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The Massachusetts Educator Evaluation Framework and Transformational Leadership Alignment: An Investigation

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**THE MASSACHUSETTS EDUCATOR EVALUATION FRAMEWORK AND
TRANSFORMATIONAL LEADERSHIP ALIGNMENT: AN INVESTIGATION**

A Dissertation Presented

by

MARTIN J. MCEVOY, JR.

Submitted to the Graduate School of the
University of Massachusetts Amherst in partial fulfillment
of the requirements for the degree of

DOCTOR OF EDUCATION

September 2014

College of Education

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TRANSFORMATIONAL LEADERSHIP ALIGNMENT: AN INVESTIGATION**

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MARTIN JAMES MCEVOY, JR.

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DEDICATION

In memory of my loving parents, Martin James McEvoy, Sr., and Geraldine C. McEvoy.

I miss them every day.

With the deepest gratitude to my wife Jane Keiderling McEvoy, who I love, cherish, admire, and respect more than she could ever know.

Thanks to Finola Larkin McEvoy for her support and interest in my project.

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ABSTRACT

THE MASSACHUSETTS EDUCATOR EVALUATION FRAMEWORK AND TRANSFORMATIONAL LEADERSHIP ALIGNMENT: AN INVESTIGATION

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The recent Massachusetts Educator Evaluation Regulations (CMR 35.00) articulates goals that include growth and improved performance by teachers. Despite this stated goal, however, it is unclear if the policy is consistent with transformational leadership, which has shown correlation with growth and performance. In fact, the policy may instead bring about unintended consequences associated by some with evaluations in general, such as promoting “inspectional and fault finding supervision . . . [that] has serious consequences for the improvement of teaching and student achievement” (Glanz, 2005, p. 3). Through a discursive analysis of the Educator Evaluation Regulations (CMR 35.00) and semi-structured interviews with teachers and school leaders, this qualitative study investigates the alignment of transformational leadership theory to the evaluation regulations as written and as understood by teachers and educational leaders. In addition, drawing from the disciplines of psychology, communications, and organizational theory, a new transformational leadership model is presented. The conceptualization of

transformational leadership theory serves as both an analytical framework for this study and responds to calls made by prominent transformational leadership theoreticians such as Bass and Riggio (2006) and Burns (1978) to explicate the theory's inner mechanisms.

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CHAPTER I

INTRODUCTION

General Introduction

Educational reform is one of the most important and controversial issues of our time. In fact, the potentially emotionally laden phrase “education reform” means different things to different people and must be defined from the outset. For the purposes of this investigation, the term “education reform” means educational change for the sake of improvement (Fullan, 2007); it is never used in this paper to endorse or condemn any particular agenda, political or otherwise. At any rate, how best to go about improving educational outcomes for K-12 public students in the United States is a vigorously debated topic. One salient assertion is that if teachers taught more effectively, students would learn more and be able to demonstrate their learning in clearly measureable ways. To ensure desired teacher effectiveness, a growing number of reformers argue robustly that educational policy must include supervision and accountability of educators that includes consideration of student performance on standardized tests (i.e. Coulson, 1999; Tooley, 2000).

Others, while agreeing in principle that American education should be improved, feel that the preponderance of the most powerful factors that influence student achievement are beyond even the most gifted teachers’ control, and that it is unfair to hold educators responsible for myriad societal ills that may be located at the core of diminished student performance and at the heart of persistent achievement gaps between students representing different financial and racial demographics (i.e. Lea, 2011; Ravitch, 2011; Apple in Watkins, 2012). People holding the latter ontological assumptions about

education in the United States today worry that many talented educators are being demoralized or driven out of the profession and that the profession itself is being degraded by misguided policies implemented in an effort to improve teaching and learning (i.e. Berlak, 2011; Pajak, 2001). Many of these commentators argued that education might best be improved through humane and ethical interactions between teachers and their leaders. (Glanz, 2005; Bass & Riggio, 2006; Sergiovanni & Starratt, 2002).

No matter which camp one aligns with philosophically, the reality for teachers and their leaders in Massachusetts today is that the work of both will soon be guided by a newly crafted educator evaluation framework. While the stated goal of the new evaluation regulations is to improve teaching and learning in its K-12 public schools, whether it is likely to facilitate improvement effectively remains to be seen; the literature reveals that the value of teacher evaluation itself has been contested. In his classic work, *Clinical Supervision: Special Methods for the Supervision of Teachers* (1969), Goldhammer argued that supervisory evaluation often does not improve learning for students but instead “fails equally to enhance the teacher’s dignity or, for that matter, the supervisor’s” (p. viii). In another seminal work, Henry (1973) warned of the damaging effects experienced by people supervised and evaluated under a system which they may think is devoid of meaning or value. More recently, Glanz (2005) argued that evaluative supervision can do much to impede instructional improvement unless the evaluation is “collaborative rather than hierarchical, dialogic not didactic, descriptive rather than judgmental, and supportive, not punitive” (2005, p.2; see also, Waite, 1995). Suzanne Soo Hoo (2004) worried that teacher evaluation can become but another governmental

intrusion into education, while others believe that teacher supervision and evaluation often express reductionist views of teaching and learning that ignore the complexities of the teacher's art (Neill, 2003; O' Day, 2002).

On the other hand, others see teacher evaluation as crucial to ensuring that quality learning experiences are occurring for all students in every classroom each day. While few would disagree that teacher quality is a critical factor in a student's learning (Goldhaber, 2009; Gordan, Kane, & Staiger, 2006; Wright, Horn, & Sanders, 1997), just how teacher quality can be measured fairly and accurately is less clear and has long been a contentious topic. However, there appears recently to be a developing consensus in the literature identifying the elements of effective teacher evaluation. For example, the opportunity for teachers to grow and learn is increasingly understood as a hallmark of a quality teacher evaluation system, as are properly trained evaluators, shared understandings about best teaching practices, meaningful feedback and dialogue, and enough dedicated time to doing evaluations thoroughly (Danielson, 2008; Marzano & Toth, 2012; Sergiovanni & Starratt, 2002). In short, quality evaluation systems go beyond inspectional measurement of teachers in a culture of fault finding and support teacher professional learning and development instead.

Another critical aspect that must be considered when investigating the Massachusetts Teacher Evaluation Regulations (CMR 35.00) is the implementation of the policy. According to Michael Lipsky (1980) in his landmark book *Street-Level Bureaucracy*, "street-level bureaucrats," or public servants such as police officers, social workers, and teachers who work directly with the public, possess wide discretion with respect to policy implementation. Indeed, it is "the actions on the ground that together

constitute policy” (Lin, 2000, p. 36). Because street-level bureaucrats work in occupations that are often quite stressful, workers will resist policy initiatives they believe will add to that stress and are thus dismissed as illegitimate. For example, while policy makers are interested in productivity and effectiveness, street-level bureaucrats prioritize job security, satisfaction, and income. As a result, street-level bureaucrats may emphasize certain policy aspects while minimizing or ignoring others, and a policy as written may look very different when it is operationalized (Lipsky, 1980). In addition, policy implementation is affected by local actors’ interpretation of a given policy (Palmer & Rangel, 2010; Spillane, 2004). As Spillane (2004) puts it, “Policy implementation is like the telephone game: the player at the start of the line tells the story to the next person in line who then relays the story to the third person in line, and so on” (p. 8). The policy may undergo considerable alteration as different stakeholders try to make sense of it, and the policy may be implemented with varying fidelity to the purposes and goals of the original policy as written. Furthermore, a policy must be realistic in practice in order to be implemented. Therefore, it is also necessary to investigate a policy’s workability as understood by the implementing actors in order to determine which policies have a chance to be implemented successfully (Lin, 2000) and degree or level of implementation. That is, what does the policy look like in practice?

At the same time, much in the literature supports the notion that teaching can be powerfully improved under authentic transformational leadership (Burns, 1978), a progressive leadership style that promotes intrinsic motivation by way of morally grounded, positive interactions between people. As Glanz (2005, p. 3) argued, unless leadership of educators is based on “enhancing teachers’ dignity” through

“transformational leadership, the educational landscape will remain in its transitory and vulnerable state, inconsequential at best, destructive at worst.” But is the new teacher evaluation framework policy as written aligned with transformational leadership theory? That is, do the evaluation regulations nurture transformational relationships between leaders and their followers that enhance performance by drawing on internal motivation through mutual trust, dialogue, and reflection? If so, do educational leaders and their teachers understand the policy in a way consistent with transformational leadership?

The goal of this project is to try to answer these questions and to contribute to policy development in particular and transformational leadership theory in general. First, an analysis of the new teacher evaluation policy is presented using an originally conceived and developed transformational leadership *theory of practice*, a term used throughout this paper to mean a description of concrete actions (see Argyris & Schon, 1974). By considering if the educator evaluation policy is aligned with the description of actions that seem to comprise transformational leadership, I hope to inform later iterations of state and district teacher evaluation systems as they are tweaked and refined for maximum impact. To facilitate such an analysis, a new explanation with respect to the inner workings of transformational leadership is offered, which transformational leadership theorists Bass and Riggio (2006) and Burns (1978) have called for. In doing so, perhaps transformational leadership in general, as well as in the context of today’s public schools, can be better understood, resulting in heightened outcomes through affirming leadership.

Background

In 2010, United States Secretary of Education Arne Duncan introduced *Race to the Top*, (RTTT) which was heralded as “a historic moment in American education” (whitehouse.gov). In its executive summary, the \$4.35 billion federal program is described as:

a competitive grant program designed to encourage and reward States that are creating the conditions for education innovation and reform; achieving significant improvement in student outcomes, including making substantial gains in student achievement, closing achievement gaps, improving high school graduation rates, and ensuring student preparation for success in college and careers; and implementing ambitious plans in four core education reform areas (RTTT Executive Summary, 2010).

States increased their chances of winning funds by implementing reform initiatives suggested by the program. One of the “conditions for education innovation and reform” was a revamped educator evaluation policy, and Massachusetts, seeking to put itself in a favorable position to win RTTT grant funds, developed a new evaluation system for teachers (“Massachusetts Model System for Educator Evaluation”, 2012; “Race to the Top Program Guidance and Frequently Asked Questions”, 2010).

The educator evaluation regulations introduced many changes to the framework under which educators are evaluated. For example, continued employment as a teacher partly depends on whether an individual teachers’ students demonstrate positive trends with respect to subject-matter proficiency on standardized exams, regardless of the teacher’s seniority (“Massachusetts Model System for Educator Evaluation”, 2012). As a result, many teachers feel threatened and resent that their livelihoods are less secure in a system of high-stakes accountability (Alquist, 2011). Furthermore, states such as Massachusetts that adopt the Common Core State Standards (CCSS), a set of nationalized

educational standards, further enhanced their chances of winning Race to the Top funds. Although public school teachers had worked under state frameworks since the Massachusetts Education reform act of 1993, the Common Core seemed to many to be narrower, prescriptive, and developmentally inappropriate for students than were the earlier curricula standards (Finn, 2012; Alquist, 2011). In sum, the perception of many teachers today is that their careers are in peril due to a new policy of high-stakes evaluation that measures the level of student mastery of content imposed from on high (Strauss, 2012; Alquist, 2011).

Problem and Purpose

Prior to the recent incarnation of high-stakes teacher accountability, much in the literature suggested that transformational leadership seemed very promising as an educational leadership style and was correlated with heightened teacher performance. Moreover, as I will argue, transformational leadership has humanistic qualities that seem quite appropriate in a caring profession. At the same time, the new educator evaluation regulations are now a reality for teachers in Massachusetts for the foreseeable future. However, it is unclear whether the new policy is aligned with the leadership style that the literature suggests (see Chapter II) may be best suited to bring about the goals the regulations seek. Because of transformational leadership's documented promise and appeal, as well as the unproven new high-stakes educator evaluation policy, it seems important to investigate the following overarching question: *How is the Massachusetts Educator Evaluation Policy, as written and as understood by teachers and leaders, aligned with transformational leadership theory?* This question is based on the following assumptions:

Guiding Research Assumptions

1. Transformational leadership can most effectively promote professional growth and enhanced performance in workers.
2. The Massachusetts Educator Evaluation Framework seeks to bring about growth and performance in educators.
3. Therefore, the educator evaluation framework should align with transformational leadership theory.

Indeed, teachers and their leaders in Massachusetts today face a professional paradox. At a time when educators might benefit greatly from high-quality, affirming, and moralistic transformational leadership to help them navigate the perilous waters of high stakes-accountability, it is easy to imagine leaders increasingly concerned with monitoring their teachers with respect to the new teacher evaluation system. However, as Glanz (2005) argued, intrusive supervision does little to bring about instructional improvement and gains in student achievement and may prove detrimental to desired outcomes instead.

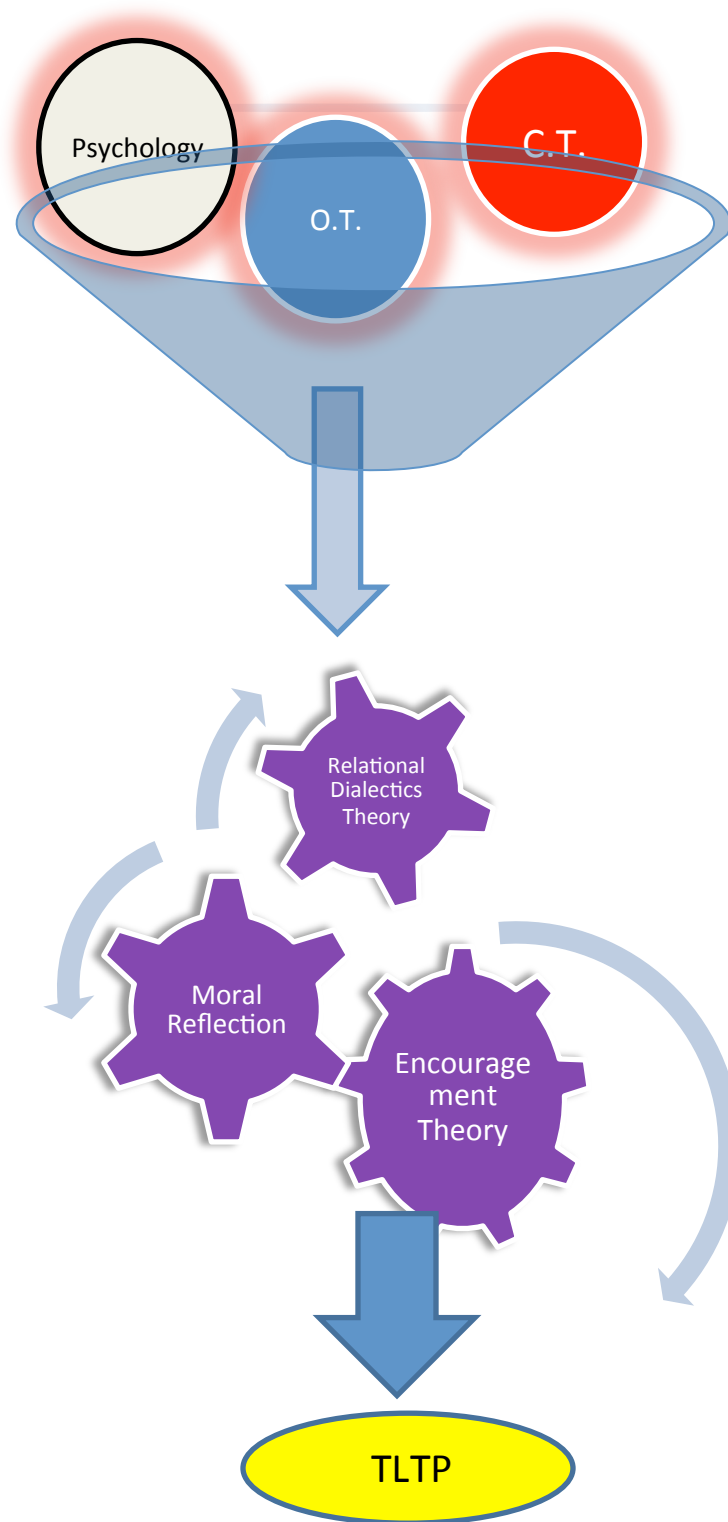
At any rate, before the coherence of the evaluation to transformational leadership can be considered, the inner-mechanisms of this leadership style must first be made visible, which I attempt to do in the conceptual model that follows.

Transformational Leadership Theory of Practice Conceptual Model

As the diagram shows (See Figure 1), the core components of TLTP—drawn from diverse fields such as psychology, organizational theory, and communications theory—can be identified as manifestations of encouragement theory (e.g. Dinkmeyer & Dreikurs, 1963), moral reflective practice or *phronesis*, (Birmingham, 2004) and

relational dialectic theory (Baxter, 2011). Concepts from these areas inform leadership features such as recognition of best efforts, opportunities for double-loop learning, and equally powered discourse, and each of the concepts comprises what I call *transformational leadership theory of practice* (TLTP). Indeed, such concepts seem to be situated firmly at the center of transformational leadership and drive transformational leadership as I understand it. The concepts overlap and converge—in a reflexive, heuristic process—to form authentic transformational leadership. As the literature suggests (see Chapter II), such leadership can support enhanced performance by educators and heightened outcomes for students—the main goals of the evaluator regulations.

Figure 1: Transformational Leadership Theory of Practice Conceptual Model



Research Questions

To overarching research question for this study is: *How is the Massachusetts Educator Evaluation Policy, as written and as understood by teachers and leaders, aligned with transformational leadership theory?*

Sub-questions related to this question are:

- 1) What opportunities exist for transformational leadership in the educator evaluation policy, as written and as understood by teachers and leaders?
- 2) What challenges to transformational leadership exist in the educator evaluation policy, as written and as understood by teachers and leaders?

Furthermore, to develop a transformational leadership analytical framework, it is necessary to consider the foundations of transformational leadership's mechanisms; this aspect has been inadequately understood in the literature (Bass & Riggio, 2006; Burns, 1978). This study may also contribute to leadership theory by revealing the theoretical underpinnings of transformation leadership to areas such as psychology (e.g. Dinkmeyer & Dreikurs, 1963); organizational theory (i.e. Argyris & Schon, 1974), and communication theory (i.e. Baxter, 2011). By carefully tracing concepts from these disciplines and making connections to their manifestations in transformational leaders, a concrete theory of practice can be constructed; such a model of transformational leadership behaviors was created and helps guides the analyses in this study.

Potential Significance of Study

As an experienced Massachusetts secondary English teacher, department head, and Vice Principal, with aspirations for greater leadership responsibilities in public school settings in this state, I am deeply invested in the current educational reform debate

and its implications for the students, teachers, and community I serve. In my view, the new teacher evaluation policy could possibly be viewed as emphasizing and reinvigorating a top-down leadership approach that McGregor (1960) referred to as *Theory X* leadership. As I will argue, such a perception of the new policy by teachers and their leaders could lead to the harboring of pessimistic assumptions on both sides and undermine the goals the evaluation system was designed to meet. While I strongly agree that all educators--teachers and their leaders--must constantly strive to enhance the quality of the learning opportunities their schools offer, I also think that the relationship between teachers and their leaders must be considered carefully as the latest iteration of teacher evaluation is commenced.

Indeed, I believe that a unique opportunity presents itself in today's reform-minded climate. As many have noted, the context in which leadership occurs is a supremely important consideration (e.g. Bass & Riggio, 2006; Burns, 1978). Therefore, a better understanding of the specific context in which transformational leadership is to occur, in this case, a reform-minded climate with a new, high-stakes teacher evaluation policy, as well as a better understanding of transformational leadership style itself, can enhance effective leadership despite an atmosphere that might be construed by many teachers and leaders as adversarial. Ultimately, it is my intent that the present study, by informing both leadership theory *per se* as well as the actors in the context in which the leadership is to operate, can help get us past knee-jerk reactions against change and reform, and investigate whether the intersection of transformational leadership and the new teacher evaluation system is coherent and likely to contribute to the reinvigoration of teaching and learning, a primary goal of the new evaluation regulations (CMR 35.00). In

addition, the Transformational Leadership Theory of Practice may also offer guidance to leaders in any context who wish to exhibit behaviors consistent with transformational leadership.

Overview

As mentioned earlier, this study will attempt to conceptualize the inner mechanisms of transformational leadership and examine how the educator evaluation policy is aligned with these concepts in writing as well as in perception. Chapter II starts by describing McGregor's (1960) view of two environments in which working relationships can occur, an important consideration when implementing policies that can affect interpersonal relationships. The chapter continues with a discussion of the educational leader's role in enhancing teacher performance and how transformational leadership can help leaders better support the teachers they serve. Finally, the chapter offers a model of transformational leadership, with an emphasis on the interrelations between teacher and leader; Burns & Riggio (2006) have called for "more attention . . . to the leader-follower transformational relationship" (p. 235). Furthermore, an understanding of the mechanisms of transformational leadership, which has been done only inadequately in the literature, is necessary to try to understand how the educator evaluation policy is aligned with a leadership style that seems to achieve the goals desired by the policy. Chapter III describes the research methods used to conduct this investigation. Chapter IV presents the findings and analysis of the new Massachusetts educator evaluation regulations with respect to the transformational leadership theoretical model; in this section, the purpose is "to expose the . . . relationships among the important variables" (Stokey & Zeckhauser, 1978, p. 8) so that the alignment of the educator

evaluation policy with transformational leadership can be considered. Finally, Chapter V offers further discussion of the findings of the study as well as recommendations based on these findings.

CHAPTER II

LITERATURE REVIEW

Introduction

Much in the literature supports the notion that leadership styles and working environments have powerful effects on working relationships between leaders and followers and affect the performance of workers. In this chapter, McGregor's (1960) theories with respect to leadership styles and their effects on organizational behavior are presented, and the effects different leadership styles may have on teachers and their leaders in the context of today's k-12 public education are considered. Then, transformational leadership is traced from its origins to the present, and its applicability to educational leadership is contemplated. Finally, because the literature has only inadequately explained how transformational leadership actually works, I attempt to do so in the balance of the chapter. Besides the fact that calls for such theoretical explanation have been made by prominent transformational theorists themselves (i.e. Bass & Riggio, 2006), considering the underpinnings of transformational leadership is crucial in developing an analytical framework. Through the identification, synthesis, and connection of transformational leadership's underpinnings to the disciplines of psychology, organizational theory, and relational dialectic theory, I hope to explain not only how transformational theory functions, but, by the end of the project, offer a better understanding of how coherent the educator evaluation policy is with transformational leadership principles.

The Importance of Perception and Environment

The newly adopted Massachusetts Educator Evaluation Framework policy, replete with an elaborate performance rubric for teachers and leaders, unannounced visits by supervisors, and prescriptive consequences for all deemed underperforming, could well be seen as threatening, insulting, and demoralizing by education professionals who already feel they are being asked to do the impossible: educate children from diverse socio-economic backgrounds, interests, intellectual capabilities, skill sets, and learning styles, often without adequate resources, parental involvement, and student effort. On the other hand, the new evaluation system could be seen as a tool designed to facilitate teacher improvement through observation of practice and feedback, and ultimately, lead to higher levels of student achievement. As Lincoln and Guba (1985) have asserted, perception can become one's personal reality; things are as we make them to be. For example, if teachers and / or their leaders perceive the evaluation system to be a tool to identify and punish ineffective teachers, this perception would be squarely located in what organizational theorist McGregor (1960) considered Theory X assumptions. As McGregor (1960) explained, Theory X is a pessimistic understanding of human nature which justifies control and manipulation as means to get workers to achieve the desired ends of their leaders.

The overarching assumption under Theory X is that human beings generally are not adequately invested in the work they do and must be motivated externally to perform at an acceptable level. The problem with this leadership philosophy is that its emphasis on direction and control of subordinates is not an effective motivator for professional adults in the long term (Kohn, 1999; Sergiovanni & Starratt, 2002). For example, while a

system of external motivation may force compliance, teachers' lack of control in their professional lives eventually alienates teachers from their vocation and contributes to feelings of fulfillment in their work (Sergiovanni & Starratt, 2002). Indeed, much in the literature supports the notion that leading teachers under assumptions found in Theory X ultimately contributes to teachers feeling dissatisfied, disillusioned, and deskilled (McNeil, 1986; Rosenholtz, 1989; Sergiovanni & Starratt, 2002; Wise, 1979).

From one perspective, Theory X assumptions are voiced primarily as demands for teacher accountability. Such a viewpoint argues that today's accountability policies, especially as manifested in the newly devised educator evaluation framework, reinforces existing supervisory theory that seems to "focus on external rewards and sanctions as motivators for teachers, administrators, and students" in order to "to make people wake up and make them work harder"(Elmore, 2003, p. 9). Such a focus on the external rewards and sanctions Elmore mentions seems apparent in the Race to the Top Reform Program. As state after state, in competition for grant money, adopts measures to tie educator performance evaluations to their students' test scores, prescribes curriculum, and hands down decisions from on high, educators realize that their professional judgment and expertise are marginalized and devalued, a phenomena that raised earlier concerns in the literature (e.g. Pajak, 2001). Indeed, although "schools and teachers have always been responsible to somebody for something" (McDermott, 2011, p. 2), some have said that today's iteration of accountability features a palpably pessimistic view of educators and their practice (Martin, 2011).

As a result, due to Theory X assumptions made explicit by a particular reading of the new policy, educators may go about their daily work knowing many consider them to

be unmotivated, primarily self-interested, resistant to change, and inadequate, the effects of Theory X management on workers (McGregor, 1960). Indeed, with such perceptions informed by salient contextual factors, it is easy to imagine a teacher feeling that her profession is being redefined by powerful entities able to impose their will and agendas on her career. Instead of considering herself the somewhat autonomous, trusted professional she once aspired to be, a teacher may increasingly feel like a technician whose function is merely to deliver content determined by bureaucrats far removed from the realities of an actual classroom (Wraga, 1999), and who will be judging her performance to standards of dubious merit. It is no wonder teaching morale is at its lowest point in 20 years (Santos, 2012).

Principals, too, may feel pressured working under the educator evaluation policy and feel compelled to prescriptively manage their staff. For example, because teachers are measured largely against an elaborate rubric designed to score their performance as observed during unannounced visits, supervision of teachers may devolve into little more than making sure teachers, through frequent classroom monitoring and analysis of standardized test scores, demonstrate fidelity to designated standards. Indeed, the Massachusetts Department of Education suggests that school leaders use both frequent, unannounced classroom visits and test score results as crucial factors for evaluating teachers' effectiveness (Massachusetts Model System for Educator Evaluation, 2012).

An Alternative Reality

However, today's supervisors need to be much more than "mere mechanisms of quality control" (Pajak, 2001, p. 239). In fact, as teachers increasingly toil in what they may likely perceive as a Theory X world, leaders more than ever before need to operate

under what McGregor (1960) called Theory Y assumptions. Theory Y holds that people are quite capable and have the desire and ability to become ever more efficacious, are internally motivated and want to share their talents and expertise, and are sensitive to negative expectations and respond negatively to them; indeed, people need affirmation to maintain a positive outlook (McGregor, 1960). Indeed, the ability of the supervisor to nurture, guide, and meet the teachers' needs may ultimately determine the success of meeting reform goals (Pajak, 2001; Glanz, 2005).

Theory Y, with its optimistic assumptions about human beings in the workplace, is concerned with meeting the needs of the worker. As we will see, transformational leaders hold Theory Y assumptions about their followers and can transform the perceptions of those they lead about the work they do and their capability to do it.

As Segiovanni and Starratt (2002) have observed, the importance of high-quality leadership in a school setting cannot be overstated; success depends heavily upon meaningful relationships and the exchange of ideas between leaders and followers, and it is incumbent upon leaders to foster such relationships and exchanges. Moreover, McGregor (1960) noted that when workers seem unmotivated, defensive, and perform consistently with Theory X expectations, these symptoms probably have more to do with leadership and supervisory behaviors than with the workers themselves.

For powerful education reform to occur, a reexamination of the unexamined underlying assumptions we hold, called double-loop learning (Argyris & Schon, 1974), is critical. What if educators perceived themselves as a major part of enhancing educational outcomes for their students, despite changes in policy they initially regarded as demoralizing and threatening? What if supervisors and educational leaders were asked to

reimagine their roles not as teacher monitors charged with catching incompetent or indolent teachers, but full partners and facilitators in the demanding task of educating all students to high levels of achievement? Confronting the deficit assumptions that educators may perceive to be imbedded in the new evaluation system led me to reimagine educational supervision and leadership needed today, and to construct a theory of practice (Argyris & Schon, 1974) consistent with these needs. Because I attempt to develop and inform transformational leadership theory (Bass, 1985; Burns, 1978), a discussion of the theory itself is necessary.

Transformational Leadership

As an emerging leader, I am interested in a leadership style that emphasizes Theory Y assumptions, and I believe that an optimistic leadership philosophy could be a very effective tool to help educators maximize their potential in an environment they may well regard as hostile as they face increased scrutiny and prescribed consequences. On the other hand, people who see the evaluation system mainly as a tool to identify ineffective teachers and treat them accordingly likely focus on what may be considered behaviorist (see Skinner, 1974) underpinnings of the evaluation system. However, behaviorist “carrot-or-stick”, “do this and you’ll get that” measures have been shown to be ineffective in promoting long-term reform (Kohn, 1999). Although behaviorist assumptions have long been privileged in our society in general and in our workplaces and schools in particular, behaviorism is not a truth but a particular theory that can be questioned (Kohn, 1999). Those who question behaviorist assumptions stress that people are thinking, decision-making beings who act purposively and meaningfully; they are “not puppet[s] whose behavior is determined by forces beyond his control” (Dinkmeyer

& Dreikurs, 1963, p. 7). As we will see, transformational leadership, unlike more traditional leadership styles, does not embrace behaviorist assumptions. Instead, transformational leadership behaviors are consistent with Theory Y assumptions and provide a strong foundation to help teachers meet the demands of today's educational environment.

Transformational leadership is an affirming leadership style in which leaders increase motivation in those they lead to work toward common goals (Burns, 1978). Unlike many forms of traditional leadership, which emphasize the authority of the leader and rely on a system of punishment and rewards to get compliance, transformational leadership focuses on the leader and subordinate working together under shared assumptions, values, and ideals (Sergiovanni & Starratt, 2002). An attractive feature of this leadership style is that transformational leaders do not dictate rigid goals to be met on their terms (Leithwood et al., 2009). Instead, leaders try to establish a mutual understanding of the group's goals and ensure subordinates' acceptance of them through discussion in which employee input is welcomed (Burns, 1978).

According to Burns (1978), transformational leadership is so named because leaders—by aspiring to reach higher levels of professional consciousness, internal motivation, and concern for others—have a transforming effect on themselves and their followers alike. Moreover, Burns (1978) sees transformational leadership as a moral undertaking in that, unlike traditional forms of leadership, transformational leadership tries to inspire all parties involved in the leader-follower relationship to act in less selfish ways. Transformational leadership seeks to move or change people to seek higher moral ground, acting in ways consistent with Kohlberg's (1973) higher stages of moral

development. That is, transformational leadership inspires people to behave in ways mindful of one's commitment to others for the purpose of benefitting society as a whole instead of mere selfish interests.

The catalyst of this transformative effect is that leadership attempts to meet powerful human needs such as the longing for esteem and efficacy (Maslow, 1954) and the desire to contribute to benefit fellow human beings (Kohlberg, 1973). Drawing on Burn's (1978) conception, Bass and Riggio (2006) identify four essential components of transformational leadership (p. 6-7) as seen below.

Table 1
Four Essential Components of Transformational Leadership

Factor	Description
Idealized Influence (II)	Leaders are role models for followers and are respected, admired, and trusted.
Inspirational Motivation (IM)	Leaders inspire followers by providing meaning and challenge in their followers' work.
Intellectual Stimulation (IS)	Leaders question their followers' assumptions, reframe problems, and stimulate innovation and creativity.
Individualized Consideration (IC)	Leaders individually support their followers and personalize their learning by teaching and coaching.

Transformational Leadership: A Critique

Bogler (2001) found that transformational leadership significantly affected teachers' satisfaction with their jobs. I think this is particularly important today, when many teachers are increasingly expressing dissatisfaction in their careers, due in part to feelings of disempowerment, frustration, and feelings of job insecurity (Met Life Survey of the American Teacher, 2012). As we have seen, it seems likely that these feelings will

be exacerbated by current educational reform initiatives, which emphasize external control of teachers' practice, consideration of students' test scores in teacher evaluations, and teachers' loss of seniority rights in job retention decisions ("Massachusetts Model System for Educator Evaluation", 2012).

Significantly, transformational leadership can help teachers meet incredible demands placed squarely on their shoulders; such leadership seems to contribute in measurable ways to positive outcomes. Leithwood et al. (2009) cite evidence from six studies demonstrating significant positive correlations between schools that use transformational leadership and teacher-perceived favorable student learning outcomes (see Leithwood, Dart, Jantzi, & Steinbach, 1991, 1993; Leithwood, Cousins, & Gerin-Lajoie, 1993; Silins, 1992, 1994; Silins & Leithwood, 1994). Positive correlations between schools with leaders practicing transformational leadership and students' standardized test scores have also been shown (Egan & Archer, 1985). Bass and Riggio (2006) conclude, after many years of conducting studies using the Multifactor Leadership Questionnaire (MLQ) instrument, that much evidence suggests significant correlations with measures of leadership effectiveness when transformational leadership is employed. Bass and Riggio (2006) also cite numerous studies to suggest that transformational leadership promotes self-efficacy, which has been shown to enhance performance (i.e. Bandura, 1997; Jung & Sosik, 2002; Stajkovic & Luthans, 1998), and morale, another performance-booster (Wilson-Evered, Hartel, & Neale, 2001). Finally, Bass and Riggio (2006) report "strong and consistent" (p.41) correlations between transformational leadership behaviors and follower satisfaction measures, and cites several meta-analyses

to support his findings (see Degroot, Kiker, & Cross, 2000; Dumdum, Lowe, & Avolio, 2002; Lowe, Kroeck, & Sivasubramaniam, 1996).

While Bass and Riggio's (2006) conception of transformational leadership offers an enlightened view of leadership likely to benefit teachers immensely, and seems especially desirable in the context of today's reform, neither Bass (1985, 2006) nor Burns (1978) explain how transformational leadership actually brings about the generalizations they present. For example, *how* should leaders become role models, provide meaning and challenge in their followers' work, stimulate innovation and creativity, and support their followers through teaching and coaching? Furthermore, although Bass' (2006) Multi-level Leadership Questionnaire (MLQ) asks followers to identify their leaders' behaviors to determine leadership style, it still lacks the specificity to suggest concrete ways to bring about transformational leadership. To illustrate this point, a sample from Bass' MLQ (2006, p. 21) is shown below:

Table 2
Sample from Bass' Multi-level Leadership Questionnaire

Factor	Description
Idealized Influence (II)	My leader instills pride for being associated with him or her.
Inspirational Motivation (IM)	My leader articulates a compelling vision of the future.
Intellectual Stimulation (IS)	My leader seeks differing perspectives when solving problems.
Individualized Consideration (IC)	My leader spends time teaching and coaching.

Indeed, while the MLQ has statements meant to identify transformational leadership behaviors, it tells us little about the qualitative experience of the behavior. For example, a

leader might go about articulating a compelling vision of the future in many different ways. I have experienced interesting vision-sharing experiences myself. In one such encounter, a principal painted a vision of reassigned teachers, a displeased school committee and community, and personal embarrassment if standardized test score goals were not met. Indeed, while this may be seen as a “compelling shared vision,” it did little more than further deflate hard-working teachers, the antithesis of authentic transformational leadership’s goals. While the previous example may seem hyperbolic, the point is that without a specific set of actions as a guide, it is difficult to ensure even a conscientious aspiring transformational leader will know how to act to bring about desired outcomes.

Transformational Leadership Theory of Practice

A great divide appears to exist between theory and practice in general, and the paradigm of educational leadership seems particularly susceptible to this chasm. Often times, it is as though theory holds a privileged position, and, as Fulwiler (1996) points out, this can cause difficulties when theory is drawn upon to inform practice. Fulwiler (1996) writes, “The academic, supporting the traditional research paradigm, asks the whys of sound practice, whereas the professional, referring to the lower status service dimension, asks the practical how questions.” Indeed, it seems that such an “information gap” exists (Argyris & Schon, 1974) between the theory and practice of Bass’ and Burns’ transformational leadership framework. That is, the theory lacks “a complete description of the concrete performance” (Argyris & Schon, 1974, p. 13) a transformational leader needs to do to be effective.

To that end, the next portion of this paper proposes a theory of transformational leadership practice. Argyris & Schon (1974) define a theory of practice as “a set of interrelated theories of action that specify for the situation of the practice the actions that will, under the relevant assumptions, yield intended consequences” (p. 6). In Bourdieu’s (1977) conceptualization of theory of practice, he states that practice is determined by what is practical to with respect to specific contexts; in fact, context is a paramount consideration. The specific context for the theories of action I propose is that the teacher and leader find themselves using an evaluation system they have little power to resist. Each theory of action is stated in the “if..., then....” format Argyris and Schon (1974) model in their work. Taken together, the theories of action will form a theory of transformational practice. While there will necessarily be some overlapping between the theories of action, such as with the effects of encouragement theory and certain aspects of moral reflection, the resulting theory of practice will offer a cogent set of actions that identifies concrete actions of authentic transformational leadership. I chose encouragement theory, moral reflection, and RDT because close examination places concepts from these areas at the heart of transformational leadership, although I do not believe they have been specifically identified as such before.

Theory of Action: Encouragement

If leaders practice the skills of encouragement theory, then they will provide Idealized Influence (II), Inspirational Motivation (IM), Intellectual Stimulation (IS), and Individualized Consideration (IC), increasing self-efficacy in followers--and thus be transformative leaders.

But what is authentic *encouragement*? Because the word “encouragement” is used commonly in everyday discourse, it is necessary to make an important distinction at this point. Encouragement, as described by psychologists Dinkmeyer and Dreikurs (1963) in their classic work *Encouraging children to learn*, is a process by which confidence is instilled in people so that they may feel valued, effectual, and empowered to make substantial contributions for the betterment of themselves and others. To be sure, encouragement is not to be confused with praise, which is much more common in our society (Dinkmeyer & Dreikurs, 1963; Kegan & Lahey, 2001; Kohn, 1999). Praise can be quite detrimental in supervisor-to-subordinate relationships because it tends to focus on the individual’s worth as person rather than a specific action performed by the person (Dinkmeyer & Dreikurs, 1963; Kegan & Lahey, 2001; Kohn, 1999). Indeed, as Dinkmeyer and Dreikurs (1963) point out, the person lauded improperly for an outcome will worry whether he is able to reproduce the praised achievement, and feels anxious that he will be devalued personally if he is unable to do so. Furthermore, praise, the attainment of which can become habit-forming, can cause people to avoid the risk-taking necessary in creativity and innovation as people repeat tried and true behaviors likely to earn praise (Kohn, 1999).

To illustrate these ideas, think of teachers who receive financial rewards and are lauded as good educators because all their students received a “proficient” rating on the latest standardized exam. Would these teachers risk these accolades to examine their practice constantly, ever seeking to learn and grow, continually making innovative changes to improve the learning experiences of their students? The answer seems to be that they would most likely be interested in preserving the status quo that brought praise

in the first place (Kohn, 1999), thus, relying on single-loop learning. To realize an alternative, let us return to our discussion of authentic encouragement.

Encouragement, in the theoretical sense posited by Adler (1956) and later crystallized by Dinkmeyer and Dreikurs (1963), consists of specific skills that can be performed to make another person feel valued, believed in, self-confident, recognized for effort, and subjectively regarded (Dinkmeyer & Dreikurs, 1963). The specific skills that bring about encouragement have been identified in the literature as active, empathetic listening, communicating respect, valuing strengths and assets, generating optimism, focusing on efforts and progress, and employing a sense of humor (Adler, 1956; Carlson & Slavik, 1997; Dinkmeyer, 1972; Dinkmeyer & Losoncy, 1996; Dinkmeyer, Dinkmeyer & Sperry, 1987; Dreikurs, 1967; Mosak & Maniacci, 1998; Watts, 2000).

Whether to help counteract negative messages educators may receive within local contexts, in the new evaluation framework itself, or in the national popular media (with the major release of the anti-public teacher film *Waiting for Superman* serving as just one recent example), transformational leadership could be reinvigorated by making its relationship with encouragement theory more explicit. Consistent with the four pillars of transformational leadership (II, IM, IS, IC), encouragement theory offers specific behaviors to inform and reemphasize transformational leadership behaviors in practice.

Adding a column of more specific behaviors to unpack the descriptions Bass and Riggio (2006) provide in their theoretical framework illustrate the value of drawing on encouragement theory to guide the theory of practice of transformational leadership. A discussion about the suggested theories of action with respect to the transformational leadership framework follows the chart.

Table 3

Theory of Action: Encouragement

Transformational Leadership Component	Bass' (2006) Descriptors	Concrete Actions from Encouragement Theory (Dinkmeyer & Dreikurs, 1963; Dinkmeyer & Losoncy, 1996).
Idealized Influence (II)	Leaders are role models for followers and are respected, admired, and trusted.	<p>Model and suggest ways to get a job done. Don't dictate.</p> <p>Attentive, empathetic listening: Give full attention to the speaker. Make eye-contact. Relax body posture. Ask for clarification when necessary. Check with speaker that you have understood message accurately. Pay attention to non-verbal clues. Try to understand feelings of speaker; avoid judgments. Do not preach command, criticize, or offer a diagnosis.</p> <p>Bonding: Emphasize common ground with others, even when disagreeing. Find similarities. Favor the word "we" over "I." Start responses to another with "and" instead of "but." Try to approximate follower's body language and pace of speech.</p> <p>Respect: Show belief in the worth and potential of another by supporting effort and risk-taking without offering judgment. Offer constructive feedback and assistance as needed. Avoid fault finding, but remind followers of their strengths and plan with followers ways to build on them.</p>
Inspirational Motivation (IM)	Leaders inspire followers by providing meaning and challenge in their followers work.	<p>Recognize efforts and contributions of followers, not just end results. Set goals collaboratively. Hold people responsible for their tasks, but offer support and constructive feedback. Never blame or find fault. Try to consider interests and strengths when delegating assignments.</p> <p>Set high standards but offer assistance to reach them.</p> <p>Convey a sense of enthusiasm; it's infectious. Smile, speak, walk, and listen to convey a sense of enthusiasm.</p>
Intellectual Stimulation (IS)	Leaders question their followers' assumptions, reframe problems, and	<p>Secure environment and encouraging dialogue: Leaders stimulate innovation and creativity by presenting challenges while promoting a non-threatening atmosphere that emphasizes cooperation rather than competition. Effort is recognized and welcomed, not just success. Faith in eventual success is clearly communicated. All ideas are seriously regarded, and no one is judged, criticized, or punished</p>

	stimulate innovation and creativity.	for their sincere efforts. Mistakes are regarded as an opportunity to learn. Because of this atmosphere, leaders can question followers' ideas; leaders and followers cooperate to find best solutions.
Individual Consideration (IC)	Leaders individually support their followers and personalize their learning by teaching and coaching.	Uniqueness: Skilled leaders know that all people are unique and have different skill sets, interests, strengths and weaknesses and perceptions. Leaders must take the time to get to know all the unique characteristics of each follower and tailor support and coaching activities accordingly. In addition, leaders can get to understand their followers better by the theories of action in the first row above (II).

By unpacking Bass' suggestions further, I believe a transformational leader who genuinely *encourages* will be in a better position to bring about the four identified goals. For example, Bass describes Idealized Influence (II) as followers' respect, admiration, and trust of their leader, who they look up to as a role model. However, Bass and Riggio (2006) do not tell leaders how to bring about this perception in their followers, but encouragement theory does. Indeed, leaders who listen attentively and without judgment, try to understand followers' viewpoints, demonstrate true respect, and emphasize commonalities are bound to be admired, respected, and trusted by their followers. With such humanistic leadership concerns, it seems likely that the leader is destined to be the yardstick against which other leaders are measured and what a future leader aspires to be. Furthermore, the concept Inspirational Motivation (IM) is also developed by encouragement theory. With its underpinnings in Adler's (1956) conceptualization of *social interest* and its concern with human motivations (which states that humans are fundamentally motivated by their desire to contribute meaningfully for the betterment of

themselves and others), encouragement theory shows us —as explicated in the chart above—*how* leaders can motivate those they lead.

As discussed earlier, and further supported above by encouragement theory, it follows that a secure, non-threatening environment is more conducive to creativity and innovation than an atmosphere that is threatening, punitive, and results focused, a possible interpretation of the new evaluation framework which should not be allowed to coagulate. Instead, by using an encouragement theory of action, leaders can create a secure inner environment for their teachers. In Adler's (1956) seminal work in individual psychology, further developed by later encouragement theorists, he posited that environments do not determine a person's attitudes and consequent behavior, but rather, one's subjective perception of the environment becomes one's attitude and behavior-shaping reality. Thus, to counteract negative effects that the perception of Theory X supervision brings, leaders can establish an alternate environment to promote self-confident, empowered, and effectual teachers. While teachers would ultimately still be accountable under the new evaluation framework, of course, transformational leadership, with an explicit theory of practice could help teachers meet externally-imposed goals while working in an environment more pleasant, humane, and conducive to high-performance.

Theory of Action: Moral Reflection

If leaders practice a moral reflective model, then they will provide Idealized Influence (II), Inspirational Motivation (IM), Intellectual Stimulation (IS), and Individualized Consideration (IC) for their followers.

Birmingham (2004) described her conception of moral reflection (she prefers the Greek term, *phronesis*) as

a paradigm of reflection that explicitly synthesizes varied perspectives of reflection into a coherent model grounded on the ancient conception of virtue. Previous conceptions of reflection have considered its moral implications and connections but have stopped short of claiming that reflection is essentially of moral value. This model identifies reflection with the classical moral virtue *phronesis* by merging contemporary work on reflection in teaching with philosophical work on *phronesis*.

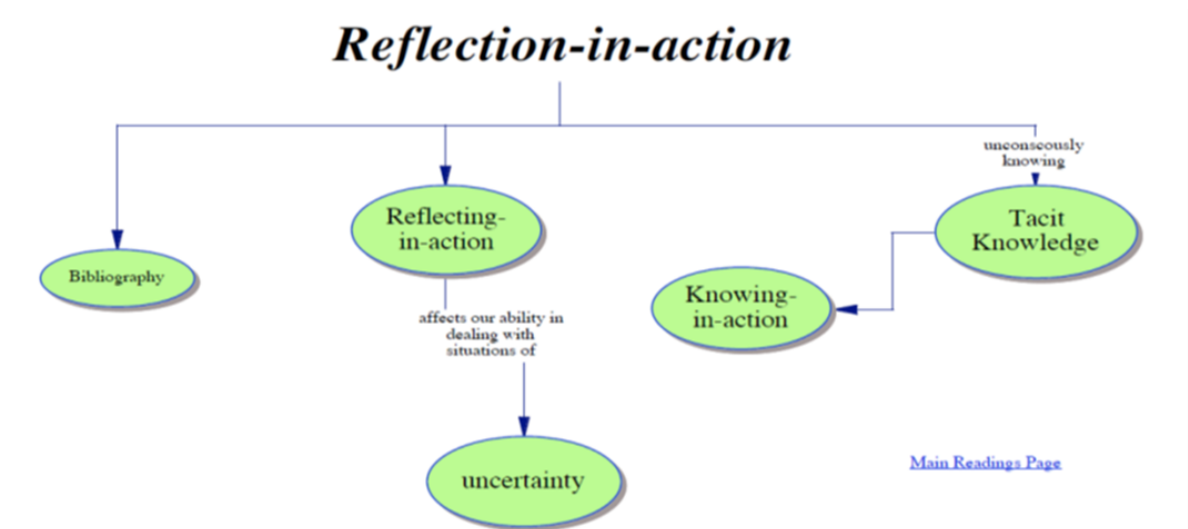
Birmingham's (2004) paradigm of reflection further develops transformational leadership. Although reflection has commonly been reduced in practice to mean a cognitive activity where one thinks about prior activity and one's response to a specific situation, Birmingham (2004) argues that authentic reflection is actually composed of what Schon (1983) called knowing-in-action and reflection-in-action. It should not be confused with reflection-on-action, which is part of the reflective practice, but not the whole process.

Before exploring Birmingham's model, it is necessary to discuss Schon's conception of reflection (1983) upon which Birmingham freely draws. *Knowing-in-action* means the tacit knowledge people use to respond in a given situation; it is intuitive action spontaneously taken (Schon, 1983). It is the "kind of knowing inherent in intelligent action"; indeed, "the know-how is *in* the action" (Schon, 1983, p. 50, emphasis in the original). But what if the situation offers the unexpected? That is when practitioners think about what they are doing as they are doing it, which Schon calls reflection-in action. As Elmore (2005) explained, reflection-in-action means reflecting on, analyzing, understanding, and adjusting to the demands of a situation in real time. As Schon (1983) himself puts it, the basic concept of reflection-in-action can be captured by colloquialisms such as "thinking on your feet," "keeping your wits about you," and

“learning by doing” (p. 54). It is how professionals deal with uncertainty as a situation unfolds.

Clarke (2002) offers a diagram conceptualizing reflection-in-action. As shown below, Clarke sees reflection-in-action as being composed of bibliography (or research and theory in one’s schema), reflecting-in-action itself (the real-time aspect mentioned by Elmore), and tacit knowledge (unconscious knowledge which converts to knowing-in-action).

Figure 2: Reflection in Action (Clarke, 2002)



Germane to our understanding of reflective practice is Argyris and Schon’s (1974) concept of single and double-loop learning. In his *Notes on theories of action*, Elmore (2005 p.1) explains that:

Single-loop learning is where individuals respond to events in their environment in a cumulative way over time, responding to each event, placing that event in some kind of schema, and conditioning their response to the next event based on their experience with prior events of the same or similar type. Double-loop learning occurs when individuals not only respond cumulatively to the events they face, but they also reflect on the process by which they learn from those events.

Thus, to learn more fully from experience is to engage in double-loop learning. It is to reflect critically not only on how one responded to a situation, but on what one learned from one's interaction with the situation as well as questioning the assumptions under which the action occurs. Let us return to an earlier point, for an example of double-loop learning. If teachers in a particular school all lack enthusiasm, creativity, and motivation, the assumption may well be that the teachers are to blame for their poor attitudes and lack of effort. However, school leaders would be well advised to question this assumption by examining their own leadership to ensure they are doing all they can to bring out the best in every teacher in their charge. To be sure, double-loop learning suggests a deeper reflective process as opposed to the conditioning process of single-loop learning. While reflection-in-action can result in single or double-loop learning, focused reflection-on-action at a later time affords the opportunity to engage in double-loop learning.

In her model of moral reflection, Birmingham (2004) synthesizes Schon's (1983) foundational works and grounds it in the classical concept of virtue (Aristotle, trans. 1999). She argues that true reflective practice is essentially moral because, as Aristotle (trans. 1999) defines moral, means "a state of grasping the truth, involving reason, concerned with action about things that are good or bad for a human being" (p.89). Thus, reflective practice is moral practice, and with its power to fortify people, it can sustain them even in environments laden with external impositions of anxiety, fear, meaninglessness, and hostility (Birmingham, 2004). As Wilson (2008) observes, leaders, in addition to the organization itself and stakeholders as a whole, have the *moral obligation* [emphasis mine] to serve the best interests of those they lead. And while *encouragement* and relational dialectics theory are also essentially moral components of

the iteration of transformational leadership practice I propose, moral reflection, with its explicit grounding in Aristotelian *virtue*, most gives the leader the opportunity to reflect on the responsibilities and moral implications inherent in power holding. In addition, both leader and their followers can reflect on essential questions such as their personal values, beliefs, and conflicts and the effect of these on their practice. Such reflection can help leader and follower develop virtue, a quality of being that might fortify leaders and followers navigate the challenging educational climate of today.

Indeed, as Birmingham (2004) points out, virtue is located in the person performing moral actions, not in the actions themselves, because the person chooses the actions. As a result, authentic reflective practice is not just an activity but a state of being. Moral reflection, ultimately, is a way of being that can lead to virtuous action which in turn builds virtue (Birmingham, 2004). As Aristotle (trans. 1999) taught, the way to gain virtue is to imitate a virtuous person. Conceivably, a school can build a culture of virtue, one person at a time; skilled transformational leaders who include moral reflection in their theory of practice might influence the virtue-mindedness of a school dramatically. In a supervisory role in a Theory X environment, then, the importance of moral reflection cannot be overstated. In my view, a learning community driven to obtain what is just and good for its members will flourish much more than one simply jumping through hoops imposed by external forces.

As we will see, Burns (1978) himself has shown a preoccupation with the moral aspect of transformational leadership, which he interprets as satisfying “the fundamental wants and needs, aspirations, and values” of the followers; this is addressed through moral reflection. If we assume teachers need security, community, and affirmation in

their professional lives--all of which are threatened by educational reform-- transformational leadership informed by moral reflection can satisfy these authentic needs. Like a transformational leadership theory of practice informed by encouragement theory, perhaps moral reflection can redefine how teachers feel about and go about their work. Moreover, perhaps moral reflection can reemphasize the caring aspect of teaching, an all-too-forgotten aspect in this age of accountability and standardization. Finally, moral reflection “recognizes the importance of community in school settings” (Birmingham, 2004, p. 321). Unfortunately, the notion of community is increasingly in jeopardy today as teachers are set up in competitive ways with reform measures allowing students’ test scores to be published, seniority rights abolished, and performance incentivized.

Again, unpacking Bass and Riggio’s (2006) theoretical framework illustrates the value of drawing on moral reflection to inform the theory of action of transformational leadership.

Table 4

Theory of Action: Moral Reflection

Transformational Leadership Component	Bass’s (2006) Descriptors	Concrete action drawn from model of moral reflection (Argyris&Schon,1974;Birmingham,2004; Sergiovanni & Starratt, 2002;Schon, 1983)
Idealized Influence (II)	Leaders are role models for followers and are respected, admired, and trusted.	Model reflective practice process for teachers. Lessons can be observed and then reflected on together. Point out how teachers are already displaying knowing- in-action and reflection in action; give examples you have observed in their practice. Emphasize and model the moral aspect of reflective practice.
Internal Motivation (IM)	Leaders inspire followers by	Establish with teachers a community of reflective practice where problems, ideas, and

	providing meaning and challenge in their followers' work.	possible solutions are shared. Ask teachers to observe each other and reflect together.
Intellectual Stimulation (IS)	Leaders question their followers' assumptions, reframe problems, and stimulate innovation and creativity.	<p>Ask teachers to explain the choices they made in observed lessons and how tacit knowledge influenced their choices. Ask how they might approach a situation differently.</p> <p>Discuss the accuracy of teacher's tacit knowledge, after making the tacit knowledge and assumptions explicit.</p> <p>Suggest other possibilities in responding to situations.</p> <p>Explain single and double-loop learning; encourage its use to examine assumptions and reframe situations.</p>
Individual Consideration (IC)	Leaders individually support their followers and personalize their learning by teaching and coaching.	<p>Show teachers how cooperative, shared reflection helps teachers arrive at solutions to difficulties in their practice.</p> <p>Suggest possibilities based on past practice. However, stock answers and suggestions won't do; explore each problem with teachers as the unique entity it is and assess feasibility of past solutions to current problems.</p> <p>Emphasize that answers often come from within oneself as a result of reflection.</p> <p>Treat each teacher as "a universe of one" (Schon, 1983, p. 105). Always be mindful of the preferred learning style, temperament, schema, personality, etc. of the individual with whom you are interacting; one size leadership does not fit all. Consider what teachers' practice means to <i>them</i>.</p>

As shown with the earlier example of encouragement theory, Bass' (2006)

generalizations do not offer concrete suggestions to bring about transformational

leadership behaviors, which might cause difficulties in practice. However, as the chart

above shows, the moral model of reflection can guide leaders in achieving the desired

outcomes of transformational leadership. For example, leaders who favor reflection and

shared meaning-making with teachers about an observed lesson rather than sitting in the

back of the classroom with a checklist and a frown are likely to earn their teachers' admiration, respect, and trust once the teacher learns through repeated visits that this is truly the leader's protocol for conducting observations. Indeed, it follows that a leader who establishes a norm of reflective practice rather than a "gotcha" mentality will do much to foster learning, creativity, and inspiration. For one thing, teachers gain feelings of efficacy when they learn that many of the solutions to their problems may reside within themselves and are revealed through reflection. Moreover, by modeling how reflective practice is a manifestation of virtue and caring, transformational leaders can serve as role models demonstrating how all members of a school community can interact with each other in a community of shared problem solving, learning, and cooperation. Through this model of reflection, leaders can transform their schools, now sites of accountability, external measures, and reform anxiety, into true communities conducive to learning for all its members.

Theory of Action: Relational Dialectics Theory (RDT)

If a leader practices interpersonal communication in ways consistent with relational dialectics theory (RDT), then the effects of encouragement theory, moral reflection, and transformational leadership practice itself will be greatly enhanced.

Because of the primary importance of relationships inherent in encouragement theory, moral reflection, and transformational leadership theory itself, more attention must be paid to how interpersonal contact is conducted between leaders and followers. To be sure, the effectiveness of the two major theories I have advanced to inform and develop transformational leadership depend greatly on the leaders' ability to communicate clearly and justly with their followers. The purpose of this section is to give

an overview of relational dialectics theory (Baxter & Montgomery, 1996) as well as to advocate its usefulness as a foundation for the successful commencement and maintenance of encouraging and reflective relationships.

As Turner and West (2011) explain, RDT is a heuristic theory that operates under the assumption that all relationships contain tensions and contradictions; this fundamental assumption aids in both the analysis and performance of communicative relationships. According to Baxter (2011), relational dialectics theory (Baxter & Montgomery, 1996), grounded in the work of Bakhtin, is defined as follows:

“Relational dialectics theory is a theory of relational meaning making—that is, how the meanings surrounding individual and relationship identities are constructed through language use. . . The core premise of dialogically grounded RDT is that meanings are wrought from the struggle of competing, often contradictory, discourses. . . RDT’s core theoretical principle is that meaning in the moment is not simply the result of isolated, unitary discourses but instead is the result of the interplay of competing discourses.” (p. 2)

As Baxter (2011) posits, meaning is contextual and is formed in dialogue rather than in isolation. This is a useful caveat to leaders, and should give pause when one is tempted to think that the person with the most authority has the only opinion that matters. Certainly, a norm of shared meaning-making through dialogue between leaders and those they serve, as opposed to top-down commands, would do much to promote an atmosphere of trust, inspiration, creativity, and security (or in transformational leadership theory, II, IM, IS, IC). In conference with teachers after an observation, leaders employing RDT will know to disable as much as possible the inherent power differentials of the situation. The leader, instead of being behind a large desk, for instance, can symbolically communicate equality by sitting with the teacher in attitude of learning, and demonstrate genuine interest in the teacher’s view point. In addition to their physical positioning, of course,

leaders can promote democracy in their interrelationships in other ways, as discussed next.

Between leaders and followers, interpersonal communication is fraught with opportunities for missteps that can cause much damage in their relationship. Deetz (1992) identified six discursive moves that end discussion in order to marginalize and even silence the alternative discourse; these moves strongly reinforce power differentials between leader and follower. They are listed below along with examples that may occur between leaders and followers in a school setting on any given day:

Table 5

Deetz's Six Discursive Moves

1. Disqualification: when another's point of view is disqualified because of presumed lack of expertise or loss of right to speak. An example would be if a principal dismissed an administrative suggestion by a teacher because the teacher had no background in running a school.
2. Naturalization: occurs when a particular discourse is presented as a given, unchangeable, and "the way things are." An example would be if a teacher questions the feasibility of a policy and is told by her supervisor, "That's the way we do school around here."
3. Neutralization: when speakers selectively use (or misuse) opinions or findings from presumed authorities, often out of context, to support their discursive position. An example would be if a supervisor tells a teacher that former Secretary of Education Margaret Spellings says class size doesn't affect student achievement when the teacher asks if a class size reduction is possible.
4. Topical Avoidance: when an authority declares that a topic is not open for discussion because it would be inappropriate to discuss it. An example would be if a teacher went to a supervisor with suspicions that certain student football players were abusing steroids, and the teacher was told "that's not what we're talking about right now."
5. Subjectification: when a speaker declares a right to a personal opinion in such a way as to stop further discussion. For example, if a teacher tells a supervisor that the supervisors' observation seemed unduly harsh and the teacher would like to discuss it, but is told "I saw what I saw; don't tell me how to do my job," that is subjectification.

6. Pacification: when competing discourses are declared unimportant for the sake of avoiding conflict. An example would be if a supervisor tells a teacher who questions a poor evaluation report and offers evidence to the contrary, “Look, let’s just agree to disagree. We’re never going to agree on this point. Let’s just put it behind us and move on.”

It seems self-evident that teachers who are not marginalized or silenced by their leaders will be far more likely to experience transformation through leadership informed by encouragement theory and moral reflection. In fact, a healthy, equal, and vibrant dialectical relationship is absolutely critical for quality transformational leadership to occur. Encouragement theory and moral reflection each rely on the assumption that power differentials between leaders and followers are deemphasized. For example, how can leaders engage in authentic double-loop learning with followers if leaders do not realize they are communicating threat, superiority, and close-mindedness, even if this is inadvertent? By improving leaders’ cognizance of the conflicts and contradictions inherent in their communications with their followers, the effects of transformational leadership will likely be strengthened. To be sure, helping leaders to make wiser communicative choices based on RDT’s heuristic capabilities will allow them to practice the other components, such as encouragement theory and moral reflection more effectively. In addition, it follows that the transformational leader who avoids the destructive discursive actions Deetz (1992) identifies will be much more inclined to achieve *Idealized Influence*, *Inspirational Motivation*, *Intellectual Stimulation*, and *Individual Consideration*.

Other concepts in RDT can contribute to transformational leadership's further development as well. Another important implication for an enhanced dialectical relationship between leaders and followers is that skillful communication can help alleviate the anxiety, fear, frustrations, and alienation teachers may feel as externally mandated reform measures are imposed upon their practice. Bakhtin (1984) observed that we live in a world of the words of others. Indeed, we are shaped by these voices (Starratt, 2004); we are created by what we are told (Foucault, 1984). In a Theory X environment, where educators can feel subject to a constant barrage of negative messages about their commitment, ability, motivation, and professionalism, I believe that leaders need to position themselves as deliverers of what Starratt (2004) calls "an affirming dialogue about a common journey we are pursuing in our attempts to have the learning process of young people and the work of teachers and administrators connect more fully and more efficaciously to the human project" (p. 267). Moreover, leaders should choose their words with care so as not to merely repeat the buzz words of education reform. Words like "accountability," "standards-based," "data-driven," "transparency," and the like, have been used so indiscriminately, it seems to me, as to be stripped of much of their meaning. Instead, leaders must be sensitive to Bakhtin's (1992) contention that language is always laden with the intentions of others. When listeners become dulled by educational jargon which they sense is disingenuous and agenda-driven, they tend to tune out. Therefore, it would probably facilitate meaningful and powerful communication within a learning community if it made sense of its experiences collectively, as Weick suggests (1995). According to Weick (1995), people develop a collective, shared understanding when they make meaning together in a social process. Whether with a

group of teachers at a meeting or one-on-one in a shared reflection, leaders who seek to make meaningful communication with their followers, rather than carrying messages from external forces in coded language, can help teachers return more fully to the matter of teaching students in ways that transform both.

Although it seems obvious Burns and Bass would recognize the importance of skilled, just, and meaningful interpersonal communication between transformational leaders and their followers, they do not offer strategies to bring such communication about. The relational dialectics theory can be used as a tool to understand better the phenomenon of communication between parties. In fact, a working knowledge of RDT can help transformational leaders avoid the many pitfalls possible in interpersonal communication, thus strengthening the relationships upon which effective leadership rests. To be sure, transformational leaders must always be sensitive to the many power differentials in a school setting (Starratt, 2004), and interpersonal communication is an area in which power conflicts can become salient. Leaders must be ever vigilant about promoting democracy in their dealings with followers (Dinkmeyer & Dreikurs, 1963), and relational dialectical theory can help towards this end. I propose RDT as a way to help leaders facilitate effective and just communication, and maintain it is the bedrock on which my iteration of transformational leadership theory stands.

Transformational Leadership and Self-Efficacy

Burns (1978) stated that his measurement of leadership effectiveness assesses “the degree of production of intended effects” (22). He identifies these intended effects as “*intent* (a function of motivation) and *capacity* (a function of power base)” (p.22, italics and parentheses in original). In other words, the ultimate goal of transformational

leadership is to produce followers with enhanced motivation and capacity to perform at a heightened level. For Bass (2006), the effects of transformational leadership can be realized through employees who express high levels of satisfaction and performance.

The intended effects of transformational leadership on its followers can be subsumed under the category self-efficacy. Bandura (1994) defines self-efficacy as follows:

Perceived self-efficacy is defined as people's beliefs about their capabilities to produce designated levels of performance that exercise influence over events that affect their lives. Self-efficacy beliefs determine how people feel, think, motivate themselves and behave. . . . A strong sense of efficacy enhances human accomplishment and personal well-being in many ways. People with high assurance in their capabilities approach difficult tasks as challenges to be mastered rather than as threats to be avoided. (pp.71-72)

Bandura (1994) identifies four sources of self-efficacy. Self-efficacy is developed in people through overcoming adversity, vicariously experiencing success through role models, and social persuasion, or being convinced by another that one is able to accomplish the task at hand. Finally, people monitor their emotional states to determine if they are up to a particular challenge. For example, a person experiencing a lot of stress will not feel confident about their abilities to perform well in a situation.

As I hope is clear, my iteration of transformational leadership theory, with its explicit emphasis on leadership actions drawn from encouragement theory, moral reflection, and relational dialectics theory, should foster self-efficacy in its followers, true to the intent of transformational leadership, and desperately needed by teachers who may perceive Theory X working environment. For example, Bandura's (1994) first source of self-efficacy is overcoming adversity. People increase their beliefs in their own capacity when they struggle with a challenge and ultimately succeed. Leaders who support their

charges with the skills explicated earlier would be equipped to help followers persevere by acknowledging improvement and establishing a non-threatening environment. His second source of self-efficacy is through role modeling, processes explicitly addressed in encouragement theory and moral reflection. Bandura's concept of social persuasion is clearly linked to encouragement theory; and stress might well be reduced through encouragement, moral reflection, and RDT.

Indeed, it is my intention that the present offering of transformational leadership theory of practice (TLTP) will serve as a wellspring of self-efficacy. Taken together, the three theories of action discussed earlier form my theory of practice, "a set of interrelated theories of action" (Argyris & Schon, 1974, p. 6). I have taken the liberty to collapse the three theories of action to build a single theory of practice:

If school leaders and supervisors practice transformational leadership techniques informed by explicit actions drawn from encouragement theory, moral reflection, and RDT, then teachers' self-efficacy will be enhanced.

Summary of Literature Review

The literature review identified different working environments and suggested that different environments influence working relationships between leaders and followers and can affect performance. Moreover, the origins of transformational leadership were outlined, and its relationship to a positive, Theory Y working environment was shown. As a result, the benefits of a positive working climate and a viable way to promote that environment, that is, through transformational leadership were revealed.

The transformational leadership literature also showed that while it has been correlated with enhanced performance, and often manifests as increased self-efficacy in

followers, its functional mechanisms have been poorly understood; Bass and Riggio (2006) have called for explanations as to how transformational leadership works in practice. By deconstructing the theoretical framework of transformational leadership and making connections to concepts found in the psychological, organizational, and communications literature, several concrete behaviors were identified as promoting transformational leadership. As a result, a transformational leadership theory of practice was able to be synthesized which both informs transformational leadership theory and can be used as an analytical frame to assess the alignment between transformational leadership theory and the educator evaluation framework.

CHAPTER III

RESEARCH METHODS

Introduction

This chapter explains the research design guiding the present qualitative study that seeks to better understand the alignment of the educator evaluation policy with transformational leadership theory as a written policy and as understood by educators. First, the research questions guiding the study are presented. Then the methods by which the research questions will be addressed are described.

Research Questions

The overarching research question for this study is: How is the Massachusetts Educator Evaluation Policy, as written and as understood by teachers and leaders, aligned with transformational leadership theory?

Sub-questions related to this question are:

- 1) What opportunities exist for transformational leadership in the educator evaluation policy, as written and as understood by teachers and leaders?
- 2) What challenges to transformational leadership exist in the educator evaluation policy, as written and as understood by teachers and leaders?

Method

In an attempt to better understand how the Massachusetts Educator Evaluation Framework policy is aligned with transformational leadership, several steps were undertaken. Although many designs were considered, the one ultimately decided upon seemed best suited to the exploration of my research questions, a critical consideration when choosing research methods (Rossman & Rallis, 2003). At this early stage in the

newly regulated teacher evaluation policy (it will be implemented on a limited basis, typically with voluntary evaluands in all Massachusetts public schools beginning with the 2013-2014 school year), the following multi-method design seemed to facilitate a study about a topic that I believe is important, feasible, and worthy of my passion (Rossman & Rallis, 2003).

First, as is explicated in Chapter II, conceptual frameworks from psychology (e.g. Dinkmeyer and Dreikurs, 1963), organizational theory (e.g. Schon, 1983), and communication theory (e.g. Deetz, 1993) were drawn upon and an original theory of transformational leadership was developed. With the underpinnings and inner-mechanisms of transformational leadership revealed, an analysis of the Massachusetts Educator Evaluation Regulations (603 CMR 35.00) and how the policy is understood by educators with respect to the transformational leadership theory of practice (TLTP) model could be conducted. As Wolcott (1994) observed, adopting an analytical framework to guide a study provides structure on the analysis and interpretation of data. This study uses both the analytic frameworks of the aforementioned TLTP and discourse analysis frameworks offered by Gee (2005, 2011), Fairclough (1992) and van Dijk (2011). By comparing insights gleaned from the data after a discursive analysis to the TLTP Framework, deeper understanding with respect the research questions could be realized.

Fieldwork and Trainings

To support my analysis in this study, I undertook fieldwork that deeply immersed me in the teacher evaluation system itself. In an effort to enhance my understanding of the evaluation framework in a balanced way, I wished to see the policy as presented by

various stakeholders with differing perspectives. Therefore, as a participant-observer, I attended and took extensive field notes during many meetings on the topic at different sites in various settings within western Massachusetts during the 2012-2013 school year including those hosted by teachers, union representatives, and district personnel as required by the state. In addition, I participated in a state-endorsed series of full-day workshops, “Educator Evaluation Training for School Leaders,” offered at a state university. These six-part workshops satisfied the Massachusetts Department of Elementary and Secondary Education’s training requirements and qualified me as an educator evaluator. Indeed, I believe that the training and field work activities greatly enhanced my competence to conduct the study while exposing biases I may have had while entering it, both crucial factors in an ethical, trustworthy, rigorous inquiry project (Rallis & Rossman, 2012).

Discursive Document Analysis

Although this project will be informed further by field work experiences, trainings, and semi-structured interviews, the educator evaluation regulations as written is a crucial component of this study and these primary documents are investigated in terms of the policy’s alignment with the transformational leadership analytical framework previously discussed.

Document analysis is an overall research design where a document is systematically analyzed based on the purpose and research questions of the study (Bowen, 2009; Rallis & Rossman, 2012). Discourse analysis (Gee, 2005, 2011) was the specific approach used to analyze document CMR 35.00. As Gee recommended, the analysis involved looking at salient portions of CMR 35.00 (in the interest of

transparency, CMR 35.00 is presented at the end of this study in Appendix A) and

subjecting these data to application of discursive “tools.” As Gee (2011) explained:

A tool for discourse analysis is a specific question to ask of data. Each question makes the [researcher] look quite closely at the details of language in an oral or written communication. Each question also makes the reader tie these details to what speakers or writers mean, intend, and seek to do and accomplish in the world by the way in which they have used language (p.6).

The researcher chooses the tools for analysis; some tools will bring about greater insight than others depending upon the data and the purposes of the study. Below are representative tools used for the analysis in this study (Gee, 2011).

1. The Deixis Tool: Asks how the definite article is used and what effect this has on meaning.
2. The Fill-In Tool: Asks what knowledge, assumptions, and inferences receivers need to bring in order to receive the communication in the intended manner.
3. The Frame Problem Tool: Asks about the context during text production.
4. The Integration Tool: Asks how sentences are constructed (e.g. use of clauses) to articulate particular perspectives.
5. The Context is Reflexive Tool: Asks how what the sender is communicating is being helped to reproduce and exist through time and space.
6. The Significance Building Tool: Asks how words and grammatical devices are being used to heighten or diminish importance of certain things and not others.
7. The Activities Building Tool: Asks what activities or practices the communication is being built or enacted.

In addition to using Gee's explicit guidance in conducting the discursive analysis of the documents, I drew on Elo and Kyngas's (2007, p. 110) and Bowen's (2009) descriptions of the document analysis process to organize the analysis of this study. The recommended steps are presented below:

Qualitative Document Analysis Process

1. Preparation Phase: This phase starts with choosing the unit of analysis, the 'who' or the 'what' that is being studied. For the document textual analysis portion of this project, the Massachusetts Educator Evaluation Regulations (CMR 35.00) is the unit being analyzed because it is the foundation of all related documents such as evaluation rubrics and is not subject to local input. This phase included sustained reading and re-reading CMR 35.00 and the Transformational Leadership Theory of Practice to gain deep familiarity with the data. In the preparation phase, the researcher moves from data acclimation to deep immersion.
2. Organizing Phase: In this step, the data are intensively studied through close reading to identify patterns, phrases, and words that become the categories for analysis. In a reflexive, iterative, back-and forth process, conceptual codes drawn from the TLTP (i.e. II, Idealized Influence: role modeling and identification; IM, Inspirational Motivation: recognition of progress and *encouragement*) were checked repeatedly against the educator evaluation policy's written content and more importantly, the deeper meanings that can be derived from the content through discourse analysis described above. As Gee (2005, 2011) recommended, questions about language, constructed realities, and activities promoted by language were continuously asked and investigated through careful attention to

language's structure, details and word meanings that suggest social, cultural, and political ideologies of particular people. Indeed, the unquestioned assumptions of one group of people may not gibe with the ideologies of another, such as policy writers and a framework that might enhance the policy's chance of success. In this study, emerging themes and assumptions discovered from the educator evaluator regulations after application of discursive tools were compared to concepts in the transformational leadership analytical model. To aid in the processing of the data for analysis, as Elo & Kyngas (2007) suggest, I used matrices to facilitate analysis. The chart below is a representative sample of the ones I used data analysis.

Table 6

Analytical Matrix

CMR 35.00 Language-in - use	Imbedded Assumption	TLTP Language-in- use	Imbedded Assumption	Alignment?
Language-in-use from the educator evaluation regulations (CMR 35.00) and participant interviews are presented here.	Themes and assumptions that emerge from the language after application of discursive tools are presented here.	Language from the TLTP such as "Intellectual Stimulation" (IS): (secure environment, dialogical relationship) presented here.	Themes and assumptions of the TLTP are presented here.	After comparison of themes and assumptions of CMR 35.00 and the TLTO, alignment (or lack thereof)between the two are presented here.

In addition, codes were also developed to account for misalignment of the evaluation framework to transformational leadership theory. For example, the code NII (No

Idealized Influence) could be used to designate items in the evaluation framework that do not seem to support a leader's encouraging influence on a teacher, according to the transformational leadership analytical framework.

3. Reporting Phase: The results of the study are presented and data are interpreted to craft matrices and narratives that try to understand the significance and meanings of findings with respect to the TLTP. In essence, interpretation moves beyond the specifics of the data "to a higher level of integration and synthesis" (Rossman & Rallis, 2003, p. 287). Ultimately, the alignment (or lack thereof) of the educator evaluation framework with transformational leadership theory is shown; implications and recommendations based on these findings are offered.

Why Document Analysis?

Although document analysis has been rather neglected as a research method, the practice can lead to fresh insights and new knowledge about a given policy (Guba & Lincoln, 1981; Altheide, 1987; Bowen, 2009). In fact, as Guba and Lincoln point out, document analysis may not seem as "exciting and glamorous" (p. 231) as some other research methods, but this method offers several advantages that should not be ignored.

Table 7

Rationale for Document Analysis

(Adapted from Guba & Lincoln, 1981, pp. 232-234)

- 1) Documents are a stable, rich, and rewarding resource. They can provide a fertile base for inquiry and support subsequent investigations.
- 2) Documents can provide an investigator with a defense against allegations and misinterpretations.

- 3) Documents are a natural source of information. The documents arise from, exist in, and provide rich information about a given context.
- 4) Document analysis is an extremely transparent form of research, as public documents are available for all to scrutinize.
- 5) Documents analysis is a non-reactive and unobtrusive research method that promotes objectivity in a study.
- 6) Document analysis helps the inquirer to maintain interest in the context and helps ensure the research is not removed from its social, historical, and political frame of reference.

Furthermore, Merriam (2001) notes that documents can be a preferred data source with the potential to reveal exceptional insights about the topic under study. Weiss (1998), too, points out the advantages inherent in document analysis, including the contemporaneity of the document with the phenomenon of interest. Because the Massachusetts Teacher Evaluation Regulations are in their infancy at the time of this study, and because a primary focus of this study is to see whether the teacher evaluation policy as written aligns with transformational leadership, I believe document analysis is an optimal research method to use as part of this investigation.

Semi-Structured Interviews

To answer other research questions of this study, such as how the educator evaluation policy is being understood by educators, it was necessary to conduct interviews of teachers and educational leaders. *Semi-structured* was the interview method chosen for this study. This technique is attractive because it uses questions that are open-ended, non-directional, and evolving (Seidman, 2006). Additionally, few questions are

planned in advance so that the conversation can proceed organically and the participant's own thoughts are emphasized; follow-up questions depend upon responses of the participants (Creswell, 1998; Seidman, 2006). Each interview was audio recorded (all participants agreed to be recorded) and transcribed, all ethical considerations were meticulously protected, and all interviewees were informed of their rights as a research participant.

Interview Questions (sample)

1. What do you understand to be the goals of the educator evaluation policy?
2. How will the evaluation policy impact your teaching (or leadership)?
3. How will the policy shape your relationships with your teachers (or leaders)?
4. (For leaders) Can you provide specific examples of how you interact (or expect to interact) with teachers you supervise under the policy?
5. (For teachers) Can you provide specific examples of how you interact (or expect to interact) with supervisors under the policy?

In keeping with qualitative interviewing protocol, follow-up questions beginning with “how,” instead of “why” were preferred to facilitate the participant's reconstruction of their experiences and responses (Seidman, 2006). Leading questions (questions that try to elicit a specific response) or indications of my own perspectives were avoided. Phrases such as “Please say more about that” or “I’m not sure I’m getting it yet” were used as necessary to elicit richer responses from participants (Rossman & Rallis, 2003).

The Participants

Qualitative inquiry uses purposeful sampling, which means that participants are mindfully selected to provide data (Creswell 1998; Patton, 2002; Rossman & Rallis,

2003). To that end, I interviewed eight participants employed as educators who have been exposed to the phenomenon under investigation, that is, the Massachusetts Educator Evaluation Framework policy. Furthermore, because a goal of this study is to investigate how teachers and their leaders understand the evaluation policy, it was important that the participants had at least received state-mandated trainings about the usage and implications of the policy. In addition, all the evaluators interviewed in this study are trained and certified evaluators.

Eight interviewees are within the recommended range of participants for an in-depth interviewing format with a single researcher (Creswell, 1998; Rossman & Rallis, 2003). Although this study originally planned to use six participants to supplement document textual analysis, interviews continued until the point of *saturation*, the point at which nothing significant was learned from the collection of more data (Glaser & Strauss, 1967). As a result, the number of participants increased from six to eight and a richer data set for this study was accomplished. See APPENDIX C for more participant information.

Analysis of Interviews

Rossman and Rallis (2003) defined analysis as immersion in and knowledge of one's data and then organizing the data into categories and, finally, themes. The first step in analysis of the interviews is the accurate transcription of the recorded responses of each participant. Once word-processed copies of each of the interviewee's responses were completed, each interview was read and re-read so that the interview data were thoroughly familiar. Subsequently, particularly interesting and topically relevant areas were marked on the transcriptions. Responses were tightened by eliminating extraneous,

digressive matter while ever seeking to remain faithful to the participant's own voice and sense-making (Seidman, 2006).

Next, each interview was again closely read several times, drawing on discursive techniques advocated by Gee (2005, 2011). Notes and analytic memos containing participants' elaborations to follow-up questions were consulted. With a stance of humility and naiveté (Rossman and Rallis, 2003), I ventured into theme development. Data were grouped into new, more refined categories by coding data with colored pencils to corresponding color-coded thematic categories (Rossman and Rallis, 2003). For example, the thematic statement "Teachers feel discouraged when they fail to get feedback" would be colored blue. Then, combing through the participants' narratives, other sections of the text were likewise colored blue where the theme seemed to emerge again; this process was repeated for multiple themes. Eventually, themes were adjusted with redundancies eliminated by removing them or collapsing similar themes into a slightly broader one. Finally, after themes were compared and contrasted with the descriptions of concrete actions that comprise transformational leadership theory to assess how each are aligned, a better understanding about what sense educators make of the evaluation framework was achieved.

Steps to Ensure Trustworthiness

In their classic work *Naturalistic Inquiry*, Lincoln and Guba (1985) define "trustworthiness" as a quality of an inquiry that is "worth paying attention to, worth taking account of" (p. 290). They then go on to state how trustworthiness in a study can be achieved. In my study, I have made every decision and acted accordingly to ensure a rigorous, ethical, trustworthy study, and discuss here the features of my study in relation

to Lincoln and Guba's (1985) widely accepted notions of trustworthiness. For clarity and conciseness, I use the terms below as presented by Rossman & Rallis (2003).

Triangulation means that a study uses multiple sources of data, multiple points in time, or a variety of methods to ensure that the complexity of a subject is adequately addressed (Rossman & Rallis, 2003, p. 69). In my study, I have participated in various field experiences at different points in time that presented the topic under study from several different perspectives. In addition, I synthesized a transformational leadership theory of practice drawing on many different sources which guides my analysis of the teacher evaluation framework. Finally, the document analysis presented in this study is supplemented with interviews with key stakeholders of the educator evaluation policy. Thus, I believe that the triangulation of data in this study greatly enhances its level of credibility and rigor. *Prolonged engagement* can be understood as spending sufficient time in a setting to gain more than a superficial understanding of a study's topic (Rossman & Rallis, 2003, p. 69). By participating in a series of state-endorsed educator evaluation trainings and becoming certified as an educator evaluator, as well as various other field work experiences, I have become intimately familiar with the educator evaluation regulations that are the focus of this study. *Member checking* means checking with other participants in a setting to make sure the investigator's perceptions about events are accurate (Rossman & Rallis, 2003, p. 69). In the case of my study, I frequently checked with co-participants of my field experiences and interviews to be sure my notes were accurate, and member checking was also useful to extend understanding through discussion with participants. As Rossman and Rallis (2003, p. 69) recommend, I also

made use of *critical friends* for feedback, guidance, and the sharing of ideas over the course of the study.

Myself as Researcher

It has been an important part of the qualitative tradition that one reflects on one's relationship to the research project, and that this is made explicit in the study (e.g. Guba & Lincoln, 1981; Peshkin, 1988; Rossman & Rallis, 2003). Just as instruments used to conduct other forms of research must be explained, so must the qualitative inquirer, as a "human instrument" (Guba & Lincoln, 1981, p. 129), reveal relevant background information and assumptions so readers can determine for themselves the level of trustworthiness of the study.

As noted earlier in this paper, I am a recent school administrator who has served previously as a secondary English Language Arts teacher and department head in both urban and rural settings. As such, I have come to know the value of authentic transformational leadership both as a follower and a leader. Unfortunately, I have also witnessed and experienced the debilitating effects of more authoritarian leadership as both a follower and during my own misguided attempts at leadership earlier in my career. I come to this study as someone personally and professionally invested as an emerging leader who wants to pursue increased educational leadership responsibilities and wants to lead others in an effective, transformational, and morally responsible way. As my experiences have suggested and the literature reviewed in this paper supports, transformational leadership in education seems to offer a promising way to help bring about needed positive change in our schools, and it is the type leadership I am interested in practicing, informing, and propagating.

On the other hand, the Massachusetts Framework for Educator Evaluation states that it, too, is concerned with bringing about positive change, in part, by promoting “growth and development amongst leaders and teachers” (Massachusetts Framework for Evaluation of Educators). My interest in this project developed because as both a teacher and a leader with a foot in both worlds, I noticed the din of cognitive dissonance as the two worlds collided. Inhabitants of one world see the teacher evaluation as a tool to weaken organized labor for teachers and to winnow out and unfairly eliminate teachers who do not measure up to standards that do not reflect the heart of quality teaching. Denizens of the other world view the new evaluation system as a tool to improve teaching and learning. These ontologies co-exist in an unhealthy tension that is drawn ever tighter by misunderstandings of, and visceral responses to, a new policy that seems to be poorly understood by teachers and their leaders alike. By trying to get past emotional or political reactions to the Massachusetts Framework for Teacher Evaluation, and doing a theory-based investigation of the framework’s compatibility with a leadership theory that is positively correlated with outcomes the evaluation system seeks to achieve, seems like a potentially useful area of exploration with implications for my own practice and possibly for other teacher-leader relationships in a high-stakes accountability context.

CHAPTER IV

FINDINGS

Introduction

In this chapter, the Educator Evaluation Regulations (CMR 35.00) are investigated to try to understand if their influence in the world of educators aligns with that proposed by the Transformational Leadership Theory of Practice. The method of discourse analysis used in this study draws heavily from the work of James Paul Gee (2005, 2011) and is guided by his framework for systematic discourse inquiry; the work of discourse theorists Fairclough (1992) and van Dijk (2011) also were helpful resources for this study. In addition, an analytical matrix tool was developed to facilitate an assessment of the regulations with respect to their alignment or lack thereof with the TLTP. Following the discourse analysis, analyses of semi-structured interviews with educators are offered. To see how the participating educators in this study understand the evaluation regulations—and how those understandings align with the Transformational Leadership Theory of Practice—the matrix just mentioned, with a couple of minor alterations, also guides these analyses. Finally, three (3) tables of the findings of this study are presented in this chapter. Discussion and recommendations based on these findings are offered in Chapter V.

Introduction to Discourse Analysis

Gee asserted (2005) that written and spoken language “create[s] or build[s] the world of activities, identities, and institutions” (Gee, 2005, p. 10). Discourse analysis is a research method concerned with inquiry into how language is used in these constructed worlds to influence perceptions about salience, activities, normalcy, and the distribution

of power and status (Gee, 2005). After much consideration and piloting of other approaches, this study ultimately used a non-linear, integrated application of Gee's theory and methods (as Gee himself favored), while recognizing that sustained focus on specific areas seemed to yield the most insightful findings. Thus, the sections below contain the interweaving of multiple analytical tools to examine such discursive elements as structure, intertextuality, and heteroglossia, for example. To begin, the investigation examines the structure of CMR 35.00 and explains how that structure may contribute to meaning.

CMR 35.00: A Structural Analysis

Because human beings are remarkably adept at pattern recognition, the structure of a document provides clear cues indicating how the document intends to be understood (Gee, 2005). In CMR 35.00 (see Appendix A), a reader might first note its formal structure, and that the document reads as a legal document that the reader might have experienced in other contexts such as a contract or other binding judgments or agreements. Indeed, CMR 35.00, aided by the meanings associated with similarly structured documents, seems to be intended to be taken very seriously as the official framework under which educators conduct their practice. With bold-faced sections such as "Scope, Purpose, and Authority," "Definitions," and "Standards and Indicators of Effective Teaching Practice," and multiple bullet points, numbered conditions, and clarifications under each heading, CMR 35.00 appears to represent a position of unquestionable authority, privileging the content of the regulations over competing beliefs and about teaching and learning. Indeed, the regulations constitute the one authoritative framework by which the quality of public education and its educators are

evaluated. Differing professional opinions of individual and even groups of educators that feel underrepresented in the regulations can seem marginalized as a result. As with most regulations, the tone and structure of CMR35.00 underscores often the fact that it is the law and in this case, represents the discourse of education that has prevailed.

Furthermore, the structure of individual sentences in the document also contributes to its overall effect. For example, a typically structured sentence (in this case, a sentence that aligns with the TLTP, as we will see later in this chapter) in CMR 35.00 appears as follows:

“The Educator Plan shall include, but is not limited to, at least one goal related to the improvement of practice, one goal for the improvement for student learning, an action plan with benchmarks for goals established in the Plan, and the evaluator’s final assessment of the educator’s attainment of the goals.”

As is typical with regulatory writing, many linguistic features work together to signify to its audience that this sentence means to be understood as the “social language,” or a language used to represent a particular discourse (Gee, 2005), of authority. For example, the declarative sentence above employs a subject set off by capital letters to denote significance (“Educator Plan,”) a parenthetical clause (“but is not limited to,”) that provides further clarification of conditions, the use of the formal word “shall,” references to measurable outcomes for which the educator is responsible (“benchmarks,” “assessment,”) and the use of the definite article to achieve psychological distance (“the improvement,” “the evaluator’s,” “the educator’s”). Comprised as it is by many other structurally similar sentences, document CMR 35.00 has about it an air of infallibility, authority, and permanence. Perhaps these features are designed to induce cooperation of

educators who have seen many changes over the course of their careers and have taken the position that “this too shall pass.”

Another discursive technique, called *naturalization*, (Fairclough, 1992) is used in CMR 35.00 (as in many regulations) to enhance the regulation’s credibility and facilitate implementation. In order to achieve naturalization, the document contains information strategically positioned to make new ideas seem more familiar, thus making the policy changes seem natural or at least less radical in the minds of policy consumers (Fairclough, 1992).

For example, let us consider the beginning of the document that states:

- (1) 603 CMR 35.00 is adopted pursuant to authority granted to the Board of Elementary and Secondary Education in M.G.L. c.69. . .
- (2) The specific purposes of evaluation under M.G.L. c.71...and 603 CMR 35.00 are:
 - a. To promote student learning, growth, and achievement by providing educators with feedback for improvement, enhanced opportunities for professional growth, and clear structures for accountability, and
 - b. To provide a record of facts and assessments for personnel decisions.
- (3) The purpose of 603 CMR 35.00 is to ensure that every school committee has a system to enhance the professionalism and accountability of teachers and administrators that will enable them to assist all students to perform at high levels...
- (4) The regulations on evaluation of educators, 603 CMR 35.00, constitute the principles of evaluation established by the Board of Elementary and Secondary Education.

Item one (1) above contains information which is a given; public education in Massachusetts has long been the purview of the state’s Board of Elementary and Secondary Education. According to Fairclough (1992), the initial positioning of the familiar information allows for the new information to be presented with a conveyance of order and logic later. In this case, the purposes of the evaluation (“to promote student learning, growth, and achievement” as a result of “providing educators with feedback for improvement, enhanced opportunities for professional growth and clear structures for

accountability”) follows a statement about the familiar authority of the state’s governing body. Closely following, however, is the contested notion (e.g. Lea, 2011; Ravitch, 2011; Apple in Watkins, 2012; see Chapter II of this study for a review of contesting literature) that educators can heighten student achievement if they are held “accountable” (i.e. answerable) for measurable student “achievement” (i.e. demonstrated through such means as standardized test scores, as we learn later in CMR 35.00) is linked strategically with known information to feel obvious and natural to the reader. Furthermore, item three (3) above appears to function primarily as an echo of the information unit above it; item two (2) states that “the “purposes of evaluation” are “student learning, growth and achievement”...by educator “accountability” while three (3) repeats that “the purpose” of the evaluation is to enhance educator “accountability” for “student performance at high levels”(p.1). Through repetition, items two (2) and three (3) above work together to present an implied causal assertion as if it were fact: holding teachers “accountable” for student learning results in student achievement at high levels for all students. Finally, item four (4) serves to remind readers of the Board’s familiar authority to regulate public education. Closing with a comforting full-circle ending (the portion ending as it began) with contested and potentially volatile new assertions sandwiched between, CMR 35.00 seems to use naturalization effectively. Through these discursive maneuvers, naturalization allows for the privileging of the policy authors’ ideology (Fairclough, 1992). Couched in its structural logic and air of familiarity to minimize resistance from its stakeholders (Gee, 2005), the document represents the new law of the educational land and seems structured to be understood as such by all policy consumers. Let us now look at how the language of CMR 35.00 supports its impact and particular meanings.

Privileging through Language-in-Use

In terms of our discourse analysis, more can be learned from CMR 35.00.

Following Gee's (2005) notion of the "building tasks" of language as well as the inquiry model he proposes to perform a thorough discourse analysis, let us look at the "language-in-use" of the document to see how it seeks to construct the working world of educators.

Prominently appearing very early in the regulations is the stated purpose of CMR 35.00 according to its authors: "to enhance the professionalism and accountability of teachers and administrators that will enable them to assist all students to perform at high levels." By the salient positioning and repetition of these words throughout the document, it seems that the document makes educator "professionalism" and "accountability" a primary concern. Furthermore, in an attempt to monitor educators performing at "high levels" and "professionally," the regulations inform educators that they are subject to:

"a rigorous and comprehensive evaluation process for teachers and administrators, consistent with these principles, to assure effective teaching and administrative leadership in the commonwealth's public schools."

As a result, the regulations construct a particular view of what is significant with respect to teaching and educators. Such a construct has been called a "figured world," or discourse model, that is, a simplified worldview held by members of a society about what is "right" or "normal"; but discourse models are not unanimous and are often contested among society's members (Gee, 2011, P. 169). As can be seen in the sample above, the discourse model of CMR 35.00 seems to be that if educators ("teachers and administrative leadership") are held to higher standards of "accountability", improved outcomes will be certain or "assured." Moreover, words situated within the regulations can be understood as having certain connotations that emphasize what is valued in this

educational discourse model. For example, “rigorous” is synonymous with “challenging,” (Merriam-Webster’s online dictionary, n.d.) but perhaps the word “rigorous” was preferred because of its overtones of “austerity” and “inflexibility,” concepts the framers of the regulations may have wished to impress on educators who, in their view, needed to be held more “accountable” or responsible for student outcomes than they had been previously.

Furthermore, according to discourse theory, such an echoing of language from other contexts can be explained by the phenomenon known as *intertextuality*, that is, references or allusions borrowed from different narratives (Gee, 2005). About the same time that the regulations were developed, words having to do with “austerity” and “accountability” probably had an increasing appeal to many and seemed to be ubiquitous in our public lexicon (e.g. Ryan, 2012). During the aftermath of the prolonged and severe financial recession following the 2007-2008 Global Financial Crisis, there were increased calls for educational reform as some questioned the outcomes of public education in general and its educators in particular (Ravitch, 2011; Apple in Watkins, 2012). The language-in-use of CMR 35.00 may reflect this.

Indeed, CMR 35.00, with its “rigorous” “accountability” measures in place seems to hold that “effective teaching and administrative leadership” will be “assured” through its “comprehensive” or “complete,” “exhaustive,” or “inclusive” (Merriam-Webster’s online dictionary, n.d.) evaluation process, grounded in its prescribed standards and indicators. To underscore the significance of the evaluation process, CMR 35.00 seems to prefer robust language (i.e. “rigorous” instead of “challenging,” “accountability” instead of “responsibility,” “comprehensive” instead of “multi-faceted,” “evaluation” instead of

“performance review,” “assured” instead of “made certain”) as its language-in-use. By considering dichotomies created by juxtaposing near synonyms such as rigorous/challenging and accountability/responsibility, we seem to get closer to realizing the spirit and philosophical leanings of CMR 35.00 as well as how the regulations are intended to be perceived by its consumers (van Dijk, 2012). For example, the definitions, in order, are “very strict and demanding”/ “difficult in an interesting or enjoyable way,” and “required to explain actions or decisions to someone”/ “having the job or duty of dealing with or taking care of something or someone”(Merriam-Webster’s online dictionary, n.d.). The first definitions for each pair of words are from the language of CMR 35.00; the second are alternative words that seem to align more closely with transformational leadership and its emphasis on internal motivation of workers. “Strict” has connotations of obeying externally imposed rules while “difficult in an interesting or enjoyable way” implies that one would be internally motivated, through one’s own enjoyment, to continue a difficult task. Likewise, “required to explain actions or decisions to someone” focuses on external validation while “having the job or duty of dealing with or taking care of something or someone” seems to have much more of a feeling of doing something because one wants to (e.g. “taking care”), not because one is answerable to someone in authority. Indeed, the definitions of “challenging” and “responsible” fall squarely under transformational leadership notions such as Idealized Influence (i.e. mutual caring for resulting in mutual respect, trust, admiration), Inspirational Motivation (i.e. fostering internal motivation through taking care of someone else), Intellectual Stimulation (i.e. internally motivating to meet difficult but interesting challenges), and Individual Consideration (i.e. personalized support and

coaching of followers—“taking care,” rather than emphasis on “strictness” or answerability).

Nevertheless, the language preferred by CMR 35.00 seems to confidently and vigorously offer an anxious society a strong, measurable solution to educational shortcomings. Kohn (1999) asserted that due to a long history of social conditioning, most in American society prefer that which seems observable, quantifiable, and measurable. Likewise, Kohn (1999) argues that American society is “uneasy with intangibles and unscientific abstractions such as a sense of well-being or an intrinsic motivation to learn” (p.10). In contrast, transformational leadership theory (and therefore the TLTP) has more to do with “intangibles and abstractions” to bring about “intrinsic motivation” and a state of well-being than it does with that which is “quantifiable” or “measurable.” Indeed, transformational leadership theory suggests that leaders can only create and nurture the conditions in the workplace, through such leadership behaviors as Idealized Influence (II; i.e. modeling and encouraging mutual respect, admiration, and trust between leader and followers), Inspirational Motivation (IM; i.e. inspiration through meaningful and challenging work), Intellectual Stimulation, (IS; i.e. secure environment for innovation and creativity) and Individual Consideration, (IC; i.e. each worker treated as a “universe of one”) to encourage human beings to internally optimize their performance.

As does the TLTP, CMR 35.00 proposes to provide educators with a framework in which to make their practice more effective so that students can optimize their learning. As has been stated earlier, this study is grounded on the assumption that the

goals of CMR 35.00 can be reached more effectively according to its alignment with the TLTP. Let us continue to look at the document from that lens now.

CMR 35.00: Standards and Indicators

The “Standards and Indicators of Effective Practice” of CMR 35.00 seems intended to guide educators towards reaching the overarching goal of the regulations, enhanced teaching and learning. The “Standards and Indicators of effective Practice is divided into sections entitled “Curriculum, Planning and Assessment,” “Teaching All Students,” “Family and Community Engagement,” and “Professional Culture.”

According to the Massachusetts Department of Elementary and Secondary Education, then, these four areas are what matters in education, and educators will be evaluated according to these criteria. However, the “language-in-use” that the document uses to explicate its conceptualizations of quality teaching may be problematic for various reasons including ambiguity and the accuracy of the assumptions of its particular discourse model. As we will see, although some areas of the regulations seem to be in alignment with the TLTP, other misalignments of CMR 35.00 with the TLTP may instead function as a barrier to the improvements in “student, learning, growth, and achievement” through “enhanced opportunities for professional growth” that the regulations were developed to bring about. Let us look closely at the document’s language-in-use to illustrate.

For example, the regulations’ Curriculum and Planning indicator (a) states:

[The effective educator]: knows the subject matter well, has a good grasp of child development and how students learn, and designs effective and rigorous standards-based units of instruction consisting of well-structured lessons with measurable outcomes.

Here, the language-in-use seems ambiguous; it is unclear what knowing the “subject matter well” or having “a good grasp of child development and how students learn” means. Neither “adequate subject matter knowledge” nor a “good grasp” are defined in the document (see *Definitions* section), nor are there criteria in the document to guide educators. One may wonder: how are these indicators displayed in practice? Furthermore, one wonders whether a leader conducting an evaluation can be expected to evaluate the knowledge of an educator in all subject areas; a supervisor may not be able to provide a fair assessment of an educator’s work (i.e. assessing an educator’s “rigorous standards-based units of instruction” and “well-structured lessons”) without background in a particular academic discipline. Another concern is that an educator’s “good grasp” of child development and learning may manifest itself differently according to context, such as in a school with a high-risk population. However, consideration of inadequate earlier schooling or socio-economic disadvantages does not appear on CMR 35.00. Apparent through the document’s series of declarative clauses beginning with verbs (i.e. “knows,” “has,” “designs,” see sample above), every teacher seems expected to demonstrate the same indicators in every situation.

Indeed, through its generalizations, the document’s discourse model seems to suggest that all children develop and learn similarly (e.g. the teacher “has a good grasp of child development and how students learn”) regardless of possibly different external factors. A sentence revealing a more contextually sensitive discourse model might say something like, “The teacher demonstrates a command of child development and learning appropriate for her students.” However, the document’s figured world as written seems to make no distinction between the schooling of an underprivileged child of a more affluent

peer, for example. While it might be argued that other regulations and agencies attempt to address inequalities in order to put students on more equal footing, an important point nevertheless remains: Without allowances for context, the regulations do not promote in interactions with students important features of the TLTP that leaders would optimally use in interactions with teachers. The lack of contextualization as seen above, for example, seems to miss an opportunity to harness a critical tool from the TLTP, that is, Individualized Consideration (IC). As we have seen in Chapter II, IC is a contextually-aware interaction between people where the leader (or in this case, the teacher) is cognizant of individual strengths, weaknesses, challenges, perceptions, etc.) While indicator (a) as written does not make Individual Consideration impossible to accomplish, it does not seem to account for context, and would therefore be more difficult. The edited indicator offered above seems to capture the concept of context more emphatically and is more in line with the TLTP.

In addition, throughout the document, the word “all,” meaning “every member or part of” appears more frequently than the word “each,” meaning “every one of two or more people or things considered separately”(Merriam-Webster’s online dictionary, n.d.). The difference seems subtle at first but it is critically important in terms of the TLTP. For example, let us look at sample phrases taken from CMR 35.00:

- “assist all students to perform at high levels”
- “engage all students”
- “promotes the learning and growth of all students”
- “[Supervisors] ensure that all teachers...”

As can be seen from the above phrases, substituting the word “each” in place of “all” would seem to make an important shift more in line with the notion of Individual

Consideration presented in the TLTP. Indeed, *each* student seems to suggest that students are considered individually rather than as a group; the same seems true when *each* teacher is considered instead of a group of teachers as a whole. Similar to the word choices considered earlier, preferring the word “each” instead of “all” by definition more strongly reflects the transformational leadership theory of Individual Consideration and may change the way the regulations are interpreted by its consumers (van Dijk, 2012).

Other questions arise about significant areas of CMR 35.00. Again, this time under its “Teaching All Students” standard, the document’s “language-in-use” appears to inadequately consider possible meanings defining the behaviors. For example, the “Instruction indicator” under this standard states that:

[The proficient educator] uses instructional practices that reflect high expectations regarding content and quality of effort and work, engage all students, and are personalized to accommodate diverse learning styles, needs, interests, and levels of readiness.

However, due to “situated meanings” holding “high expectations” could mean quite different things in different situations; words have ranges of potential meanings grounded in context and held by specific sociocultural groups of people (Gee, 2005). According to discourse analysis theory, the phrase “high expectations” could bring about very different mental representations to different educators working with different groups of students (van Dijk, 2012); the discourse model to which one belongs has much to do with one’s perception of meaning. In a particular discourse model, one where all teachers and students alike have equal access to resources, for example, expecting educators to have “high expectations” concerning their students’ “content and quality of effort and work” seems to make a lot of sense. Educators in this model would rightly be expected to access

with their students teaching and learning of the highest caliber. However, other classrooms in different schools might be challenged to focus on learning due to issues stemming from students' poverty, neglect, or psychological issues (see Lea, 2011; Ravitch, 2011; Apple in Watkins, 2012). In a discourse model that acknowledges non-scholastic matters that powerfully affect learning, it would be understood that educators would sometimes be expecting much to have their students attempt to learn even part of the lesson's objective. The point is that the indicator cited above, as might be said of all the standards and indicators, seem to privilege a discourse model that may not be accurately depict the learning barriers faced by many public schools on a daily basis (see Lea, 2011; Ravitch, 2011; Apple in Watkins, 2012). Moreover, although the indicator does make an allowance for students' "level of readiness," the way it is positioned as the last clause in the sentence makes it far less powerful, almost an afterthought, that seems to get lost in the overall statement (Gee, 2005). Indeed, if consideration of their students' "levels of readiness" were to guide an educator's work, the indicator might more effectively be written as:

Being sure to consider students' levels of readiness while delivering personalized instruction that accommodates diverse learning styles, needs, and interests, [The proficient educator] uses instructional practices that reflect high expectations regarding content and quality of effort and work.

In the proposed indicator above, the students' "levels of readiness" is emphasized by occupying the first position in the sentence (Gee, 2005). Writing the indicator this way seems to more clearly convey that "high expectations" are dependent upon a student's "level of readiness" and place more emphasis on differentiated instruction ("personalized instruction that accommodates diverse learning styles, needs and interests"). This

example, which could similarly be shown in any sentence of the regulations, illustrates Gee's (2005) assertion that language is used to construct certain discourse models. The former indicator, appearing on CMR 35.00, seems to construct a world where "high expectations" is roughly equivalent to setting a high bar, or high standards of excellence, and that is the "correct" or "normal" mode (Gee, 2005) under which a public school operates. In the latter example, the proposed indicator seems to acknowledge wide variances in what different students might be expected know or be able to do but more saliently offers strategies to try to engage these students in learning (emphasizing the consideration of students' levels of readiness and differentiated instruction).

Possible inaccuracies in assumed discourse models are reflected elsewhere in CMR 35.00. For example, the Family and Community Engagement Standard states that

[The proficient educator] welcomes and encourages every family to become active participants in their child's learning...Collaborates with families...engages in regular, two-way, and culturally proficient communication.

Such expectations seem to reveal a discourse model where the assumption is that all children live in traditional family structures ("every family," as opposed to foster care or residential facilities, for example), and that members of a school community speak a common language (engaging in "proficient communication") and have the resources necessary (such as time, money, and energy) to be able to partner energetically in their child's education. CMR 35.00 makes no allowances for circumstances inconsistent with its figured world and the educator is expected to "collaborate with families" and "engage in regular, two-way communication" with families even if the family is homeless, undocumented and suspicious of "the system" and its workers, doesn't speak English, or is just plain disinterested in their child's schooling.

3 Standards, Indicators, and the TLTP

Judging by the linguistic samples just cited, the discourse model represented in CMR 35.00 primarily seems to assume that children and educators alike enjoy equal access to resources, opportunity, familial support, and many other benefits. That the document does not seem to recognize or account for contextual differences--let alone the possible existence of socio-economic inequalities--significant enough to mention may be a fruitful topic of study to be examined from a social justice standpoint; that is beyond the scope of the present investigation. However, examining the apparent assumptions of CMR 35.00 in accordance with the objectives of this study is critical. As Gee (2005) pointed out, discourse analysis reveals assumptions made by those who espouse particular discourses; by questioning assumptions, we arrive at deeper levels of meaning. In CMR 35.00, assumptions are made that may be problematic in terms of the TLTP. Let us examine these embedded assumptions while considering the TLTP framework.

As we have seen above, one salient assumption voiced in the document is that educators need to be externally evaluated by a “rigorous and comprehensive evaluation system” if they are to improve their practice. Such an assumption is incongruent with that of the TLTP. Instead, that framework suggests that the conditions are set through “Idealized Influence” (e.g. role modeling), “Inspirational Motivation” (e.g. providing meaning and challenge in work) “Intellectual Stimulation”(e.g. stimulating innovation and creativity) and “Individualized Consideration” (e.g. personalized teaching and coaching) for people to motivate themselves to enhance performance (Bass & Riggio, 2006). While the regulations do mention feedback as a means to “professional growth,” more emphasis seems to be placed on the evaluation system, serving as a “clear structure

for accountability” and “a record of facts and assessments for personnel decisions.” Indeed, most of CMR 35.00 seems to be about accountability of educators with respect to measurable performance and what constitutes ratings of “Exemplary,” “Proficient,” “Needs improvement,” and “Unsatisfactory” (see Appendix A). Much less emphasized on the document is the notion of supervisor-to-educator feedback; it does appear, however, under the “Standards and Indicators of Effective Administrative Leadership Practice”:

- (d) Evaluation indicator: Provides effective and timely supervision and evaluation in alignment with state regulations and contract provisions including:
 - 2. Makes frequent unannounced visits to classrooms and gives targeted and constructive feedback to teachers.

On its surface, “targeted, constructive feedback” can be very much aligned with the TLTP, squarely satisfying conditions of Idealized Influence (e.g. suggestions, recognizing knowing-in-action), Inspirational Motivation (e.g. recognition of effort), Intellectual Stimulation (e.g. non-judgmental disposition), and Individual Consideration (e.g. shared reflection, relational dialectics). As we have seen in Chapter II, the research suggests that skillfully given feedback has excellent potential to help educators reach new heights from a supportive, encouraging supervisor (e.g. Bass & Riggio, 2006; Burns, 1978).

Closer analysis reveals, however, that potential problems exist with indicator two (2) above and the TLTP. First of all, the statement “frequent, unannounced visits to classrooms” for the purpose of giving educators “targeted and constructive feedback” is *heteroglossic*, or double-voiced (Gee, 2005). As Gee explains, heteroglossic discourse “interweaves two different *who’s-doing-whats* together” (2005, p. 37). Document 35.00

creates through its discourse model featuring a leader who is both an authoritative supervisor (an “evidence” seeking superior who keeps a “record of facts” for “personnel decisions”) and, at the same time, an encouraging coach (“ who gives targeted,” “constructive feedback”). Indeed, at times on CMR 35.00, the “language enacts a different *who* seeking to accomplish a different *what*” (Gee, 2005, p. 37). As Gee (2005) asserted, such heteroglossic utterances indicates the history of the discourse, in this case, probably competing voices as the regulations were drafted. On the one hand, certain individuals probably believed in the value of feedback, while others felt the need for increased accountability. Feedback and accountability are not mutually exclusive, but the heteroglossic juxtaposition of these two visions of a supervisor leads to ambiguity and poor definition of a supervisor’s role. Moreover, such unstable language with respect to the role of the supervisor threatens the necessary feelings of trust (e.g. Idealized Influence) that followers must have for their leaders as well as the non-threatening atmosphere of reflection and learning (e.g. Intellectual Stimulation) that is critical to the TLTP. It seems unlikely that an educator who feels vulnerable will expose flaws in her practice in order to work on them with a supervisor who is charged with gathering data partly for the purpose of making employment decisions. From the supervisor’s point of view, it would likely be difficult to effectively coach someone who is being less than candid about needed areas of improvement, making it much harder to build Idealized Influence (fostering mutual respect, admiration and trust) and Individualized Consideration (personalized coaching tailored to meet needed areas of improvement), for example. Thus, the heteroglossic roles of leader and follower may cause disadvantages for both and hinder the possibilities of the TLTP.

Further misalignments with the TLTP seem evident in other activities prescribed by CMR 35.00. For example, the evaluations authorizes supervisors to “assess total job effectiveness and make personnel decisions” while bestowing eligibility for “additional roles, responsibilities and compensation” on educators. These features indicate a behaviorist (see Skinner, 1974) ontological framework because it is based on a system of reward or punishment, a distinctly American scientific contribution (Kohn, 1999). Applied to the workplace, behaviorism was anticipated by Taylor’s *The Principles of Scientific Management*, published in 1911 and influential ever since (Kohn, 1999). Indeed, Taylor’s suggestion that workers be closely monitored and externally motivated seems to be a managerial ideology that appears to underpin certain features of CMR 35.00, such as its emphasis on leaders compiling a “record of facts” to inform “personnel decisions.” As Kohn (1999) has argued:

Proposals to rescue American education, offered by public officials and corporate chieftains (the latter having been permitted a uniquely privileged role in this discussion), are uniformly behavioristic, regardless whether they come from liberal Democrats or conservative Republicans. Politicians may quibble over how much money to spend, or whether to allow public funds to follow students to private schools, but virtually no one challenges the fundamental carrot-and-stick approach to motivation: promise educators pay raises for success or threaten their job security for failure—typically on the basis of their students standardized tests scores—and it is assumed that educational excellence will follow (p. 12).

While behaviorist assumptions have long prevailed in our workplaces and schools, behaviorism is but a particular theory and not the only possible frame under which to work (Kohn, 1999). Some question behaviorist assumptions with a competing assumption which holds that people are thinking, decision-making beings who act with purpose and meaning; they are “not puppet[s] whose behavior is determined by forces beyond [their] control” (Dinkmeyer & Dreikurs, 1963, p. 7). As detailed in Chapter II, transformational

leadership does not hold the behaviorist assumptions inherent in Theory X; that is, human beings are not adequately invested in their work and must be externally motivated to achieve acceptable performance (McGregor, 1960). Instead, transformational leadership is consistent with Theory Y (McGregor, 1960) and its assumption that people naturally wish to perform at high levels and will do so through supportive, encouraging leadership in a non-threatening environment. Transformational leadership tries to provide these conditions for internally driven improvement by providing Idealized Influence (e.g. role modeling trust and respect), Inspirational Motivation (e.g. recognition of effort), and Intellectual Stimulation (e.g. secure, dialogic environment), Individual Consideration (e.g. recognizing uniqueness of employees).

As the literature suggests, external motivation and control does not seem to be an effective, long-lasting motivator for professionals (Kohn, 1999; Glanz, 1995; Sergiovanni & Starratt, 2002). However, CMR 35.00 does try to bring about enhanced “student learning, growth, and achievement” by using such leverage as “evaluations” resulting in “personnel decisions.” Moreover, what the document does not find significant enough to emphasize or mention is revealing as well. For example, as noted earlier, the possibility that a teacher might have to meet a students’ basic needs (Maslow, 1954) before teaching and learning can occur does not seem part of the discourse model of CMR 35.00, nor are the myriad contextual differences (some mentioned above) that are possible in different settings. According to CMR 35.00, then, it appears that educators are externally judged under the assumption that context does not matter; this would not align with the TLTP, especially in terms of its notion of Individualized Consideration. Indeed, many educators believe that context does matter (Lea, 2011; Ravitch, 2011; Apple in Watkins, 2012).

However, because context seems to be ignored or generalized (as signified by phrases such as “all students,” “all teachers,” “all settings”, p.3) in the regulations under which they are evaluated, some educators feel discouragement, anxiety, and helplessness as they go about their work (Berlak, 2011; Kohn, 1999; Pajak, 2001). Such feelings are the opposite of self- efficacy, or the internal belief that one can accomplish a given task (Bandura, 1994) promoted in the TLTP. When followers believe they are being asked to do the impossible, or that their needs have been inadequately considered, these conditions are not catalysts for enhanced performance from the transformational leadership viewpoint (Burns, 1978; Dinkmeyer & Dreikurs, 1963). Nevertheless, despite the document’s apparent misalignments with the TLTP, there is still potential for important alignment that can lead to professional growth and enhanced outcomes, as we will see now.

An Area of Alignment

In the “Professional Culture” standard, the document’s “language-in-use” appears to be in conceptual alignment with the TLTP with respect its expectations of an educator. For example, an indicator from this standard is:

[The proficient educator] demonstrates the capacity to reflect on and improve the educator’s own practice, using informal means as well as meetings with teams and work groups to gather information, analyze data, examine issues, set meaningful goals, and develop new approaches in order to improve teaching and learning.

And, from another standard:

[Leaders must] develop and nurture a culture in which all staff members are reflective about their practice and use student data, current research, best practices and theory to continuously adapt instruction and achieve improved results.

Indeed, the ample attention given to reflection on CMR 35.00 seems to be an area of alignment with two critical components of the TLTP, moral reflection (i.e. Birmingham, 2004) and double-loop learning (Argyris & Schon, 1974). As explicated in Chapter II, moral reflection as described in the TLTP is a Transformational Leadership Theory of Practice that contains components of all the transformational elements: Idealized Influence (II; Leader models reflection and practices co-reflection with followers); Internal Motivation (IM; internal motivation occurs when, through reflection, people realize they reflect-in-action and know-in-action); i.e. “the capacity to reflect on improve the educator’s own practice”; Intellectual Stimulation (IS; through reflection, single and double-loop learning occurs); i.e. “meetings with teams and work groups to gather information, analyze data, examine issues...and develop new approaches to improve teaching and learning,” and Individual Consideration (IC; reflection about uniqueness of others leads to effective teaching and coaching). Because the standards seek to make reflective practice a feature of public education’s culture (“[Leaders must] develop and nurture a culture in which all staff members are reflective”), this aligned standard seems to not only encourage opportunities for reflection to occur, but specifies it must become a cultural component in which teaching and learning is to be delivered. Let us look at this further.

As seen in Chapter II, Moral Reflection is a shared cultural value, not an occasional perfunctory activity. Birmingham (2004) argued that reflection embedded into the fabric of collective practice is “moral;” it is concerned with finding truth and goodness through reason. Deeply reflective moral practice, can create an environment of fortification and sustenance and lessen anxiety, fear, and hostility (Birmingham, 2004). In

such an atmosphere, leaders reflect on the responsibilities and moral implications of holding power, followers reflect on the inherent responsibility and moral implications of being an educator, and both leaders and followers can reflect on their personal values, beliefs, and practice. CMR 35.00 specifies that educators (leaders and followers) not only “demonstrate the capacity to reflect” but contribute to a “culture in which all staff members are reflective.” Therefore, the expectation of CMR 35.00 seems to be that reflection can grow into a pervading norm; this is consistent with the understanding of moral reflection defined in Chapter II. Such practice represents a critical piece of the TLTP that, according to the regulations, will necessarily be part of an educator’s world in Massachusetts.

CMR 35.00 encourages double-loop learning, another critical alignment with the TLTP. For example, from the latter portion of the above example, the regulations stipulate that educators:

use student data, current research, best practices and theory to continuously adapt instruction and achieve improved results.

Thus, educators are invited to revisit their assumptions and adapt their actions accordingly, a practice Argyris and Schon (1974) called double-loop learning. As seen in Chapter II, double-loop learning has important implications and is an important part of the TLTP. In this learning process, one learns from one’s responses to a situation and questions the assumptions that drove those reactions (Elmore, 2005). Having educators reflect on the effectiveness of their instruction based on their students’ data, research, and best practices allows educators to reexamine their situational responses and adjust their assumptions if they feel improvement is warranted. As we have seen, the literature

suggests that double-loop learning can lead to increased self-efficacy, or feelings of competence in the face of adversity because educators feel empowerment when they find answers to difficulties from within (Bandura, 1994). Self-efficacy is a critical part of the TLTP and it seems to be developed by reflective and double-loop learning suggested on this portion of CMR 35.00.

A summary of the findings at this point of the discourse analysis compared with the TLTP appears below.

Table 8
Findings #1

CMR 35.00 Language-in - use	Imbedded Assumption	TLTP Language-in- use	Imbedded Assumption	Alignment?
“Enhance the professional and accountability of teachers and administrators that will enable them to assist all students to perform at high levels.”	Students and teachers have equal access to resources and are responsible for similar performance and outcomes.	Idealized Influence: *Non-judgment *Support Intellectual Stimulation: *Secure environment *Dialogical relationship between leaders and followers	Educators can meet challenges with support and acknowledgement of challenges.	No.
Educator has “a good grasp of child development and how students learn.” “High expectations for all students” (p.3.)	Context does not matter. All children learn the same ways at the same times.	Individual Consideration: *Universe-of-one * Obligation to acknowledge complexity	Teaching and learning are very complex endeavors. This complexity must be acknowledged.	No.
“The specific purposes of	Externally imposed power	Inspirational Motivation:	Psychologically healthy	No.

evaluation under CMR 35.00 are... to provide clear structures for accountability and provide a record of facts and assessments for personnel decisions.”	is necessary to sufficiently motivate workers to reach satisfactory levels of performance (Theory X, see Chapter II).	*Self-accountability. *Feedback for improvement (not as instrument to support termination). Intellectual Stimulation: *non-threatening working environment.	individuals seek to improve their performance and welcome support.	
[The proficient educator] “demonstrates the capacity to reflect on and improve the educator’s own practice, using informal means as well as meetings with teams and work groups to gather information, analyze data, examine issues, set meaningful goals, and develop new approaches in order to improve teaching and learning.”		Individual Consideration: *Goal-setting is personally orientated. Inspirational Stimulation: *Progress is honored, not just attainment. *Working towards goals cooperatively more effective than seeking compliance.	Same as above.	Yes.

Action through Language

Language-in-use enacts activity, and gets others to recognize that specific actions are occurring (Gee, 2005). Furthermore, as is usually the case, the language of document

CMR 35.00 reflects the history that has given rise to it (Gee, 2005). As we have seen in Chapter I, and as was alluded to earlier in this chapter, the public appetite for school improvement, whetted by the aroma of private sector notions of supervision and accountability, was quite strong immediately preceding and during the development of CMR 35.00 (Coulson, 1999; Tooley, 2000). Calls to improve teaching and learning often seemed predicated on the idea that educators need to “wake up and work harder” (Elmore, 2003); apparently obscured were paths to school improvement paved by those who advocated collaborative, dialogic, non-judgmental, and non-punitive interactions between educators and their leaders (Glanz, 2005; Waite, 1995). Instead, CMR seems designed to satisfy the hunger of those mentioned earlier.

Because language-in-use is characteristically reflexive (Gee, 2005), CMR 35.00 both reflects and helps build on the ideology from which it stems. The prevailing belief expressed seems to be that school improvement rests squarely on the shoulders of educators, so it is not surprising that a reductionist view of teaching and learning is apparent at times by the activities enacted by CMR 35.00. The heart of the new evaluation system lays it in its observations, defined in the document as:

a data gathering process that includes notes and judgments made during one or more classroom or worksite visit(s) of any duration by the evaluator and may include examination of artifacts of practice. An observation may occur in person or through video.

The activities suggested here are that evaluators are to visit a “worksite,” (as opposed to a classroom or school) observe for any length of time, conduct an “examination” (instead of review) of any “artifact” (instead of student work or lesson plans) the evaluator chooses; and none of this has to be done in person. Words and phrases like “observation,”

“data gathering,” “notes and judgments,” and “examination of artifacts,” reflect the privileging of positivism (knowledge based on what can be observed) in our society (Kohn, 1999) while at the same time ensuring that positivistic inquiry occurs. However desirable on the surface scientific inquiry may appear, such activity in certain areas of educational management may be in fact detrimental and make school improvement impossible (Glanz, 2005; Goldhamer, 1969; Henry, 1973; Waite, 1995). Because such activity seems invasive, perhaps fostering an atmosphere of distrust and threat, such probing of an educator’s work devalues the humanistic and artistic domains of an educator (Neill, 2003; O’ Day, 2002). Indeed, Glanz (2005) found that inspectional, fault-finding supervision has not been shown to be an effective booster of performance in educators or their students.

Another activity CMR 35.00 reflects and perpetuates is the frequent testing of students. The document states that:

Student performance measures as described in 603 CMR 35.07 (1)(a)(3-5) shall be the basis for determining an educator’s impact on student learning, growth, and achievement .

The descriptions of these measures are:

3. Statewide growth measure(s) where available, including the MCAS Student Growth Percentile and the Massachusetts English Proficiency Assessment (MEPA); and
4. District-determined Measure(s) of student learning comparable across grade or subject district-wide.
5. For educators whose primary role is not as a classroom teacher, the appropriate measures of the educator’s contribution to student learning, growth, and achievements set by the district.

Notice the upper-case “M” in the word measure in item four as well as references to standardized tests such as MCAS and MEPA; the message seems clear that according to

the framers of CMR 35.00, student performance can be objectively measured and the educator currently before the student is solely responsible for the student's ability to demonstrate her learning. Note too that educators who are not classroom teachers are also partly evaluated by external measures; using performance measures created by the district, not by the educators themselves, CMR 35.00 extends its reach to guidance counselors, behavioral specialists, and school nurses as well. While some have argued that *all* educators know best the needs of the students with whom they work, this argument seems to have been concluded with respect to the core subject areas of English, math, and science. By introducing the idea of external motivation to new domains, CMR 35.00, perhaps, shores up its appeal to those seeking "results oriented" and "added value" measurement common in the private sector while simultaneously perpetuating such measurement by requiring its use. However, many educators report feeling threatened and demoralized by externally imposed measures of their effectiveness, doubting such measures' ability to truly determine their worth as educators (Alquist, 2011; Strauss, 2012). The negative feelings in educators stirred up by external measurement and hierarchical, didactic, and judgmental supervision (Glanz, 2005) is the antithesis of the desired outcomes of the TLTP (enhanced performance of human beings through fostering mutual respect, trust, inspiration, dialogic relationship, and non-threatening atmosphere). Indeed, many of the activities proposed by CMR 35.00, such as unannounced observations of any duration, using student performance data to measure an educator's impact, and externally developed motivation seem to fit neatly under the Theory X assumptions detailed in Chapter II (McGregor, 1960).

Another Alignment Area

Finally, let us return to the portion of CMR 35.00 with which this section began. While this part of CMR 35.00 was examined earlier for its structural characteristics, it should be understood that the content of this part of the document, despite an important caveat, seems to represent possible good alignment with the TLTP. The document states that:

“The Educator Plan shall include, but is not limited to, at least one goal related to the improvement of practice, one goal for the improvement for student learning, an action plan with benchmarks for goals established in the Plan, and the evaluator’s final assessment of the educator’s attainment of the goals.”

Goal setting is an important part of the TLTP, and the regulations call for at least two goals for each educator as well as “an action plan with benchmarks” so that progress towards goals can be assessed. Goals may be set by individual educators and must meet with the approval of evaluators. This feature of the regulations seems to foster encouragement in the sense for which Dinkmeyer and Losoncy (1996) advocated, self-efficacy as described by Bandura (1994) as well other major facets of the TLTP, including Idealized Influence, Inspirational Motivation, Intellectual Stimulation, and Individual Consideration. Let us look at this more closely.

As seen in Chapter II, goal setting can be consistent with encouragement theory (Dinkmeyer & Dreikurs, 1963; Dinkmeyer & Losoncy, 1996). Having educators develop “one goal for the improvement of practice [and] one goal for the improvement of student learning” can lead to growth through risk-taking and creative problem solving, as long as leaders provide support and encouragement as educators pursue their goals. Through goal setting and genuine *encouragement*, the literature suggests that educators can attain

higher levels of performance and enhanced outcomes through the pursuit of personal goals (Dinkmeyer & Dreikurs, 1963; Dinkmeyer & Losoncy, 1996; Kohn, 1999). CMR 35.00 states that leaders are required to see to it that “educators pursue meaningful, actionable, and measurable professional practice and student learning goals,”(p.4) which can be regarded as collaborative goal setting, a practice that can foster Idealized Influence (e.g. role modeling goal setting and developing a trusting relationship between leader and follower), Inspirational Motivation (e.g. shared meanings of challenge and importance of work reflected in goals), Intellectual Stimulation (e.g. stimulation of creativity and innovation through goal setting, and Individual Consideration (e.g. leaders help develop goals considering the unique attributes and challenges of individuals). Moreover, according to the literature, educators who reach meaningful goals experience enhanced self-efficacy, leading to internal feelings of empowerment and competence that manifests itself in tackling progressively more difficult challenges over time (Bandura, 1994). Indeed, goal setting seems to have promise to powerfully enhance performance, a shared goal of both CMR 35.00 and the TLTP.

A Caveat to Achieve Alignment

However, a potential barrier needs to be hurdled for goal setting to reach its transformational potential. According to self-efficacy theory (e.g. Bandura, 1994), encouragement theory (e.g. Dinkmeyer& Dreikurs, 1963), and transformational leadership theory (e.g. Bass & Riggio, 1996), it is critical that goal setting and the pursuit of a goal be understood as a process that includes support and feedback, not a benchmark and measurement based on final outcomes related to the goal. Therefore, leaders must be especially vigilante in making sure they acknowledge effort, progress, and give

constructive feedback instead of summative judgment about whether or not a goal was attained by their followers. As CMR 35.00 is written, using goal setting and pursuit of goals according to the TLTP might present a challenge. The document states that the evaluator ultimately makes an assessment based on:

“the evaluator’s judgment of the educator’s performance against performance standards and the educator’s goals set forth in the educator’s plan.”

To be sure, the evaluator is expected to provide the evaluand with formative feedback as the goal is pursued, which is consistent with the framework discussed above. However, the regulations at this point seem to present two main concerns with respect to the TLTP. First, it is unclear what happens when the final assessment of the educator’s performance against “the educator’s goals set forth in the educator’s plan” is made. If the educator receives an unfavorable evaluation based on failure to reach a challenging goal, this would have a deleterious effect according to the TLTP, and bring about unintended consequences such as anxiety, discouragement, dissatisfaction, distrust, and feelings of incompetence (Bandura, 1994; Bass & Riggio, 1963; Dinkmeyer & Dreikurs, 1963). Secondly, as seen in an earlier example, the evaluator seems to be in a heteroglossic role as both mentor and authority. On the one hand, the leader helps the follower craft meaningful, challenging goals, and offer feedback and support during the attainment of the goals. As we have seen, the literature supports collaborative goal setting and support as crucial elements of trust-building, encouraging, and transformational leadership. On the other hand, the leader is charged with making a “judgment of the educator’s performance” against “the educator’s goals.” This heteroglossic positioning is similar to the observing supervisor we saw earlier. Such a dramatic shift from coach to mentor

seems to be an area that needs to be carefully navigated so that effective use of goal setting and the pursuance of goals can be conducted. To be consistent with the TLTP, the leaders must emphasize their roles as coaches and mentors rather than authoritative supervisors. Moreover, it would seem necessary for leaders to interpret the requirement that they summatively assess their followers' attainment of goals in a manner consistent with encouragement theory, self-efficacy theory, and transformational leadership theory. That is, if educators fail to attain goals by the time of their summative assessment, progress towards goals must be evaluated as areas of continued growth towards which the educator must strive, rather than on whether or not a goal was attained. Indeed, to be aligned with the TLTP, the regulation's allowance for "data to inform personnel decisions" would not include assessment of goal attainment. See Findings Table #2, below.

Table 9

Findings #2

CMR 35.00 Language-in-Use	Embedded Assumptions	TLTP Language- in Use	Embedded Assumptions	Alignment?
"Observation shall mean a data gathering process that includes notes and judgments made during one or more classroom or worksite visit(s) of any duration by the evaluator and may include examination of artifacts of practice. An observation may occur in	Educators need to be actively and frequently (made possible by observation of "any duration") monitored or they will not perform adequately. (Theory X) Judgmental evaluation necessary to improve performance.	*Idealized Influence: support and influence without judgment. *Inspirational Motivation: recognition of effort towards high standards. *Intellectual Stimulation: secure environment. No fault-finding. Dialogic interactions.	Enhanced performance cannot be forced or controlled. Rather, conditions for improvement through internal motivation can be provided at the workplace.	No.

person or through video.”	Evaluator’s position privileged over evaluand.	*Individual Consideration: coaching activities tailored towards individuals.		
“Student performance measures as described in 603 CMR 35.07 (1)(a)(3-5) shall be the basis for determining an educator’s impact on student learning, growth, and achievement.”	Measurable areas of education (i.e. students’ performance on tests) are realistic representations of an educator’s value.	*II: leaders model for followers concern for non-measurable areas of teaching. *IM: leaders and followers share a dialogic community of practice discussing students’ learning, growth, and achievement in non-measurable areas.	Humanist, not just positivistic and behaviorist, areas of education are critical for the growth and development of students. Educators, through use of the TLTP, can model humanistic interactions for students.	No.
“The Educator Plan shall include, but is not limited to, at least one goal related to the improvement of practice, one goal for the improvement for student learning, an action plan with benchmarks for goals established in the Plan, and the evaluator’s final assessment of the educator’s attainment of the goals.”	Goals can drive enhanced performance. However, they must be monitored by a supervisor-coach to ensure they are being pursued. Goals can also be used to measure an educator’s effectiveness.	II: leaders can inspire and support followers to reach goals. IM: secure, non-threatening environment. IS: dialogic relationship IC: goals need to take in account individual challenges and contexts.	Goals can drive enhanced performance. They should be supported and used only as vehicles for growth.	Possibly. Heteroglossic positioning of leaders’ roles as both authoritative supervisors and mentor needs to be re-thought.

The Massachusetts Educator Evaluation Regulations: As Understood

In addition to the document analysis presented above, a variety of educators were interviewed for this study to try to get a sense of how they understood the new evaluation regulations. As Seidman (2006) recommended, a semi-structured interview format was chosen so that the conversations emphasized participants' own thoughts. The interviews were transcribed, analyzed, and interpreted against the TLTP framework to determine whether or not educators understood the evaluation regulations in ways consistent with the Transformational Leadership Theory of Practice. The matrix used for the document analysis served for these analyses as well. The participants' language-in-use was studied to develop categories that appear in the TLTP as sub-categories that describe transformational leadership behaviors under broader concepts including Idealized Influence, Inspirational Motivation, Intellectual Stimulation, and Individualized Consideration; further analysis developed themes and assumptions from the data which were then compared to those of the TLTP to assess alignment.

Participants were not informed of the *a priori* TLTP categories or even that the purpose of this study was to determine the alignment of the evaluation regulations with the TLTP. Rather, educators were asked to discuss their personal opinions, experiences, and insights regarding the educator evaluation system. Educators in this study consistently responded in ways from which the overarching categories of trust, communication, and goals could be constructed by collapsing other closely related categories under broader headings for the purpose of analysis (Creswell, 1998). Each of these categories is treated in turn below.

Trust

Trust was a category that resulted from the coding of the interviews of this study. According to the TLTP, trust is a crucial component that all of the transformational leadership components including Idealized Influence (e.g. encouragement), Inspirational Motivation (e.g. inspired performances), Intellectual Stimulation (e.g. innovation and creativity), and Individual Consideration (e.g. personalized teaching and coaching). In the TLTP model, in order to move educators to new levels of achievement, a non-threatening atmosphere needs to be established. To be sure, such an environment is founded on trust (Bass & Riggio, 2006). Before examining educators' perceptions about trust with respect to the new evaluation model, it seems important to consider what level of trust has historically been shared in the working environments of teachers and their leaders.

During interviews, the leaders in this study discussed how teachers could formerly mislead them during observed lessons and pointed out that the new system prevents this. Indeed, many of the interviewed leaders questioned the likelihood of teachers consistently giving high-quality lessons unless they are being observed by a superior, an assumption (discussed in the discourse analysis portion of this study) consistent with those espoused by behaviorist theory (Skinner, 1974), Theory X (McGregor, 1960), and Taylor (1911). As one leader noted:

[In comparison to the earlier evaluations] the whole shift to the walk-through, the true real-time observation instead of the whole dog-and-pony show, the true data checks—the walk through is to get a true understanding of where a teacher is, not just those two or three dog and pony shows where teachers can look amazing.
(G.F. by M.M. 7/3/13)

Another leader recalled having used specially prepared lessons during his own teaching days:

[Now] you actually get, you know, a real legitimate sense of where a teacher is and they do, too. Before, it was like, “Hey, great lesson.” I mean, I hope it was a great lesson, we arranged it for three weeks! When I was giving my lessons on arranged days, they were amazing, the best lessons I ever taught. (A.C. by M.M. 6/28/13)

A third leader observed the necessity of stripping away surface embellishments teachers use on observed lessons to arrive at the truth of a teacher’s ability:

The teacher, for all intents and purposes, has prepped days and days for this 45-minute moment. And if you can’t put your best foot forward there, then you’ve really got holes in your game. Most people working in a public school are able to do that at the very least. So I’ve had a couple of experiences in my career where—not that I was fooled—but where it was hard to break through that very, very tough veneer. Does that make sense? There were lots of layers of Teflon—maybe that’s better than veneer—that the teacher encased him or herself in. And sometimes you were able to get at the real substance and talk about it and sometimes you weren’t. (D.C. by M.M. 7/2/13)

Language such as “dog-and pony show,” “Teflon encased” and questions as to how “legitimate” “prearranged” observed lessons are seems to show that leaders have felt “fooled” in the past by teachers’ possibly inauthentic lessons specially prepared for observation days. The language also introduces the idea of observations as a game played between educators (where the object is to “break through that very, very tough veneer” to reveal “holes in [the evaluand’s] game.” As we have seen in the document analysis presented earlier, the regulations now contain the requirement of “unannounced lessons of any duration.” CMR 35.00 (p.1) states that purposes of unannounced observations are to support “student learning, growth, and achievement,” through “feedback for improvement” and “a record of facts to support personnel decisions.” As seen from the above quotes, the leaders participating in this study seemed enthusiastic about unannounced observations that could serve as a method to see through staged practice (“best foot forward,” lesson “prepped for days”) performed occasionally merely to

support a favorable evaluation. On the one hand, this belief seems to show at least some mistrust of educators and seems to imply that teachers will only strive to be “amazing” when they know a supervisor will be evaluating their performance. In one line of thinking, it seems to follow that teachers who can be “amazing” when they are being observed have the skill set to be outstanding on any given day; leaders who think that teachers perform ably only on observation days do not seem to trust their teachers to hold themselves accountable to their own high professional standards (Glanz, 2005).

On the other hand, if leaders wish to see their teachers at a “really yucky time for a teacher” so that supervisors can get “true data checks” in order to get “a true understanding of where a teacher is,” unannounced lessons can be a rich source of data for feedback (Marzano & Toth, 2013), reflection (Schon, 1983) and encouragement (Dinkmeyer & Dreikers, 1963; see Chapter II for a review of the literature treating these concepts). However, leaders interviewed for this study seemed unsure about their heteroglossic role as supervisor and mentor (pointed out in the discourse analysis, earlier.) Talking about their roles, leaders’ responses seemed to reflect the double-voice of authority and coach expressed in the regulations.

The heteroglossic role of the supervisor did not seem lost on teachers, either. During the interviews, teachers tended to state that observed lessons gave them an opportunity to show their abilities in a classroom within a structure that allowed for some level of comfort in what they felt was a very unpredictable world of children, adolescents, and learning; the supportive, non-threatening environment they describe is consistent with the TLTP component Intellectual Stimulation. Typical comments by teachers about the previous observation protocols included:

I really liked that I was able to plan a lesson and talk about it beforehand with my principal, and then talk about it after she saw it, too. I was able to show I could do the steps of effective instruction, and that I knew what I was doing. I don't think [the previous observed lessons] it was misleading. I may have polished a few things, but I didn't really do anything that differently. (K.J. by M.M. 7/17/13)

And another typical comment by a teacher:

Observed lessons might be a little more special, but it's not like you could pull one off if you had no idea how to teach. You probably wouldn't introduce something hard that kids don't like. And I wouldn't invite them in to see your worst class. Although some did, the show-offs [laughs]. (M.C. by M.M. 7/17/13)

Interestingly, one principal concurred with the opinions of teachers regarding the observations of previous evaluation system while echoing the major concerns teachers expressed about the new system and its unplanned, unannounced supervisory classroom visits:

I did like that beforehand, you actually had a conversation with the person you're evaluating about the context of what you're going to see. You know, the kinds of kids you have...I think you got a lot more information with this pre-interview, post-interview situation then I'm afraid we're going to get with the new one. I did like that context setting, you know, getting the whole picture and then getting the idea of where people are going with things. Besides, you can walk in on a really yucky time for a teacher [laughs]! (T.M. 6/26/13)

As evidenced by this study's participants, then, observations under the former system left many administrators feeling misled by inauthentic lessons, betraying the Theory X assumption (McGregor, 1960) that workers cannot be trusted. However, teachers fear they can be viewed at vulnerable times ("a really yucky time for a teacher") under the new system and seemed to relish the former observation protocols (i.e. "conversation" "beforehand," "context-setting") due more to the unpredictable world they inhabit than the loss of the opportunity to dissemble their supervisors ("might be a little more special...but it's not like you could pull one off..."). In this respect, teachers seem to

wish for a “secure, non-threatening environment” supported by “talk” and “conversation” described in the transformational leadership notions of Idealized Influence (e.g. trust-building), Intellectual Stimulation (e.g. secure environment), and Individual Consideration (dialogic, personalized support). Indeed, when viewed through the lens of the TLTP, participant responses in this study suggested that the lack of trust between educators could be a barrier to the optimal success of the new evaluation system. Moreover, one teacher doubted whether all supervisors could be counted on to consistently take contextual factors (i.e. Individualized Consideration) and students’ characteristics into account, commenting:

I don’t want to lose my job for being willing to teach everybody.

The teacher went on to say:

I’m a little concerned about this administrator pop in, walk-through thing because I think it could be used to get rid of teachers a principal doesn’t like. I’ve seen political games before, especially at the last district I was at. What if a principal just doesn’t like someone and has a friend they like better? They could keep coming in during a class they know is difficult and get all kinds of evidence against a teacher. (K.J. by M.M. 7/11/13)

Articulating the feelings that many teachers expressed during these interviews, another teacher said:

The bottom line is that they don’t trust us. That’s the reason behind everything, from standardized testing to the Common Core and now these evaluations. (M.C. by M.M. 7/17/13)

Another teacher did not trust the motives behind the new evaluation, and doubted whether the regulations were actually implemented to improve teaching and learning, the reasons for the evaluation system given by the state:

This new system of evaluation will absolutely make it easier to show bad teachers the door, so to speak. And I think that's exactly what it was intended to do. (A.M. by M.M. 7/18/13)

Concurring with teachers, leaders participating in this study also acknowledged potential challenges to establishing trust under the new evaluation system. One leader stated:

When I went to this kick-off thing [a state-sponsored training for school district personnel], it was directly asked, "So, even if my goals are focused on standards 1, 2, and 3, I'm still gonna be evaluated on the other ones, right?" And the answer was, "Yes." So, you know what I mean? Even though my goals focus on what I need to improve, those other standards and indicators could be brought in to be a "Gotcha!" if you wanted it to be. As an administrator, I'm not saying it's me. (T.M. by M.M. 6/26/13)

Another educational leader first said that teachers needed to be convinced to trust the system over time, but went on to imply that the system might even be designed for leaders to see teachers at unflattering moments:

And in the new system, it will take some time to convince people there is never supposed to be these "gotcha" moments. You know, "I saw that one," and I scribble it down. It's never supposed to be like that. And yet the system might be built, for better or worse, to have those moments occur. (D.C. by M.M. 7/2/13)

Another leader, after saying that it would be very unprofessional for a leader to fire a teacher for arbitrary or personal reasons, went on to intimate that such unprofessionalism would not be beyond the realm of possibility:

Every administrator is different. If administrators are going out of their way to fire a teacher for their own personal reasons, that's not okay. Hopefully, professional conduct is there, and I'm just looking at your effectiveness as an educator. But if the principal is using the evaluation in a negative way or some kind of unprofessional way, that's not okay. I could see where resentment might come from that. And I'm not saying it doesn't happen. Sometimes some crazy things happen out there. (G.F. by M.M. 7/3/13)

As suggested by all of these educators, there does seem to be serious issues with trust between educators that the new evaluation system does not seem to relieve and may, in

fact, exacerbate. Interestingly, however, the dynamic concerning trust seems to have shifted. While evaluators previously felt that they could “fooled” by teachers executing carefully choreographed lessons (“dog and pony shows”), teachers now believe they can be victimized if evaluators have an agenda (e.g. “a friend they like better”) or bias against them (“political games,” “just doesn’t like someone”) or do not adequately assess the dynamics of a particular class (“I don’t want to lose my job for being willing to teach everybody”). And the fact that supervisors can come into a class at any time to conduct an evaluation leaves many teachers feeling unnerved (“gotcha moment,” “they don’t trust us”).

However, as the transformational leadership literature suggests, a lack of trust between leaders and their followers is a mutually damaging situation that must be addressed for transformational leadership to occur (e.g. Bass & Riggio, 2006). Furthermore, according to the policy implementation literature, such unhealthy attitudes with regard to policy will make successful implementation difficult (see Lipsky, 1980). Thus, trust seems to a critical consideration if the new evaluation system is to achieve its stated goals, but a finding of this study, supported by both the document analysis and interviews, is that trust between supervisor and educator is inadequately aligned with the TLTP. Suggestions to promote a more trusting relationship between teachers and their leaders will be suggested in Chapter V.

Communication

Communication was another category that could be constructed from the interview data. As we have seen in the discourse analysis, CMR 35.00 states that leaders must demonstrate strong communication skills and holds educators responsible for

feedback, reflection, and collaboration. All of these are crucial elements of the TLTP, and would appear to be very promising in promoting its practice. Again, however, it is important to try to understand the sense educators make of the policy to more fully assess the alignment, opportunities, and challenges of the evaluation policy concerning the TLTP.

All of the educators interviewed for this study indicated concern that the new regulations did not seem to earmark adequate time for meaningful feedback and communication between educators to occur. Summing up the concerns of many, one educator said:

I know this new system is going to give us some opportunity to go in and see something I might have a question about and have a conversation about, or at least some communication about, but I don't think this system, the new system, gives us built in time for that like the old system did. I mean, I can observe a teacher, but there's no place for us to discuss. I mean, you're need have these meetings with people, to be fair with people, and up front with people, you know, "I got a questions about this". . .but it's not built-in, there's no mechanism for it which, you know, is tough! Like I can jot it [the feedback] on a post-it note, but that's gonna be what to you? I mean, I might not word it well; I might even send it in an email and not word it well. So I think if we're gonna commit to this system, we have to have time to make feedback meaningful.

The leader then continued:

I mean, if the time's built-in, it makes it [the feedback communication] more likely to get done. Otherwise, am I just gonna grab a teacher in the hallway? The old way, there was time for the pre-observation and the post observation. Now, with the new system, I have no problem finding the ten minutes or whatever to go in and see teachers, but I'm worried about my observation notes or whatever piling up. Because I like to be careful about how I present feedback to people-- what was good, what needed work, questions . . . you like to sandwich stuff in the way you present it. Now, where's the think time for the administrator? You know, time to sit and talk about what I saw. And time to reflect. Feedback like that is going to be a lot more meaningful then something that just flies out of your mouth right after! And I'm not sure how that can happen. (T.M. by M.M. 6/26/13)

Indeed, teachers and their leaders indicated they valued the embedded face time of the old system. As one teacher put it:

Having time to talk to the principal before and after my lesson, letting them know what I was doing, was very important to me. I know just passing by other teachers' classrooms that if you don't know the context, things can seem meaningless. I just really liked the chance to get the administrators caught up on what I was doing with kids—and the rationale behind it. A lot of times, I think administrators might have limited background in a given subject area or even teaching in general, and I want the chance to clear up any misconceptions from the get-go. Plus, I'd like to be able to show in an extended conversation that I know what I'm doing. Of course, I'd also be more receptive to feedback in a give-and-take kind of thing than just the principal telling me what he thought was bad. (M.C. by M.M. 7/11/13)

A principal noted:

Getting to know the teachers and what they were all about on a very personal level was a great thing about the old system. I called these "structured conversations," and they were a big part of what I do. At a pre-observation meeting with a teacher, I would spend the full 45 minutes talking about aspects of the upcoming lesson and also the teacher's work that he or she or I felt was important to talk about. And in the meeting after the lesson, I'd spend just as long if not longer, and continue with the conversation at a mutually convenient time; these were built in to the old system. And so, over a course of a year, a teacher in the formal observation cycle would see me nine times a year at the very least. And I think that gave me a very honest interpretation or view of what this teacher was all about and again, those conversations outside of the classroom I found were the most compelling time that I spent with a teacher. (D.C. by M.M. 7/2/13)

These comments speak to the importance of solid communication between leaders and their charges outlined in the TLTP (especially Intellectual Stimulation, i.e. "spend the full 45 minutes talking about aspects of the upcoming lesson and also the teacher's work that he or she or I felt was important to talk about," and Individual Consideration, i.e. "getting to know the teachers and what they were all about on a very personal level") has for educators; the high regard these educators hold for adequate communication time is evident in the comments above. Although some aspects of the older system of education evaluation was sometimes portrayed as a "game" or a meaningless ritual, it seems that

some communicative aspects of the older evaluation system (e.g. “having time to talk to the principal before and after my lesson,” “a give and take kind of thing,” “structured conversations”) were consistent with the dialogic relationship advocated by the TLTP, and their preservation should be considered. Through the lens of the TLTP, communication is a bedrock on which much of transformational leadership rests (see Chapter II), and it seems that it cannot be given short shrift if leaders wish to bring their followers to higher levels of performance. Rather, in an evaluative model aligned with transformational leadership, communication needs to be heartily encouraged; the parameters for feedback must be clearly delineated and time for it to occur must be preserved. However, as participants of this study mentioned and examination of the regulations reveals, there is no built-in “mechanism” for meaningful feedback or dialogue (“the most compelling time...spent with a teacher”). While the participants in this study do not believe the new regulations for educator evaluations provide adequate time for collegial communication and feedback, suggestions to incorporate both into the new framework will be offered in Chapter V.

Goal Setting

Goal setting is the final category constructed for this study’s interview portion. The educators in this study consistently mentioned the regulation’s goal setting component; it was an area that seemed to cause some consternation among almost all of the participants. At the same time, participants agreed that goal setting seemed to be most emphasized feature of the evaluation framework’s rollout. Goal setting is important in terms of the TLTP model and also seems to be a potentially very promising aspect of the evaluation system. As mentioned earlier, the literature suggests that goal setting can be a

very valuable practice and vehicle for enhanced performance when it is done according to the principles of transformational leadership theory (Bass & Riggio, 1996), encouragement theory (Dinkmeyer & Losoncy, 1996), and self-efficacy theory (Bandura, 1994). However, due to the heteroglossic roles of supervisors discussed earlier, goal setting seems to have its challenges in the context of the new regulations. As with the other categories, trying to understand how educators make sense of goal setting may offer further insight with respect to the educator evaluation system's alignment with the TLTP.

Collaborative goal setting as presented in the educator evaluation seems to be a point of internal conflict and confusion for the educators who participated in this study. As noted in the document analysis above, educators are required to make, in collaboration with their supervisors, one professional goal and one student learning goal at the beginning of their evaluation cycle. However, because a favorable evaluative rating depends partially on educators attaining their goals by the end of the evaluation cycle, teachers wanting to make ambitious goals that are meaningful to their practice might be discouraged from doing so. The situation becomes cloudier with the mixed messages educators report receiving. For example, although the regulations state that a proficient educator sets goals that are "challenging," several participants in this study recall being advised by their supervisors and at professional development events to set modest goals. My own field notes from a similar professional development workshop concur with this recollection.

One teacher recalled:

I was at this professional development about goal setting for the evaluation, and the speaker is supposed to be an expert at setting educational goals or something. What I got from it is that he told us that we should think small when we set our goals so we don't set ourselves up for failure. He emphasized that point: "think

small.” He said the evaluator has two choices on an evaluation: “educator reached goals” or “did not reach goals”; he said there was no box for “almost reached goal.” And so he said we should pick a goal like setting up an electronic grade book, that that would be an appropriate goal that wouldn’t come back to bite us, I guess. (O.C. by M.M., 7/19/13).

A leader summed up other points of confusion she said many teachers are feeling:

I think teachers are just more or less confused with: “Okay, what’s my focus? Do I make the goals? Do you [administration] make the goals? Do we want people to have one team goal and one individual goal? Are we going to look at four to six indicators, or are we going to look at all the indicators? I think there is a little confusion about this for teachers. This could be uncomfortable for people. (T.M. by M.M., 6/26/13)

Although goal setting as outlined in the TLTP is critical to enhanced performance through transformational leadership, the regulation’s goal setting component as understood by several educators interviewed for this study with respect to the educator evaluation framework seems to undermine the value of setting goals. According to the TLTP, goal setting should be a non-threatening activity used to promote a professional’s growth and development. Therefore, to link educators’ goals to their evaluation does not seem like a good idea. Not only does it bring about negative feelings about this reflective practice; the current understanding of goal setting expressed by educators for this study may lead the educators to make easier goals they know they can achieve. Although the regulations try to discourage this practice (educators must make meaningful goals and they are subject to their evaluator’s approval), educators can still set as a goal something already in their skill set to remove any possibility that they would fail to attain a goal, thus earning a less favorable evaluation. As seen in a comment above, at least one educational leader seems to imply setting modest goals this is a prudent path for an educator to take, an attitude that is at odds with transformational enhancement through

risk-taking (Bass & Riggio, 1996; Dinkmeyer & Dreikurs, 1963). As a result, the benefits of goal-setting as understood by educators seem to be in much danger of not being fully realized. Suggestions to improve the goal-setting component of the evaluation framework will be offered in the following chapter.

Table 10

Findings #3

Category	Language-in- Use	Themes	TLTP Language-in- Use	Themes	Alignment ?
Trust (leader to follower)	“Dog and pony show” “Teflon” “Game” “Fooled”	Teachers will try to look “amazing” if they are going to be observed. Cannot be trusted to deliver quality lessons otherwise. (Consistent with Theory X)	IS: non-threatening working environment. II: non-judgment and support	Teachers can be trusted to try to reach new heights due to their internal drive.	No.
Trust (follower to leader)	Lessons “polished, not that different” Observers can see a “really yucky time for a teacher” “gotcha” “they don’t trust us” “political games”	Teachers feel they deserve more trust, and feel vulnerable due to their own lack of trust.	II: Followers expect their leaders to trust them. IM: Want a fair shot at success. IC: Want context and individual attributes to be considered.	Mutual trust critical for the TLTP.	No.

Communication	“having time to talk” “structured talk” “most compelling time with a teacher” “time to reflect...I’m not sure how that can happen”	Educators value professional dialogue and would like time specifically devoted to it.	*IS: reflection *IM: leaders and followers share a dialogic community of practice discussing students’ learning, growth, and achievement in non-measurable areas. *IC: personalized communication	Dialog and feedback critical for the TLTP.	Yes.
Goals	“What’s my focus?” “no box for almost reached goal” “don’t set [yourself] up for failure” “uncomfortable for people”	Goals can bring about negative consequences if they aren’t reached.	II: leaders can inspire and support followers to reach goals. IM: secure, non-threatening environment. IC: goals need to take in account individual challenges and contexts.	Goals can be important to personal growth.	Potentially. Goals might better be developed and attained with support of a peer. More emphasis on progress needs to be made.

Summary of Chapter IV

This chapter presented a discursive analysis of CMR 35.00 and used constant comparison with the Transformational Leadership Theory of Practice explicated in Chapter II to try to understand how the regulations were aligned. The findings of this study (summarized in the above tables) indicate that several areas currently seem out of

alignment, but there were also important areas of alignment or near-alignment. Chapter V offers further discussion and recommendations based on the findings.

CHAPTER V

DISCUSSION

Introduction

This chapter begins by reviewing the problem and purpose, research questions, and methods that guided this study. Next, the findings are summarized and categorized to show areas of alignment and non-alignment with the TLTP. Finally, possible implications for practice, policy, and recommendations for further study based on the literature, conceptual framework, and findings of this study are discussed.

Problem and Purpose

The problem and purpose that guided this study can be summarized as below:

1. Much in the literature suggests that transformational leadership can most effectively promote professional growth and enhanced performance in workers.
2. The Massachusetts Educator Evaluation Regulations (CMR 35.00) seek to bring about growth and performance in educators.
3. Therefore, the educator evaluation framework should align with transformational leadership theory to most effectively bring about its goals.
4. However, it is unclear if the regulations do, in fact, align with transformational leadership theory. The purpose of this study is to investigate the extent to which Regulation CMR 35.00 do align.

Research Questions

The overarching research question for this study was: How is the Massachusetts Educator Evaluation Regulation CMR 35.00, as written and as understood by teachers and leaders, aligned with transformational leadership theory?

Furthermore, due to the level of alignment or misalignment:

- 1) What opportunities exist for transformational leadership in the educator evaluation policy, as written and as understood by teachers and leaders?
- 2) What challenges to transformational leadership exist in the educator evaluation policy, as written and as understood by teachers and leaders?

Methods

As explained in Chapter III, discourse analysis (Gee, 2005, 2011) of the language-in-use of The Massachusetts Educator Evaluation Regulations (CMR 35.00) as well as face-to-face interviews with educators to learn their perceptions about the evaluation regulations was conducted. The discourse analysis included applying sets of discursive tools, or questions that Gee (2011) recommended. A brief sampling of these tools appears below:

1. The Context is Reflexive Tool: Asks how the sender's communication is being helped to reproduce and exist through time and space.
2. The Significance Building Tool: Asks how words and grammatical devices are being used to heighten or diminish importance of certain things and not others.
3. The Activities Building Tool: Asks what activities or practices the communication is being built or enacted.

Discourse analysis of CMR 35.00 revealed themes and embedded assumptions that were compared to the conceptual framework of the Transformational Leadership Theory of Practice (TLTP). The TLTP is an unpacking of concrete behaviors of transformational leadership advocated by Burns (1978) and Bass and Riggio (2006). As a result of the

comparisons just mentioned, a determination of the alignment or lack of alignment between CMR 35.00 and the TLTP could be attempted.

The interviews guiding this study were conducted to try to understand educators' perceptions about the regulations and to see if their views were consistent with the TLTP. The interviews were semi-structured and open ended and included questions such as the ones below:

1. What do you understand to be the goals of the educator evaluation policy?
2. How will the evaluation policy impact your teaching (or leadership)?
3. How will the policy shape your relationships with your teachers (or leaders)?

As with CMR 35.00, analysis of the educators' responses revealed themes and assumptions that were compared with the TLTP to determine areas of consistency and inconsistency with the framework.

Summary of Key Findings and their Implications for Practice

Chapter IV presented the analysis and findings of this study in matrices and narrative form. Taken together, the findings of this study suggested both areas of alignment and non-alignment between the CMR 35.00 regulations and the TLTP; these areas would seem to present both challenges and opportunities in promoting the TLTP. The main findings of this study are summarized below, followed by discussion of the implications suggested by the findings.

Alignment

1. Reflection and goal setting are salient components of both CMR 35.00 and the TLTP.

2. Educators desire more communication amongst each other. The CMR may facilitate enhanced communication.

As noted earlier in this study, there seemed to be important areas of alignment between CMR 35.00 and the TLTP, including reflection, goal setting and communication. While ideas with respect to reflection are offered in a subsequent discussion, goal setting and communication are elaborated on below.

Goal Setting

Goal setting is a salient part of the new evaluation system, and is consistent with the TLTP. However, as pointed out earlier, the heteroglossic roles of supervisors as both evaluator and coach in the educator evaluation system is problematic; goal setting could potentially be a barrier to educators realizing new heights in their teaching and impact on student learning. According to the regulations, educators must create one student learning goal and one professional practice goal (subject to their supervisor's approval). But if educators fail to meet their goals, it can result in a negative evaluation; teachers' evaluators summatively consider whether or not they accomplish the goals they set. Consequently, with so much on the line, educators might be induced to make less challenging goals, bringing about only modest improvements to their practice. Therefore, goals in the educator evaluation system need to be reimagined so that they serve as vehicles for transformation and not potential tools to measure performance negatively. Instead, ambitious goals could be set by educators and the progress they make toward achieving their goals could be collaboratively assessed; goals should not be judged on whether they were completely accomplished or not. Alternately, goals could be reconsidered to be more about growth than about measurement; a selection of an

educator's trusted peers and colleagues could help develop and support the educator reach his or her goals, creating a community of teaching and learning among educators. Again, progress made towards reaching ambitious goals could be assessed with strategies considered and support offered to reach the goal in the future. Finally, the attainment of meaningful goals might be a positive endorsement on an educators' performance evaluation, but inability to reach a goal should not be used to support or add to a negative evaluation.

Communication

As we have seen, communication between leader and follower is a crucial element of the TLTP, and the participants in this study uniformly expressed a wish for more of it. While the educator evaluation regulation seems to agree in principle with the importance of communication, leaders and their followers need to travel boldly towards transformational destinations to which CMR 35.00 unsurely points. For example, according to the regulations, feedback need only be given to educators after they have been formally observed; unannounced observations do not trigger mandatory feedback. Furthermore, exactly what constitutes "feedback" has been only ambiguously defined, leading to confusion among educators and potentially diluting feedback's power to improve performance. Compounding the problem with feedback in the new evaluation system is that, as educators in this study have observed, there is no built in time to generate feedback nor for educators to converse about education based on observational feedback. Thus, opportunities for educators to engage meaningful, transformational learning may get lost in the often chaotic world of public education and its myriad of emerging priorities. Indeed, as educators engaging in a triage-like atmosphere in their

daily working lives, the reality is that much needed focus on education ironically disappears often in the lives of educators. Therefore, leaders should stipulate increased time for educators to meet and talk about teaching and learning. For example, evaluators should be required to offer feedback anytime they observe all or part of a lesson, whether formally or informally conducted. Likewise, educators should be encouraged to offer contextual explanations to supervisors so that observations could be better understood. Mandatory interface time could be triggered after a certain number of observations were reached. Such practice could also promote trust between leader and follower because together educators could develop shared understandings about education in general and individual practice in particular. While time to engage in such collaboration would be a barrier to realizing this recommendation, excellent collaboration and communication between supervisors and their charges seems to be one of the most important elements of both transformational leadership and cannot be given short-shrift if marked improvements in teaching and learning are to occur. As a result, leaders need to find ways to build-in time for such communicative and collaborative activities to occur. One way to ensure increased time is spent for this purpose might be to use professional development time for leaders and followers to meet and talk about observations and education. Another could be to block non-negotiable time out of schedules to create time for educators to meet. While finding time in already packed professional days is certainly a formidable challenge, time for educators to talk about teaching and learning in their own contexts simply must be prioritized to powerfully affect performance.

Non-Alignment

1. There seemed to be in CMR 35.00 a reductionist view of teaching that did not acknowledge contextual differences that may impact educational achievement. In contrast, the TLTP advocates such components as Individual Consideration (IC) emphasizing consideration of unique factors and individual actors within specific contexts resulting in personalized, appropriate levels of support.
2. The CMR seemed largely based on a system of external motivation designed to heighten educator performance. This Theory X (McGregor, 1960) mechanism is not aligned with the TLTP, a framework for enhanced performance that assumes that human beings naturally strive to improve their work in an environment of *encouragement* and support (e.g. Intellectual Stimulation and Individual Consideration).
3. The CMR seemed largely based on a positivistic ontological framework and seemed focused on areas of education and an educator's performance that are measurable. In contrast, the TLTP acknowledges the importance of humanistic and constructivist thought and actions in promoting learning, growth, and self-actualization in a complex environment (e.g. Idealized Influence and Internal Motivation).
4. Educational leaders and followers seemed to share a history of mutual distrust of one another. The TLTP depends upon a mutually trusting relationship.

As the findings of this study suggest, the Massachusetts Educator evaluation policy presents challenges and opportunities to its consumers. While discussion was organically integrated with the results in Chapter IV, further discussion is offered in this final

chapter. Let us examine the findings in more detail now, in order of their presentation above, starting with a discussion of the areas of CMR 35.00 that seem to be misaligned with the TLTP framework.

First, discourse analysis revealed that CMR 35.00 seemed to give inadequate attention to the contextual factors that may affect educational achievement (Lea, 2011; Ravitch, 2011). As pointed out in the previous chapter, the discourse model of CMR 35.00 seems to be that students and their teachers across the Commonwealth enjoy equal access to resources, and thus, it is equitable to expect similar outcomes for all students. However, if educators experience a different reality, that is, have lived experiences that suggest that student achievement *is* affected by context, they may dismiss the regulations as unrealistic and illegitimate (Lipsky, 1980); Spillane (2004), too, suggested that the actors' interpretation of a policy is a crucial factor in its success. As a result, educators may resist the policy and hinder its implementation (Lin, 2000; Lipsky, 1980) or suffer demoralizing effects from working under regulations they regard as devoid of meaning or value (Henry, 1973). Therefore, leaders will have to find ways to make the regulations meaningful in the lives and work of their followers. One way this might be accomplished is by inviting the staff to co-reflect on the regulations highlighting the ways in which they are relevant to their locality. Educators could be welcomed to share what each of the standards would look like in their building, and over time, agree on what best practices would facilitate reaching the standards. In addition, the faculty could collaboratively develop shared meanings with respect to the language of the regulations to overcome areas of ambiguity and differing discourse models pointed out in the last chapter.

Secondly, although the research suggests that external motivation is not an effective vehicle for enhanced performance (Kohn, 1999; Sergiovanni & Starratt, 2002), this study suggests that CMR 35.00 is based largely upon external motivation. Consequently, CMR 35.00 reproduces and maintains a working environment consistent with Theory X (McGregor, 1960) assumptions: teachers must be closely observed and receive positive and negative consequences as a result. According to McGregor, people working under Theory X assumption are less likely to heighten their performance; other observers have stated that the success of meeting reform goals actually depends upon leaders breaking free of Theory X assumptions and leading in a way consistent with transformational leadership, built on trust, encouragement, and dialog (Pajak, 2001; Glanz, 2005). To build trust and a foundation for subsequent conversations, for example, leaders might try to intentionally visit teachers at moments likely to be flattering for the teacher, such as with a highly performing class of students. In addition, the leaders consider emphasizing vehicles for internal motivation, such as through reflection. Perhaps leaders could build time in the schedule for their followers to engage in reflection and co-reflection, for example, and make moral reflection part of the school's culture.

Thirdly, additional negative consequences could come about if educators feel that CMR 35.00 ignores the complexity of public education, as another finding of this study suggests. For example, teachers might feel that they are being unfairly evaluated due to the regulations' positivistic orientation (Kohn, 1999) and failure to measure areas educators believe are critical, such as attending to a student's human needs (Bandura, 1994; Maslow, 1954). Indeed, if teachers ultimately regard the regulations as an

imposition from on high, a flaming hoop through which they must leap, the regulations will not only be unsuccessful, but can cause resentment that may serve as a destructive force, undermining the very goals the regulations were designed to attain (Glanz, 2005). Leaders might try find ways to acknowledge the complexity of the challenges their followers face and provide a forum for their followers to share their contributions not measured by the standards. In addition, leaders could try to be vigilant about attending to their follower's human needs as described by Maslow (1954), and it follows that educators would be more likely to extend this consideration of needs to their students. As has often been said, a teacher's working environment is a child's learning environment. In this way, a culture of caring can underpin the desired enhanced learning and growth in public schools, regardless of the apparent lack of attention given to Individual Consideration (IC) in the regulations.

A final area of non-alignment is that this study suggested that educational leaders and followers seem to distrust one another, making transformational performance enhancement unlikely (Bass & Riggio, 2006). This seemed to be a long-standing problem with the educators interviewed for this study, at least, and seems to require a cultural shift in the educational environment to ameliorate it. Trust might be developed over time through transformational leadership in general and through the *encouragement* and support components of Individual Consideration in particular. Dialogic relationships between followers and leaders could be built and maintained, as could a norm of collaborative reflection. In addition, it would make sense for leaders to emphasize to their followers that student learning is at the heart of the evaluation system and the system is but one tool to help this happen more effectively. While the State has made some attempt

to positively assert its reasons for evaluation reform, the findings of this study suggest that an even greater positive framing of the evaluation system could address many of the concerns regarding trust expressed by educators. Indeed, leaders need to acknowledge the fact that many veteran educators have not been evaluated in a serious way in many years, and that the sudden emphasis on performance evaluation, representing a monumental shift in their working lives, can be seen as threatening. Instead of tying an educator's performance review to the new evaluation system, it may be advisable to let all educators experience the positive impact evaluation may help bring about in their practice. Piloting the evaluation system with all educators for at least an entire school year without linking the evaluations conducted during this period to performance appraisal would build trust in the system, between educators, and allow evaluators to hone their evaluation skills. That is, it would let evaluands see the value of meaningful evaluation in a non-threatening atmosphere and give evaluators an opportunity to gain extended practice with evaluation so that they can eventually make high-stakes evaluations fairly and competently.

Implications for Policy

The above discussion discussed implications for practice under the CMR 35.00 regulatory framework. But what if the policy itself could be revised to more effectively bring about the growth and enhanced performance it seeks? It seems that reconsideration of a policy after its roll-out would make good sense; only then can the effects of acting on even the best of intentions can be realized. Indeed, Marzano and Toth (2013) observed that "teacher evaluation reform is in its infancy and will go through much iteration before

it reaches maturity” (p.vii). Closer to home, the Massachusetts Commissioner of Education, Mitchell Chester (2012) stated:

The Members of the State Board and I know that improvement in the quality and effectiveness of educator evaluation will happen only if the Department does the hard work ahead “with the field”, not “to the field”. To that end, we at the Department need to learn (sic) with the field. We will continue to revise and improve the Model System including the Implementation Guides based on what we learn with the field over the next few years (p.1).

While no single study by a single researcher should be the basis for a policy’s reworking, perhaps this study can modestly contribute to the learning Chester mentions. With that in mind, two broad suggestions concerning the language-in-use and apparent assumptions of the document can be offered at this point.

First, the language-in-use of CMR 35.00 might be carefully re-examined to improve coherence with transformational leadership. As Mitchell himself acknowledged above, the “hard work” of education reform must be done “with” and not “to” educators. Yet, as we have seen, CMR 35.00 in both structure and substance too often reads like a mandate from an authority on high. As the findings of this study suggested, the language of the regulations often implied behaviorist and positivistic leanings manifested in non-negotiable compliance, control, and external validation rather than Idealized Influence, Inspirational Motivation, Intellectual Stimulation, and Individualized Consideration.

However, as shown earlier, the language of CMR 35.00 could be re-worded to better align and promote transformational leadership. Structurally, the document appears like a binding agreement. However, although an agreement implies negotiations and two-sided contribution, many educators seem to feel that they had no opportunity to contribute to the regulations development. This must be revisited if Mitchell’s wish to work in collaboration with educators is to be realized. Moreover, linguistic structure at

the sentence level should be reconsidered to emphasize features of transformational leadership. Initial clauses could align with components of the TLTP rather than focusing on requirements and measurement, thus changing the emphasis and tone of the regulations.

Moreover, as CMR 35.00 is re-considered, its framers might engage in double-loop learning to reexamine their assumptions (Argyris & Schon, 1974). Through this reflective process, the policy's authors can make their assumptions transparent and question the accuracy or appropriateness of their assumptions in relation the reality experienced in many public schools. As noted earlier, the better the underlying assumptions of the policy match those of the educators, the better the chance that the policy will be implemented with fidelity (Lipsky, 1980). At least, once their assumptions are made clear, policy framers can re-examine the language of the document to see if it accurately reflects the actual assumptions underpinning the regulations, resulting in a document more coherent with respect to communication of its beliefs and intentions.

Suggestions for Further Research

As stated elsewhere in this paper, a primary purpose of the Massachusetts Educator Evaluation System is to facilitate substantive performance improvements in teaching and learning; the goal of the TLTP is to help people transform their performance to ever greater heights. As such, assessing whether the evaluation system aligned with the TLTP was an important and logical first consideration as the policy unrolls across the commonwealth. However, more work will need to be done to ensure the policy's desired outcomes are achieved. For example, it will be useful to assess, both qualitatively and quantitatively, improvements or declines in specific educational outcomes linked to the

new evaluation system. In other words, the question “What difference does the new evaluation system seem to be making and how does it seem to be making it?” will need to be asked. Indeed, further research using a multitude of methods with researchers bringing their own backgrounds and interests to the conversation will help us understand the difference evaluation is making in the enhancement of teaching and learning. Some studies will undoubtedly focus on educational gains since the evaluation system was implemented and seek to make correlations. Other studies might look to see the effect the evaluations are having on educator satisfaction and retention, or the evaluation system’s effect on educator practice could be examined. The important thing is that “good enough” is never “good enough”; educational professionals always need to seek improvement for the sake of their students in the context of an ever-changing world. By continuing to look, over time, at an exciting and potentially powerful new element in education, weaknesses can be identified and possible improvements can be offered. It is my hope that this study can make at least a humble contribution to that end.

Burns (1978) outlined transformational leadership and provided examples from the political, intellectual, and executive arenas. Bass and Riggio (2006) also advocated for transformational leadership in different contexts. While this study necessarily focused on a particular framework within a specific context, leaders outside the field of education may find the unpacking of transformational leadership’s concrete behaviors as offered in the Transformational Leadership Theory of Practice (see Chapter II) useful in their own professional environments. Indeed, who would not benefit from leadership that is internally motivating, affirming, and elevating? With specific suggestions for transformational leadership theory drawn from the fields of psychology, communication,

and organizational theory, it is my hope that the TLTP facilitates the practice of inspiring leadership to improve the lives and work of people no matter what contributions they seek to make to their world.

APPENDIX A

THE MASSACHUSETTS EVALUATION REGULATIONS

35.01: Scope, Purpose, and Authority

(1) 603 CMR 35.00 is adopted pursuant to authority granted to the Board of Elementary and Secondary Education in M.G.L. c.69, §1B and c.71, §38.

(2) The specific purposes of evaluation under M.G.L. c.71, §38 and 603 CMR 35.00 are:

(a)

to promote student learning, growth, and achievement by providing educators with feedback for improvement, enhanced opportunities for professional growth, and clear structures for accountability, and

(b)

to provide a record of facts and assessments for personnel decisions.

(3) The purpose of 603 CMR 35.00 is to ensure that every school committee has a system to enhance the professionalism and accountability of teachers and administrators that will enable them to assist all students to perform at high levels. 603 CMR 35.00 sets out the principles of evaluation for Massachusetts public schools and districts. 603 CMR 35.00 requires that school committees establish a rigorous and comprehensive evaluation process for teachers and administrators, consistent with these principles, to assure effective teaching and administrative leadership in the Commonwealth's public schools.

(4) The regulations on evaluation of educators, 603 CMR 35.00, constitute the principles of evaluation established by the Board of Elementary and Secondary Education.

35.02: Definitions

As used in 603 CMR 35.00, unless the context clearly requires otherwise, terms shall have the following meanings:

Administrator shall mean any person employed in a school district in a position requiring a certificate or license as described in 603 CMR 7.09(1) through (5) or who has been approved as an administrator in the area of vocational education as provided in 603 CMR 4.00 *et seq.* or who is employed in a comparable position in a collaborative, and who is not employed under an individual employment contract.

Artifacts shall mean products of an educator's work that demonstrate knowledge and skills of the educator with respect to specific performance standards.

Board shall mean the Board of Elementary and Secondary Education or a person duly authorized by the Board.

Commissioner shall mean the Commissioner of Elementary and Secondary Education or his designee.

Department shall mean the Department of Elementary and Secondary Education.

District-determined Measures shall mean measures of student learning, growth, and achievement related to the Massachusetts Curriculum Frameworks, Massachusetts Vocational Technical Education Frameworks, or other relevant frameworks, that are comparable across grade or subject level district-wide. These measures may include, but shall not be limited to: portfolios, approved commercial assessments and district-developed pre and post unit and course assessments, and capstone projects.

Educator Plan shall mean the growth or improvement actions identified as part of each educator's evaluation. The type and duration of the plan shall be determined by the evaluator. The Educator Plan shall include, but is not limited to, at least one goal related

to the improvement of practice, one goal for the improvement of student learning, an action plan with benchmarks for goals established in the Plan, and the evaluator's final assessment of the educator's attainment of the goals. All elements of the Educator Plan are subject to the evaluator's approval. There shall be four types of Educator Plans:

- *Developing Educator Plan* shall mean a plan, developed by the educator and the evaluator for one school year or less for an administrator in the first three years in a district; or for a teacher without Professional Teacher Status; or, at the discretion of an evaluator, for an educator in a new assignment.
- *Self-directed Growth Plan* shall mean a plan of one or two school years for experienced educators who are rated proficient or exemplary, developed by the educator.
- *Directed Growth Plan* shall mean a plan of one school year or less for educators who are in need of improvement, developed by the educator and the evaluator.
- *Improvement Plan* shall mean a plan of at least thirty calendar days and no more than one school year for educators who are rated unsatisfactory, developed by the evaluator with goals specific to improving the educator's unsatisfactory performance.

Educator(s) shall mean teacher(s) and administrator(s).

Evaluation shall mean the ongoing process of defining goals and identifying, gathering and using information to improve professional performance (the "formative evaluation" and "formative assessment") and to assess total job effectiveness and make personnel decisions (the "summative evaluation").

Evaluator shall mean any person designated by a superintendent who has responsibility for evaluation.

Experienced Educator shall mean an administrator with more than three years in an administrative position in the school district or a teacher with Professional Teacher Status.

Family shall mean parents, legal guardians, or primary caregivers.

Formative Assessment shall mean the process used to assess progress towards attaining goals set forth in educator plans, performance on performance standards, or both. This process may take place at any time(s) during the cycle of evaluation.

Formative Evaluation shall mean an evaluation at the end of year one for educators on two-year self-directed plans used to arrive at a rating on progress towards attaining the goals set forth in the plans, performance on performance standards, or both.

Goal shall mean a specific, actionable, and measurable area of improvement as set forth in an educator's plan. A goal may pertain to any or all of the following: educator practice in relation to performance standards, educator practice in relation to indicators, or specified improvement in student learning, growth, and achievement. Goals may be developed by individual educators, by the evaluator, or by teams, departments, or groups of educators who have the same role.

Impact on Student Learning shall mean at least the trend in student learning, growth, and achievement and may also include patterns in student learning, growth, and achievement.

Measurable shall mean that which can be classified or estimated, in relation to a scale, rubric, or standards.

Model System shall mean the comprehensive educator evaluation system designed and updated as needed by the Department, as an exemplar for use by districts. The Model System shall include tools, guidance, rubrics, and contract language developed by the Department that satisfy the requirements of 603 CMR 35.00.

Multiple Measures shall include a combination of classroom, school, and district assessments and student growth percentiles where available.

Observation shall mean a data gathering process that includes notes and judgments made during one or more classroom or worksite visit(s) of any duration by the evaluator and may include examination of artifacts of practice. An observation may occur in person or through video.

Patterns shall mean consistent results from multiple measures.

Performance Rating shall be used to describe the educator's performance. There shall be four performance ratings:

- *Exemplary* shall mean that the educator's performance consistently and significantly exceeds the requirements of a standard or overall.
- *Proficient* shall mean that the educator's performance fully and consistently meets the requirements of a standard or overall.
- *Needs improvement* shall mean that the educator's performance on a standard or overall is below the requirements of a standard or overall, but is not considered to be unsatisfactory at this time. Improvement is necessary and expected.
- *Unsatisfactory* shall mean that the educator's performance on a standard or overall has not significantly improved following a rating of needs improvement, or the

educator's performance is consistently below the requirements of a standard or overall and is considered inadequate, or both.

Performance Standards shall mean the performance standards locally developed pursuant to M.G.L. c.71, §38 and consistent with, and supplemental to, 603 CMR 35.00.

Professional Teacher Status or PTS shall mean the status granted to a teacher pursuant to M.G.L. c.71, §41.

Rubric shall mean a scoring tool that describes characteristics of practice or artifacts at different levels of performance.

School Committee shall mean the school committee in all cities, towns, and regional school districts, local and district trustees for vocational education, educational collaborative boards, boards of trustees for the county agricultural schools, and the boards of trustees of charter schools.

Standards and Indicators shall mean the Standards and Indicators of Effective Teaching Practice, 603 CMR 35.03 and the Standards and Indicators of Effective Administrative Leadership Practice, 603 CMR 35.04.

Summative Evaluation shall mean an evaluation used to arrive at a rating on each standard, an overall rating, and as a basis to make personnel decisions. The summative evaluation includes the evaluator's judgments of the educator's performance against performance standards and the educator's attainment of goals set forth in the educator's plan.

Superintendent shall mean the person employed by the school committee pursuant to M.G.L. c.71, §59 or §59A. The superintendent is responsible for the implementation of 603 CMR 35.00. The superintendent shall be evaluated by the school committee pursuant

to 603 CMR 35.00 and such other standards as may be established by the school committee.

Teacher shall mean any person employed in a school district in a position requiring a certificate or license as described in 603 CMR 7.04(3) or who has been approved as an instructor in the area of vocational education as provided in 603 CMR 4.00 *et seq.* or who is employed in a comparable position in a collaborative.

Trends shall be based on at least two years of data.

35.03: Standards and Indicators of Effective Teaching Practice

School committees shall establish evaluation systems and Performance Standards for the evaluation of all teachers that include all of the principles of evaluation, set forth in 603 CMR 35.00-35.11. School committees may supplement the standards and indicators in 603 CMR 35.03 with additional measurable performance standards and indicators consistent with state law and collective bargaining agreements where applicable. The district shall adapt the indicators based on the role of the teacher to reflect and to allow for significant differences in assignments and responsibilities. The district shall share the Performance Standards with teachers employed by the district.

(1) Curriculum, Planning, and Assessment standard: Promotes the learning and growth of all students by providing high quality and coherent instruction, designing and administering authentic and meaningful student assessments, analyzing student performance and growth data, using this data to improve instruction, providing students with constructive feedback on an on-going basis, and continuously refining learning objectives.

(a)

Curriculum and Planning indicator: Knows the subject matter well, has a good grasp of child development and how students learn, and designs effective and rigorous standards-based units of instruction consisting of well-structured lessons with measurable outcomes.

(b)

Assessment indicator: Uses a variety of informal and formal methods of assessment to measure student learning, growth, and understanding, develop differentiated and enhanced learning experiences, and improve future instruction.

(c)

Analysis indicator: Analyzes data from assessments, draws conclusions, and shares them appropriately.

(2) Teaching All Students standard: Promotes the learning and growth of all students through instructional practices that establish high expectations, create a safe and effective classroom environment, and demonstrate cultural proficiency.

(a)

Instruction indicator: Uses instructional practices that reflect high expectations regarding content and quality of effort and work, engage all students, and are personalized to accommodate diverse learning styles, needs, interests, and levels of readiness.

(b)

Learning Environment indicator: Creates and maintains a safe and collaborative learning environment that values diversity and motivates students to take academic risks, challenge themselves, and claim ownership of their learning.

(c)

Cultural Proficiency indicator: Actively creates and maintains an environment in which students' diverse backgrounds, identities, strengths, and challenges are respected.

(d)

Expectations indicator: Plans and implements lessons that set clear and high expectations and make knowledge accessible for all students.

(3) Family and Community Engagement standard: Promotes the learning and growth of all students through effective partnerships with families, caregivers, community members, and organizations.

(a)

Engagement indicator: Welcomes and encourages every family to become active participants in the classroom and school community.

(b)

Collaboration indicator: Collaborates with families to create and implement strategies for supporting student learning and development both at home and at school.

(c)

Communication indicator: Engages in regular, two-way, and culturally proficient communication with families about student learning and performance.

(4) Professional Culture standard: Promotes the learning and growth of all students through ethical, culturally proficient, skilled, and collaborative practice.

(a)

Reflection indicator: Demonstrates the capacity to reflect on and improve the educator's own practice, using informal means as well as meetings with teams and work groups to

gather information, analyze data, examine issues, set meaningful goals, and develop new approaches in order to improve teaching and learning.

(b)

Professional Growth indicator: Actively pursues professional development and learning opportunities to improve quality of practice or build the expertise and experience to assume different instructional and leadership roles.

(c)

Collaboration indicator: Collaborates effectively with colleagues on a wide range of tasks.

(d)

Decision-making indicator: Becomes involved in school-wide decision-making, and takes an active role in school improvement planning.

(e)

Shared Responsibility indicator: Shares responsibility for the performance of all students within the school.

(f)

Professional Responsibilities indicator: Is ethical and reliable, and meets routine responsibilities consistently.

35.04: Standards and Indicators of Effective Administrative Leadership Practice

School committees shall establish evaluation systems and performance standards for the evaluation of administrators that include all of the principles of evaluation, set forth in 603 CMR 35.00-35.11. School committees may supplement the standards and indicators in 603 CMR 35.04 with additional measurable performance standards consistent with

state law and collective bargaining agreements where applicable. The district shall adapt the indicators based on the role of the administrator to reflect and allow for significant differences in assignment and responsibilities. The district shall share the performance standards with all administrators.

(1) Instructional Leadership standard: Promotes the learning and growth of all students and the success of all staff by cultivating a shared vision that makes effective teaching and learning the central focus of schooling.

(a)

Curriculum indicator: Ensures that all teachers design effective and rigorous standards-based units of instruction consisting of well-structured lessons with measurable outcomes.

(b)

Instruction indicator: Ensures that instructional practices in all settings reflect high expectations regarding content and quality of effort and work, engage all students, and are personalized to accommodate diverse learning styles, needs, interests, and levels of readiness.

(c)

Assessment indicator: Ensures that all teachers use a variety of formal and informal methods and assessments to measure student learning, growth and understanding, and also make necessary adjustments to their practice when students are not learning.

(d)

Evaluation indicator: Provides effective and timely supervision and evaluation in alignment with state regulations and contract provisions, including:

1. Ensures educators pursue meaningful, actionable, and measurable professional practice and student learning goals.
2. Makes frequent unannounced visits to classrooms and gives targeted and constructive feedback to teachers.
3. Exercises sound judgment in assigning ratings for performance and impact on student learning.
4. Reviews alignment between judgment about practice and data about student learning, growth, or achievement when evaluating and rating educators and understands that the supervisor has the responsibility to confirm the rating in cases where a discrepancy exists.

(e)

Data-informed Decision-making indicator: Uses multiple sources of evidence related to student learning, including state, district, and school assessment results and growth data, to inform school and district goals and improve organizational performance, educator effectiveness, and student learning.

(2) Management and Operations standard: Promotes the learning and growth of all students and the success of all staff by ensuring a safe, efficient, and effective learning environment, using resources to implement appropriate curriculum, staffing, and scheduling.

(a)

Environment indicator: Develops and executes effective plans, procedures, routines and operational systems to address a full range of safety, health, emotional, and social needs of students.

(b)

Human Resources Management and Development indicator: Implements a cohesive approach to recruitment, hiring, induction, development, and career growth that promotes high quality and effective practice.

(c)

Scheduling and Management Information Systems indicator: Uses systems to ensure optimal use of time for teaching, learning and collaboration.

(d)

Laws, Ethics and Policies indicator: Understands and complies with state and federal laws and mandates, school committee policies, collective bargaining agreements, and ethical guidelines.

(e)

Fiscal Systems indicator: Develops a budget that supports the district's vision, mission and goals; allocates and manages expenditures consistent with district/school level goals and available resources.

(3) Family and Community Engagement standard: Promotes the learning and growth of all students and the success of all staff through effective partnerships with families, community organizations, and other stakeholders that support the mission of the school and district.

(a)

Engagement indicator: Actively ensures that all families are welcome members of the classroom and school community and can contribute to the classroom, school, and community's effectiveness.

(b)

Sharing Responsibility indicator: Continuously collaborates with families to support student learning and development both at home and at school.

(c)

Communication indicator: Engages in regular, two-way, culturally proficient communication with families about student learning and performance.

(d)

Family Concerns indicator: Addresses family concerns in an equitable, effective, and efficient manner.

(4) Professional Culture standard: Promotes success for all students by nurturing and sustaining a school culture of reflective practice, high expectations, and continuous learning for staff.

(a)

Commitment to High Standards indicator: Fosters a shared commitment to high standards of teaching and learning with high expectations for achievement for all, including:

1. Mission and Core Values: Develops, promotes, and secures staff commitment to core values that guide the development of a succinct, results-oriented mission statement and ongoing decision-making.
2. Meetings: Plans and leads well-run and engaging meetings that have clear purpose, focus on matters of consequence, and engage participants in a thoughtful and productive series of conversations and deliberations about important school matters.

(b)

Cultural Proficiency indicator: Ensures that policies and practices enable staff members and students to contribute to and interact effectively in a culturally diverse environment in which students' backgrounds, identities, strengths, and challenges are respected.

(c)

Communications indicator: Demonstrates strong interpersonal, written, and verbal communication skills

(d)

Continuous Learning indicator: Develops and nurtures a culture in which all staff members are reflective about their practice and use student data, current research, best practices and theory to continuously adapt instruction and achieve improved results.

Models these behaviors in the administrator's own practice.

(e)

Shared Vision indicator: Successfully and continuously engages all stakeholders in the creation of a shared educational vision in which every student is prepared to succeed in postsecondary education and careers, and can become responsible citizens and community contributors.

(f)

Managing Conflict indicator: Employs strategies for responding to disagreement and dissent, constructively resolving conflict, and building consensus throughout a district/school community.

35.05: Evaluation of Administrators under Individual Employment Contracts

Districts shall have a system of evaluation for administrators under individual employment contracts that reflects the purposes in 603 CMR 35.01(2), and adapts the Standards and Indicators for Effective Administrative Leadership Practice and the procedures in 603 CMR 35.04-35.11 as applicable to the role and contract of the administrator. Nothing in these regulations shall abridge the authority of a school or district to dismiss or non-renew an educator consistent with applicable law, including G.L. c. 71, §§ 41 and 42.

35.06: Evaluation Cycle

(1) School committees shall adopt either the Model System designed and regularly updated by the Department, or a locally developed system that is consistent with these principles. The evaluation system shall include the evaluation cycle set forth in 603 CMR 35.06.

(2) The evaluation cycle shall include self-assessment addressing Performance Standards established through collective bargaining or included in individual employment contracts.

(a)

Each educator shall be responsible for gathering and providing to the evaluator information on the educator's performance, which shall include:

1. an analysis of evidence of student learning, growth, and achievement for students under the educator's responsibility;
2. an assessment of practice against Performance Standards; and
3. proposed goals to pursue to improve practice and student learning, growth, and achievement.

(b)

The educator shall provide such information, in the form of self-assessment, in a timely manner to the evaluator at the point of goal setting and plan development.

(c)

The evaluator shall consider the information provided by the educator and all other relevant information.

(3) The evaluation cycle shall include goal setting and development of an Educator Plan.

(a)

Evaluators shall use evidence of educator performance and impact on student learning, growth, and achievement in goal setting with the educator based on the educator's self-assessment and other sources that the evaluator shares with the educator.

(b)

Evaluators and educators shall consider creating goals for teams, departments, or groups of educators who share responsibility for student results.

(c)

The evaluator retains final authority over goals to be included in an educator's plan.

(d)

Educator Plans shall be designed to provide educators with feedback for improvement, professional growth, and leadership; and to ensure educator effectiveness and overall system accountability.

(e)

An educator shall be placed on an Educator Plan based on his or her overall rating and his or her impact on student learning, growth and achievement, provided that educators who

have not yet earned Professional Teacher Status and any other employee at will shall be placed on an Educator Plan solely at the discretion of the district.

1. The Developing Educator Plan is for all administrators in their first three years with the district, teachers without Professional Teacher Status, and, at the discretion of the evaluator, educators in new assignments.
2. The Self-directed Growth Plan is for all experienced educators rated Exemplary or Proficient. For educators whose impact on student learning is either moderate or high, the Educator Plan may be for up to two years. For educators whose impact on student learning is low, the Educator Plan shall be for one year and shall include one or more goals related to student learning developed on the basis of an analysis of the educator's professional practice.
3. Directed Growth Plan for all experienced educators rated Needs Improvement.
4. Improvement Plan for all experienced educators rated Unsatisfactory.

(f)

All Educator Plans shall meet the following requirements:

1. Include a minimum of one goal to improve the educator's professional practice tied to one or more Performance Standards.
2. Include a minimum of one goal to improve the learning, growth and achievement of the students under the educator's responsibility.
3. Outline actions the educator must take to attain these goals, including but not limited to specified professional development activities, self-study, and coursework, as well as other supports that may be suggested by the evaluator or provided by the school or district.

4. Be aligned to statewide Standards and Indicators in 603 CMR 35.00 and local Performance Standards.
 5. Be consistent with district and school goals.
- (4) The evaluation cycle shall include implementation of the Educator Plan. It is the educator's responsibility to attain the goals in the plan and to participate in any trainings and professional development provided through the state, district, or other providers in accordance with the Educator Plan.
- (5) The evaluation cycle shall include a formative assessment or a formative evaluation.
- (a)
- The formative assessment may be ongoing throughout the evaluation cycle, but typically takes place at mid-cycle.
- (b)
- For an experienced educator rated proficient or higher and whose impact on student learning is moderate or high, a formative evaluation takes place at the end of the first year of the two-year cycle. The educator's rating for that year shall be assumed to be the same as the previous summative rating unless evidence demonstrates a significant change in performance in which case the rating on Performance Standards may change.
- (c)
- The educator shall have the opportunity to respond in writing to the formative assessment or evaluation.
- (d)
- If an educator receives a formative assessment or formative evaluation that differs from the summative rating the educator had received at the beginning of the evaluation cycle,

the evaluator may place the educator on a different educator plan, appropriate to the new rating.

(6) The evaluation cycle shall include a summative evaluation, in which the evaluator determines an overall rating of educator performance based on the evaluator's professional judgment and an examination of evidence that demonstrates the educator's performance against Performance Standards and evidence of the attainment of the Educator Plan goals. The educator shall have the opportunity to respond in writing to the summative evaluation.

(7) Evidence of the experienced educator's impact on the learning, growth, and achievement of the students under the educator's responsibility, together with the summative evaluation rating, shall be used as follows:

(a)

For any experienced educator who receives an evaluation rating of Exemplary or Proficient, the district shall take the following actions:

1. For the educator whose impact on student learning is either moderate or high, the evaluator shall place the educator on a Self-directed Growth Plan.
 - a. The educator shall receive a summative evaluation at least every two years.
 - b. The educator may receive a formative evaluation at the end of the first year of the Educator Plan.
 - c. The educator may be eligible for additional roles, responsibilities and compensation, as determined by the district and through collective bargaining, where applicable.

2. For the educator whose impact on student learning is low, the evaluator shall place the educator on a Self-directed Growth Plan.
 - a. The educator and evaluator shall analyze the discrepancy in practice and student performance measures and seek to determine the cause(s) of such discrepancy.
 - b. The plan shall be for one school year in duration.
 - c. The plan may include a goal related to examining elements of practice that may be contributing to low impact.
 - d. The educator shall receive a summative evaluation at the end of the period determined in the plan, but at least annually.

(b)

For any experienced educator who receives an evaluation rating of Needs Improvement, the district shall place the educator on a Directed Growth Plan.

1. The educator shall receive a summative evaluation at the end of the period determined in the Plan.
2. The educator must either earn at least a proficient rating in the summative evaluation, or shall be rated Unsatisfactory, and shall be placed on an improvement plan.

(c)

For any experienced educator who receives an evaluation rating of Unsatisfactory, the district shall place the educator on an Improvement Plan. The educator shall receive a summative evaluation at the end of the period determined by the evaluator for the Plan.

(8) A teacher without professional teacher status, an administrator in the first three years in a position in a district, or an educator in a new assignment, may be placed on a Developing Educator Plan. The educator shall be evaluated at least annually. The existence of a plan shall not abridge the authority of a school or district to dismiss or non-renew an educator consistent with applicable law.

(9) Nothing in these regulations shall abridge the authority of a school or district to dismiss or non-renew an educator consistent with applicable law, including G.L. c. 71, §§ 41 and 42.

35.07: Evidence Used in Evaluation

(1) The following categories of evidence shall be used in evaluating each educator:

(a)

Multiple measures of student learning, growth, and achievement, which shall include:

1. Measures of student progress on classroom assessments that are aligned with the Massachusetts Curriculum Frameworks or other relevant frameworks and are comparable within grades or subjects in a school;
2. Measures of student progress on learning goals set between the educator and evaluator for the school year;
3. Statewide growth measure(s) where available, including the MCAS Student Growth Percentile and the Massachusetts English Proficiency Assessment (MEPA); and
4. District-determined Measure(s) of student learning comparable across grade or subject district-wide.

5. For educators whose primary role is not as a classroom teacher, the appropriate measures of the educator's contribution to student learning, growth, and achievement set by the district.

(b)

Judgments based on observations and artifacts of professional practice, including unannounced observations of practice of any duration;

(c)

Additional evidence relevant to one or more Performance Standards, including, but not limited to:

1. Evidence compiled and presented by the educator including:
 - a. Evidence of fulfillment of professional responsibilities and growth, such as: self-assessments; peer collaboration; professional development linked to goals and or educator plans; contributions to the school community and professional culture;
 - b. Evidence of active outreach to and ongoing engagement with families.
2. Student feedback collected by the district, starting in the 2013-2014 school year.

On or before July 1, 2013, the Department shall identify one or more instruments for collecting student feedback and shall publish protocols for administering the instrument(s), protecting student confidentiality, and analyzing student feedback. In the 2011-2012 and 2012-2013 school years, districts are encouraged to pilot new systems, and to continue using and refining existing systems, for collecting and analyzing student feedback as part of educator evaluation.

3. Staff feedback (with respect to administrators) collected by the district, starting in the 2013-2014 school year. On or before July 1, 2013, the Department shall identify one or more instruments for collecting staff feedback and shall publish protocols for administering the instrument(s), protecting staff confidentiality, and analyzing staff feedback. In the 2011-2012 and 2012-2013 school years, districts are encouraged to pilot new systems, and to continue using and refining existing systems, for collecting and analyzing staff feedback as part of administrator evaluation.
4. The Department shall research the feasibility and possible methods for districts to collect and analyze parent feedback as part of educator evaluation and shall issue a report and recommendation on or before July 1, 2013.
5. Any other relevant evidence from any source that the evaluator shares with the educator.

(2) Evidence and professional judgment shall inform:

(a)

the evaluator's ratings of Performance Standards and overall educator performance; and

(b)

the evaluator's assessment of the educator's impact on the learning, growth, and achievement of the students under the educator's responsibility.

35.08: Performance Level Ratings

(1) Each educator shall receive one of four ratings on each Performance Standard and overall.

(a)

Exemplary

(b)

Proficient

(c)

Needs Improvement

(d)

Unsatisfactory

(2) In rating educators on Performance Standards for the purposes of either formative assessment, formative evaluation, or summative evaluation, districts may use either the rubric provided by the Department in its model system or a comparably rigorous and comprehensive rubric developed by the district and reviewed by the Department.

(3) The summative evaluation rating must be based on evidence from multiple categories of evidence. MCAS growth scores cannot be the sole basis for a summative evaluation rating.

(4) To be rated Proficient overall, a teacher shall, at a minimum, have been rated Proficient on the Curriculum, Planning, and Assessment and the Teaching all Students standards for teachers, 603 CMR 35.03(1) and 35.03(2).

(5) To be rated Proficient overall, an administrator shall, at a minimum, have been rated Proficient on the Instructional Leadership standard for administrators, 603 CMR 35.04(1).

(6) Professional teacher status, pursuant to G.L. ch. 71, § 41, should be granted only to educators who have achieved ratings of proficient or exemplary on each Performance

Standard and overall. A principal considering making an employment decision that would lead to professional teacher status for any educator who has not been rated proficient or exemplary on each Performance Standard and overall on the most recent evaluation shall confer with the superintendent of schools by May 1. The principal's decision is subject to review and approval by the superintendent.

(7) Educators whose summative performance rating is exemplary and whose impact on student learning is rated moderate or high shall be recognized and rewarded with leadership roles, promotion, additional compensation, public commendation or other acknowledgement.

35.09: Student Performance Measures

(1) Student Performance Measures as described in 603 CMR 35.07(1)(a)(3-5) shall be the basis for determining an educator's impact on student learning, growth, and achievement.

(2) The evaluator shall determine whether an educator is having a high, moderate, or low impact on student learning based on trends and patterns in the following student performance measures:

(a)

At least two state or district-wide measures of student learning gains shall be employed at each school, grade, and subject in determining impact on student learning, as follows:

1. MCAS Student Growth Percentile and the Massachusetts English Proficiency Assessment (MEPA) shall be used as measures where available, and
2. Additional District-determined Measures comparable across schools, grades, and subject matter district-wide as determined by the superintendent may be used in conjunction with MCAS Student Growth Percentiles and MEPA scores to meet

this requirement, and shall be used when either MCAS growth or MEPA scores are not available.

(b)

For educators whose primary role is not as a classroom teacher, appropriate measures of their contribution to student learning, growth, and achievement shall be determined by the district.

(3) Based on a review of trends and patterns of state and district measures of student learning gains, the evaluator will assign the rating on growth in student performance consistent with Department guidelines:

(a)

A rating of *high* indicates significantly higher than one year's growth relative to academic peers in the grade or subject.

(b)

A rating of *moderate* indicates one year's growth relative to academic peers in the grade or subject.

(c)

A rating of *low* indicates significantly lower than one year's student learning growth relative to academic peers in the grade or subject.

(4) For an educator whose overall performance rating is exemplary or proficient and whose impact on student learning is low, the evaluator's supervisor shall discuss and review the rating with the evaluator and the supervisor shall confirm or revise the educator's rating. In cases where the superintendent serves as the evaluator, the superintendent's decision on the rating shall not be subject to such review. When there are

significant discrepancies between evidence of student learning, growth, and achievement and the evaluator's judgment on educator performance ratings, the evaluator's supervisor may note these discrepancies as a factor in the evaluator's evaluation.

35.10: Peer Assistance and Review

(1) Districts may develop and implement Peer Assistance and Review Programs (PAR) through the collective bargaining process.

35.11:

(1) 603 CMR 35.00 shall take effect according to the following schedule:

(a)

Districts with Level 4 schools, as defined in 603 CMR 2.05, shall adopt and implement in the Level 4 schools evaluation systems consistent with 603 CMR 35.00 for the 2011-2012 school year.

(b)

Districts that are participating in the Commonwealth's Race to the Top activities shall adopt and implement evaluation systems consistent with 603 CMR 35.00 for the 2012-2013 school year.

(c)

All school districts shall adopt and implement evaluation systems consistent with 603 CMR 35.00 by the beginning of the 2013-2014 school year.

(d)

A district may phase in implementation of its new evaluation system over a two-year period, with at least half of its educators being evaluated under the new system in the first year.

(2) All evaluation systems and changes to evaluation systems shall be subject to the Department's review to ensure the systems are consistent with the Boards' Principles of Evaluation. A District may continue to use its existing evaluation systems until the District has fully implemented its new system.

(3) The model system developed by the Department need not be submitted for review under 603 CMR 35.00 if the district implements it as written.

(4) By September 2013, each district shall identify and report to the Department a district-wide set of student performance measures for each grade and subject that permit a comparison of student learning gains.

(a)

The student performance measures shall be consistent with 603 CMR 35.09(2).

(b)

By July 2012, the Department shall supplement these regulations with additional guidance on the development and use of student performance measures.

(c)

Until such measures are identified and data is available for at least two years, educators will not be assessed as having high, moderate, or low impact on student learning outcomes consistent with 603 CMR 35.09(3).

(5) Districts shall provide the Department with individual educator evaluation data for each educator in the district in a form and manner prescribed by the Commissioner, including, but not limited to:

(a)

the educator's performance rating on each standard and overall;

(b)

the educator has Professional Teacher Status;

(c)

the educator's impact on student learning, growth, and achievement (high, moderate, low).

(6) Any data or information that school districts or the Department or both create, send, or receive in connection with educator evaluation that is evaluative in nature and may be linked to an individual educator, including information concerning an educator's formative assessment or evaluation or summative evaluation or performance rating or the student learning, growth, and achievement data that may be used as part of an individual educator's evaluation, shall be considered personnel information within the meaning of M.G.L. c. 4, § 7(26)(c) and shall not be subject to disclosure under the public records law.

(7) The superintendent is responsible for ensuring that all evaluators have training in the principles of supervision and evaluation. All evaluations should be free of racial, sexual, religious, and other illegal discrimination and biases as defined in state and federal laws.

(8) Nothing in these regulations shall abridge the provisions of the Massachusetts General Laws, including M.G.L. c. 69, c. 71 and c. 150E.

(9) If any section or portion of a section of 603 CMR 35.00, or the applicability of 603 CMR 35.00 to any person, entity, or circumstance is held invalid by a court, the remainder of 603 CMR 35.00 or the applicability of such provisions to other persons, entities, or circumstances shall not be affected thereby.

Regulatory Authority:

603 CMR 35.00: M.G.L. c.69, §1B; c.71, §38

APPENDIX B

GUIDING INTERVIEW QUESTIONS

1. How did you feel about working with the old evaluation system? Tell me about a typical example from your experience when it worked really well. Tell me about a time it did not work so well.
2. What were strengths, if any, of the old system?
3. What were weaknesses, if any, of the old system?
4. How do you think the old evaluation system impacted teaching? Give an example.
5. How do you think the old evaluation system impacted leadership? Example?
6. How do you think the old evaluation system impacted your relationships with teachers? Example?
7. Can you identify specific areas of improvement with respect to teaching and learning as a result of the old evaluation system?
8. What would you definitely like to keep, if anything, about the old evaluation system? Why? Will this be possible under the new regulations?
9. What would you like to get rid of about the old evaluation system? Why? Will this be possible under the new regulations?
10. Tell me about the new Massachusetts evaluation frameworks.: What is your understanding of
 - a. What it is, b. what it's for, c. How it works/doesn't work, d. Who came up with it, and so on?
11. How do you feel about working under the new evaluation system next year?
 - a. As an evaluator. Why?

- b. As someone evaluated. Why?
12. What concerns, if any, do you have about the new evaluation system?
- a. As an evaluator. Why?
 - b. As someone evaluated. Why?
13. What do you see as the strengths, if any, of the new evaluation system?
- a. As an evaluator. Why?
 - b. As someone evaluated. Why?
14. What weaknesses, if any, do you see in the new evaluation system?
- a. As an evaluator. Explain.
 - b. As someone who is evaluated. Explain.
15. Are there critical areas of your performance not evaluated under the new system?
- Explain.
16. Are there critical areas of teacher performance not evaluated under the new system? Explain.
17. How supported do you feel by your administration (or supervisor) as you implement the new evaluation system? Or being evaluated under the system? What training have you received as a evaluator? As an evaluand? Has it been adequate? How would you change it?
18. How well does the new evaluation system seem to align with your leadership philosophy? Where does it most align? Where does it not align most? How will you reconcile this, if possible?
19. What would change about the new evaluation system, if anything, to make it more reflective of your personal leadership style?

20. What concerns if any do you think teachers have about the new evaluation system? Are these concerns legitimate?
21. Do you feel the new evaluation system will evaluate teachers fairly? Explain.
22. Do you feel the new evaluation system will evaluate leaders fairly? Explain.
23. How might the new evaluation impact the way teachers teach?
24. How might the new evaluation system impact the way you lead?
25. Can you imagine specific ways the new evaluation system might lead to improvements in teaching and learning? Explain.
26. Can you imagine specific ways the new evaluation system might lead to improvements in your leadership? Explain.
27. How might the new evaluation system affect relationships (peer to peer, or supervisor to educator) in the building? Explain.
28. How might the new evaluation framework influence (or not influence) other professional activities?
29. How will you fit evaluation (and all its components, i.e. feedback, co-reflection, etc.) into your busy day? (Is there enough time?)
30. Please add anything you'd like to say about the evaluation systems (old or new) at this point.

APPENDIX C

PARTICIPANTS

Pseudonym	Gender	Position	Years Experience
G.F.	M	Middle School Principal	8
A.C.	M	High School Principal	3
D.C.	F	Middle- H.S. Principal	3
T.M.	F	Elementary Principal	4
K.J.	F	Secondary Teacher	10
M.C.	F	Elementary Teacher	5
A.M.	M	Secondary Teacher	7
O.C.	M	Middle School Teacher	3

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