1. **Title of Project:**
Creating a longitudinal growth matrix for school leadership programs using standards as benchmarks in evaluation

2. **Principal Investigator/Faculty Advisor:**
   Principal Investigator Name: Jessica Hearn
   Department: Educational Leadership and Policy Studies
   Email Address: Jessica.Hearn@eku.edu
   Mailing Address: 420 Combs
   Campus Phone #: 622-1131   Off Campus Phone #: 804-347-9316
   Faculty Advisor (required if PI is an EKU student): ___

3. **Other Investigators:** Identify all other investigators assisting in the study. Add lines if needed.
   Name: _____  Authorized to obtain consent?  □YES  □NO
   Responsibility in Project: _____
   Name: _____  Authorized to obtain consent?  □YES  □NO
   Responsibility in Project: _____
   Name: _____  Authorized to obtain consent?  □YES  □NO
   Responsibility in Project: _____
   Name: _____  Authorized to obtain consent?  □YES  □NO
   Responsibility in Project: _____

4. **Study Period of Performance:**  upon IRB approval through 6/1/2018.
   Note that research may not begin until IRB approval has been granted.

5. **Funding Support:** Is the research study funded by an external or internal grant or contract?
   □NO  □YES
   Funding Agency: ______
   Copy of funding application narrative attached?  □YES (required if study is funded)

6. **Risk Category:**
   ☑Not greater than minimal risk. Minimal risk means, “The probability and magnitude of physical or psychological harm that is normally encountered in the daily lives, or in the routine medical, dental, or psychological examination of healthy persons.”
   □Greater than minimal risk, but of direct benefit to individual participants
   □Greater than minimal risk, no direct benefit to individual participants, but likely to yield generalizable knowledge about the subject’s disorder or condition
   □Research not otherwise approvable which presents an opportunity to understand, prevent, or alleviate a serious problem affecting the health or welfare of participants

7. **Type of Review:**  □Full Review (skip item #8 below)  ☑Expedited Review (complete item #8 below)

8. **Expedited Review Categories:** If the proposed study represents not greater than minimal risk, and all activities fall within one or more of the categories below, the study is eligible for expedited review. Please check all applicable categories of research activities below.

   1)  □ Clinical studies of drugs and medical devices only when condition (a) or (b) is met.
       (a) □ Research on drugs for which an investigational new drug application (21 CFR Part 312) is not required. (Note: Research on marketed drugs that significantly increases the risks or decreases the acceptability of the risks associated with the use of the product is not eligible for expedited review.)
       (b) □ Research on medical devices for which (i) an investigational device exemption application (21 CFR Part 812) is not required; or (ii) the medical device is cleared/approved for marketing and the medical device is being used in accordance with its cleared/approved labeling.

   2)  □ Collection of blood samples by finger stick, heel stick, ear stick, or venipuncture as follows:
(a) □ From healthy, nonpregnant adults who weigh at least 110 pounds. For these subjects, the amounts drawn may not exceed 550 ml in an 8 week period and collection may not occur more frequently than 2 times per week; or
(b) □ From other adults and children considering the age, weight, and health of the subjects, the collection procedure, the amount of blood to be collected, and the frequency with which it will be collected. For these subjects, the amount drawn may not exceed the lesser of 50 ml or 3 ml per kg in an 8 week period and collection may not occur more frequently than 2 times per week.

3) □ Prospective collection of biological specimens for research purposes by noninvasive means. Examples: (a) Hair and nail clippings in a nondisfiguring manner; (b) deciduous teeth at time of exfoliation or if routine patient care indicates a need for extraction; (c) permanent teeth if routine patient care indicates a need for extraction; (d) excreta and external secretions (including sweat); (e) uncanulated saliva collected either in an unstimulated fashion or stimulated by chewing gumbase or wax or by applying a dilute citric solution to the tongue; (f) placenta removed at delivery; (g) amniotic fluid obtained at the time of rupture of the membrane prior to or during labor; (h) supra- and subgingival dental plaque and calculus, provided the collection procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques; (i) mucosal and skin cells collected by buccal scraping or swab, skin swab, or mouth washings; (j) sputum collected after saline mist nebulization.

4) □ Collection of data through noninvasive procedures (not involving general anesthesia or sedation) routinely employed in clinical practice, excluding procedures involving x-rays or microwaves. Where medical devices are employed, they must be cleared/approved for marketing. (Studies intended to evaluate the safety and effectiveness of the medical device are not generally eligible for expedited review, including studies of cleared medical devices for new indications.) Examples: (a) Physical sensors that are applied either to the surface of the body or at a distance and do not involve input of significant amounts of energy into the subject or an invasion of the subject's privacy; (b) weighing or testing sensory acuity; (c) magnetic resonance imaging; (d) electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, electoretinography, ultrasound, diagnostic infrared imaging, doppler blood flow, and echocardiography; (e) moderate exercise, muscular strength testing, body composition assessment, and flexibility testing where appropriate given the age, weight, and health of the individual.

5) □ Research involving materials (data, documents, records, or specimens) that have been collected or will be collected solely for non-research purposes (such as medical treatment or diagnosis). (Note: Some research in this category may be exempt from the HHS regulations for the protection of human subjects 45 CFR 46.101(b)(4). This listing refers only to research that is not exempt.)

6) □ Collection of data from voice, video, digital, or image recordings made for research purposes.

7) □ Research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies. (Note: Some research in this category may be exempt from the HHS regulations for the protection of human subjects 45 CFR 46.101 (b)(2) and (b)(3). This listing refers only to research that is not exempt.)

8) □ Continuing review of research previously approved by the convened IRB as follows:
   (a) □ Where (i) the research is permanently closed to the enrollment of new subjects; (ii) all subjects have completed all research-related interventions; and (iii) the research remains active only for long-term follow-up of subjects; or
   (b) □ Where no subjects have been enrolled and no additional risks have been identified; or
   (c) □ Where the remaining research activities are limited to data analysis.

9) □ Continuing review of research, not conducted under an investigational new drug application or investigational device exemption where categories two (2) through eight (8) do not apply but the IRB has determined and documented at a convened meeting that the research involves no greater than minimal risk and no additional risks have been identified.

9. Background:
a. Provide an introduction and background information for the study and provide a discussion of past research findings leading to this study. Cite literature that forms the scientific basis for the research.

The emphasis on measurement and accountability in education has created a culture which demands data-driven decision making for continuous improvement. This pervasive need for data stems from P-12 reporting requirements of the No Child Left Behind Act (NCLB, 2001). However, the scope of accountability has also expanded to measuring principal effectiveness and the programs which prepare them as part of the continuum of a results-driven system. This emphasis on standards has re-defined what an educational leader looks like (Elmore, 2000). As a result, states have begun to modify principal licensure requirements and incorporate their own standards into the approval process and monitoring plans for principal preparation programs. This pressure resulted in the new Educational Specialist (Ed.S.) principal preparation program at Eastern Kentucky University. This program was created because the state of Kentucky is closing all existing Master's of Administration programs in in 2012 to force new programs to adopt and include state standards in their new programs. The courses in the new program must map to Interstate Leader Licensure Consortium (ISLLC) standards, technology standards, and the Kentucky Dispositions and Functions for School Leaders (Kentucky Cohesive Leadership Continuum Design Team, 2008). In addition, for final approval, an assessment plan must be in place. Therefore, each syllabus is mapped to specific standards, and anchor assessments with state-approved rubrics have been loaded into Eastern's TaskStream assessment system.

This emphasis on assessment has increased the pressure on higher education to provide evidence of effectiveness and spend more time on program evaluation (Grayson, 2012). While universities prepare external reports to satisfy accountability requirements, there is also a need to conduct internal program evaluations for continuous improvement based on timely data. Therefore, this is a longitudinal program evaluation plan for the new Ed.S. program in the department of Educational Leadership and Policy Studies. This evaluation is an extension of normal job responsibilities of program management. The purpose of program evaluation is to understand what is working well in a program, whether it is making a difference, and if the program is meeting the overall goals of the department or university in order to make informed decisions (Grayson, 2012) regarding instructional practices. Formative data provide constructive feedback (Aikin, 2004; Scriven, 1991) and this feedback assists the new program as it grows and matures. Ultimately, the evaluation will be summative by measuring final outcomes, overall quality (Scriven, 1991) and value of the program by documenting the continuum of professional growth and program impact.

To bridge the gap between external accountability and internal improvement, this evaluation proposes to use state standards as a starting benchmark. This was accomplished by adapting the 77 original functions listed in the Dispositions, Dimensions, and Functions document (Kentucky Cohesive Leadership Continuum Design Team, 2008) and rephrasing the statements as questions to indicate a level of mastery. For example, To what extent do you have personal mastery of strategies to promote effective change? This question format was modeled after the Interstate School Leaders Licensure Consortium (ISLLC) Self-Assessment (2008) created by the Council of Chief State Schools. The original 77 items were reduced to 51 for survey use, because some items represent opinion statements that did not align with a question format asking for level of mastery. The Kentucky Cohesive Continuum Design Team (2008) mapped the list of functions into six functional areas. These areas will serve as the framework for the evaluation. The six areas are: Leading teaching and learning, Assessing the instructional program & monitoring student performance, Securing and developing staff, Building culture and community, Creating organizational structures and operations, leveraging community systems and resources.

The questions were piloted with the first cohort (N = 10) in summer 2012 to determine if the question format was understandable, whether the questions were reliable, and whether the overall evaluation design was feasible. In the pilot, participants were asked to respond on a Likert-type scale of 1-4 (none, some, sufficient, or exemplary) regarding their level of personal mastery in each of the 51 skills. Based on the pilot, the alpha levels ranged from .68 - .95 and feedback from peers indicates this is a strong evaluation plan. Also, students indicated the online format was fine, that the questions were understandable, and that some questions could have been broken out, but it would have made it too long.

It is hoped that a professional growth matrix will be created from this data [tentatively called the Zone of Proximal Professional Development] and the data will provide concrete examples of knowledge and skills along the professional continuum to create the growth matrix. For example, stages of growth
and associated assessment might be: Beginner (pre-test, prior knowledge), Novice (anchors 1 & 2), Intermediate (anchors 3,4,5), Practitioner (internship and post-test), Expert (placement and follow-up) and Master Educational Leader.

10. Research Objectives:
   a. List the research objectives.

   The purpose of this project is to develop a longitudinal evaluation plan for a new principal preparation Educational Specialist degree at EKU beginning with the development of a pre-assessment to capture self-reported levels of mastery upon program entry. The first cohort began in summer 2012 with 10 students. The data collected will serve as the baseline for the database to capture student level data that will grow in scope and complexity over the next 6 years (and beyond). To date, students have completed the pilot test of the instrument and have submitted their Anchor 1 and 2 assessments into Taskstream for grading. The long-term goals of the evaluation project are:
   1) Upon entry, establish a base-line (pilot pre-test) of incoming student perceived mastery in 51 functional areas stemming from state standards to adapt coursework to better meet the learning needs of students;
   2) Formative/ongoing, examine value-added instruction using anchor assessments aligned with standards;
   3) During sixth semester, capture the impact of the internship experience in functional areas;
   4) Prior to graduation, capture post-test measures to determine program impact on perceived mastery, and
   5) Six months to a year after placement, follow-up with school leaders to determine what knowledge is really needed (standards versus reality) to identify gaps in program
   6) Build the growth matrix from aggregated information

   All data are reported in aggregate to guide instruction and planning.

11. Subject Population:
   a. What criteria will be used to determine the inclusion of participants in the study?

      All students entering the Ed.S. program are asked to take the survey.

   b. What criteria will be used to determine the exclusion of participants in the study?

      This is only for Ed.S. students at EKU.

   c. Anticipated Number of Participants (maximum): 20 per year

   d. Age Range of Participants: 25+

   e. Gender of Participants: ☐ Male ☐ Female or ☑ Gender not relevant to study

   f. Ethnicity of Participants: _____ or ☑ Ethnicity not relevant to study

   g. Health Status of Participants: _____ or ☑ Health status not relevant to study

   h. Which of the following categories of subject will be included in the study? Please check all that apply.

      1. ☑ Adult Volunteers
      2. ☐ College Students age 18 and older
      3. ☐ Minors (under age 18) – attach Form M
      4. ☐ Pregnant Women (other than by chance)
      5. ☐ Fetuses/Neonates
      6. ☐ Hospital Patients
      7. ☐ Patients at Inpatient Mental Health Facilities
      8. ☐ Decisionally-Impaired Individuals – attach Form I
      9. ☐ Institutionalized Decisionally-Impaired Individuals – attach Form I
      10. ☐ Prisoners – attach Form P
      11. ☐ Other – Please Describe: _____
12. Project Location:
   a. Where will the study take place?
      
      On EKU's Richmond Campus
   
   b. Will any data be collected through organizations other than Eastern Kentucky University?
      ☒ No  ☐ Yes, complete the following items:
      □ Will personnel of the organization be involved in the data collection process or have access to data after collection? ☐ No  ☐ Yes - If yes, list personnel on page 1, include copies of CITI completion reports, and define role here: ______
      □ Attach a letter from an authorized representative of the organization granting permission to use facility for research purposes.

13. Recruitment of Participants:
   a. How will prospective participants be identified for recruitment into the study?
      
      Not applicable. Students enrolled in the program will be asked to participate.
   
   b. Describe the recruitment procedures to be used with potential participants.
      
      Not applicable
   
   c. Recruitment materials to be used: Check all that will be used and attach copies: ☒None  ☐Advertisement, ☐Flyer, ☐Telephone Script, ☐Verbal Recruitment Script, ☐Cover Letter, ☐Other:

14. Ensuring Voluntary Participation
   a. Who will be responsible for seeking the informed consent of participants?
      
      Dr. Jessica Hearn
   
   b. What procedures will be followed to ensure that potential participants are informed about the study and made aware that their decision to participate is voluntary?
      
      Students attend a program orientation with Dr. Robert Biggin and Dr. Jessica Hearn. During that time students are shown the evaluation framework and the purpose of collecting the information. They are given the opportunity to sign the consent form and then they are asked to complete the baseline survey that serves as the standards-based benchmark for the evaluation. The mandatory anchor assessments are imbedded within the program as part of the course work. Students will be asked to volunteer to participate in a focus group when they are in their internship experience to gather information regarding how well the program is meeting their learning needs. Once students are working as acting principals, Dr. Hearn will contact them for follow-up interview participation. Participants will sign a consent form.
   
   c. How will consent be documented?
      
      ED.S. students will be given an explanation of the evaluation and a consent form to sign. The oral discussion, signature, and completion of the pre/post survey serve as consent. Accepting the invitation to participate in the focus group will constitute consent. Accepting the offer to follow-up after graduation (Alumni interview) will also constitute as consent.
   
   d. What consent documents will be used in the study? (Attach copies of all). ☒Informed Consent Form, ☐Parent/Guardian Permission Form, ☐Child/Minor Assent Form, ☒ Oral Script, ☐Other:

15. Research Procedures
a. Describe in detail the research procedures to be followed that pertain to the human participants. Be specific about what you will do and how you will do it. If applicable, differentiate between standard/routine procedures not conducted for research purposes from those that will be performed specifically for this study.

Phase I is the pre-test/self-assessment. Students come to campus for their program orientation. During orientation, the framework of the evaluation is shared, the survey is explained as it relates to the framework of the program and the anchor assessments they will take, and students will be given the opportunity to sign a consent form. Students are then escorted to a computer lab on the 4th floor of the Combs building where they take a SurveyMonkey survey with Dr. Hearn. The welcome screen of the survey indicates the purpose and voluntary nature of participation. As required by the state, students take Anchor assessments after certain courses are completed. Phase II will involve analyzing the information from the anchor assessments. These state-approved assessments are mandatory and required for accreditation. Information from the anchors will be used for formative feedback to both the students and the program as part of the instructional process. During phase III, students in their internship experience will be asked to volunteer to participate in a focus group. The focus group will be scheduled and will most likely occur on campus. Participation indicates consent and discussions will be held framed around guiding questions geared toward the 6 dimensions within the Dispositions, Dimensions, and Functions of School Leaders. Phase IV will occur during the last class of the program. Students will be escorted to the computer lab again to take the post test to examine gains from the pre-test as well as map a continuum of change along the experience. All information will be examined in aggregate. Finally, after students graduate and become principals, an interview protocol will be developed to determine what students learned that they are using, as well as, what they wish they had learned while in the program. Graduates will be contacted via e-mail and asked to participate in structured interviews to gather perceptions within the six functional areas. Both the focus groups and the interview process will be “a conversation with a purpose” (Kahn & Cannell, 1957, p.149) and the goal will be to gain a holistic view of perceptions of the process and outcomes with insight for future endeavors. The interview with the principal (the former student) will consist of talking through the items on the survey to allow exploration and targeted discussion on how the program can grow. Specifically, what items are relevant to their job as principal. A long term goal will be to shift from evaluation to a formal research plan and develop teacher surveys to capture perceptions of leadership in functional areas and collect school data to determine impact. As the database grows it will be possible to create models which will examine which areas contribute most to the variance in school change.

16. Potential Risks
   a. Describe any potential risks—physical, psychological, social, legal, or other.

   There are no risks

   b. What procedures will be followed to protect against or minimize any potential risks?

   Not applicable

   c. How are risks reasonable in relation to the anticipated benefit to participants and in relation to the importance of the knowledge that may reasonably be expected to result?

   Not applicable

   d. Will alternative choices be made available to participants who choose not to participate?  ☐ No  ☐ Yes, Describe: _____

17. Incentives and Research Related Costs
   a. Will incentives be offered to participants?  ☒ No  ☐ Yes, complete the following items:

   1) What incentives will be offered? _____

   2) If monetary compensation will be offered, indicate how much the participants will be paid and describes the terms of payment. _____
3) Describe the method of ensuring that the incentive will not compel individuals to agree to participate in the study. 

b. Will there be any costs to the subjects for participating? ☒ No ☐ Yes: Describe any costs that would be the responsibility of the subjects as a consequence of their participation in the research.

18. Research Materials, Records, and Confidentiality

a. What materials will be used for the research process? Include a description of both data collected through the study as well as other data accessed for the study.

The data to be analyzed will come from 1) a pre/post self-assessment of mastery 2) student anchor assessments that are already a program requirement, 3) focus groups, and 4) follow-up interviews.

1) Data collected: A survey has been created in Survey Monkey to serve as a pre/post measure. This survey asks participants to report their perceived level of mastery in 51 knowledge/skills areas that have been determined by the state of Kentucky as being necessary for school leaders. In addition, the participants are asked to enter their name (for initial matching and then anonymized), the level of school where they currently work, and their years' of experience.

2) Data Accessed: Students take the anchor assessments as part of their coursework and required by the state. These anchors are mandated by the state of Kentucky to be mapped back to the specific standards/knowledge/skills that students reported on in their pre-test. Dr. Hearn assists Dr. Robert Biggin (Associate Chair) in grading these assessments. Dr. Hearn will provide formative assessment back to the students and formative evaluation back to the program.

3) Data Collected: While students are in their internship experience, they will be offered the opportunity to participate in a focus group. This will follow a structured interview/discussion format.

4) After graduates have been in positions as school principals for a year, they will be contacted for a follow-up discussion. This discussion will more open ended and will focus on the idea of "What do you wish you had learned in the program to be able to do your job better" and "What did you learn (the standards) that you don't need?"

b. Who will have access to the data? If anyone outside the research team will have access to the data, provide a justification and include a disclaimer in consent documents.

Only Dr. Jessica Hearn will have access to the longitudinal information. Dr. Robert Biggin is the Associate Chair of Educational Leadership and has access only to the Anchor Assessments as part of program management and oversight.

c. Describe how and where research records will be stored. Note that all research-related records must be maintained for a period of three years from the study’s completion and are subject to audit. Following the completion of the study and throughout the research records retention period, student research records must be maintained by the faculty advisor who signs the application.

The original survey data are stored on SurveyMonkey and then downloaded into Excel for analysis. Student identifiers are stripped off and a random number is assigned. The lookup table matching student to number is password protected and stored in a locked file. The spreadsheet is also password protected and stored on the password protected computer in a locked office.

d. How will data be destroyed at the end of the records retention period (i.e., shredding paper documents, deleting electronic files, physically destroying audio/video recordings)?

This is an ongoing program and the data collected will be used to guide the program as it evolves for many years and make policy recommendations regarding the mandates components of Principal Preparation Programs. The information at the student level can be deleted, but aggregate information will become part of progress reporting.

e. Describe procedures for maintaining the confidentiality of human subjects data.
All identifiable information will be stripped from the file and a random number assigned to each student. However, due to the nature of the longitudinal evaluation, a lookup table will exist to continue to populate the growth matrix. Dr. Hearn will have a password protected file stored in a locked filing cabinet in a locked office. The working file will not have student name, but will also be password protected on a password protected computer. If it is necessary, there is a research dedicated, non-internet connected computer in Dr. Hearn's office.

19. **Application Components (Check all items that are included):**
   A completed application package must include the following:
   - [ ] Application Form
   - [ ] CTI Training Completion Reports for all investigators, key personnel, and faculty advisors
   - [ ] If applicable: Form M: Research Involving Minors/Children
   - [ ] If applicable: Form P: Research Involving Prisoners
   - [ ] If applicable: Form I: Research Involving Decisionally-Impaired Individuals
   - [ ] If applicable: Form W: Research Involving Wards of the State
   - [ ] If applicable: recruitment materials (i.e., advertisements, flyers, telephone scripts, verbal recruitment scripts, cover letters, etc.)
   - [ ] If applicable: Consent form (required in most all cases), assent form (for subjects who are minors), and parent/guardian permission form (if subjects are minors)
   - [ ] If applicable: Instrument(s) to be used for data collection (i.e., questionnaire, interview questions, or assessment scales)
   - [ ] If applicable: grant/contract proposal narrative (required if study is funded)
   - [ ] If applicable: letter(s) granting permission to use off-campus facility for research

20. **Principal Investigator Statement:**
    I certify that this document fully discloses the involvement of human subjects in this research study and that human subjects will not be involved in any other way. I agree to follow the approved protocol in the conduct of this study and to abide by EKU Policy 4.4.12: Protecting Human Subjects in Research (http://www.policies.eku.edu/academic/human_subjects/4.4.12_protecting_humansubjects_in_research_for_111.pdf).

    I agree:
    A. to accept responsibility for the scientific and ethical conduct of this research study;
    B. to obtain prior approval from the Institutional Review Board before implementing any changes to the research protocol or the study’s documents, including those approved for recruitment, consent, and data collection;
    C. to immediately report to the IRB any serious adverse reactions and/or unanticipated effects on subjects which may occur as a result of this study;
    D. to maintain records related to this protocol for a period of three years following the project’s completion;
    E. to adhere to IRB reporting requirements, including annual continuing reviews and filing the final report.

    [Signature]
    Name: [Signature]
    Date: 1-7-13

21. **Department Chairperson’s Approval:** (If the PI is also the Department Chair, the Dean or equivalent must sign.)
    I have reviewed this application and attest to the scientific merit of this study and the competency of the investigator(s) to conduct the project.

    [Signature]
    Name: [Signature]
    Date: 1-7-13

22. **Faculty Advisor’s Approval:** (required if PI is an EKU student)
    I have reviewed this application and attest to the scientific merit of this study and the competency of the investigator(s) to conduct the project. I understand that, as faculty advisor, I am responsible for guiding work on this project to ensure that the research protocol and EKU Policy 4.4.12: Protecting Human Subjects in Research (http://www.policies.eku.edu/academic/human_subjects/4.4.12_protecting_humansubjects_in_research_for_111.pdf) are followed. I understand that I am responsible for maintaining records related to this study for a period of three years from the study’s completion. I understand that, as faculty advisor, I am responsible for
ensuring that reports are filed with the IRB in a timely manner and agree to file reports on behalf of the student researcher if necessary.

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<tr>
<th>Name</th>
<th>Signature</th>
<th>Date</th>
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New Student Consent Form

Purpose:
The department of Educational Leadership and Policy Studies at Eastern Kentucky University is conducting a program assessment under the supervision of Dr. Jessica E. Hearn, Assistant Professor in the department. You are invited to participate. The purpose of the study is to create a longitudinal growth matrix for school leadership programs using standards as benchmarks in evaluation. Specifically, we want to

1) Determine entering student perceptions of level of mastery in state-identified, functional areas that are embedded within the program.
2) Utilize results from the 5 Anchor Assessments to capture growth in the functional areas over the time in the program.
3) Examine the change in student perceptions of mastery though a post-test to determine program impact.
4) Examine the effectiveness of the internship experience in preparing educators in the six functional areas.
5) Examine program graduate’s perceptions regarding the standards and their relevance to their work and the effectiveness of preparing them for their job as principal.

We will use this information to create a list of concrete knowledge and skills that students have, how those skills evolve, and how they are applied.

Procedures:
Upon acceptance into the program, you will be asked to take a pre-test to gain a baseline of your feeling of mastery in 51 areas. This survey is taken via Survey Monkey. You will be asked to take the same test prior to graduation.

When you are in your internship experience, you will be offered the opportunity to participate in a focus group to gain your perceptions of your growth in areas aligned with the ISLLC standards. Dr. Hearn will ask questions and take notes. It may be necessary to tape-record the session so the facilitator can review her notes for accuracy. There will be no identifiable information on the tape and none of the questions are sensitive in nature.

Six months to a year after placement as a school principal, you will be asked to participate in an interview with Dr. Hearn to examine what knowledge and skills are most needed to do your job (to compare theory with reality) to inform the program and state policy.

Your participation is completely voluntary. You may withdraw from this study at any time without penalty. Participation in the focus group/interview has no bearing on your status in the program.

Benefits and Risks:
Your participation will benefit you through formative assessment and other Eastern Kentucky University students by helping to improve the Ed.S. program. The survey poses no risk and is similar to classroom conversations regarding mastery. Similarly, the focus group has no potential risk as the conversations are intended to be an objective discussion regarding curriculum, knowledge, skills, and application. In the focus groups, everyone will be asked to respect the privacy of the other group members.

Confidentiality:
Anonymous data from this study will be analyzed by Dr. Hearn and only reported in aggregate. No individual participant will be identified or linked to the results. Study records, including this consent form signed by you, may be inspected by the administrators. The results of this study may be presented at meetings and conferences to help other program administrators; however, your identity will not be disclosed. All information obtained in this study will be kept strictly confidential. All materials will be stored in a secure location and access to files will be restricted to Dr. Hearn only.

Consent:
By signing this consent form, you are indicating that you fully understand the above information and agree to participate in this focus group.

Participant’s signature: ____________________________
Printed name: ____________________________
Date: ____________________________

If you have any questions or concerns, please contact Jessica Hearn Jessica.hearn@eku.edu 859-622-1131
Dear Ed.S. student,
Congratulations on being admitted to the program and thank you for taking time to complete this survey. This survey should take about ten minutes to answer the 51 skills questions and the three descriptive questions. The questions will be examined in aggregate (average response per question) to tailor courses to meet your needs and improve overall curriculum. Therefore, please answer honestly so we know what knowledge and skills you already have. Dr. Jessica Hearn is the only person who will see your survey results. Your name will be stripped out and replaced with a number and the name/number combination will be stored off site.

You will be asked to complete this same survey when you finish the program so we can evaluate how well we are preparing you for your leadership role in education. At that time, you will be given the opportunity to provide open-ended feedback via an anonymous survey.

If you have any questions or concerns about this process, please feel free to e-mail me at Jessica.Hearn@eku.edu or call my office at 859-622-1131.

This survey is aligned with the Kentucky Dispositions, Dimensions, and Functions for School Leaders and should take you about 10 minutes to complete.

Sincerely,
Jessica E. Hearn, Ph.D.

*1. Please enter your name

2. Level of school where you work.
   - Elementary
   - Middle
   - High

Name of school

3. About how many years have you worked in education?
**4. LEADING TEACHING AND LEARNING**

To what extent do you have PERSONAL MASTERY of the following:

<table>
<thead>
<tr>
<th>Activity</th>
<th>none</th>
<th>some</th>
<th>sufficient</th>
<th>exemplary</th>
</tr>
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<tbody>
<tr>
<td>Aligning, auditing, monitoring, and evaluating curriculum</td>
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<tr>
<td>Analysis of curriculum maps and pacing guides, performance standards, and core content</td>
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<tr>
<td>Designing course schedule(s) and sequences that provide rigorous programs accessible by all students</td>
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<tr>
<td>Strategies to support improvements in literacy and numeracy as the priority in a well-rounded curriculum.</td>
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<tr>
<td>Learning interventions to address skill deficits and learning needs of students</td>
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<tr>
<td>Providing multiple opportunities to learn based on formal and informal assessments</td>
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<tr>
<td>Appropriate use of varied research-based instructional strategies.</td>
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<tr>
<td>Appropriate use of technology in instructional settings.</td>
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</tbody>
</table>
5. ASSESSING THE INSTRUCTIONAL PROGRAM
AND MONITORING STUDENT PERFORMANCE
To what extent do you have PERSONAL MASTERY of the following:

<table>
<thead>
<tr>
<th></th>
<th>none</th>
<th>some</th>
<th>sufficient</th>
<th>exemplary</th>
</tr>
</thead>
<tbody>
<tr>
<td>The connection between national, state, district, school and classroom assessments and their impact on curriculum and instruction.</td>
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<tr>
<td>Using the results of multiple assessments to provide meaningful feedback on learning</td>
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<tr>
<td>Using and analyzing school data to identify LEARNING gaps and determine student needs.</td>
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<tr>
<td>Protocols to promote teacher collaboration in analyzing student work</td>
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<tr>
<td>How to use data to prioritize decisions and drive change.</td>
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<tr>
<td>How to use assessment data to determine and address CURRICULAR gaps.</td>
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<tr>
<td>How to conduct and interpret research to improve student performance</td>
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<tr>
<td>How to be a good consumer of research</td>
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<tr>
<td>How to identify and remove barriers to student learning</td>
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</tbody>
</table>
**6. SECURING AND DEVELOPING STAFF**

To what extent do you have PERSONAL MASTERY of the following:

<table>
<thead>
<tr>
<th>The dispositions, content knowledge and pedagogy of effective teachers.</th>
<th>none</th>
<th>some</th>
<th>sufficient</th>
<th>exemplary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Methods of assessing the dispositions, content knowledge and pedagogy of teaching applicants.</td>
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<tr>
<td>How to apply legal requirements, state and district personnel policies and procedures</td>
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<td>How to evaluate staff performance and plan professional growth of staff.</td>
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<tr>
<td>The Kentucky Teacher Standards and instructional best practices for use in personnel evaluation.</td>
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<tr>
<td>The components and legal requirements of formative and summative staff evaluation effective classroom observation techniques and teacher conferencing methods</td>
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<tr>
<td>How to collaboratively develop professional growth plans based on instructional needs identified through the evaluation process.</td>
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<tr>
<td>Effective use of instructional time and resources for effective learning</td>
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<tr>
<td>Effective methods for open communications between staff and administrators</td>
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<tr>
<td>Strategies of motivation, recognition, and rewards in sustaining and improving teacher performance.</td>
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<tr>
<td>Theories and research underlying effective professional development.</td>
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<tr>
<td>Critical attributes of an effective PD system.</td>
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</tbody>
</table>
**7. BUILDING CULTURE AND COMMUNITY**

To what extent to you have PERSONAL MASTERY of the following:

<table>
<thead>
<tr>
<th></th>
<th>none</th>
<th>some</th>
<th>sufficient</th>
<th>exemplary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategies to reinforce norms of behavior within a school culture conducive</td>
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<tr>
<td>Strategies to promote effective change.</td>
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<tr>
<td>The elements of and impact of formal and informal school culture.</td>
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<tr>
<td>How to use data to influence and inform school culture.</td>
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<tr>
<td>How to engage all stakeholders.</td>
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<tr>
<td>How to create and sustain a school wide learning environment based on a shared sense of community and cooperation.</td>
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<tr>
<td>Characteristics of professional learning communities that focus on student learning and achievement.</td>
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<tr>
<td>How to foster individual and collective accountability among staff members to improve student learning and achievement.</td>
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<tr>
<td>The roles and responsibilities of all school administrative, departmental and support staff, leadership teams, committees, and school-based council.</td>
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</tbody>
</table>
8. CREATING ORGANIZATIONAL STRUCTURES AND OPERATIONS

To what extent do you have PERSONAL MASTERY of the following:

<table>
<thead>
<tr>
<th>The collaborative process to develop shared beliefs, vision and mission that supports student learning and achievement.</th>
<th>none</th>
<th>some</th>
<th>sufficient</th>
<th>exemplary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategies to align resources, operational procedures and organizational structures with the school vision and mission.</td>
<td>none</td>
<td>some</td>
<td>sufficient</td>
<td>exemplary</td>
</tr>
<tr>
<td>Understands systems thinking as related to student learning and achievement and designs appropriate strategies.</td>
<td>none</td>
<td>some</td>
<td>sufficient</td>
<td>exemplary</td>
</tr>
<tr>
<td>Development, implementation and monitoring of a school improvement plan aligned with data, policy and regulation.</td>
<td>none</td>
<td>some</td>
<td>sufficient</td>
<td>exemplary</td>
</tr>
<tr>
<td>Basic management skills to foster student safety, learning and achievement</td>
<td>none</td>
<td>some</td>
<td>sufficient</td>
<td>exemplary</td>
</tr>
<tr>
<td>Problem-solving techniques for decision making purposes.</td>
<td>none</td>
<td>some</td>
<td>sufficient</td>
<td>exemplary</td>
</tr>
<tr>
<td>Laws, regulations, and policies under which the school must function.</td>
<td>none</td>
<td>some</td>
<td>sufficient</td>
<td>exemplary</td>
</tr>
</tbody>
</table>

9. LEVERAGING COMMUNITY SYSTEMS AND RESOURCES

To what extent do you have PERSONAL MASTERY of the following:

<table>
<thead>
<tr>
<th>Strategies to build learning relationships with families.</th>
<th>none</th>
<th>some</th>
<th>sufficient</th>
<th>exemplary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategies to leverage multiple resources to improve student learning and achievement</td>
<td>none</td>
<td>some</td>
<td>sufficient</td>
<td>exemplary</td>
</tr>
<tr>
<td>Strategies to build partnerships with community stakeholders</td>
<td>none</td>
<td>some</td>
<td>sufficient</td>
<td>exemplary</td>
</tr>
<tr>
<td>How to assess family and community concerns, expectations and needs.</td>
<td>none</td>
<td>some</td>
<td>sufficient</td>
<td>exemplary</td>
</tr>
<tr>
<td>Having dialogue with representatives of diverse community groups.</td>
<td>none</td>
<td>some</td>
<td>sufficient</td>
<td>exemplary</td>
</tr>
</tbody>
</table>
Focus Group Structured Interview Questions/Discussion Guide

Congratulations on completing your coursework and working on your internship experience. The purpose of our discussion is to continue to map your learning. As a reminder, my involvement in the evaluation is to create a longitudinal growth matrix for school leadership programs. You have already taken the pre-test that examined your perceived mastery in six functional areas upon program entry, and you have completed your anchor assessments along with your courses.

Now we wish to examine the role of the internship experience as it relates to the six functional areas: leading teaching and learning; assessing the instructional program and monitoring student performance; securing and developing staff; building culture and community; creating organizational structures and operations; and leveraging community systems and resources. (The six areas will be printed on a sheet for all to see during our conversation).

1) Which of the six functional areas are you working with most during your principal internship?
   Please explain
2) Which of the six functional areas are you working with the least during your principal internship?
   Please explain
3) Which of the six functional areas is the most challenging for you during your principal internship?
   Why?
4) Which of the six functional areas has been the easiest for you during your principal internship?
   Why?
5) What specific knowledge or skills have you been able to apply during your internship?
   Example?
6) Is there anything that you wish you had learned from the Ed.S. program prior to beginning your internship?

Thank you for taking the time to talk with me. Your comments will help me improve the program by better understanding the relative importance of each functional area on practice.