ended, on the rubric, less solely compliance oriented with more Level II indicators present in the interview.

Variance from Self-Reflection

Principal Jones self-rated improvement in classroom visitation frequency and his identification of effective ELD from the beginning to the end of the study. His largest move was from a rating of 2 to 4 in identification of effective ELD. This seemed to match my rubric score, as he began more compliance oriented, discussing Level I indicators without mention of Level II. His rubric score moved from 3 to 2 from his further discussion of Level II indicators, which does align with his self-reflection that he improved in identifying qualities of effective ELD. In essence, he discussed qualities of effective ELD in his post interview, which most aligns his reflection with the rubric score.

In examination of Principal Jones' self-ratings around compliance orientation, he rated himself consistently high, at both the pre and post interviews, in visiting classrooms during ELD time. Interestingly, self-perception of his ability to identify highly impactful language instruction began quite low with a rating of 2 on the five-point scale. During the pre-interview, Principal Jones stated:

I mean, I look for what I am asked to look for. There has to be some rhyme or reason to what we are given, right? ELD has been a big challenge for me. Sometimes I think I know what I am supposed to see, but things look so different from classroom to classroom and I'm not even sure where to begin with some teachers. As a school, we focused mainly on the structures of the ELD block, but, as far as the content of instruction, we are still pretty far behind there.

Principal Jones continued to reflect that he and most other principals feel like they have to use the district guidelines in observing ELD instruction, as they are in the nascent stages of gaining a consistent structure in place, and are, in many cases, not even at a place where they can concentrate on the instructional piece. He discussed the following:

It's hard to talk about the content of instruction when our schools struggle with even getting the systems of ELD down pat. It's tough to get elementary school teachers to think in terms of designated blocks for language instruction while we are trying to get them to connect their instruction to something meaningful. Right now, I mostly pay attention to the structure so that I am doing what I am supposed to.

During the post interview, three months following the pre interview, I was surprised to see Principal Jones increase his self-rating to "some extent" on identification of quality ELD. What I found most notable in his reflection of the differences between the two responses was that they both dealt heavily with the issue of compliance and "doing what he was supposed to do." At the end, he commented:

I guess there are areas where I can actually focus on instruction more than just structures. I mean, I try to do what I am supposed to as a principal. It's hard to run ELD like we should and I guess I focus mostly on structure. I liked hearing about and seeing ways that we could talk about what teachers are teaching, not just what it looks like structurally. I think I learned a few things about instruction with this (study). I mean, teachers should engage students in practicing oral language and I have a little better picture on what the standards are all about for ELD now. I'm sure they'll change again soon (laughing).

That said, Principal Jones, in his self-reflection, was that he tended to support his teachers and school around setting up the systems for ELD compliance without looking for or having significant conversation around exactly what constitutes high quality instruction. He seemed to shift his mindset, from the start of the intervention to the end of this design study, around moving from just structure to content of what teachers teach during ELD time.

Principal Smith’s Awareness of Compliance Orientation (Self-Rating)

Figure 4.2 – Principal Smith’s Impact Difference – Compliance Orientation Questions

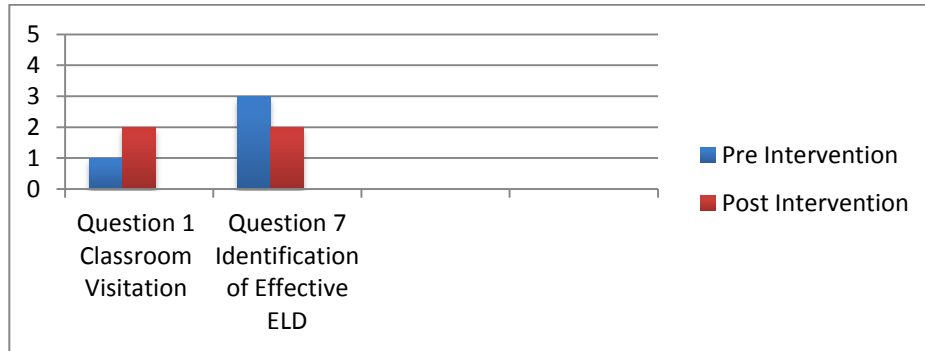


Table 4.4 – Principal Smith’s Compliance Orientation Rubric Scores

Rubric Score – Pre-Interview	Rubric Score – Post-Interview
2	2
<u>Rationale</u>	<u>Rationale</u>
Principal Smith quickly identified as having taught during a different era, one where the basic skills were taught without as much guidance and direction (standards, etc.). She mentioned not wanting to get in the way of teachers and their instruction unless she had something to offer, which she later discussed she often did not. She discussed some Level II indicators and mostly rejected compliance, stating that her teachers balk at the checklists. Her visitation self-rating was low, but she self-rated a 3 in her own understanding. I did notice, though, that Principal Smith contradicted herself a couple of times. Most notably, she self-identified as knowledgeable, at the start, of ELD, but talked about how instruction was different when she taught. I am assuming that it was this “old school” instruction that she claims to be knowledgeable of. My rubric score of 2 slightly differs from Principal Smith’s self-rating of 1, but she did discuss Level II indicators while	I kept Principal Smith at a 2 throughout, although, she, herself, self-rated and described feeling more confused about ELD afterward. She did say that she enjoyed and learned from the practices of observing, but that her actual knowledge was more confused. During the post interview, I captured Principal Smith discussing compliance (still opposed) with a similar focus on Level II indicators as in the first interview. She talked about instruction, noted again that school was different when she taught. I had her as remaining constant from start to end, as she continued to talk about instruction, but in a different historical context.

acknowledging compliance, something that she felt strongly opposed to. Generally speaking, though, she stated that she was strongly opposed to visiting classrooms with little to offer.	
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Variance from Self-Reflection

There was some variance, as Principal Smith rated herself as less knowledgeable about effective ELD afterward. I found that she was still trying to place the skills that she learned within the context of compliance. She grappled most with the best practice idea not being exactly as presented by district officials around ELD. I had her as remaining constant, as she did talk about Level II indicators at the start and end. I believe that, because she rated herself as understanding less about ELD effectiveness after, she is more confused about where to place the learning that on the actual learning that took place. Her comments indicated that she understood the skills, but was confused about where to place them in her practice. This was brought out in the intervention sessions.

Principal Smith's awareness of her compliance orientation was striking to me in a couple of different ways. First, she was very upfront during the pre-interview that she rarely, if at all, visits classrooms during ELD time. She was very forthcoming in discussing the following:

I struggle here. I always think, as a leader that if I am not a value added to what teachers need then I should just get out of the way. They (the district) give us these checklists and tell us to get into classrooms during ELD and complete them. Then, we're supposed to bring them to principal meetings so we can discuss what we see. My teachers hate checklists and complain about them constantly. I don't need that at my school. So...I just avoid the drama.

From this response, I gathered that her approach to compliance was more about disrupting the culture of her staff in visiting classrooms during ELD time, than it was about their impact on instruction. A veteran principal, she did not appear shy in recounting infrequent classroom observations during ELD. In addition to her comment about disrupting the culture, she also noted that she felt she was not a contributor to the ELD instructional process. This spoke to a possible reliance on compliance to cover a gap in knowledge of what impactful ELD instruction looks like. I further explored this in asking question 7. Principal Smith's comments are as follows:

I taught during a different era. We taught what we thought students needed. I taught them English, but we didn't have a curriculum or script. We just taught them to read, write, and how to understand what others were saying. I don't think I ever really thought much about planning every nut and bolt of what we call ELD. My instruction was in English and we paid attention to the little things, you, know, like grammar. So...can I identify good ELD teaching? I'm not sure I'm great at that.

Although this response, in itself, was very telling in why a principal might not be inclined to visit a classroom during ELD, I was most intrigued by Principal Smith's response to this questioning, around classroom visitation and identification of quality ELD, in the post interview. There, she responded:

Honestly, I'm more confused now. The district tells us we have to look for the things on the checklist and now you are saying that we can look for good ELD also. I mean, why wouldn't they just give us those things

to look for? Also, how am I supposed to do what they say and also what you say? There are only so many minutes in a day and I don't want to bog down my teachers in things that are not even clear to me.

Throughout the course of this interview, with particular attention to these two questions, something became clear to me: some principals are connected to compliance orientation, as it covers a breach in their knowledge. In essence, if a principal does not know what to look for, the compliance checklist provides an avenue for them to still feel as though they are somehow addressing the needs of English learners. Being pushed to think about indicators of truly effective ELD instruction requires an instructional best practice mindset, one that some principals may be insecure about not having. Hence, a reliance on compliance emerges. Additionally, what I learned from Principal Smith was that she made a connection between moving beyond compliance and overwhelming her teachers. The idea of teachers feeling more supported through deliberate observations focused on best instructional practices did not occur, only the notion of them being “bogged down” by more classroom visitation.

Principal Johnson’s Awareness of Compliance Orientation (Self-Rating)

Figure 4.3 – Principal Johnson’s Impact Difference – Compliance Orientation Questions

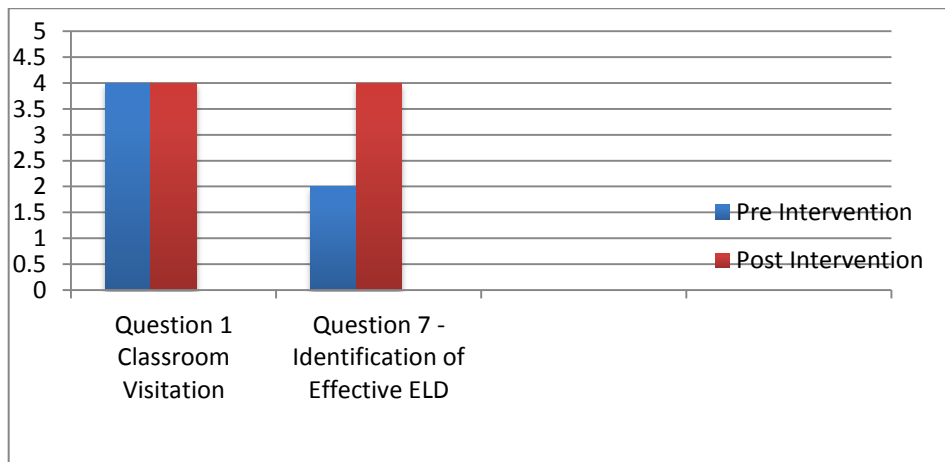


Table 4.5 – Principal Johnson’s Compliance Orientation Rubric Scores

Rubric Score – Pre-Interview	Rubric Score – Post-Interview
2	1
<u>Rationale</u>	<u>Rationale</u>
Principal Johnson self-identified as an “in your classroom” principal. He discussed several Level II indicators, but did so in the context of compliance. He, similar to the other participants, discussed compliance as providing the structure. He did that, though, while acknowledging that he doesn’t always know where to start with ELD, but knows instruction. He talked about a change in standards and even	Principal Johnson self-rated as showing growth in identification of effective ELD. I noted this as well and assigned him a rubric score of 1, as he discussed far more Level II indicators than indicators of compliance in the final interview. He went into detail on the Common Core, new ELD proficiency levels, and even talked about reading and writing instruction, two of the four domains of effective ELD. He, again,

<p>mentioned “talk moves” as instructional practices for ELD. I noted several examples of Level II indicators from the interview, but Principal Johnson did utilize structure as a means to discuss compliance. Remaining in compliance means “following the district’s structure.”</p>	<p>mentioned compliance as a structure, but just made small mention of it while focusing mostly on the instructional practices he learned.</p>
<p style="text-align: center;"><u>Variance from Self-Reflection</u></p> <p>Principal Johnson self-rated as showing growth in identification of effective ELD and I noted the same. On my rubric, he decreased to 1, as he talked more about Level II than compliance, a decrease on my rubric. It does align, though, with his increased knowledge of effective ELD, as he self-rated. Classroom visitation remained flat, which I, too, noted, but I asset that, from the evidence gathered, Principal Johnson moved more into the instructional realm from the pre to the post interview. His self-ratings and mine are of similar meaning.</p>	

In both the pre and post interview, Principal Johnson noted that he visits classrooms “pretty often.” He, too, referred to the district expectation of five visits per week during ELD instruction and the use of a compliance-oriented checklist. During the pre-interview, Principal Johnson reflected as follows:

I’m a kind-a in your classroom kind of principal. I do it because I want to see what’s going on. The tool they gave us helps me structure my visits so I at least know what I am looking for.

Principal Johnson, from the start, made it very clear to me that he considers the district expectations and protocols useful. My largest learning from Principal Johnson was that there can exist, in some cases, a connection made by principals, between a compliance oriented task and that action serving as a best practice. Principal Johnson discussed, in the final (post) interview:

I liked what we talked about, the good instructional components of ELD, and I’ll keep visiting classrooms as often as I did. To me, they are on par with what we are asked to do by the district. I’d like to see more guidance by the district, so I have more tools in my tool-belt. I get instruction. I know it’s about getting kids to talk and write and read effectively. Teachers have standards to teach (now, this Common Core).

Upon further probing, Principal Johnson said that he wanted more items like the checklist to guide his visits into classrooms. Again, he clarified this connection between compliance and what is considered best practice. My learning from Principal Johnson is that these can be perceived as one in the same. That said, he did talk heavily, in the final interview, about his understanding of Level II indicators and went into greater detail on his knowledge of instruction. He talked about the Common Core and even that they include ELD standards, at the new proficiency levels. Of the three participants, his rubric score was the only one to move to 1 following his acknowledgment of compliance and further description and interpretation of instruction.

Locus of Control

The Locus of control dimension refers to principals understanding what they, themselves, are capable of impacting, in terms of instructional practices, within the context of their positions.

Table 4.6 – Locus of Control Rubric

Indicators of Locus of Control (“I see myself as...)	(3) Large Degree of Recognition of Locus of Control	(2) Some Recognition of Locus of Control	(1) Small Degree of Recognition of Locus of Control
<p>...an instructional leader</p> <p>...an agent of change</p> <p>...having an impact on instruction</p> <p>...having something to offer teachers on ELD instruction (actionable)</p> <p>...able to give feedback to teachers to support instruction (actionable)</p>	<p>Principal acknowledges self as instructional leader and/or agent of change while discussing more than one actionable indicator of locus of control</p>	<p>Principal acknowledges self as instructional leader and/or agent of change while discussing at least one actionable indicator of locus of control</p>	<p>Principal does not acknowledge self as instructional leader and/or agent of change and does not discuss an actionable indicator of locus of control</p>

Principal Jones' Locus of Control (Self-Rating)

Figure 4.4 – Principal Jones' Impact Difference – Locus of Control Questions

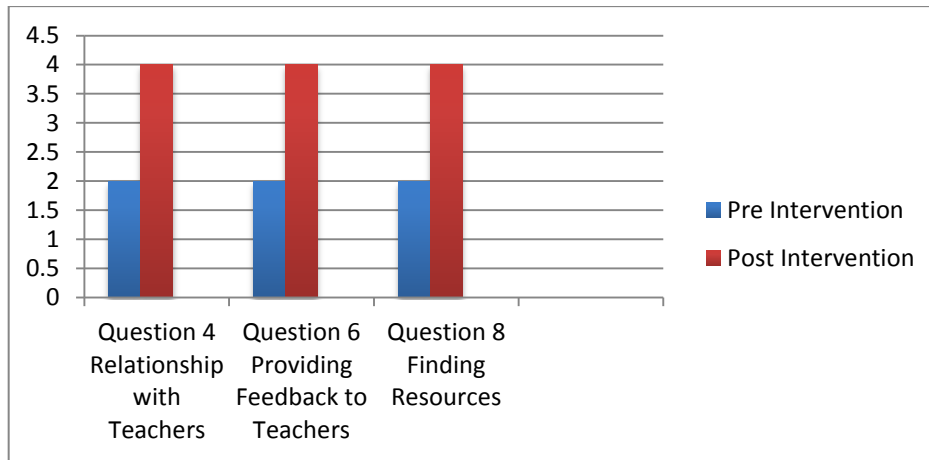


Table 4.7 – Principal Jones' Locus of Control Rubric Scores

Rubric Score – Pre-Interview	Rubric Score – Post-Interview
2	2
<u>Rationale</u>	<u>Rationale</u>
Principal Jones said that he knows he is the leader of the school. He acknowledged his role as one of authority. He overemphasized that, because of this, it is crucial he maintains positive rapport with staff. Although structural, Principal Jones did discuss some actionable indicators of moving practice forward within his locus of control. He discussed creating structures for collaboration and learning. He did not get too much into his role in engaging in them, but did note the actionable items of creating the structures. He talked a great deal about rapport with his teachers and self-identified as struggling to provide feedback and finding resources. He talked mostly about creating structures for collaboration.	Principal Jones self-rated growth on all three questions related to locus of control. He mentioned that giving teachers what they need will make them successful. That said, my rubric score differed from his self-rating. I had him at a constant 2, as Principal Jones acknowledged his role as leader in the post interview, but did not name any more actionable items than he had to begin with. He talked, again, about relationship building and structures for collaboration, but did not name any others. Furthermore, he did not give any further detail into what these meant. He just named them. He did say that he valued finding “things for teachers to use in classrooms,” but did not give further actionable indicators of improving instruction.
<u>Variance from Self-Rating</u>	
My rating does vary with Principal Jones' self-rating. I did find Principal Jones to see himself as a school leader. He mentioned it twice, once in the pre and once in the post interview. That said, he self-reflected as showing growth on the three questions on relationships, feedback, and resources, but did not make mention of any more actionable indicators of instructional improvement, within his locus of control, than before. Principal Jones responded, once, with “That’s what I’m supposed	

to say,” to a question related to his role as principal. That indicated to me that Principal Jones may have inflated his self-ratings to indicate his espoused beliefs on progress rather than the reality.

When discussing compliance orientation, Principal Jones struck me as somebody who seemed to value the organizational-managerial aspect of the principal role. To that end, I was not too surprised that his responses to questions focused on principal motivation/locus of control dealt a lot with his perceived role as having authority over structuring a school. Principal Jones did discuss seeing himself as the leader. His responses to what that means, though, included mostly structural impacts on instruction. For example, his responses in regard to having collaborative relationships with teachers at his school tended to highlight his actions in putting structures together to support collaboration. He discussed the following:

I've had okay relationships with my teachers. I'm still the principal and some of them can be resistant of anyone with authority over them. I have an impact on what happens at school and I know that. I'm the leader. I help them collaborate by making sure my school has built-in systems to support it. Every Thursday, for example, they have two hours for GLCs (grade level collaboration meetings). They are lucky they have that. I ask them to use some of this time for ELD.

Afterward, during the post interview, Principal Jones said that increasing his knowledge of effective ELD and having better conversations with teachers (it's noteworthy that his rating in the area of compliance orientation for the question on identification of quality ELD went from 2 to 4 on the self-rating scale helped his relationships with teachers. He noted:

I learned that having more intelligent conversations about content, rather than just structure, is helping me connect with them (teachers) better.

Although brief, I found this comment poignant, as Principal Jones made a connection between learning about what constitutes effective ELD and his rapport with staff. With regard to questions 6 and 8, Principal Jones commented that both getting materials that teachers need and giving them meaningful feedback on instruction has helped him better connect with them. In one comment, for example, he stated:

Yeah, I'm saying that I guess if you give people what they need and help them teach better, you'll connect better with them. That's big for me.

This succinct commentary, paired with self-ratings on questions 4, 6, and 8, indicate that Principal Jones has made positive progress in building rapport with teachers, providing meaningful feedback on ELD instruction, and finding resources for staff. This is a notable shift from pre-intervention implementation to post-intervention implementation. His responses below substantiate this finding.

Principal Smith’s Locus of Control (Self-Rating)

Figure 4.5 – Principal Smith’s Impact Difference – Locus of Control Questions

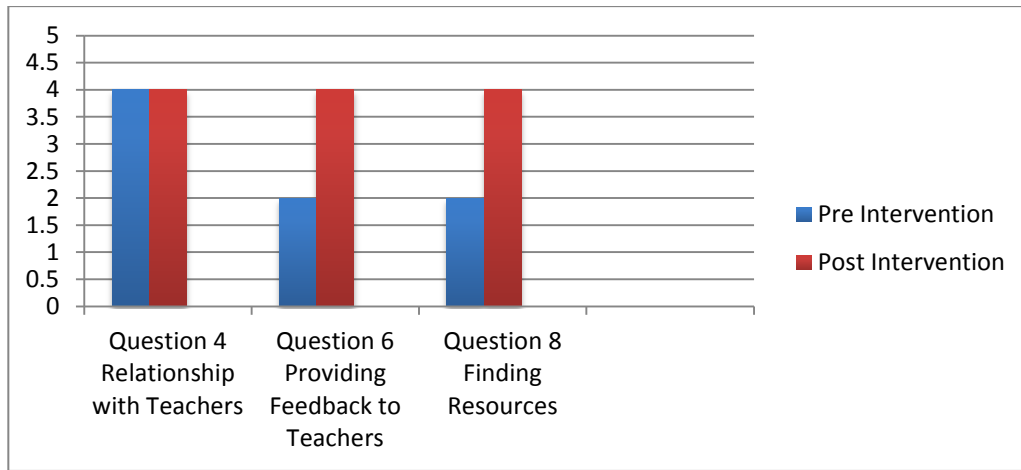


Table 4.8 – Principal Smith’s Locus of Control Rubric Scores

Rubric Score – Pre-Interview	Rubric Score – Post-Interview
1	2
<u>Rationale</u>	<u>Rationale</u>
Principal Smith only acknowledged her role as leader to say that, as a leader, she left teachers alone. She did not discuss actionable indicators of her locus of control except to say that she left teachers alone and did not want to disrupt the climate of the school by getting to involved in the day to day instruction. This defines the rubric score of one in that there were no actionable items and, essentially, no mention of agency of change.	Following the study, Principal Smith talked about getting into classrooms more and getting teachers what they needed. She also talked more about giving feedback to teachers, all of which she made no mention of in the pre-interview. I assigned her a rubric score of 2, as she went from seeing herself as a leader to leave teachers alone to one that has impact on instruction. Her indicators were far more actionable.
<u>Variance from Self-Rating</u>	
Both Principal Smith’s self-ratings and my rubric scores are fairly well aligned. I noted growth in understanding locus of control and a move from laissez faire leadership to instructional leadership and noted that Principal Smith spoke with more knowledge on moving teacher practice.	

With regard to compliance orientation, Principal Smith, the most veteran of the three participants, was also the most outspoken about her challenges in supporting ELD instruction. Regarding the dimension of Locus of Control, her responses were very interesting in that she seemed more humble. For instance, she was very quick to note in her responses, both in the pre and post interviews, that she has “solid” relationships with her ELD teachers. Very succinctly, she said (in the pre-interview):

I pretty much leave them alone during ELD so they like that. I'm not gonna rock the boat and have an angry mob after me because I'm giving them a laundry list of things to do that they hate anyway.

When probed further, she went on to say that she gives them “time,” to plan ELD, which is what they want. During the post interview, she reflected that:

They (teachers) liked it when I observed their classes and talked to them afterward. I guess this helped a bit. Frankly, I thought they'd hate it, but most of them were okay with me visiting and meeting after. I didn't overdo it, but I checked in on them. I think this impacted instruction in my role as leader.

In the post interview, she noted that when she gave teachers materials that they needed to teach ELD, they appreciated it and that it helped her connect with some staff. Her reflection in the post interview is as follows:

When I asked them what they wanted, they told me. When I gave it to them, they liked it. So that's what I did.

Principal Smith's candid, and sometimes blunt, responses provided valuable insight into a potential starting point for moving principal practice with regard to highly impactful ELD. She exemplified starting with concrete actions such as getting into the classroom, trying out a practice of providing meaningful feedback, and supporting teachers with materials they need for ELD instruction. She seemed to make progress from when we first started having conversations around ELD for the purposes of my design study, where she indicated a level of reluctance to “rocking the boat,” to the end, where she engaged with teachers in a more instructionally-oriented manner (providing materials they needed and visiting and giving feedback following an ELD observation).

Principal Johnson's Locus of Control (Self-Rating)

Figure 4.6 – Principal Johnson's Impact Difference – Locus of Control Questions

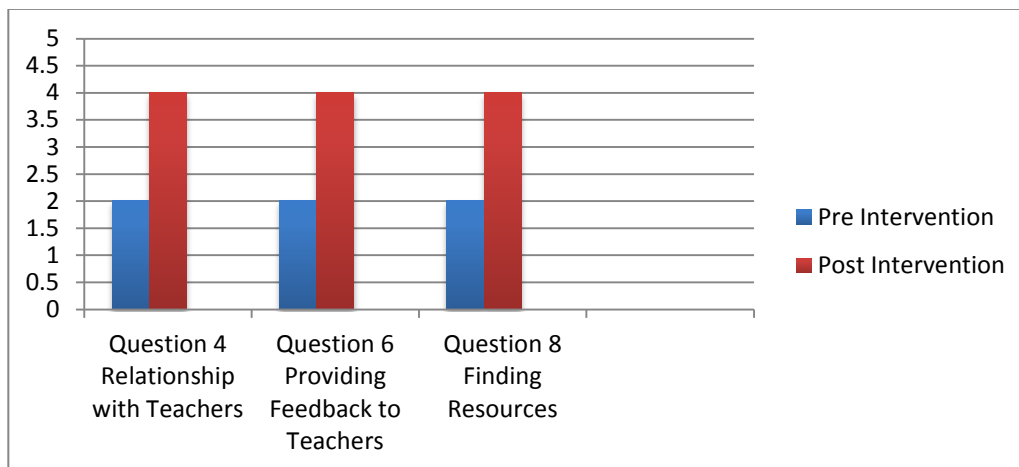


Table 4.9 – Principal Johnson’s Locus of Control Rubric Scores

Rubric Score – Pre-Interview	Rubric Score – Post-Interview
1	2
<u>Rationale</u>	<u>Rationale</u>
<p>Principal Johnson demonstrated the overwhelmed response to locus of control. There was acknowledgement of being a principal, but only to say that it meant he had too much to do and was spread too thin. Principal Johnson mentioned almost no actionable indicators of moving practice forward except to say that he popped into meetings once in a while. It was the overwhelmed sentiment of not being able to go deep with anything and being spread thin that earned him a rubric score of 1, no acknowledgment of the locus of control of a school leader and almost no actionable indicator.</p>	<p>Following the intervention, Principal Johnson discussed the value of getting into classrooms to drive instruction. Furthermore, he discussed going deeper, strategically, with some teams and teachers, than others so as to demonstrate depth over breadth. Principal Johnson demonstrated growth in identifying himself as an agent of change and by discussing actionable items, such as visiting ELD classes, giving feedback, and engaging in grade level teams by concentrating on one at a time. This was progress demonstrated from the general sentiment of “overwhelmedness” from the pre-interview.</p>
<u>Variance from Self-Rating</u>	
<p>Principal Johnson’s self-rating and my rubric score align fairly well in that they both show consistent growth from start to end. His self-ratings indicate that he feels more comfortable with rapport with staff, providing feedback, and finding resources. What I found is that he was able to discuss his role as leader and give several examples, actionable ones, of what this means and the impact he can have on driving staff forward.</p>	

Principal Johnson’s self-rating, in all three questions pertaining to locus of control, were at the lower end of the rating scale (a rubric rating of 2) pre-intervention, with a notable improvement (indicated by a higher rating of 4 on the rubric) at the close of the intervention. In the early phases of the study, Principal Johnson described himself as the type of principal that is in classrooms often. Here he notes that he struggles being involved in the collaboration between teachers. Similar to Principal Jones, Principal Johnson focused heavily on the structures of collaboration, but noted that his “deep” involvement was lacking. He stated in the pre-interview:

I have a large staff and it’s hard to really get in on what teachers are doing when they collaborate. They appreciate that I set up time for them to talk and that I give them guidance in using some of it for ELD collaboration, but, as far as getting in there and joining the conversation, I’m spread pretty thin.

In the post-interview, Principal Johnson shared that he thinks about becoming more involved in collaboration and has tried focusing on fewer grade levels during that time so that he can get steeped in the work of the team. When probed for his reflection on learnings from the study:

I guess my learning is that I don’t have to pop into every grade level meeting, but that I can stay longer at one and get more involved. Like any principal, I know which grade levels need the most help and I guess I should start with them. I’m the leader of the school and it means getting involved to improve teachers.

In a similar fashion, Principal Johnson also commented at the start of the intervention that he focused more on the structure of ELD time as opposed to the content or instruction taking place during ELD. Post intervention, however, he shared the following as part of his reflection:

You know what? Getting in there and having the conversations about what they (teachers) are teaching has been so much better for me. I feel more connected to the instruction of the school, not just the managerial and operational components.

Similarly, when asked about finding resources for ELD teachers, Principal Johnson said that he “feels like he knows better about what to get teaches that will actually support what they are teaching.” He commented:

I feel like I know them better. I know what they want and I am learning how to get it for them. Like, I just ordered pocket charts for sentence frames after we had a nice discussion about using them school-wide at the last staff meeting.

Principal Johnson, again, similarly to the way his interview data reflected under compliance orientation, seems to be moving forward in getting away from only structural implementation of ELD and adding more of the instructional piece to his practice.

Technical Competence

The Technical Competence dimension refers to the principal knowledge of both the indicators of highly effective ELD instruction and the differences between environmental and instructional ones. Additionally, it includes the knowledge of what to focus on in an observation and how to utilize observation data as a conversation point in providing impactful feedback to teachers on their ELD instruction.

Table 4.10 – Technical Competence Rubric

Indicators of Technical Competence	(3) Large Degree of Technical Competence of ELD	(2) Some Degree of Technical Competence of ELD	(1) Limited Technical Competence of ELD
Difference Between Content Objective and Language Objective	Principal mentions 6-7 of the indicators in interview	Principal mentions 3-5 of the indicators in interview	Principal mentions 0-2 of the indicators in interview
Knowledge of California ELD Standards			
Knowledge of Common Core Standards for			

<p>ELs</p> <p>Knowledge of EL Proficiency Level Descriptors (PDLs) - Emerging, Expanding, & Bridging</p> <p>Knowledge of the Development of Oral Language</p> <p>Knowledge of the 4 Domains of ELD (Reading, Writing, Speaking, Listening)</p> <p>Knowledge of the CELDT & Its Purpose</p>			
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Principal Jones' Technical Competence (Self-Rating)

Figure 4.7 – Principal Jones' Impact Difference – Technical Competence Questions

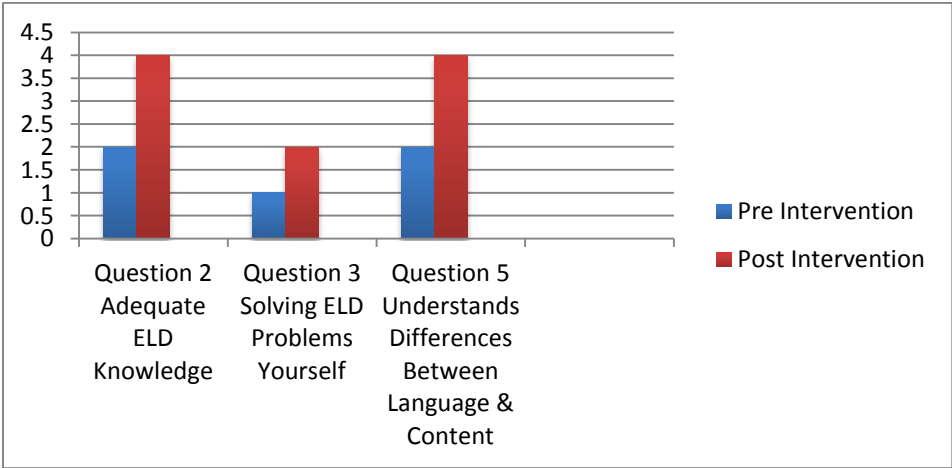


Table 4.11 – Principal Jones’ Technical Competence Rubric Scores

Rubric Score – Pre-Interview	Rubric Score – Post-Interview
2	3
<u>Rationale</u>	<u>Rationale</u>
Principal Jones spoke a lot about several technical indicators from the rubric. He discussed assessment, the domains of language development, and several other instructional components of instruction. I was able to count 8 indicators that he spoke of. He even began the interview stating that he knew “a thing or two about ELD.”	After the study, Principal Jones actually increased to 9 indicators and even talked in larger detail about them. He recounted observing classrooms and set forth that he would like to continue this. He demonstrated growth in technical competence even from his first responses in the pre-interview.
<u>Variance from Self-Rating</u>	
The rubric scores and Principal Johnson’s self-reflections are well aligned. He noted growth in knowledge of ELD, solving issues himself, and the differences between language and content. I noted an increase in technical component discussion from 8, which was high to start, to 9.	

In reviewing the data from the pre and post interview protocols, I saw a connection between Principal Jones’ identification of quality ELD indicators (from the questions focused on compliance orientation) and self-reflection of his knowledge of ELD. In question 2, Principal Jones noted that he has adequate ELD knowledge “to some extent,” a rating of 2 on the four-point scale. In the pre-interview, he stated:

I know a thing or two about good teaching, but ELD is different now. There are all of these very broken down components. Like, think of the CELDT (California English Language Development Test) and the standards. Teachers have to explicitly teach reading, writing, speaking, and listening to kids who know very little English. This is hard and there’s no right way to do it. I mean, I don’t know exactly how and neither do my teachers.

Principal Jones demonstrated a knowledge gap in providing for high quality ELD instruction, but he did mention 8 indicators of technical competence from the rubric in the final interview, up from 5 in the initial. He did not make mention of common best practices in teaching strategies around ELD instruction such as structured language practice, sentence framing, or even frontloading vocabulary. These structural components of high quality ELD are commonly referenced in the literature (Gersten & Baker, 2000; Goldenberg, 2008) and even among principals who may not understand what they are. Principal Jones, however, made no mention of them. During the pre-intervention interview, he went on to answer questions 3 and 5 rather summarily. For question 3, he answered that he usually just “calls someone in MPD (Multilingual Pathways Department)” when he has a question about ELD. He noted that they “profess to be the experts”. Principal Jones also said that he “thinks” he knows the difference between language and content, but that he usually just “frames it by making sure teachers have a language and content objective on the board.” This is very consistent with his responses to questions in the compliance orientation

dimension in that he noted before that he usually looks for these objectives on the board when he visits classrooms.

That said, after the intervention activities, Principal Jones made a comment, in response to question 5, that he “now has a better grasp on how language and content are different.” He even noted that he’d like to see more integration between the two, which indicated to me that he made progress in acquiring knowledge, as it is best practice to integrate content and language as often as possible. His responses and the upward trajectory in all three questions in the technical component dimension indicate that Principal Jones made positive progress in technical competence from the start to end of the intervention sequence.

Principal Smith’s Technical Competence (Self-Rating)

Figure 4.8 – Principal Smith’s Impact Difference – Technical Competence Questions

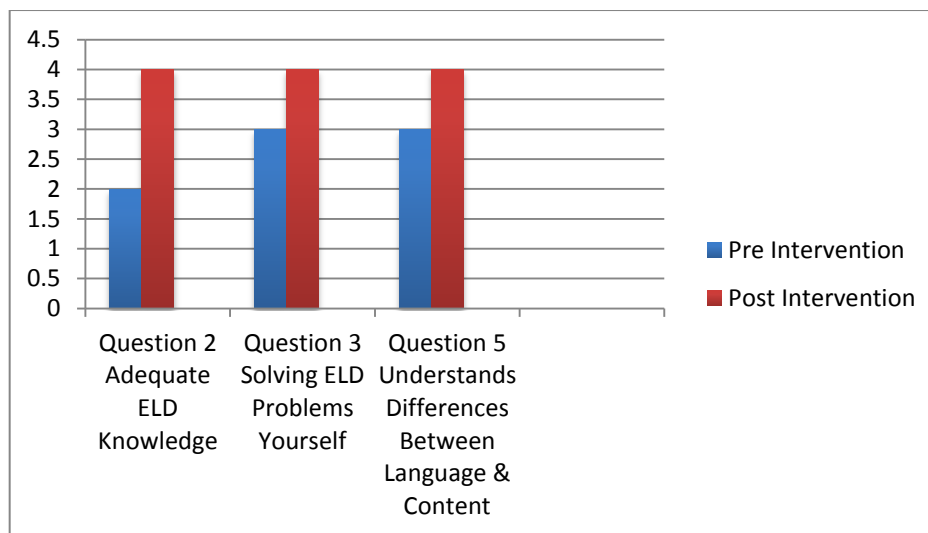


Table 4.12 – Principal Smith’s Technical Competence Rubric Scores

Rubric Score – Pre-Interview	Rubric Score – Post-Interview
1	2
<u>Rationale</u>	<u>Rationale</u>
Principal Smith discussed knowing very little about ELD from the start. She only indicated one competence, from the rubric, and it was only a very broad acknowledgement of ELD as a block where domains of language are studied. It was vague. I probed, but Principal Smith clearly had little technical knowledge of the components of ELD instruction and how to support it. She acknowledged avoiding observing so as not to “rock the boat,” noting	Principal Smith, in the final interview, discussed 3 indicators of ELD. Again, they were fairly broad, but she did increase in indicator discussion to include the ELD standards, a move to Common Core, and language standards versus content ones. We covered those in the intervention. She noted having a ways to go, but was interested and motivated.

that she had little to offer.

Variance from Self-Rating

Principal Smith self-rated higher than my rubric score, but I am placing heavier weight on the indicators from the rubric. They were, essentially, items covered in the intervention and, from the literature, are the highest leverage technical components of ELD. I heard Principal Smith, from the interview, noting that she felt as though she had made a lot of progress, but, compared to the indicators of the rubric, progress was more limited and tempered in my assessment.

Principal Smith's data revealed a slightly different outcome when it came to solving problems related to ELD. Previously, when responding to other dimensions, Principal Smith indicated that she avoided visiting classrooms so as not to negatively impact culture and climate, and because she wanted to ensure that she had an "add-value" to the instructional core before imposing on instruction. In regard to the Technical Competence dimension, Principal Smith's data indicates positive growth with respect to ELD knowledge, managing ELD concerns in-house (or solving ELD problems herself), and knowledge of the differences between language and content. Her responses to question 3 indicated a lack of confidence in support personnel at the district level around ELD. She responded, in the pre-interview that the "district has done nothing for her and that it's a waste of time calling them." Furthermore, she finds very little support in what they do. She expressed that she feels the need to learn more about ELD because she often felt unsupported, with district staff only "coming to check up on her." Principal Smith responded to question 2 with the following:

I appreciate learning more about ELD. I still think it's confusing what to do and look for as a principal. I mean, they tell us one thing and here we learned some other things. What we talked about made sense. It's more about instruction and I get that, but everyone needs to be on the same page.

Principal's Smith response reveals that she remained confused as to how to move beyond compliance while still doing what we, as principals, are asked to do. She further noted that that the district sends one message and that what we discussed what is "better" than that. As a researcher, it was challenging to bring home the point that a principal can remain in compliance *and* still look for and give feedback on the instructional components of ELD, not just the superficial elements. In the same regard, Principal Smith reflected that she "knows a little more about what to do in-house without feeling like having to call the district for help" and that she "gets language versus content now."

Principal Johnson’s Technical Competence (Self-Rating)

Figure 4.9 – Principal Johnson’s Impact Difference – Technical Competence Questions

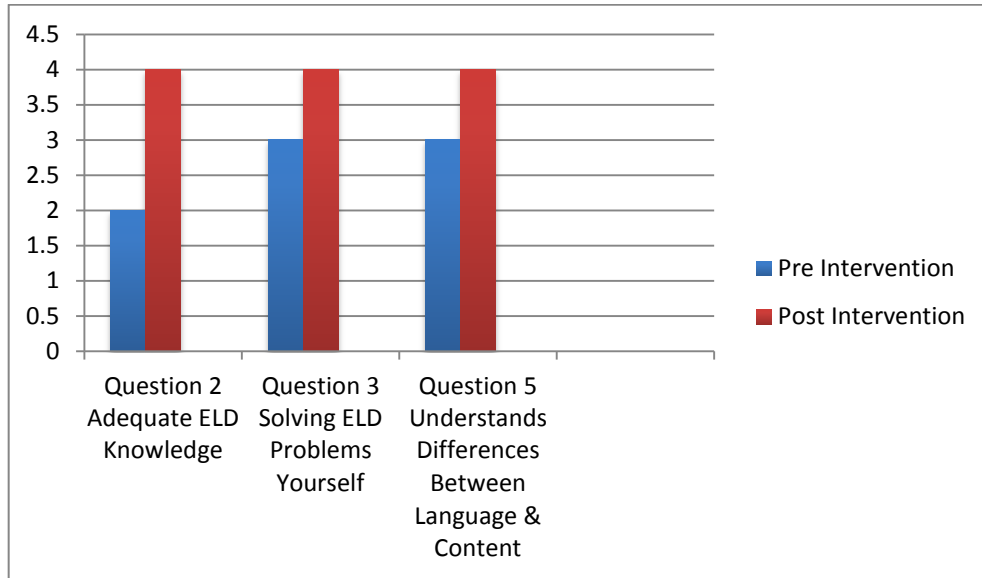


Table 4.13 – Principal Johnson’s Technical Competence Rubric Scores

Rubric Score – Pre-Interview	Rubric Score – Post-Interview
1	3
<u>Rationale</u>	<u>Rationale</u>
Very similar, in nature, to Principal Smith, Principal Johnson began by acknowledging limited understanding of ELD, but, the difference between him and Principal Smith is that Principal Johnson named the indicators of the compliance checklist as his technical knowledge base. He only named two indicators from the rubric and they were rather vague (despite his assertion that he knows a “thing or two;” actually, the rubric placed him at knowing exactly two, not the far more that that expression connotes).	The largest growth from all of the participants was shown by Principal Johnson. He increased to 8 indicators in the final interview. He even described the large differences between content and language standards and the differences from the ELD state standards to the Common Core. He discussed six more indicators, which moved him from 2 to 8 and the largest overall growth.
<u>Variance from Self-Rating</u>	
The rubric rating validated Principal Johnson’s self-rating, as he indicated the largest growth in ELD knowledge, from a score of 2 to 4. His self-ratings coincide with the rubric scores assigned.	

Principal Johnson demonstrated one of the largest increases in growth and understanding of ELD (including the differences between language and content and how to integrate the two) from the pre to the post interview. At the start of our work together, he recounted:

I know a little something about ELD. I use what they (the district) give me and go from there. I throw in a little bit of my own knowledge, but I look for what I am told to look for. I mean, it's all good stuff.

Of the three participants, Principal Johnson seemed the most tied to compliance and also gave several indicators that he connected compliance to best practice. It should be noted that Principal Johnson began as a principal within the last ten years, when strict compliance with the consent decree resulting from *Lau v. Nichols (1974)* began. In the post interview, he noted the following:

Now I feel like I know more about what ELD is. I guess it still includes what they are asking us to look for, but now I have a few more things to do. I like the idea of higher-level things to see when visiting classrooms. I want to be better at the instruction piece so that teachers really move practice when I observe and give them stuff to think about.

Principal Johnson gave a few more details when it came to questions 3 and 5 as well. For question 3, similar to Principal Smith, he discussed his perceived lack of support from district level ELD personnel (coaches, teachers on special assignment, and program administrators). He began with a pre-interview where he only named 2 indicators of technical competence from the rubric, ELD levels and a curriculum. In the final interview, though, he increased to five and even mentioned the new proficiency levels as compared to the former ones (new ones connecting to the Common Core). His responses were consistent in that it was “good to know what to do himself, as no one else was going to help, but rather just check on him.” Finally, he reflected that he knew a little bit about the language and content differences, but now knew them in greater “depth and detail.” The general trend with Principal Johnson was a positive gain in technical competence from the start to end of the intervention sequence.

Summary of Impact Data

The following chart reflects a summary of the impact data collected from the pre and post interviews with the three participating principals. The principal self-ratings before and after are noted along with the impact difference between the two values. It is noteworthy that, in all but four cases, the impact difference was positive for all three principals. Of the four non-positive differences, two were no growth and only one regressed from pre to post design study levels. Additionally, the second chart reflects a summary of the rubric impact data.

Table 4.14 – Impact Data Summary Including Baseline, Outcome, and Impact Difference

	Participant	Baseline (Pre Interview)	Outcome (Post Interview)	Impact Difference
Awareness of Compliance Orientation				
Question 1	Principal Jones	4	4	0
	Principal Smith	1	2	+1

	Principal Johnson	4	4	0
Question 7	Principal Jones	2	4	+2
	Principal Smith	3	2	-1
	Principal Johnson	2	4	+2
Locus of Control				
Question 4	Principal Jones	2	4	+2
	Principal Smith	4	4	0
	Principal Johnson	2	4	+2
Question 6	Principal Jones	2	4	+2
	Principal Smith	2	4	+2
	Principal Johnson	2	4	+2
Question 8	Principal Jones	2	4	+2
	Principal Smith	2	4	+2
	Principal Johnson	2	4	+2
Technical Competence				
Question 2	Principal Jones	2	4	+2
	Principal Smith	2	4	+2
	Principal Johnson	2	4	+2
Question 3	Principal Jones	1	2	+1
	Principal Smith	3	4	+1
	Principal Johnson	3	4	+1
Question 5	Principal Jones	2	4	+2
	Principal Smith	3	4	+1
	Principal Johnson	3	4	+1

Table 4.15 – Impact Rubric Data Summary Including Baseline, Outcome, and Impact Difference

	Participant	Baseline (Pre Interview)	Outcome (Post Interview)	Impact Difference
Awareness of Compliance Orientation				
Rubric Scores	Principal Jones	3	2	-1
	Principal Smith	2	2	0
	Principal Johnson	2	1	+1
Locus of Control				
Rubric Scores	Principal Jones	2	2	0
	Principal Smith	1	2	+1
	Principal Johnson	1	2	+1
Technical Competence				
Rubric Scores	Principal Jones	2	3	+1
	Principal Smith	1	2	+1
	Principal Johnson	1	3	+2

Results from the impact data reveal promising results for the efficacy of this design study and the embedded intervention activities. It is important to note that the rating scales differed from the participant self-rating, which was a four-point scale, to the rubric scale, a three-point scale. A four-point scale demonstrated, in the case of this study, clear indicators from 1-4 and a clear difference between the middle scores of 2 and 3. On the rubric, however, I was unable to clearly define the difference between a rating of 2 and 3 and so I moved forward with a three-point scale. The differences between indicating terms, such as “somewhat” and “moderately,” for example, would have been too undefined and amorphous and so in an effort to select clarity in rubric score over consistency in numeration between self and rubric scores, I moved forward with a four-point self-rating and a three-point researcher-defined rubric scale.

The impact data suggest that the intervention was able to shift principal knowledge and support of ELD instruction from compliance orientation alone to impactful instructional indicators of highly effective ELD along three dimensions supported in the research. I found it validating that the rubric score impact differences seemed, in most cases, to mirror the participants’ self-reflections. I’d argue, that, following this study, the design did have a promising impact moving principal knowledge and practice forward from compliance orientation alone toward more impactful, Level II indicators of effective ELD with principals feeling more like instructional leaders, recognizing their value in moving teacher practice, and bringing the skill set forward with that realization. While findings at this stage of the study are indeed promising, the relatively small sample size (n=3) impedes my ability to draw a definitive conclusion about the generalizability of the study and draw definitive conclusions about its overall efficacy in educational settings.

Process Data Analysis

In this section I present the process data activities and analysis. Specifically, I outline in detail, the intervention sequence that I crafted to aid the three participating principals become aware of and acknowledge, 1) their reliance on compliance orientation to drive ELD instructional support, 2) recognize their locus of control, as principals, to impact language development instruction in their schools in deep and meaningful ways, and 3) increase their technical competence, in terms of the tenets of high quality language development instruction. This includes a move from environmental indicators of effective ELD instruction (Level I) to instructional indicators of effective ELD instruction (Level II). These indicators, and a rubric of each, are detailed in Appendix D.

In telling the story of the process data I collected, I've organized the following section into a review of each intervention session. I begin with the sequence of intervention activities. For each session, I detailed the learning objectives, a low inference recount of the critical incidents of the session, and a higher inference analysis of the session.

Finally, I asked principals to complete an exit slip (reflection on what they learned and plan on changing) following each session, which contained the following prompts (the prompts remained consistent across all sessions):

1. *Please indicate one or more new learnings following this session.*
2. *Please indicate and explain one or more areas where you need additional support.*
3. *Please indicate how you might incorporate one or more learning in your daily practice.*
4. *Please provide any other comments you would like the facilitator/ researcher to consider.*

Table 4.16 - Intervention Design/Sequence of Activities

<p align="center"><u>Principal Leadership of ELD Session</u></p> <p align="center"><u>1 Hour/Session</u></p> <p align="center"><u>(Expected Outcomes)</u></p>	<p align="center"><u>Principal Support of ELD Intervention</u></p> <p align="center"><u>Design Sequence and Activities</u></p>
<p align="center">Session 1</p> <p>(Principals understand the purpose of the design study and participant roles while reflecting on baseline interview data. Principals will become engaged and motivated by the model of highly impactful ELD instruction)</p>	<p align="center"><u>ELD Intervention Overview & “Hook”</u></p> <p align="center">Norms and expectation setting, role of researcher, roles of principals and ELD teachers, and information sharing/reflection on baseline interview data</p> <p align="center">Share video of highly impactful ELD lesson to <u>motivate</u> participants on what is possible</p> <p align="center">Discussion of what made the sample lesson clip an example of highly effective instruction</p>

<p style="text-align: center;">Sessions 2-3</p> <p>(Principals will come to understanding of their reliance on compliance orientation to drive instructional leadership of ELD)</p>	<p style="text-align: center;"><u>Awareness of Compliance Orientation</u></p> <p>Brief exploration and understanding of the tenets of the consent decree utilizing a very short snippet of <i>Lau v. Nichols (1974)</i></p> <p>Direct ask of why we cling to compliance</p> <p>Consciousness raising activity – show compliance oriented lesson clip and compare to highly impactful ELD lesson from initial “hook”</p> <p>Why do we have what we have? (Lau Plan, BVUSD ELD Plan, SFUSD ELD Lesson Plan)</p> <p>Where do we go from here and how to we get there? Chart out the differences between two video clips and begin to discuss how we move toward impactful ELD instruction.</p>
	<p style="text-align: center;">Review <i>Lau v. Nichols (1974)</i></p> <p>Read selection from <i>Architectural Approach to ELD Instruction (Dutro & Moran, 2002)</i></p> <p>Concept mapping to compare/contrast two articles – map out indicators and characterize as Level I and Level II indicators of effective ELD (see Appendix D)</p>
<p style="text-align: center;">Sessions 4-5</p> <p>(Principals will understand their individual locus of control in impacting effective ELD instruction)</p>	<p style="text-align: center;"><u>Locus of Control</u></p> <p>Understanding the actual locus of control that principals have on impacting ELD instruction positively</p> <p>Using the chart comparing high impact ELD instruction and compliance oriented ELD instruction (Level I vs. Level II indicators), principals will chart out which of the items in the high impact ELD instruction are actually within their locus of supervisory control</p> <p>Closer look at school-wide data with a self-</p>

	<p>reflection of various conditions of English learners – self assessment of ELs in Special Education (over-representation), self-assessment of what happens to ELs not reclassified as English proficient by middle school, discussion of assumptions of ELs and place for principals to have larger impact</p>
<p>Sessions 6-9 (Principals will set concrete and attainable goals in impacting ELD instruction positively. Principals will acquire skills on indicators of high quality ELD instruction.)</p>	<p><u>Goal Setting/Skill Building</u> Setting concrete, attainable, and time oriented goals around impacting ELD instruction using the indicators (Level II) Discussion of and PD/understanding on/of rubric and indicators of high quality ELD instruction PD on the “Essential Elements of Effective ELD Instruction”</p>
	<p><u>Skill Building/Practicum</u> Professional development on high quality ELD indicators (Level I vs. Level II indicators), how to observe for them and move beyond compliance orientation Participants observe researcher observing a lesson and reflecting (aloud)/debriefing on indicators of instruction observed (one round) Researcher observes participants observing ELD instruction and reflecting/debriefing on indicators observed (three rounds of this) Role playing feedback to be given to teacher (for each lesson observed)</p>
<p>Session 10 (Principals will reflect on the process and outcomes of the design study)</p>	<p><u>Efficacy</u> Review and reflect on initial perceived impacts of intervention design sequence and activities to support principal leadership of ELD; closure; impacts for ongoing instructional leadership</p>

Session 1: ELD Intervention – Overview and “Hook”

Learning Objectives – Session 1

In the opening intervention session, the learning objectives were twofold. The first one was to engage participating principals in a “hook” to grab their attention and peak their interest around participating in a series of sessions designed to help them become better instructional leaders of ELD. By showing them an inspiring clip of highly impactful ELD instruction, my objective was to kindle the principals’ aspirations to improve on their practice. My second objective was to ensure to ensure that they understood the purpose of the professional development sequence and its objectives in improving their practice.

Low-Inference Observation of Critical Incidents in Session 1

In order to engage participants in the process of learning new skills and strategies and utilizing them in support of instruction, participating principals needed to understand why moving beyond compliance, from Level I (compliance oriented) to Level II features of quality ELD instruction, was important and, furthermore, how impactful it could be on classroom instruction and, eventually, student achievement. In our first session, we spent 60 minutes on the following four activities: a framing of the scope of the sequence of sessions and the day’s work, personal introductions, and aspirations for learning throughout the course of the intervention, the viewing of an exemplar video of some Level II practices, analysis of what made it exemplary, and discussion about how these practices could be fostered with teachers through principals’ instructional leadership at their schools.

I captured the attention of participating principals in providing a clear scope, from beginning to end, of the ten-session intervention sequence. All three participating principals nodded their heads in affirmation and identified that ELD instructional improvement was a need at their school. It should be noted that each of the principals indicated this, as part of my selection process as well, on the questionnaire I used for recruitment. Principal Jones said that he wanted to “understand how to structure solid ELD.” Principal Smith said that ELD was something she has been working on with her staff. Principal Johnson said that he had a lot to learn when it came to language instruction. All three mentioned that they currently use the district’s checklist in required items to look for when conducting ELD walk-throughs. Principal Smith concluded by asking if we were going to “get rid of that” or do something in addition. At the close of introductions, I initiated the demonstration video.

Instead of simply viewing a film, I used the online program EdThena. EdThena is a software program that allows for a video file to be uploaded and, most significantly, allow viewers to pause and note practices, which are recorded on timestamps throughout the film. For this exercise, we utilized a structure by which we viewed the entire clip (approximately 9 minutes in length) while taking notes on effective practices and areas for improvement. I asked the principals to note the teaching moves. After the first viewing, we finalized notes and then I started the film again. This time, I asked the principals to call “stop” when we arrived at a strong teaching move so that we could name it together. During the film, the following teaching moves were named (items marked with an asterisk (*) are instructional indicators; items without the asterisk are environmental, or compliance oriented indicators):

Table 4.17 – ELD Teaching Moves Noted, by Principal, Following First Video Clip

Principal	ELD Teaching Moves Noted
Jones	Wait Time/Think Time* Kids Grouped by Language Think-Pair-Share* Choral Response* Vocabulary Explicit Teaching*
Smith	Frontloaded Vocabulary* “A Good Looking Classroom” Numbered Heads Together Small Group Instruction
Johnson	Partner Reading* Wait Time/Think Time* Choral Response* Clearly Stated Objective*

As the data indicate, 9 out of 13 responses noted Level II, or instructional indicators of effective ELD instruction. This indicates that participating principals came to the table with some existing knowledge of Level II indicators of effective ELD.

In the discussion portion of the session, we engaged in a 15-minute conversation on the teaching segment. Principal Jones commented that the teacher had students engaged from start to finish. Principal Smith said that there was a clear connection between the language “part” and the content (this, too, is a Level II indicator), and Principal Johnson said he wanted all of his teachers to “do this” in his classrooms. The commentary was positive and 2 of the 3 participants used the word “inspired” to describe how they felt afterward. In closing, all three principals agreed that they would like to work on supporting this type of instruction in their schools.

Analysis of Session 1

Notably, a majority of principal comments, during the teaching clip, were instructional indicators of effective ELD instruction. Although all of the principals rated themselves low (scores of 3 or lower) on the interview question pertaining to their identification of quality ELD before the study, all three identified Level II features of quality ELD instruction. When they saw an exemplar, they were able to identify high quality teaching. This was my first objective in activating some prior knowledge that they may have had, and it was evident that they possessed knowledge of one or more tenets of quality ELD instruction. In addition, I wanted to motivate them to “want” to see quality instruction in their schools that moves beyond the superficial nature of the compliance-oriented checklists to high quality, impactful instruction.

Generally speaking, the tone was positive throughout and the participation was equitable. No one either dominated or held back in the conversations. The three principals each commented that the objectives for the co-design study were clear and that they were interested and excited to participate. I noted that all three principals commented that they wanted to actually “do” and

“practice” during the course of the study and that they were excited to learn that we would be practicing the observations and following up together as a small team. Principal Smith followed up with “I’ve been here many years and we just don’t do this enough.” She was referring to the district and a lack of structure for supporting collaborative principal teams in walking through classrooms. Principal Jones said “They (the district) want us to do it, but don’t engage with us.” From the high level of engagement, interest, and positive commentary, along with the prior knowledge of instructional features of quality ELD instruction possessed by the participants, I concluded that the objectives of communicating the purpose of the design study, including roles, and participant engagement in the sample exemplar lesson were met.

Sessions 2-3: Awareness of Compliance Orientation

Learning Objectives – Sessions 2-3

The focus of the second and third sessions surrounded compliance orientation and having the participating principals come to an awareness of their reliance on compliance as the driving force in how they practice ELD instructional support and supervision. First, I aimed to have principals understand the pertinent history of how ELD came to be in the district. This includes the history of *Lau v. Nichols (1974)* and the impact of its subsequent consent decree on the instruction of ELD in the district. Using this historical context and the current state of ELD in the district, my objective was to have principals come to an understanding of their reliance on compliance to drive their support of ELD instruction.

Low-inference Observations of Critical Incidents in Sessions 2-3

Session two occurred 7 days after the first session and was an hour in length. The second session began with discussion around the tool provided by the district to support ELD classroom visits. This checklist details items that principals are required to look for per the consent decree following *Lau v. Nichols (1974)*. A court monitor has been assigned to the district, since the decree, and various updates to the protocol have resulted in this, the most current, checklist detailing which items principals are required to check for. Every item on the checklist is environmental, with the exception of one, which relates to the adopted curricular materials. These items include: students are grouped with no more than two proficiency levels of students in any one ELD block, bulletin boards list language objectives and work samples, lesson is aligned with core adopted curriculum, teacher initiates proper wait time between questions, students are seated to support pair sharing, all four domains of language (reading, writing, listening, and speaking) are covered, evidence of CELDT (California English Language Development Test) data analysis is present, and students have opportunities for structured language practice (SLPs, verbalized “slips” by staff). Each of these descriptors focus on the structures and environment of ELD instruction, not the actual quality of instruction. During the discussion, it quickly became clear that the participating principals did not understand the context of compliance orientation. I shared a reading from *Lau v. Nichols (1974)*, an excerpt from the case, and had them read it. We engaged in a discussion where Principals Smith and Johnson said that they had not actually known the facts of the case, only that there was one. Principal Jones said, “We hear a lot about *Lau*, but we don’t usually talk about what it has us doing.” All three principals commented on how the checklist items are often presented as actual best practices and that they present it to teachers as such. “They tell us we *are* the district and that we cannot say that the district is asking us to do it. So we tell teachers we are looking for certain quality indicators,” said Principal Smith. The other two commented that they have become “believers” of

this being “the way to support ELD.” At this point, we were approaching the 40-minute mark of the session and it was clear we were going to need to spend more time unpacking compliance.

I presented one more activity before closing the session. I showed a video clip, also using EdThena. This clip was provided by the scripted curricular set *Carousel of Ideas*, one of the district adopted curricula for elementary school ELD. This lesson was in compliance with the regulations of *Lau* and included many of the features of the district’s compliance checklist. We did a one-watch protocol (instead of the two from the first video) and I had principals call out “stop” when we hit an indicator from the checklist or when we hit one similar to the instructional indicators from the first exemplar video watched in the first session. Engagement among all three principals was high, and we stopped on almost every indicator from the checklist. At the end of the clip, I asked principals how they felt now having seen both videos. Each principal had a one-line response and they were as follows:

Principal Jones - “I liked the first one better. It seemed more engaging and the kids were more into the lesson.”

Principal Smith - “This one (current video) hit all of the marks, but the kids were bored,” and

Principal Johnson - “This one wasn’t great.”

When I probed further, they all agreed that the first video was more interesting to students and the lesson they’d rather see when visiting classrooms. We closed session two following a quick whip around for them to describe their current sentiments in one word. They replied, “interested, excited, and eager” respectively.

The third session was 60 minutes in length and occurred 9 days after session two. We spent the third session conducting a recap of the previous session, session two. The principals quickly and easily recalled the events of both videos. For this session, we charted out the explicit differences between the two clips. My goal was to get the participants to reflect upon the sample lessons and come to an understanding of the difference between the Level I and Level II indicators without my prompting. I facilitated the conversation, and charted their understanding in the form of a Venn diagram. Their responses are reported in the table below:

Table 4.18 – Venn Diagram Results Comparing Two Video Clips

Video I	Similarities Between Both	Video II
Engaging	Objectives were clear	Hit most of the list (checklist)
Lots of oral language practice	They answered questions from the teacher	Some kids off task
Every student responded to each question each time	Teacher made expectations clear	One kid put his head down
Connected to content	There was a story	Wait time/think time was strong
Very clear objectives	Standards-based	Seemed a little boring
Standard (Domain) was clear		Mostly students answered one at a time
They wrote, talked, read, and listened		Lots of hand raising
Kids talked to each other		Teachers seemed to use a script from the textbook
Teacher waited to give them a chance to think		
Looked fun		
Definitely learned something (students)		

At the conclusion of the charting exercise, I initiated a dialogue designed to have principals summarize what they saw and to compare and contrast the two clips. All three of the principals reiterated that they would rather see the first video in their classroom. Principal Smith posed questions to the group, “*Are we allowed to do this? Aren’t we supposed to do more of what the second video shows?*” It should be noted that clips similar to those of the second video are frequently shown at principal professional development sessions in the district as examples of what to look for. I responded with a question: “*What do you think? Can teachers be in compliance and follow the lead of the first video?*” All three principals seemed stuck on that question. After a while, Principal Jones responded, “*It would be a lot*” to teach them to be “*compliant and engaging.*” Principal Smith acknowledged that “she bought into the notion of compliance as actually being the best way to teach” and Principal Johnson said he wanted to hear more about “*how to get good teaching going in classrooms.*” We ended the session following this discussion and a brief recap along with a rundown of the next series of activities in the next set of sessions.

Analysis of Sessions 2-3

My goals in sessions 2 and 3 were to get principals to become familiar with what compliance orientation looks like and how it differs from impactful, Level II instruction, using footage from an exemplar ELD instruction and footage from a compliance-oriented lesson. That objective was accomplished. My intention was that they would all agree that the first clip was of higher quality and that this type of teaching was what they wanted, and perhaps needed, in their own classrooms. I assert that that happened based on a few key indicators from the sessions. First, all of the principals said, verbatim, that they thought the first video was “*better.*” Principal Johnson even said, “*I want that in my school*” and the other two nodded their heads and made praising comments toward the first video that supported Johnson’s statement. Most compelling was the Venn diagram. Eleven out of eleven (100 percent) of the comments on the first video (Level II instruction) were positive in nature. The principals praised the levels of engagement they observed and noted many instructional indicators of effective instruction. As it pertains to the second video (Level I), 3 comments were direct criticisms, including the fact that students were disengaged – a direct contrast to their comments about the first video. Two comments were positive, in that the teacher in the second video was compliance-orientated (seemed to hit the checklist items and followed the script), and the remaining comments were focused on environmental features of quality ELD instruction. In the discussion, the principals noted that instruction was the focus in the first video whereas doing what the script said was the focus of the latter video.

As an action researcher, I did note a couple moments of concern. First, I became concerned with the line of questioning from principals around whether it was “*okay*” to teach like the first video. Principal Smith mentioned it feeling like she was encouraging teachers to “*stray*” from the expectations of the district. Also, I found it very interesting that at least one principal commented that she felt that she had been led to believe that the best practices were actually to be compliant. This alerted me to something that I had not thought about previously, which was the ways in which compliance was presented by the district office to principals. I now understood that many principals in the district, especially less experienced principals, whose experiences have only been post-*Lau*, may actually be under the impression that the checklist compliance orientation style of supporting ELD instruction actually consisted of best practices, as they may have been presented under the auspices of being the best way to teach ELD by district personnel. All things considered, however, there was some understanding of the history and context of *Lau v. Nichols (1974)*. The three principals clearly did not have all of their questions answered, but did connect the consent decree, at least at the surface, to why they are encouraged to support ELD like they do. We did not get into the enormity of the litigation, but touched on it and I do conclude that all three principals met the objective of becoming aware of what compliance looks like (scripted curricula and, according to their responses, less engaging instruction which focuses on environment more than instruction).

Sessions 4-5: Locus of Control

Learning Objectives – Sessions 4-5

The primary objective of sessions 4 and 5 was to have principals understand their own locus of control in impacting ELD instruction in their schools. At this point, I aimed to have principals come to a solid understanding of the differences between Level I and Level II indicators of quality ELD instruction (Appendix D details the tenets of both Level I and Level II indicators of quality ELD instruction). With an understanding of the differences, principals can then understand what they are capable of impacting in terms of providing instructional support of language development.

Low-Inference Observation of Critical Incidents in Sessions 4-5

In sessions 2 and 3, I wanted principals to understand not only the history behind compliance in the school district, but also, and importantly, to recognize the differences that result from an instructional approach born out of a compliance mindset and an instructional approach grounded in best practices ELD instruction. Principals' understanding of compliance was increased with a discussion of the historical context of the consent decree driving compliance in the district. They seemed to understand how a strict adherence to compliance impacts instruction and demonstrated a desire to move past this instructional approach. The crux of sessions 4 and 5, now, were to give principals an understanding of what, exactly, is in their locus of control as a site administrator and what, specifically, they can do to support ELD instruction reminiscent of that found in the first video. An additional component of sessions 4 and 5 was to define the tenets of Level I and Level II indicators of quality language instruction. Once defined, the principals can practice observing for them in classrooms. It was here that we began the conversation and session 4.

Session 4 took place 8 days after session 3 and lasted 75 minutes. I began session 4 by presenting the principals with school-wide data for English learners at their sites. These data included proficiency bands and performance in the four domains of English language: writing, reading, listening comprehension, and oral language. Almost in unison, they responded with disdain at their individual data reports, and concluded that their English learners appeared to be stagnating at an overall proficiency score of 3, the intermediate level. Not surprisingly, they had 'beginners' in the lower grades (kindergarten and 1st grade), but, by 3rd and 4th grades, their English learners plateaued at an intermediate proficiency band. Following a review of their EL data, the principals and I engaged in a discussion about what happens to students if they are not reclassified as English proficient by the time they enter middle school. Principal Jones responded, "*I don't actually know.*" Principal Smith let out, "*They get no electives,*" which is true in middle schools across this district. Students who are classified English learner in middle schools across the district are "*double blocked*" in ELD in place of two possible electives, such as band or art. Principal Johnson, seemingly upset by that, responded with, "*Well that doesn't sound equitable or social justice-like.*" A tenor of urgency, around this work, had sufficiently been set. Next, we had to establish indicators for providing high quality ELD instruction, using the videos as our frames of reference. I posed the following question to the group, "*If you could categorize the largest thematic difference between the two videos we saw, what would they be?*" I probed further, asking them to classify the indicators of effective instruction they saw in both. It took several more prompts for them to understand that one video dealt with different instructional moves and one followed a script. As an action researcher, I felt like I was directing them toward the answer, but we did finally settle upon the headings Level I and Level II and, eventually, on the following indicators:

Table 4.19 – Level I and Level II Indicators of Quality ELD Instruction

Level I Indicators	Level II Indicators/Moves
Bulletin Boards	Vocabulary Up Front (Frontloading)
Student Groupings	Content and Language Together
Curriculum Scripted	Productive Talk and Work

I shared that these indicators mirrored those found in the literature of Dutro & Moran (2002), and we agreed that these would be the indicators we would look for when observing classroom ELD instruction. We also agreed on the headers of Level I and Level II that we would use as a focus and discussed focusing observations with these two frames in mind.

Lastly, session 5 concluded with a discussion on items specifically within principals' locus of control. All three principals agreed that as instructional leaders, they are often charged with visiting classrooms and providing feedback for teachers. Two of the three principals admitted not doing this enough and the third said that he does, but "frankly is not always sure what he is looking for." This conversation happened more quickly in real time than I thought it would. Outside of some questioning on what district officials might think, we concluded that we would "see" compliance, "but look for" and "acknowledge" the Level II indicators. That is, we would maintain standing with district expectations by noting Level I indicators while engaging teachers in greater support for improvement upon Level II indicators. This concluded sessions 4 and 5.

Analysis of Sessions 4-5

At the conclusion of session 5, I was curious to see if principals would actually be able to look for those Level II indicators after having Level I ingrained in their practice for so long. After all, it's been 41 years since the consent decree in the district. Compliance has driven ELD since its inception as a subject area in the district, and *Lau v. Nichols* unfolded in 1974. Although we did arrive at these Level II indicators as a group, at times, I felt as though I was leading that charge, and driving the conversation.

Making the shift to Level II indicator observation indicators was a gradual process. The principals began with strategies that were environmental in nature, including how students are grouped, then moved into teacher strategies such as wait time. Ultimately, we did land on the instructional pieces of vocabulary, content integration, and the accountable talk in class discussion. All three principals acknowledged their loci of control in impacting instruction, but Principal Johnson did note that he was unsure of what he was looking for sometimes. My impression, based on his responses and unease, was that he was the one who has the most limited knowledge of distinguishing between the two levels of indicators. Principals Jones and Smith were able to reiterate the differences between the two levels of indicators and only Principal Johnson seemed to struggle. He conceded at the end that he thought he was "clearer" than before. I was curious to see if the principals were going to be able to translate their understanding of Level II indicators into meaningful classroom observations. Observations are the focus of sessions six through nine.

Sessions 6-9: Goal Setting/Skill Building

Learning Objectives – Sessions 6-9

The objectives for sessions 6-9 were twofold. First, principals set concrete and attainable goals for supporting the instructional indicators of quality ELD. With an understanding of the differences between environmental and instructional indicators of quality ELD instruction, my goal was to have principals determine Level II indicators move beyond compliance orientation (Level I are compliance oriented in nature) and to have them understand the potential impact of using Level II indicators of effective ELD to drive instructional support. To that end, principals would acquire skills in the high leverage moves for teachers to utilize Level II practices in ELD classes and set

goals in supporting teachers in using them. In monitoring for these indicators of Level II teaching moves, principals would practice observing for them and giving feedback to teachers.

Low-Inference Observation of Critical Incidents in Sessions 6-9

Session 6 occurred 7 days after session 5 and lasted 70 minutes in length. It began with a focus on synthesizing the learning around the two levels of indicators of quality ELD instruction. To recall, Level I indicators are structural, and Level II indicators are higher level instructional in nature. Specifically, we discussed the indicators that they narrowed down in session 5, the preceding session; when all of the participants indicated they were much more clear about the two levels and what each indicator might look like in practice. Materials, groupings of students, and curricula were the main tenets of Level I; accountable talk (among/between students), content integration (focusing on the Common Core), and vocabulary frontloading were the main tenets of Level II indicators. The following responses were generated:

Table 4.20 – Environmental and Instructional Indicators of Effective ELD Instruction

Level I Indicators of Effective ELD	Level II Indicators of Effective ELD
Bulletin Board Displays Process Charts (Rules, Expectations, Behaviors) Desk Groupings Student Groupings Curriculum in Use Wait Time/Think Time Equity Sticks to Call on Students Types of Technology in Classroom Classroom Environment (In General) ELD Structures (Class Designations) Credential of the Teacher	Frontloading Vocabulary Student Discussions/Accountable Talk Content Integration Roles within Small Groups and Connection to Task Effectiveness of Teaching Task Student Engagement Choral Response Lesson Design Connection Between Language Domains

After brainstorming and discussing these elements for about 20 minutes, in detail, we discussed the process of now applying these understandings within the context of a classroom visit. I shared with the group the recording tool we would use for observations (see Appendix E) and discussed the process for the next three sessions. The process would unfold as follows:

Table 4.21 – Purpose and Structure of Sessions 7-9

Sessions 7-9	Purpose and Structure
Session 7	Each principal and I would record our findings on the recording tool as we observe in the first classroom, Classroom A. We would spend 15 minutes in the classroom during the visit. After the visit, we would return to the meeting room to discuss observation findings. Importantly, in this session, I will model the sharing of observation findings, followed by having principals share their findings. We will conclude with a discussion as to how they would later share these findings with the observed teacher.
Session 8	Classroom B observations - similar to session 7. The one exception is that

	I would observe the principals while they were conducting their observation and then facilitate the debrief, where the principals shared their findings and discussed next steps in communicating with the teacher.
Session 9	A third and final opportunity to practice classroom observation, in Classroom C, using the recording tool, discussing findings, and sharing key elements to give feedback to the teacher. In this final session, the principals would facilitate the debriefing. In effect, we would move from my modeling and facilitation of the observation, to their facilitation of the debrief.

Session 7 ushered in the first round of classroom observations. The principals and I reviewed the observation tool (see Appendix E), which mirrors the leveled indicators, but leaves space for observation notes. For this first observation, we selected one classroom, a kindergarten class, and spent 15 minutes observing during ELD time. The classroom selection was only important in so far as ELD instruction was taking place. No other strategic decisions or data leveraging decisions were utilized in the selection of this classroom. Principals completed their observation forms and then, we debriefed and shared our findings, both environmental and instructional. This form of inter-rater reliability helped to ensure that we all saw and noted the same things and that we were operating with the same lens. A significant data piece in these observations would be the number and type of Level I and Level II instructional practices that principals observed. According to the session design (Table 4.10), we took notes and then, after 15 minutes, returned to the conference room for the debrief. For this session, I modeled a think aloud whereby I shared out my findings and then asked for the principals to share their findings with a partner. Each person had five minutes to share with their partner and then we created an observation summary chart. I asked each partnership to share out findings. I noted the number of Level I and Level II instructional practices that were shared during the discussion. They were as follows:

Table 4.22 – Number of Principal Observations of Level I and II Indicators of Quality ELD (Session 7)

Principal	Level I Indicators	Level II Indicators
Jones	6	3
Smith	5	2
Johnson	9	5

Lastly, with time running short, we concluded with a quick share out, where each participant shared one sentiment about the classroom observation and debrief they experienced that day. Principal Jones responded with “*inspired*,” Smith replied, “*excited*,” and Johnson responded with “*interested*.”

Sessions 8 and 9 followed in a similar fashion, with the exception of the debrief. We began session 8 with a recap of the findings of session 7. Session 8 took place 8 days after session 7. This time, we visited Classroom B, a second grade classroom during the ELD instructional period. The visit lasted 15 minutes and then we returned for the debrief. As facilitator, I did not model my own

findings, but began by having principals pair up, share observations, and then we charted them. The number of Level I and Level II indicators shared was as follows:

Table 4.23 – Number of Principal Observations of Level I and II Indicators of Quality ELD (Session 8)

Principal	Level I Indicators	Level II Indicators
Jones	7	5
Smith	4	7
Johnson	11	8

During the debrief, all three principals commented that they were starting to pay more attention “to the instruction” and not “just what was happening in the background.” This is noteworthy, as I did not explicitly place a value judgment on which ones were “more effective” ways of teaching. In all three principals’ observations during session 8, the number of Level II indicators observed increased. This indicates that their areas of focus may have shifted from Level I to Level II.

The final observation, session 9, took place 7 days after session 8. It was similar in process to sessions 7 and 8. After visiting the classroom, Classroom C – a 4th grade class for 15 minutes, we conducted the debrief. We followed the same protocol as before - sharing with a partner and then sharing out), followed by a charging of the observation notes. The indicators, Levels I and II that were observed were as follows:

Table 4.24 – Number of Principal Observations of Level I and II Indicators of Quality ELD (Session 9)

Principal	Level I Indicators	Level II Indicators
Jones	10	9
Smith	7	10
Johnson	5	12

For this final round of classroom observation, all three principals observed more Level II indicators than they had in the previous session, a steady increase on the part of each participant. This was an indication that principals were observing more behaviors and teaching moves in general. We ended this session with each principal, in pairs (one with me), rehearsing how they would communicate their observations with the classroom teacher. Each one responded, in a closing reflection, by saying that they found the exercise to be valuable. Principal Jones replied that the experience was “worthwhile,” Principal Smith said it was, “unique and interesting”. Lastly, Principal Johnson requested more of it and said he hoped it would appear in subsequent district principal meetings. We closed the session with a preview of the concluding session in the sequence, session 10.

Analysis of Sessions 6-9

In order to best understand the data collected from the classroom visits and the principals’ observation and identification of Level I and Level II indicators of quality ELD instruction, I placed the data from the three classroom visits together in the following series of charts:

Table 4.25 – Level I Indicators Observed by Principals in Three ELD Class Observations

Principal	Session 7 Observation 1	Session 8 Observation 2	Session 9 Observation 3
Jones	6	7	10
Smith	5	4	7
Johnson	9	11	5

Table 4.26 – Level II Indicators Observed by Principals in Three ELD Class Observations

Principal	Session 7 Observation 1	Session 8 Observation 2	Session 9 Observation 3
Jones	3	5	9
Smith	2	7	10
Johnson	5	8	12

In these charts, it is most interesting to note that the number of Level II indicators observed by each principal increased across all three visits, using session 7 observations as a baseline for growth. With regard to Principal Jones, his Level II observations started at 3, increased to 5, and then again to 9, a growth of 6 more instructional elements of effective ELD observed. Principal Smith began at an observation of 2 level II indicators in session 7, to 7 in session 8, and 10 in session 9; an overall growth of 8 Level II indicators. Principal Johnson demonstrated a similar growth pattern, increasing from 5 to 8 and then 12, when comparing sessions 7, 8 and 9 Level II indicators observed. Again, all three principals showed an increase in the number of Level II indicators of effective ELD observed. As demonstrated in Figure 4.21, there was more of an irregular pattern of observations of Level I indicators. In the case of Principal Jones, his observations of Level I indicators increased straight through, from 6 to 7 and then 10. Principal Smith decreased from 5 to 4 and then increased to 7 and Principal Johnson demonstrated the most irregular pattern, increasing from 9 to 11 and then decreasing by more than half to 5. In the case of Principal Jones and the others that showed a slight decrease, I could offer that the increased focus on Level II indicators may have caused a decrease in the focus on Level I indicators. This is something I would probe for in the final reflection session, session 10, to see what principal impressions were of the patterns in Level I and Level II indicator observation. Finally, all three principals were able to set concrete goals in supporting ELD moving forward. All three came to a solid understanding of the tenets of environmental and instructional elements of quality ELD instruction. Additionally, as evidenced by their participation, responses, and the patterns in their observation for Level II indicators of effective ELD, principals did seem to master the acquisition of new skills on observing for higher quality tenets of high quality ELD instruction.

Session 10: Principal Efficacy & Reflection

Learning Objectives – Session 10

Session 10 is the final session. It took place 8 days after session 9. In this session, principals reflected on the activities of the intervention sequence to synthesize learnings and determine next

steps for ongoing implementation of the design objectives. That is, principals planned for concrete next steps in continuing to utilize the skills and strategies acquired from the design study in their day to day practice as school leaders. Additionally, their confidence in leading for impactful ELD instruction, using the tenets of high quality instructional ELD indicators, were reflected upon in this last session. Finally, a recap of the process and reflection on the impact of the intervention activities were facilitated so that the design study comes to a logical close.

Low-Inference Observation of Critical Incidents in Session 10

Session 10, the final session in the activity sequence, was designed to allow for principals to reflect on their experiences and discuss their strategies and plans for ensuring that this work continues in their day-to-day routines as a site administrator. We began the session with an open discussion where I asked the participants to summarize what they’ve learned. The following chart reflects the responses (abridged) by each of the principals:

Table 4.27 – Principal Learnings from Intervention Activity Sequence of Events

Principal Jones	<ul style="list-style-type: none"> ▪ How to create a structure for ELD visits ▪ The value of ELD instruction ▪ Differences between environmental and instructional elements of ELD ▪ What good instruction looks like ▪ How to talk to teachers
Principal Smith	<ul style="list-style-type: none"> ▪ Brushed up my skills on ELD ▪ How to make what they (district) tell us to do make sense ▪ Looking for quality
Principal Johnson	<ul style="list-style-type: none"> ▪ How to get my English learners on track ▪ A starting point when visiting ELD classes

We continued with a discussion on what plans principals have to continue this work post intervention series. Principal Jones began by saying that he plans on “*conducting these visits 2-3 times per week using the tool that we did.*” Principal Johnson followed this up by saying that he, too, will use the tool, but also feels an obligation to use the district’s compliance checklist. Principal Smith followed with a comment that she plans on maybe even including coaches at her site (and possibly classroom teachers) in observing and, at some point, peer observing. We ended the session with a short written reflection, principals responding to the following questions (mentioned earlier in this chapter as well). Their responses are indicated below as well:

Table 4.28 – Principal Feedback from Final Written Reflection

Principal	Please Indicate One Or More New Learnings	Indicate Areas Where You Need Additional Support	Indicate How You Might Incorporate These Practices In Your Daily Work	Additional Comments
Jones	<p>New structures for observing ELD</p> <p>Classroom visits were super helpful</p> <p>A new tool for looking at ELD teaching</p> <p>Different ways of teaching ELD</p>	<p>Keeping this practice up</p> <p>Scheduling classroom visits when other things come up</p>	<p>Make this part of my classroom observations (when I can get into rooms)</p>	<p>Good use of time when most PD is irrelevant</p>
Smith	<p>Getting in rooms (I struggle with that)</p> <p>How to do what we have to and something a little better</p> <p>Environment vs. instruction</p> <p>How to look for good ELD teaching and give feedback on it (what to say)</p>	<p>It's hard to get into rooms – the daily routines get in the way sometimes</p> <p>More indicators would be nice to share with teachers</p>	<p>Using the sheet with indicators when visiting rooms</p>	<p>I hope I can keep doing this and get into rooms</p>
Johnson	<p>All important information</p> <p>Really liked visiting classrooms – learned a lot there</p>	<p>Integrating some content with ELD so it's not so boring</p>	<p>Something to use when visiting ELD classes</p>	<p>This was helpful overall</p>

Analysis of Session 10

Finally, I was most intrigued by the commentary on the final written reflection. All three principals mentioned that they struggled with finding time to get into classrooms. This made me reflect upon a critical piece of the observation scheme that was missing from this sequence of

intervention activities - the creation of a calendar and schedule that principals could follow to hold themselves accountable to get into classrooms. At the start of the intervention, they mentioned that the district office had set forth an expectation that they would complete the compliance checklist a number of times per week, but, as they found this experience to be more and more valuable, it would have been nice to get at least a preliminary calendar set for them to schedule visits, even for just a couple of weeks out. In any event, the pattern seemed to be that the participants found value in the intervention sequence and that they learned what to look for in observing ELD instruction and how to discuss the observation findings with teachers. Overall, all of the principals were able to set goals following the intervention, and they did so with a refined sense of confidence in supporting and monitoring ELD instruction.

Summary of Findings

The intersection of my design study is that I worked with a small sample of principals on moving beyond compliance and into a closer look at instructional indicators of high quality ELD instruction. Remaining in compliance is the common district expectation and that is a given. We acknowledged that and kept an eye on the environmental features of quality ELD. Additionally, though, we named them as such and also came to common agreement on the instructional tenets of high quality ELD instruction, practiced observing for them, and practiced giving feedback on these instructional features. For the purposes of this design and so as to not imply bias, we named environmental indicators as such (and with the label Level I indicators) and instructional indicators as such (and with the label Level II indicators). We named them, observed for them, and reflected on providing feedback on Level II indicators to teachers. Using the design features of acknowledging compliance orientation, understanding the principal locus of control, goal setting, skill building, and efficacy, this ten-session intervention surrounded using these features to advance principal knowledge and practice in identifying instructional features of high quality language instruction and giving feedback around them to teachers while also noting environmental features and remaining in compliance.

In sum, my findings confirmed my aspiration that I would be able to positively impact principals' technical competence and understanding of their locus of control and potential impact as instructional leaders. Impact data demonstrated that principals' self-reflections, in most cases, mirrored my rubric valuation of their improvement in the three dimensions, thus indicating that the study did indeed positively impact principal practice in the three domains of the study. With a small sample ($n=3$), this study did engage principals in more direct conversation and more of an opportunity to reflect aloud than, perhaps, a larger sample would have allowed for. That said, I was inspired that, generally speaking, they both felt like they had moved forward, a sentiment matched by the data that I was able to capture throughout the study.

From this design, I learned that it is crucial to bring principals to a shared reflection and understanding of why many operate in a compliance driven fashion. Truly understanding *Lau* and seeing, in action, samples of ELD instruction driven by instruction versus environment was important in bringing principals to an understanding of the place for compliance as one factor in monitoring and providing support for instruction, but not the only one. Recognizing that compliance is an expectation, but that principals can actually shape instruction above and beyond this mechanism was where we moved from the shared reflection and understanding of *Lau* and its impact on principal practice to a discussion on the loci of control by which principals can impact instruction. Often taken for granted, principals took away from this a shared acknowledgement and understanding that they (we) are responsible for a great deal of the learning and abilities that teachers

can and do exhibit on a daily basis. With support on instructional tenets of effective ELD instruction, a principal can impact classroom ELD instruction immensely and this was something that participants came to terms with. Essentially, remaining in compliance is a starting point, but not the only mechanism of driving instruction. Furthermore, compliance driven ELD is strictly acknowledging the ELD environment that teachers foster in classrooms, not the instruction. Setting goals and building skills involved many discussions on what actually improves instructional practice. Narrowing the focus to two facets of effective ELD instruction, environmental and instructional, principals engaged in conversation on which elements were the highest leverage in impacting students' language development most positively and quickly. With this expanding knowledge base, principals moved into actually observing classrooms, guided by me in my role as action researcher and intervention designer, and noting environmental and instructional elements of the lessons inside. My data collection allowed me to investigate how many observations were made of Level I and Level II indicators and what I began to discover is that the more we engaged in the value instructional features of quality ELD instruction the more observations were made of instructional elements of the instruction happening in the classrooms. Again, as we conducted more of these observations, the items noted shifted away from compliance driven environmental features and toward instructional tenets of truly high quality instruction. Not surprisingly, principals noted becoming more comfortable in delivering targeted feedback to teachers on instruction and not just classroom environment. They commented on feeling confident in their ability to continue the work post-intervention.

Intersection of Impact and Process Data

An analysis of the impact and process data, together, is necessary in order to determine if the intervention plausibly evoked change, in the case of this study, to principal practices in supporting ELD instruction. In all but two of my rubric assignments, from the pre to the post interview, every participant made progress, moving forward by at least a difference of one rubric score. Similarly, all but two of my rubric findings matched principal self-ratings. This was an indicator to me that principal self-ratings were, in almost all cases, validated by my rubric scores and that there was an overall positive impact difference from the start to end of the study. To determine whether that could be attributed to my study, I analyzed the process data to determine specific points of learning and change. Beginning with the first session, all three principals discussed that they wanted to see the exemplar of Level II indicators (from the video clip) in their schools. They indicated, in their reflection, that they felt motivated by this. Spending more time on the context of *Lau v. Nichols (1974)*, principals indicated that they better understood the context of compliance. They co-created the Level I and Level II indicators and engaged in a rich discussion of the differences between the two. Moving into the locus of control portion of the intervention, principals began to acknowledge their roles as agents of change. This was reflected in the impact data where all three principals increased in locus of control rubric scores, an indicator that they made improvement in their self-understanding as instructional leaders. The technical competence piece was most telling, as the collective principal knowledge base on the technical components increased and it was demonstrated in their practice of observing classrooms. The discussion moved from Level I to Level II indicators from session 6 to 7 and then from 8 to 9 at a greater rate. Additionally, the data indicate, from those sessions, that principals moved from identifying just Level I indicators to more Level II indicators when visiting the classrooms. This occurred across the board with the participants. Finally, in the last session, principals were able to put forth action plans to continue to work, post study, that were reflected in their impact data around their increased understanding of their locus of control and technical competence growth from start to end. Because of the overall impact data improvement

from start to end, as reflected in the rubric scores (most of which validated principal self-reflections), and my observations of principal progress throughout the intervention sessions, I assert that this design study did indeed positively impact principal performance within the three dimensions of the design, an awareness of compliance orientation, principal locus of control, and technical competence.

In the following chapter, I discuss the implications of this design study, including its potential impact prompting further research. I'll summarize the study, discuss the findings in relation to the literature on ELD, and discuss its implications in practice and for future design development research on the topic of language development.

CHAPTER FIVE

DISCUSSION

Introduction

The theme of reform in schools and districts has come with countless theories, action items, perspectives, and a wide spectrum of outcomes. With the goals of improving outcomes for students and strengthening the instructional core, it's as if schools operate in a perpetual state of planning and reflection. In this perpetual state of reform, principals are tasked with a wide array of roles within site leadership. These range from the managerial-operational aspects of running a school to the instructional leadership required to guide the overall curricula and practice that teachers put in place each day. One specific area of reform, often driven by external accountability and compliance orientation, is providing English language learners with access to the core curriculum, which is presented an overwhelming majority of the time in English. English learners tend to make up a sizable population within large urban school districts and their performance is largely reported as the lower end of the achievement gap. That is, they are consistently outperformed both in class and on standardized tests, by their English proficient and English dominant counterparts. With the long-term impacts of this poor academic performance ranging from disqualification from electives in secondary schools (due to requirements of double blocks of ELD coursework in place or art, instrumental music, and other electives) to, in far too many cases, high school dropout or graduation without meeting the necessary requirements for state university application, support for English learners is at a dire state of necessity as early as kindergarten.

The historical context of English learners and their access to curricula in BVUSD schools is often highlighted by *Lau v. Nichols (1974)*, a lawsuit filed by a class action of Chinese-American families whose claim was that their students' academic needs were not being met due to their inability to access curricula in English. With little to no access to structured language development instruction, these parents alleged that their students were set up for failure before even entering the content classes. The result of the suit was a consent decree mandating a minimum daily minute requirement for English Language Development instruction. At the elementary school level, schools were required to provide no less than 30 minutes of structured language development instruction in leveled groups. That is, English learners were now to be identified by their levels of proficiency in English (beginning, early intermediate, intermediate, early advanced, and advanced). ELD classes were to be leveled with no more than two proficiency bands of students in any one class. Instruction was to target English learners at their individual levels and it was to become much more simplified in heterogeneous groups. Additionally, principals were held accountable to the district for monitoring the implementation of "ELD time." The tools and structures for monitoring ELD included checks for the ELD environment, which typically involved checklists and items required of teachers in order to remain "in compliance" with the *Lau Protocol*, a title given to the newly formed system of compliance stemming from the actual consent decree.

Forty-one years later *Lau* is still alive in SFUSD and principals are still held accountable for these environmental, compliance driven checks for ELD implementation across classrooms. Over time, though, this approach of supporting schools in remaining compliant has led to a number of practices in need of further consideration. Most prominently, the checks for implementation that principals are tasked with include a wide variety of environmental aspects of "quality" ELD instruction. These range from naming items required on bulletin boards to defining the student

desk arrangements within ELD classes. Little to none of the accountability relates to actual instructional practices, such as accountable talk, strategies for talk moves, guided reading, or even shared writing. Furthermore, the common denominator from school to school on remaining in compliance is a checklist of environmental items that principals have become skilled at looking for when visiting classrooms. Unfortunately, little conversation on quality instruction is happening; only what a quality classroom looks like. Many teachers have figured out that a classroom in compliance looks a certain way, but, even in these most compliant classrooms, instruction is still severely lacking and many English learners are remaining stagnant at the intermediate level as they rise up through elementary schools and into secondary placements. It is this sense of urgency that inspired my design development research study.

Meeting the Design Challenge and Deriving Design Principles

The design challenge of my study was shifting principal practice from solely compliance orientation around ELD instruction toward an acknowledgement of the compliance driven practices and enhanced practices of supporting the instructional features of high quality language instruction. The challenges around shifting these practices were multi-faceted in that there existed little to no common principal understanding of what high quality ELD instruction actually looked like. As a result, principals were reliant on compliance driven measures of effectiveness, partially because they were readily available and user-friendly (many involved checklists that were created for principals, not by them), and partially because principals were under the common impression that these actually were best instructional practices of driving a highly impactful ELD program. They were often presented, by district officials tasked with improving ELD on a systemic level, as best practices, not what they actually are, which are environmental indicators of effective ELD. Therefore, moving principal practice toward acknowledgement of compliance and a focus on instructional indicators of quality ELD instruction involved the design challenge of just that, an acknowledgement and reflection on their reliance on compliance (including the historical context of the compliance), an understanding of the locus of control principals actually have in shaping instruction, and then the skill building, goal setting, and implementation practice needed to develop the skills required for principals to monitor for, support, and engage in dialogue on instructional indicators of quality instruction.

There were several design principles that served as the foundation for this study. The first of them was to begin with an appreciation of good instruction to instill motivation in the participating principals. In the very first session, we began by viewing two very different lessons, one featuring mainly Level I indicators and one where the teacher utilized Level II indicators. From the very start, I was able to have participants become motivated by the second and discuss a desire to see more of that in their schools. This set the stage for the work to follow and gave participants a sense that this was possible, a motivator. Secondly, we worked with contrasts between stronger and weaker instances of teaching in order to create the awareness of a problem of practice. Having principals actually see two different types of instruction allowed for the group to collaborate around discussion of the problem of practice that too much of the first video was happening in real time in schools and not enough of the second, Level II style of teaching, was occurring. Third, an awareness was created of the work context, particularly for administrators to recognize their tendency to comply with mandates. Before moving beyond compliance, principals needed to understand it and how they dealt with it. They needed to think about the context of mandates and their impact on principals' work. Fourth, we critically examined what is being communicated as "best practice" in order to raise critical awareness of best practice as an ideology that limits the

agency of the principal. This gave participants a chance to reflect on how mandates are often presented, by the school district, as “best practices” and how the messaging of this has impacted their work with teachers. The fifth design principle was to show concretely how agency/locus of control can be expanded without simply falling out of compliance with district mandates. After all, principals are instructional leaders and, as agents of change, they needed to understand their own locus of control in evoking change in classrooms. Sixth, we enhanced a new sense of competence, one that instills the desire and capacity to act. Skill building allowed for principals to acquire new knowledge in moving teacher practices from exemplars of that first video, from the first session, to the features of the second one. There is a technical component to supporting teachers and principals needing this knowledge and a forum to practice it in order to enhance their confidence in moving teacher practices beyond solely compliance. Finally, we utilized the learning modalities of exposure to artifacts, guided observations, modeling, reflection, refinement, and repeated practice to develop and foster an improved skill set, remaining compliant, but moving beyond sole compliance orientation. Again, this allowed for the cycle of input, practice, reflection, refinement, and more practice to engage principals in utilizing the new competencies learned in the sessions to better their practice of supporting teachers on the move from Level I to Level II practices of teaching ELD.

Although the participant group, again, was small, within this group I felt capable and successful of and in meeting many of these design challenges. Most significantly, I was inspired, as a researcher, at how quickly the group became motivated to learn. The first session, beginning with the two clips, allowed for us to engage in dialogue on some tangible features of instruction that clearly caught them as powerful and strong. This laid the groundwork for the rest of the intervention sessions. After this, we spent more time on the context of the compliance driven features than I had planned. My learning in this, though, was that this was necessary. Principals did need a broader context of how these compliance measures came to be. The awareness design principle was one that I had taken for granted. I assumed that principals understood *Lau*, where it came from, and how it has driven principal practice. The reality was stark in that not a single principal participant was around during the time of *Lau* and its name has become the lexicon in the district synonymous with ELD and the gold standard of effectiveness. It was this relationship that I attempted to break apart and have principals understand the place for compliance as one, but not the only factor, in determining instructional effectiveness. Furthermore, moving toward the principle of the assumption of “best practice,” I came with an assumption that principals were aware that compliance was not the most impactful driver of educational reform. What I learned, though, was that principals do have a tendency to take the messaging around compliance as a best practice and embody it. That is, there was little discrepancy between the checklist style of observation and what truly is “best practice.” It would have been hard to move beyond compliance without an understanding of compliance, its context, and its place as a less impactful agent of change than the Level II features of instruction that we later defined. It was urgent that we unpacked the locus of control that principals have and that we did not take this for granted. My tendency is to assume that principals know what they are actually capable of impacting, but I am certainly glad I decided not to take this for granted. Principals do not always see themselves as instructional leaders or agents of change, as I learned, and it is vital that this is unpacked and principals become aware of what they are capable of doing within their powerful roles. This had to happen before we moved into the technical competence dimension. At this point, we had motivation in place and principals were more aware of their positionality as leaders and what this could impact. Now, the skill building, practice, reflection, refinement, and more practice pieces could, and did, happen with the openness and willing to learn and grow in place. All in all, my design study was small (n=3), but I do believe

that this made my ability to impact change and add to the design development knowledge base more feasible, even within our large context of a sizable urban district.

One of the most impactful features of this design was the discussion and learning around what principals can actually impact in the classroom and the notion that it could involve more than just remaining in compliant with external expectations. The goal setting and skill building features of the design allowed for us to come to an agreement on environmental and instructional indicators of effective ELD instruction, how to observe for them in the classroom, and following these observations, how to give feedback to teachers. The impact was observed as principals moving from providing just environmental feedback to noting more instructional indicators of quality and feeling more comfortable relaying it to teachers. The efficacy component, after practicing the skills, allowed for teachers to reflect on their comfort levels, plan next steps beyond the intervention, and, what I found was that principals reported feeling more comfortable in observing for instruction (while noting environment) and providing instructionally-focused feedback to teachers, a practice that they determined would push teacher practice forward faster and more impactfully than simply relying on the compliance driven factors of quality ELD instruction.

All that stated, there were some notable design principles that I would rethink if doing a similar study in the future. Most notably, the idea of co-creating some of the intervention sessions became a bit hazy and relatively undefined at times. The most critical example of this was in our exploration of the tenets of *Lau v. Nichols (1974)*. We spent more time on this than I would have initially anticipated or desired, but I affirmed that this was what was needed, as principals have such strong compliance orientation. It was essential that we spent this additional time on the background of *Lau*. Also, the intersection of discovering what principals know and giving them knowledge was challenging. There were points where I struggled determining whether a principal was bringing an idea to the table or I was handing it to the participant. This was evident in the Level I versus Level II indicators. I very well may have been feeding them the language and it was challenging to determine what they brought into the design study knowing and what I provided for them. A clearer “K” section of a typical “KWL” chart would have provided for this. Instead, I utilized a familiar Venn diagram, which left their knowledge versus mine indeterminable at points.

Finally, my design plan was to engage in more exploration and practice around principals giving feedback to teachers. The idea was to mock this in a small setting and maybe even practice it with a live teacher. I was surprised at how large of a design study simply compiling a shared understanding of ELD indicators and visiting classrooms with focused observations at the forefront was. By the time we aimed to focus on feedback, we were headed for the tenth of ten sessions and this was cut remarkably short. Although we collected some evidence of feedback mocks, I would have preferred to spend more time on this. The learning, moving forward, is that this may be better crafted as 15 sessions instead of 10 with the final five focused on feedback alone.

Further Iterations

Moving forward, much can be learned from the design principles of this study. Many of them could transfer to a similar type study in a different context, and some would need to be reconsidered moving forward. First and foremost, the principle of motivating participants by good instruction and having them see two samples to engage in dialogue on what makes them different quickly engaged participants in this study. Having that “hook” on the front end definitely allowed for a larger impact on the back end. That is, principals remained engaged and motivated throughout, which was integral, as we got to the technical competence piece later in the study and

this was where the actual practice and refinement took place. Essentially, I needed them to remain motivated and starting with a strong “hook” allowed for this. Moving forward, I would recommend further planning on the context building piece. I made several assumptions that, frankly, were inaccurate when we attempted to move forward with the design principle of the connection of current practice to the communicated “best practice” of compliance. My assumptions were two-fold. First, I assumed that participants understood the historical context of *Lau v. Nichols* (1974), which they did not. We spent longer building this context. In future iterations of a similar design, I would recommend a larger focus on the context of the current state. Secondly, in this design I assumed that principals held compliance synonymous with **not** the best practice. Instead, what I quickly realized was that the messaging from the district around compliance being what was required was interpreted as a best practice. One participant even said that it was presented as the best way to ensure that high quality ELD was taking place in classrooms. This unpacking of best practice and the role of compliance was crucial and I did not plan nearly enough time for it. In future iterations, this design principle would be one that I would give more careful attention to. It’s important, I learned, to move slower on the front end of the study, to move faster in building technical competence on the back end. That is, bringing principals to a co-constructed understanding of the problem of practice, through example and discussion, and allowing them to reflect on their locus of control as school leaders set the stage well for skill building and practice. Without the motivation and understanding of the context, their reliance on compliance, where that came from, and their grasp on what they, themselves, can impact as school leaders in place, the acquisition of skill would have been more challenging and time consuming. I felt a strong sense that principals wanted to learn and this allowed for them to better learn and practice. Finally, I would recommend rethinking the technical component of feedback from the final design principle. This was a part of the skill building that we, plainly, did not get to. My recommendation for further iterations would be to try diligently not to fit too much into a similar-sized design. Although 10 hours of professional development seemed like a lot to me, it turned out to be sufficient for most, but not all of what I intended to study.

Re-Examining the Theory of Action

My theory of action breaks down principal learning into three dimensions: awareness of compliance orientation, locus of control, and technical competence. Throughout the course of this design study, I was able to educate participants on the compliance context with which many decisions have been made surrounding ELD instruction. Principals were able to reflect upon their reliance on compliance and we moved forward in guiding an awareness of their own individual loci of control as instructional leaders of schools, agents of change. Providing the technical knowledge of ELD and how to observe for effective indicators of it was the third feature of the design. An analysis of my impact and process data indicates that principals were able to, in an overwhelming majority of cases, come to terms with the context and rationale for remaining in compliance. We built some of the historical context as well. Principals moved from little indication of an awareness of themselves as instructional leaders to more of an awareness of their potential impacts as leaders of schools, or agents of change. Participants were able to receive the technical knowledge, co-constructed in the process sessions (intervention design), that shaped how they observed classrooms, a critical feature of the design. Once again, results demonstrating that participants’ self-ratings seemed to mirror, in most cases, my rubric scores of their progress indicate to me, as an action researcher, that this design study did positively impact principal awareness of compliance orientation, loci of control, and technical competence in supporting ELD teachers effectively. Clearly defining Level I and II indicators and practicing in the observation of them helped guide this

process, one that moved from context and knowledge construction to the guided practice of observation and feedback.

Within the context of literature, there are two knowledge bases that are most relevant to this particular design study, the literature on language development and the literature on principal professional development and learning, or using principal knowledge as a starting point for learning. To better understand a starting point for improvement, I explored literature on different drivers for change that have been used to try to address the issue of effective English Language Development instruction. Four ways that this has been addressed include teaching English Language Development within the context of content, principal observation to collect data rather than make superficial meaning, effective principal feedback to teachers with a focus on concrete next steps, and professional development with ongoing coaching support. That said, I concluded this study with a sense of satisfaction that I read and learned an appropriate and adequate knowledge base to make solid connections. What I found in the study and my reflections of the design principals confirmed what I read in the literature. First, ELD taught within the context of content was more impactful and seen as impactful by the participants. A connection to content was a part of the Level II indicators (the Common Core also gives a connection to content as a driver for learning). The findings of Dutro and Moran (2002) are definitely evident in what I found in this study. They, too, began with motivation and locus of control before moving into skill building. The difference in their work is that they studied teachers whereas this study surrounded principals. Therefore, my reading into the knowledge bases of language development instruction and principal support were relevant and substantial. I was able to learn a great deal about the features of quality ELD instruction, many of which translated into our co-created list of Level II indicators. Finally, my look into design development methodology, including action research, allowed me to explore the tenets of this type of research along with the many factors needing consideration on the front end, such as researcher bias (for example). The following section details the duality of the roles of researcher and participant.

Action Research

Because this design study has an action research orientation, it is important to address the two primary concerns upon which such studies need transparency and clarification: my dual role as designer and researcher. As the designer, my primary concern is to remain true to the articulated design process. As the researcher, my principal concern is that I remained open to the data I received, particularly when the data did not comport with anticipated or expected findings.

Initial reflection upon my role in the design process clarified that I acted within the boundaries articulated at the onset of this design study. From the beginning of this process, I maintained a genuine curiosity and hopefulness about the possibility of moving principals beyond compliance orientation into support of ELD instruction grounded in high quality instructional indicators of effective ELD. This sincere sense of curiosity outweighed any personal bias I may have had in the outcome of the study; I was primarily interested in seeing how the data would unfold and what it would reveal. I methodically documented my process, in the hopes that if this design was not successful, future studies would be conducted that could build upon my work, correct any missteps or false interpretations, and successfully design such a tool. Throughout each stage of the design process, I revisited the design plan, and executed activities in accordance with the plan. I also re-examined data collection and data interpretation using the self-reflection tools of action research.

Overall, I believe that the findings and interpretations were comprehensive and free from

personal bias and rigorous by the criteria of action research. In the next sections I illustrate how I arrived at these conclusions.

Concerns Around the Role of Designer

When designing this study, I understood my primary role to be that of lead and sole designer. Although I consulted practitioners, including district officials, I expected to have exclusive discretion as to which elements of this design study were deleted, added or modified. While I remained true to my role as lead designer and carefully followed the design plan, in hindsight, it's possible that having teachers and principals acting more in the role of co-designers, may have furthered diminished any challenge to or question of bias. As such, I am not aware of any personal bias that may have influenced the design of this design. Although I did not have a formal system of checks and balances, I did have a critical friend through the process, one with whom I checked in with every two weeks (or following every other session). However, in my role as lead researcher, I earnestly attempted to weigh process data against my understanding of the literature, and my experience working with participating principals in supporting their support of ELD instruction.

In summary, I found I acted appropriately in my role as designer, and within the bounds set forth by action research. I am confident that by following the design plan, and using participant feedback in various phases of the design process, to aid in shaping a more robust and comprehensive tool, I mitigated any potential bias.

Concerns Around the Role of Researcher

The issues of researcher bias and subjectivity are important and necessary concerns when conducting a study with an action research orientation. Bias and subjectivity are natural and acceptable in action research as long as they are critically examined and not ignored. There is a certain inevitability in the researcher bringing a potential bias to the study when collecting and analyzing data. Advocacy bias, in particular, is of concern since the researcher is also acting as the chief architect of the intervention, or in this case, the tool. Principal remarks from interviews were used to verify or dispute findings found from intervention results. When collecting process data, I followed procedures to maintain a research orientation. These included reflective journaling, following the research protocols, and discussing data collection and analysis with a research colleague. From a review of these procedures I found that I followed research protocols as planned with respect to the impact data.

This review of my research processes and data was necessary to address concerns characteristic of the researcher's involved participation in an action research project. With respect to collecting and analyzing impact and process data, I acted more as a traditional researcher collecting and analyzing data on a phenomenon.

Study Limitations

Finally, as is the case with design development research, the recreation of the exact context of the study is challenging. With a small sample ($n=3$) of principals, the sphere of influence for this design study was relatively small. Although it would simply not be possible to generalize the results of this study to a larger population of principals, I do believe that the prototype created in this design study could be transferable, in terms of powerful activities to move more BVUSD principals forward in practice. At the same time, the design principles of this study could transfer to other

settings in which compliance (around ELD or even other instructional components) is an important feature. At the onset of a design study, these tenets of this type of research are taken into consideration. With the intervention designer also serving as the researcher and a participant, it is notably important to ensure that personal bias is taken into consideration. That is, in my case, having a critical friend to check in with weekly was an important aspect of the study. Through these check-ins, I was able to reflect on my own dual positionality as intervention designer/researcher, and participant. Although the knowledge gained in this study will add to an existing knowledge base on principal learning, English Language Development instruction, compliance orientation, and observing for high impact instructional features of language instruction, again, the findings are certainly not generalizable to a larger population of principals. That said, the design principles can be replicated to a different context. In the case of this study, I was able to replicate some of the design principles of a LEEP graduate who used a similar structure of his intervention activities within the context of special education (Inglesby, 2014). Finally, the specific context of my design is a large urban district driven by compliance stemming from a storied history of lawsuit and consent decree. Replication of this design is not attempted, but, again, the design principles of, in this case, coming to awareness on compliance orientation, understanding the principal locus of control, goal setting, skill building, and efficacy are certainly ones that could be transferred in a different context.

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APPENDICES

Appendix A – Intervention Design Objectives

<p style="text-align: center;">Motivation</p> <p>An initial “hook” to grasp the engagement of participants and communicate the objectives and intentions of the study. For the purposes of this design study, the “hook” will include a compelling recorded ELD lesson to demonstrate what high impact instruction looks like and how possible it is.</p>
<p style="text-align: center;">Awareness of Compliance Orientation</p> <p>Participants will come to an understanding of how their current practices of supervising, monitoring, and supporting ELD instruction is actually a function of compliance orientation.</p>
<p style="text-align: center;">Locus of Control</p> <p>Participants will realize that impacting ELD instruction toward highly effective is actually within their locus of control.</p>
<p style="text-align: center;">Goal Setting</p> <p>Participants will set attainable goals toward impacting ELD instruction toward highly impactful, finding a place for impactful ELD beyond simply compliance orientation.</p>
<p style="text-align: center;">Skill Building</p> <p>At this point, participants will acquire the skills toward achieving the goals of impacting highly impactful ELD instruction that stretches beyond simple compliance orientation.</p>
<p style="text-align: center;">Efficacy</p> <p>Participants will experience a sense of efficacy, along with a greater sense of self-confidence, in supporting teachers to provide highly impactful ELD instruction.</p>

Appendix B – Level I and Level II Indicators of Quality ELD Instruction

Level I Indicators - Environmental

Bulletin Board Arrangement Including Student Work
Student Groupings at Seats and/or Tables
Curricular Materials in Use

Level II Indicators - Instructional

Accountable Talk and Student Discussion
Integration with/Connection to the California Common Core State Standards for English Language Arts (ELA)
Frontloading of Vocabulary and Use of Appropriate (Differentiated) Sentence Frames

Appendix C – Principal Interview Protocol

Beyond Compliance: Effective Principal Leadership of Highly Effective ELD

Elementary Principal Interview Protocol

1 = Not at All; 2 = Limited Extent; 3 = Not Sure; 4 = Some Extent; 5 = Great Extent

Principal prompt: To what extent...?

1. Do you visit classrooms during the mandated ELD block?

- Probing questions: With what frequency? Different/same compared to other blocks? What is important to look for? Tell me more about the visits...

2. Do you feel you have adequate knowledge about language instruction?

- Probing questions: What level of knowledge would be sufficient? How did you learn about ELD instruction? Tell me more about this...(interested in probing for connection to compliance)

3. Do you feel confident in solving difficult ELD related problems?

- Probing questions: Tell me if and how confidence plays into these tasks? Tell me more about this...

4. Do you think you have an open and collaborative relationship with the ELD/language teachers at your school?

- Probing questions: Is this area important? Why? Tell me more about the relationships with ELD teachers...

5. Describe some of the unique differences between language instruction and content instruction?

- Probing question: Is there a difference? Is this something to be concerned about in your school? Why? Tell me more about this area...

6. How might you provide helpful feedback to ELD teachers?

- Probing question: Tell me more about the feedback? How is it provided? How soon after your visit? Was it helpful? How did you know?

7. Can you identify some good language development teaching practices?

- Probing questions: Tell me about some good practices? How did you learn this information? Is this area important for principals to know about?

9. Do you know how to find resources for English learners?

- Probing questions: Tell me more about finding resources... Whom do you contact and where do you go for information? Why is this important for principals?

Appendix D – Rubric of Level I and Level II ELD Indicators

(Portions adapted for ELD from PULSE: Principals Utilizing Leadership for Special Education; Inglesby, LEEP)

Level I Rubric

<p style="text-align: center;">Appropriate Materials</p> <p>Presence of core instructional material and appropriate technology; range of material differentiated for beginning, intermediate and advanced individuals; students and teachers have necessary materials at hand; students have materials in accessible formats, as appropriate. Materials adapted/modified, as appropriate to meet individual student needs. Use of instructional/assistive technology available as appropriate to meet individual student needs</p>
<p style="text-align: center;">Student Groupings at Seats and/or Tables</p> <p>Student seating organized by ELD proficiency level so that students are grouped homogeneously (Lau protocol dictates no more than two proficiency levels of English learners in any one ELD class and that students are grouped homogeneously)</p>
<p style="text-align: center;">Curricular Materials in Use</p> <p>Use of district-adopted curricula for English Language Development (ELD) instruction including <i>California Treasures, Into English, Carousel of Ideas, and/or Rigby</i></p>

Level II Rubric

<p style="text-align: center;">Accountable Talk and Student Discussion</p> <p>Teachers provide direct instruction of targeted skills; introduce lessons, including reference to content of previous lessons, objectives, purpose for the content and strategies to be taught. Teachers check for understanding and students demonstrate understanding; teachers actively teach vocabulary, content and strategies; Adults use appropriate wait time for student responses; Concepts are retaught or reviewed if responses are inaccurate. Teachers use guided practice of content/strategies; model learning strategies; foster independent practice of content/strategies; and appropriately close lessons. Material used for skill building is researched-based and instructional format includes period and predictable progress monitoring. Students are engaged and monitoring; students are self-correcting own work, understand the goals of each task, and may work with other students as partners or in groups, as appropriate</p>
<p style="text-align: center;">Integration with/Connection to the California Common Core State Standards for English Language Arts (ELA)</p> <p>Clearly defined grade level/content expectations; all students are working on content aligned with the content of their grade level</p>
<p style="text-align: center;">Frontloading of Vocabulary and Use of Appropriate (Differentiated) Sentence Frames</p> <p>Instruction of content-embedded vocabulary and the use of frames to organize student responses that are differentiated by proficiency levels of students (ex: beginning frames, early intermediate frames, etc.)</p>

Appendix E – Recording Tool for ELD Classroom Visits

Provide evidence below of how evidence from the rubric are occurring in ELD classes with teachers and students

<u>Level I Indicators</u>	<u>Level II Indicators</u>
Appropriate Materials	Accountable Talk and Student Discussion
Student Groupings at Seats and/or Tables	Integration with/Connection to the CA Common Core Standards for ELA
Curricular Materials in Use	Frontloading of Vocabulary and Appropriate Use of (Differentiated) Sentence Frames