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Secondary Preservice Teacher Expectations of the Principal's Role in New Teacher Induction

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SECONDARY PRESERVICE TEACHER EXPECTATIONS OF THE PRINCIPAL'S ROLE
IN NEW TEACHER INDUCTION

By

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A dissertation submitted in partial fulfillment
of the requirements for the

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ABSTRACT

Secondary Preservice Teacher Expectations of the Principal's Role in New Teacher Induction
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The three concurrent conceptualizations of induction include a phase in teacher development; a process of socialization; and the formal, programmatic structures. A major challenge faced by the beginning teacher during induction is reconciliation of expectations and realities. School leadership, through establishing and fostering an induction-conducive school culture, ultimately crafts effective induction. Using a paradigm and historical lens, current trends (the “fifth wave”), role theories, and a grounded theory methodology, this study examined the nature of expectations that preservice teachers hold regarding school principals through investigating from where, how, and why these expectations develop. The research design was a three-phase (conceptual ordering of questionnaires, interviews/re-interviews, and verification/theory generation) systematic grounded theory approach with data analysis concurrent and reiterative with data collection. The participants were preservice teachers in the field experience phase of their traditional teacher education program in a university in the Southwestern United States.

The findings showed that, rather than unrealistic optimism, preservice teachers expressed a realistic optimistic bias both in the general expectations of their early career and of the roles of the principal. Two main roles, manifesting as continua emerged: the school leader and the instructional leader. The continua reflected negative beliefs to neutral norms to positive preferences. The preferences were a positive extension of norms, whereas the negative beliefs were opposite of these. Positive preferences were more at the forefront of preservice expectations. Viewed in this way, the core phenomenon was seen as “hope”. Preservice

teachers feared the negative possibilities and believed they could occur, they passively held the norms of the profession, but extended those norms into positive roles which they hoped their future principals would enact. Field experiences were found to impact initial expectations, developing the spectrum of specific expected roles. Implications for teacher education programs, induction programs, and practicing principals were discussed.

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DEDICATION

This dissertation is dedicated to my parents, Castle K. Nishimoto and Bonnie Lee Nishimoto.

They raised me to have a lifelong desire for knowledge and supported me through my education.

TABLE OF CONTENTS

ABSTRACT.....	iii
ACKNOWLEDGEMENTS	v
DEDICATION	vi
TABLE OF CONTENTS.....	vii
LIST OF TABLES	xii
LIST OF FIGURES	xiii
CHAPTER ONE	1
Definition of Induction: Three Conceptualizations.....	2
Phase in the continuum.....	3
Process of socialization	3
Formal, programmatic structures of induction	4
Conclusion.....	5
Beginning Teacher: Inservice Challenges Rooted in Preservice Expectations.....	6
Unrealistic optimism.....	6
Reality shock	8
Juxtaposition of conceptualizations and expectations.	8
Research Problem.....	9
Misalignment of expectations.....	9
Unknown expectations held by preservice teachers.	10
Purpose of the Study	11
Significance of the Study	11
Research Questions	12

CHAPTER TWO	13
Theoretical Framework	14
Conceptual Paradigms of Induction	14
Induction Eras	16
Waves of formal induction	18
Fifth Wave: 2007 and on	20
Summary	21
Role Theories	23
Literature Review	25
Selection of Studies of Teacher Induction	25
Conceptual Lens	28
Misaligned Perceptions of Components	29
Collaboration and the Roles of the Principal	30
CHAPTER THREE	36
Qualitative Methodology	36
Grounded Theory	37
Participants and Context of the Study	39
Context of the study	39
Participants.	42
Data Sources	44
Questionnaires.	45
Interviews.	46
Documents.	48

Focused verification interviews.....	48
Data Collection.....	49
Phase I - Questionnaires	49
Phase II – Interviews and Documents	50
Phase III – Verification.....	51
Data Analysis	51
Constant comparative analysis.	51
Coding.	52
Analysis procedures.....	54
Theorizing.....	54
Limitations	56
Researcher Bias and Bracketing.....	57
Institutional Review Board.....	58
CHAPTER FOUR.....	59
The Nature of Preservice Teacher Expectations	60
Outlook: Optimism and Hope	60
Summary.....	64
Conceptualizations of Early Career Support.....	65
Summary.....	67
Expectations of the Principal’s Role	68
Questionnaire data and conceptual ordering.	68
Summary.....	73
Interview data and reiterative analysis.	73

School Leader roles.	75
Instructional Leader roles.	77
Summary.....	79
Preservice Expectation Development	79
Emerging Logic Paradigm of Role Expectation Development.....	82
CHAPTER FIVE	85
Brief Summary of Findings.....	85
Comparison and Contribution to Literature	87
New understanding of preservice teacher outlook.	87
Preservice understanding of formal induction.	88
Expected roles of the principal.	89
Unexpected roles of the principal.	93
Summary.....	94
Contribution to Socialization Theory, Induction Paradigms, and Fifth-Wave Thinking.....	94
Socialization theories.....	94
Induction paradigms and fifth-wave thinking.	96
Implications for Teacher Education, Teacher Induction, and School Leadership	98
Teacher education.....	98
Professional development – teacher induction.	103
School leadership.....	106
Limitations and Suggestions for Future Research.....	107
Limitations.....	107
Lingering questions.	109

Future research.	110
Conclusion	111
APPENDIX A: Original Pilot Study IRB Documents.....	114
APPENDIX B: Role of the Principal Questionnaire	123
Part 1: Open-ended.....	123
Part 2: Closed-ended	124
APPENDIX C: Interview Protocol	125
REFERENCES	127
CURRICULUM VITAE.....	147

LIST OF TABLES

<i>Table 1: List of Induction Program Structures (categorically organized)</i>	5
<i>Table 2: Overview of the Eras of Induction History</i>	22
<i>Table 3: Roles of the Principal in Induction</i>	33
<i>Table 4: Induction Leadership Roles framed by Role Theory Social Concepts</i>	34
<i>Table 5: Participant Information</i>	43
<i>Table 6: Data Sources and Research Questions</i>	45
<i>Table 7: General Interview Questions toward Research Questions</i>	47
<i>Table 8: Data Collection Timetable</i>	51
<i>Table 9: Example of Micro-Analysis during Open Coding Level</i>	52
<i>Table 10: Ranking Distribution Optimism Questionnaire Item</i>	61
<i>Table 11: Individual Ranking Profiles of Optimism Questionnaire Item</i>	61
<i>Table 12: Ranking Distribution of Conceptualization Questionnaire Item</i>	65
<i>Table 13: Individual Profile Rankings of Conceptualization Questionnaire Item</i>	66
<i>Table 14: Ranking Distribution of Principal Role Questionnaire Item</i>	68
<i>Table 15: Ranking Profiles of Principal Role Questionnaire Item</i>	69
<i>Table 16: Role of Principal Ranking Profiles by Participant Stage in Preparation</i>	72
<i>Table 17: School Leader Roles Expectation Continuum</i>	76
<i>Table 18: Instructional Leader Roles Expectation Continuum</i>	78
<i>Table 19: Preservice Teacher Expectations of the Principal Role</i>	86

LIST OF FIGURES

<i>Figure 1: Diagram of Data Sources, Analysis, and Theorizing.....</i>	<i>55</i>
<i>Figure 2: Impact of Experience on Outlook Expectation Modality</i>	<i>64</i>
<i>Figure 3: Development of Simultaneous Principal Role Expectations</i>	<i>84</i>

CHAPTER ONE

INTRODUCTION

Induction, the first years of teaching in the classroom, is a critical period in a teaching career. During induction, early career teachers face entry and acculturation to a new profession. Compounding this daunting stage, new teachers also meet a myriad of challenges that may not match their idealistic and optimistic expectations held in preservice teacher education (Evans & Tribble, 1986; Weinstein, C., 1988; Weinstein, C., 1989). This misalignment of preservice expectations and inservice realities is the potential cause of early career discouragement, resulting in poor instructional practice as well as attrition (Weinstein, 1988).

The impetus to establish and implement effective teacher induction is mounting as disproportionately large numbers of new teachers enter teaching while experienced veterans leave (Ingersoll, 2012). Not only is the number of new teachers increasing exponentially, but their participation in induction programs has increased to the point that formal induction is a standard practice in almost all U.S. schools (Kang & Berliner, 2012; Smith & Ingersoll 2004). Effective induction has been shown to positively impact new teacher retention as well as beginning teacher practice that has led to increases in student achievement (Ingersoll, 2012; Villar & Strong, 2007). As such an impactful element of the education system, there is an imperative need to fully understand effective beginning teacher induction.

Definitions and models of induction are established in the literature, but what constitutes effective induction is still a tenuous proposition. What is known about effective induction is that a collaborative school climate and culture along with conducive organizational structures are a foundational prerequisite (Bickmore & Bickmore, 2010a). Beginning teacher practice and development can be affected by induction structures and the impact or success of induction

processes are dependent on the contextual and professional culture in which it is embedded (Angelle, 2002; Angelle, 2006; Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b, Brock & Grady, 1998, Cherian & Daniel, 2008; Kardos, Johnson, Peske, Kauffman, & Liu, 2001; Quinn & Andrews, 2004; Wang et al., 2008; Wood, 2005; Youngs, 2007). School leadership is both responsible and accountable for fostering a school climate and culture conducive to staff professional growth (Council of Chief State School Officers, 1996). In essence, school leadership, through establishing and fostering an induction-conducive school culture, ultimately crafts effective induction.

This chapter presents and explains conceptualizations of teacher induction. Through these conceptualizations, a picture of the important aspects of this complex process can begin to be focused. In this way the target of inquiry for this study is both identified and justified.

Definition of Induction: Three Conceptualizations

Induction traditionally refers to influences exerted on professional entrants by systemic structures of recruitment and admission, professional education and preparation, and initiation procedures and systems that delineate a path toward full acceptance and membership in a profession (Feiman-Nemser, 2010; Lawson, 1992). In most professions, this is a carefully defined procedure for carrying new members along (Hunt, 1968). In the profession of education, Burkett (1953) stated that teacher induction was a program of orientation focused on opportunities for personal acceptance, encouragement, and social adjustment in school and in the community. This early definition of teacher induction does foreshadow future ideas about programs and purposes, but does not quite reach a theoretical treatment of the term. Three concurrent conceptualizations of induction developed over time: a phase in teacher development;

a process of socialization; and the formal, programmatic structures of induction (Feiman-Nemser, 2001a; Feiman-Nemser, 2010).

Phase in the continuum. Definitions of beginning teacher induction did not appear broadly in the literature until the 1980s. Almost facetiously, Yarger (1982) jested, “if the term ‘induction’ were placed on one of the emerging teacher competency tests, it is likely that only a visionary would understand its meaning” (p. 93). Griffin (1985) noted the absence of a definition and demoted the term to a ‘catchword’. But, the true ‘catchword’ in the early and emerging induction literature was actually the term *continuum*. Hall (1982) was among the first to note the professional continuum conceptualization which begins in preservice preparation and continues through inservice with the transition between graduation and the onset of career teaching being induction. Huling-Austin (1990) made similar distinctions, defining induction as part of a continuum of the larger context of teacher education consisting of preservice, induction, and inservice. Feiman-Nemser (2001a; 2010) also refers to the teacher education continuum, specifically highlighting induction as the connection between preparation and professional development; a phase in teacher development. In the first encounter with the realities and responsibilities of the classroom, beginning teachers face their first true challenges. This is an intense experience but a formative phase in learning to teach. The purpose of the induction during this phase is not necessarily to abate these challenges or even to ease transition. In this conceptualization, these challenges are learning opportunities for the beginning teacher. And in the end, these aspects of learning to teach must unfold in ways that support the beginning teacher’s capacity for further professional growth (Feiman-Nemser, 2001a).

Process of socialization. Induction as a socialization process is primarily experienced on a daily scale (Feiman-Nemser, 2010). A school is the social system with a formal organization

of individuals in discrete roles that are learned through everyday contact resulting in the transmission of norms, values, and knowledge (Rehage, 1968). These beliefs, attitudes, dispositions, as well as skills and life habits acquired through socialization are generally those associated with the profession-at-large (Killeavy, 2006), but can also be context-specific (Assuncao-Flores, 2010; Feiman-Nemser, 2010). Griffin (1985) forwarded that one way to look at the entry of new teachers is to espouse the perspective of socialization as a process of acculturating entrants into the norms and standards of an existing organization. In recent years, this one-way view of socialization as adaptation has been replaced with the conceptualization of transformative socialization (Feiman-Nemser, Schwille, Carver, & Yusko, 1999); as an interplay between the individual and the context of the school (Brock & Grady, 2001). The context and culture of the school and the characteristics of its organization are the primary factors in mediating the socializing influence of colleagues and the quality of the mentoring relationship (Assuncao-Flores, 2010).

Formal, programmatic structures of induction. Formal induction programs comprise the last conceptual definition of the term. As formal, programmatic induction gained footing in educational and professional practice and policy, the definition of induction transformed to include structured assistance programs for beginning teachers (Lawson, 1992; Feiman-Nemser, Schwille, Carver, & Yusko, 1999). Induction as formal and programmatic forwards a conceptualization including a discrete, bounded, isolated system of structures (Feiman-Nemser, 2010). But embedded within these formal programs, systems, and structures are the other two conceptualizations: a phase of teacher development and a process of socialization (Feiman-Nemser, 2010; Martin & Robbins, 1999). Several researchers provide a mass inventory of the programmatic components of formal induction (see Brewster & Railsbeck, 2001; Brock &

Grady, 2001; Huling-Austin, 1986; Huling-Austin, 1990, Runyan, 1990; Wilkinson, 2009; Wong, 2004; Wood & Stanulis, 2010). Synthesized, this inventory contains 21 components described in the literature. Categorized, these 21 components fall under seven categories (see Table 1).

Table 1: List of Induction Program Structures (categorically organized)

Acculturative	
	Materials – staff handbook, district policy guidelines, teaching contract, staff newsletters
	Orientation – meeting(s) geared toward new teachers, to acculturate them to the setting
	Social Functions – staff luncheons, faculty parties, school sports events or performances
Transitional	
	Load Reduction – assigned team teacher, less challenging students, and/or less class preps
	Beginning Teacher Cohorts – regular meeting of beginning teachers to share experiences
Developmental - practical	
	Observation of Beginning Teachers by Experienced Colleagues
	Observation of Experienced Teachers by Beginning Teachers
	Formative Assessment
	Conferencing – meeting for feedback and reflection on observed practice
	Individual Goal or Growth Plans
	Portfolios – for professional development and professional assessment
Developmental - theoretical	
	Seminars/Workshops – focused on pedagogy and subject matter
	College Courses
	Professional Reading
	Participation in Action Research
Mentoring	
	Guidance from peers, sometimes using other activities (observation, conferencing, etc.)
Program Processes (not involving beginning teacher)	
	Program Evaluation
	Mentor selection and training
Elements of School Culture and Organization	
	Professional Learning Communities
	Instructional Collaboration – co-planning, teacher teams, interdisciplinary teams
	Shared vision
	Active administrative support

Conclusion. Certain researchers promote the view that the research community still lacks a clear theoretical definition of induction (Serpell, 2000) and the education profession lacks a clear practical definition of induction (Killeavy, 2006; Wayne, Youngs, & Fleischman, 2005).

Serpell (2000) warned that in the absence of a clear definition, the definition of induction would grow from the goals or components of induction programs, thereby describing induction rather than defining it. Using the three conceptualizations outlined above to define induction avoids the error of simply describing induction. In fact, it is a definition that approaches a theoretical treatment of the term. Each of these conceptualizations holds both exclusive and overlapping assumptions, rationale, purposes, and foci which each inform the study at hand.

Beginning Teacher: Inservice Challenges Rooted in Preservice Expectations

“New teachers have two jobs—they have to teach and they have to learn to teach” (Feiman-Nemser, 2001a, p. 1026). Moir (1999) stated that the beginning teacher moves through a series of phases while teaching and learning to teach: anticipation, survival, disillusionment, rejuvenation, reflection, and then back to anticipation. During the anticipation phase, which begins in preservice preparation, the beginning teacher anticipates their first teaching assignment with a combination of excitement and anxiety. Anticipatory beliefs tend to be optimistic, and in some cases when the role of the teacher is romanticized, unrealistically optimistic (Weinstein, 1988). This optimism and idealization of beginning teaching translates into an early commitment to inspiring and impacting students’ learning and lives (Wong 2004). But despite these enthusiastic aspirations, fueled by fresh entry into a profession, beginning teachers lack the type of expertise garnered by years of experience (Protheroe, 2006).

Unrealistic optimism. A major challenge faced by the beginning teacher is reconciling the differences between expectations and realities, both psychologically and professionally. Childers and Podemski (1982) stated that expectations are developed experientially both before and during preservice preparation. But often the realities of the classroom differ from the unrealistic expectations that are developed in preservice teacher education. These unrealistic

expectations could be detrimental to the beginning teacher, resulting in job dissatisfaction, loss of confidence, and burn-out. Childers and Podemski further connected the concept of beginning teacher unrealistic optimism to cognitive dissonance theory; the theory that cognitive stress results when beliefs do not match reality. In this theory, a person has two choices in order to return balance: they must both minimize their acceptance of reality and maintain initial beliefs, or oppositely, they must abandon initial beliefs and adopt the opposing view. In order for the person to abandon their initial beliefs, the person must become critical of the initial beliefs to the point that the opposing viewpoint seems rational. The famous colloquial example of this phenomenon is the Aesop fable, *The Fox and the Grapes*, wherein the fox tried in vain to reach grapes growing high on a vine, but when the fox cannot reach them, he decides that the grapes were probably not worth the effort in the first place; his ultimate justification was that grapes were sour anyways. In other words, the beginning teacher will either ignore the feedback from students, colleagues, and supervisors—blissfully continuing to believe that the unrealistic ideal that was expected is reality—or, the beginning teacher will reverse their idealistic beliefs and become critical of their initial optimism and their efforts to achieve their vision. Either of these coping strategies may result in teacher disillusionment and apathy (Childers & Podemski, 1982). Of the two, the literature has noted a trend of the latter; the critical abandonment of initial idealism (Veenman, 1984). But to quote another colloquialism, perhaps the beginning teachers that cope in this manner are “throwing out the baby with the bathwater.” Their initial idealistic beliefs from preservice were most likely theory-driven, student-centered, and due to teacher education standards in preparation, constructivist and reflective in nature. Upon their abandonment of these beliefs, beginning teachers may adopt opposing traditional, didactic, and

custodial views of students, teaching, and schools (Veenman, 1984); believing in the end that the best practices that initially failed them were “sour grapes”.

Reality shock. Another major challenge faced very early in the induction phase is *reality shock*. Coined by Hughes (1958), reality shock refers to the professional newcomer’s experience upon entry to an unfamiliar work setting. Similar to unrealistic optimism or idealistic expectations, reality shock refers to the mental stress caused by the beginning teacher’s encounter and confrontation with the realities of the profession (Louis, 1980). Veenman (1984) noted an error in the terminology, stating that using the term suggests a very short term experience, when in fact the reality shock deals with the acculturation to a complex reality which is incessantly forced upon the beginning teacher every day. Reality shock could be the result of personal issues (inappropriate dispositions, attitudes, or choices), situational causes (inadequate preparation or a problematic site-based situation), or a combination of factors from both depending on the individual and the situation (Louis, 1980; Veenman, 1984). Although the type of preparation received by the beginning teacher has shown to be either a major contributor or mediator of reality shock, “it may never be possible for the new teacher to escape reality shock completely” (Metzner, 1982, p. 197).

Juxtaposition of conceptualizations and expectations. Both unrealistic optimism and reality shock occur at the start of the induction process and are rooted in expectations developed in preservice preparation and before. These expectations interact with the induction process on all levels of conceptualization, regardless of whether the lens is teacher development, socialization, or formal structures. Belief and expectation development are a facet of overall teacher development. Formal structures and components align with and enact agendas of development and socialization. And, expectations play a large part in the process of socialization. Expected experiences encountered by beginning teachers are easily coped with,

while other unexpected experiences or unmet expectations are not as easily overcome due to the surprise and stress they cause. As Quaglia (1989) stated, “when coping with these experiences (surprises or not), the beginning teacher goes through a socialization process” (p. 3). In this specific process of socialization, referred to in the literature as *sense-making* (Louis, 1980) or *meaning-attribution* (Quaglia, 1989), beginning teachers rely on individual and organizational inputs to make sense of and attribute meaning to unexpected or unmet expectations. Individual inputs include professional knowledge as well as past professional and personal experiences. Organizational components include cultural norms and assumptions, policy and administration, and colleagues, among many others.

Research Problem

Misalignment of expectations. Unrealistic optimism as a specific challenge faced by beginning teachers (Evans & Tribble, 1986; Weinstein, C., 1988; Weinstein, C., 1989), has the potential to undermine the effectiveness of induction on individual teachers (the goals) and the overall functioning within the school (the process). Childers and Podemski (1982) have noted that reconciling unrealistically optimistic expectations from preservice and the harsh realities of inservice may lead to disillusionment, discouragement, and dissatisfaction, as well as apathy in practice, and loss of confidence. When these factors lead to the teacher leaving the profession, all three of the goals of induction (retention, quality practice, and gains in student achievement) remain unmet for that individual. Further, Veenman (1984) noted that in reconciling unrealistic expectations, beginning teachers tend to critically abandon their initial idealism in favor of more traditional, custodial views students, teaching, and schools; believing in the end that those idealistic but yet quality practices were “sour grapes”. Likewise, Feiman-Nemser (2010) noted many studies conclude that beginning teachers abandon their ideals and lower their expectations

in order to conform to organizational realities. The issues that these phenomena outline is that unrealistic expectations can lead to the critical abandonment of appropriate beliefs and, in the end, create a barrier to teacher development, socialization, and programmatic induction interventions.

Unknown expectations held by preservice teachers. Anticipatory expectations held by preservice teachers regarding school principals could potentially be unrealistically optimistic. As principals' interactions in the induction process have overshadowed those of the mentor as the primary experienced component (Ingersoll, 2012), the roles of the principal in the induction process has gained immense attention in the general teacher induction literature. The “fifth wave” of induction programs and implementation (see the detailed explanation in Chapter 2) has embraced the multifaceted paradigm embedded in collaboration (Wood & Stanulis, 2010) and the integral role of the principal within this type of induction system (Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b). As such an impactful and integral element of induction, there is an imperative need to fully understand the roles of the principal in the induction process.

Inservice challenges rooted in preservice expectations. As mentioned previously, when idealistic beliefs about classroom management or instruction are abandoned, the opposing beliefs that are adopted tend to be didactic and custodial; a process that creates barriers to success in classroom instruction (Veenman, 1984). In the process of socializing to the roles themselves and others, beginning teachers may reconcile initial unrealistically optimistic beliefs by abandoning them as “sour grapes” and adopting opposing, maladaptive beliefs. Adopting maladaptive beliefs about the school principal could be a barrier to the development of a productive relationship with their principal. These beliefs could further be a barrier to the beginning teacher being a collaborative participant in the school culture. In effect, this

phenomenon could potentially undermine all of the individual outcomes of the induction experience, and also be a severe barrier to the site induction process. This entire scheme of misaligned expectations, and its potential consequences in the induction process, is rooted in the development of expectations in preservice teacher education.

Purpose of the Study

The purpose of this study was to determine the nature of expectations that preservice teachers hold regarding school principals. Further, this study investigated from where, how, and why these expectations developed. Three research decisions were determined based on concepts discussed in this chapter. First, expectations as the phenomenon was decided due to the challenges faced in induction that are initially rooted in expectations developed in preservice. Second, preservice teachers as the participant targets of inquiry and primary source of data were decided because expectations develop in preservice. Inservice teachers were not included in the participant sample because the nature of reality shock and reconciliation of unrealistic expectations could confound and confuse the data on the phenomenon. Third, principals were the facet of expectations that was decided for two reasons: the integral role of principals in induction and the gap in the literature regarding preservice expectations of principals.

Significance of the Study

This third research decision also informs the significance of the study. Extant investigations of unrealistic optimism in preservice teachers focused on the facets of practice and students. These investigations included perspectives of three groups: preservice teachers, inservice teachers, and principals; thus, providing a clear picture of the development, progression of unrealistic optimism and the consequential maladaptive beliefs with regard to the facets of practice and student. But, extant literature on expectations of principals includes perspectives

from only inservice teachers and the principals themselves. This gap in the literature creates an incomplete and ‘sketchy’ picture of progression of development of beliefs and expectations regarding school leaders.

The findings from this study contribute to the knowledge and understandings of preservice teacher outlook, conceptualizations of induction, and the roles of the principal that are expected and unexpected. This study further contributes to socialization theories and the paradigmatic thinking of induction implementation. The findings from this study provide a set of themes that teacher educators can use to facilitate secondary preservice teachers in developing realistic understandings and expectations about the roles of the principal. There are also implications and suggestions for practicing school principals. To properly align with normative expectations of their roles, school principals need to understand the initial expectations of beginning teachers fresh from preservice preparation.

Research Questions

The research questions guiding this study, to be explained and justified in the next chapter, are:

1. What is the nature of the preservice teacher expectations for secondary school principals in teacher induction?
2. How and why do these preservice expectations originate?
3. How do secondary preservice teacher expectations about school principals agree with and differ from norms in the current literature?

CHAPTER TWO

THEORETICAL FRAMEWORK AND REVIEW OF LITERATURE

Returning to the fable of *The Fox and the Grapes*, if the fox were asked his expectations of the grapes before and after his experience, the expectations described would not align. This is the basis of the study at hand, the fox being preservice teachers and the experience being entry induction. The fox's early expectation was most likely that of a delicious fruit; optimistic. After his experience, his expectation was 'sour grapes'; adopting an opposing, negative view. This uncompromising black-and-white example is compelling, but does not take into account the varying dimensions of expectations. Illustratively, if the fox were asked his expectations of grapes in general, the fox could answer that grapes could be delicious if ripe and sour if not. The fox in this case gave two dimensions and conditions. Could it be that the fox could hold both expectations of dimensionality simultaneously? Similarly, if the fox were to be asked his preferences regarding grapes would they differ from his expectations ('I would like the grapes to have thick skin, but most grapes grow thin skin')? This highlights the importance of understanding and framing the varying dimensions of expectations that may appear and must be analyzed in this study.

This chapter outlines the theoretical framework and provides a review of relevant literature. The theoretical framework extends the three conceptualizations of induction with several traditional and conceptual paradigms of induction. The theoretical framework also includes a historical perspective of policy and trends. The final piece of the theoretical framework is a discussion of the use of role theories to frame the concepts, further focus the target of inquiry, and guide the research design and instruments. Most importantly, role theories clearly define the modes and dimensions of expectations. The literature review provides a

clearer picture of the ‘fifth-wave’ of induction and notes the themes of misaligned perceptions and the ever-refining roles of the principal as integral to the process of induction. From the themes of this chapter and the previous chapter, framed by the theoretical framework, the research questions emerge.

Theoretical Framework

Conceptual Paradigms of Induction

Traditional paradigms of induction include the functional paradigm and the supportive paradigm. The *functional paradigm* is the provision of induction support as seen to address beginning teacher needs. Research utilizing the functional paradigm compares support needed to support provided (Odell, 1986; Odell, Loughlin, & Ferraro, 1986). The *supportive paradigm* is the characterization of beginning teachers as adapters to the existing institutional and systemic norms (Feiman-Nemser, 2010) and their efforts to integrate through adoption of attitudes (Fox & Singletary, 1986). Supportive induction seeks to ease this transition through personal and psychological support of the beginning teacher. Traditional paradigms emphasize a one-size-fits-all approach (Feiman-Nemser, 2010). Nowhere is this clearer than the explicit and ardent avoidance of individual formative assessment (Fox & Singletary, 1986). These traditional paradigms have either been abandoned or integrated into later paradigms. While these paradigms do not inform the study at hand, they do provide a conceptual lens for understanding early and traditional induction thinking.

Developmental paradigms regard beginning teachers as novices with basic competencies rather than experienced professionals. These perspectives assume a long-term, incremental, individualized approach to the developmental needs of the novice in becoming an accomplished teaching professional (Brock & Grady, 2001; Feiman-Nemser, Schwille, et al., 1999). A second

common requirement is a supportive context; thereby incorporating earlier traditional paradigms. The context is not only a focus for founding support, but also determines the situational goals and activities—those beyond the individual, developmental goals—of a beginning teacher’s induction (Brock & Grady, 2001). The developmental paradigm also contains an aspect of beginning teacher autonomy in the process. This autonomy can occur inherently and implicitly (the beginning teacher moves through the process in response to their individual development) or intentionally and explicitly (the program design allows for choice).

Although the terms *comprehensive* and *multifaceted* generally refer to strategic approaches to induction, when viewing these as perspectives with distinct beliefs and epistemologies, their importance as paradigms emerges. The *comprehensive paradigm* regards the induction as a holistic and all-encompassing process towards the acculturation and development of the beginning teacher while addressing issues of the profession-at-large, such as teacher attrition, quality of instruction, and student learning (Birkeland & Feiman-Nemser, 2012; Feiman-Nemser, 2010; Wong, 2004; Wong, Britton, Ganser, 2005). The comprehensive paradigm emphasizes the formal and structured nature, guided by a shared set of values and a vision (Wong, 2004; Wong, Britton, Ganser, 2005). Similar but slightly different, the *multifaceted paradigm* regards the induction process as multiple interacting components and elements, each addressing various personal and professional needs of the beginning teacher (Bickmore & Bickmore, 2010a; Wood & Stanulis, 2009). In a sense, the multifaceted paradigm is the marriage of the comprehensive paradigm and the traditional functional paradigm.

Two emergent but distinctly contradictory paradigms are the standards-based paradigm and reform-oriented paradigm. The *standards-based paradigm* encompasses developmental paradigms, but the concept of development held in the paradigm is specifically towards

professional teaching standards. This paradigm emerged first from foci on district standards (Wong, 2005) to state standards (Wilkinson, 2009), and finally to the overarching standards of the profession as articulated by professional organizations (Feiman-Nemser, 2001; Feiman-Nemser, 2012; Wang, Odell & Schwille, 2008). On the opposite end of the spectrum is the *reform-oriented paradigm* which encompasses those beliefs that induction can be a vehicle for, and a major part of, school-wide reform through the articulation of vision and the responsive nature of the school itself to the fresh perspectives of the beginning teachers; the school induction leaders and beginning teachers can enact a reform agenda through the processes already in place for induction.

These paradigms provide a lens for the analysis of expectations and the understanding of their nature. Much like the three conceptualizations of induction outlined in the previous chapter which can delineate the type of process expected (development, socialization, or formal), these paradigms can further analytically frame whether the expectations are functional, supportive, developmental, comprehensive, multifaceted, or one the emerging paradigms. It is important to use these lenses in combination since certain paradigms are inherently cohesive with conceptualizations, reinforcing them, while others can extend facets of understanding beyond the three conceptualizations. In essence, the combination of paradigms and conceptualizations can frame expectations of induction as a whole. With regard to the study at hand, this combination can frame expectations of principals within a conceptual perspective and paradigm of induction, providing a clearer picture of the nature of the held expectations.

Induction Eras

Conceptions of induction began to crystallize somewhat in the 1950s. Prior to this era, the term induction was used synonymously with internship programs and other preservice field

training (Burkett, 1953). Induction in the 1950s was conceptualized as inservice training or professional development that was targeted for beginning teachers and that focused primarily on their adjustment and needs. The general focus of induction programs for this time was instilling a sense of security and confidence through activities that addressed beginning teacher problems, needs, and concerns. This individualistic approach was assumed to result in retention and improved practice.

The induction literature and practice in the 1960s was developmental and cognitive in nature and focused on induction as a socialization process, drawing on multiple perspectives grounded in the fields of psychology and sociology (Johnston & Ryan, 1980). Formal aspects of induction were, as yet, insubstantial, with the prevailing thought that a simple orientation meeting was a major formal structure of induction. The formal structures familiar today began to incubate and emerge in school-based formal induction programs.

By the 1970s, one of the most recognizable and policy-favored structures of induction, namely mentoring, began to receive widespread acceptance as ideal practice. But this was a double-edged sword. The emergence of mentoring programs as the sole intervention for beginning teachers became a norm in both practice and research and marked the beginning of the erroneous blurring between the terms *mentoring* and *induction*. Likewise, other forms of assistance and support were relatively ignored. Despite the flawed thinking regarding induction in the 1970s, the publication of two books, *Don't Smile Until Christmas* (Ryan, 1970) and *Schoolteacher: A Sociological Study* (Lortie, 1976), would found the emergence of formal induction programs with structures and approaches beyond mentoring alone (Wilkinson, 2009, p. 97). Zeichner (1979) divided these early eras of induction as pre-1963 and 1963-1978, based on the publication of the Conant Report (Conant, 1963). The report contained specific

recommendations for the support of beginning teachers (Conant, 1963), which impacted the national interest in the practice and research of teacher induction. Zeichner's 1978 end-date was a date chosen for the purposes of framing the literature, not as an era-ending limit. But interestingly, 1978 marked the beginning of a new era of state-initiated or state-mandated induction (either by state legislatures or state education bodies) with Florida being the first to establish and implement a state-level induction program.

Waves of formal induction. Creation and implementation of formal, large- or state-scale induction programs occurred in what Fideler and Haselkorn (1999) referred to as “waves”; the wave simile conceptualizing the crests and troughs of policy and implementation that had varying foci for induction. Three waves explicitly outlined were: the first wave prior to 1986; the second wave from 1986 to 1989; the third wave from 1990-1996; and the fourth wave predicted to peak in 2000. Because of the 1978 initiation of state-level induction programs, it could be argued that Fideler and Haselkorn's first wave is actually bounded within 1978 to 1986.

In the first wave, from 1978 to 1986, state-level induction programs were initiated by eight states. However, these programs were not mandated, did not serve every new teacher, and were underfunded or completely unfunded (Fideler & Haselkorn, 1999; Wood & Stanulis, 2009). As a result, the programs were loosely administered, mostly informal, and continued the practice of using mentoring almost exclusively. The goal of these first induction programs was to stem attrition, increase competence, and acculturate new teachers to the profession. The second wave, 1986 to 1989, was characterized by a variation in program structure and a dramatic increase in state-level induction programs, local district and school induction programs as well as induction programs sponsored by colleges of education and other institutions of higher education (Arends & Rigazio-Digilio, 2000; Feiman-Nemser, 2012; Feiman-Nemser, Carver, Schwille, & Yusko,

1999; Feiman-Nemser, Schwille, Carver, & Yusko, 1999; Fideler & Haselkorn, 1999). Although the term “induction” was still synonymous with mentoring in this era (Huling-Austin, 1986; Huling-Austin, 1988; Wong, 2004), induction program structures included professional development activities. This represented a major paradigm shift in the goals of induction. In addition to the focus on socialization for retention (a tradition of practice and literature by this time), professional development addressed competence and quality (Arends & Rigazio-Digilio, 2000). The third wave, 1990 to 1997, grew from the school reform agenda and focused on the recruitment, retention, and support of quality new teachers. The 1990s was characterized by an abundance of existing programs, which led to vast leaps in the research on induction as it actually functioned within contexts. Some of the first empirical literature that explored the impact and effects of new teacher induction programs (beyond studies of new teacher experiences, stakeholder perceptions, or program descriptions) appeared at this time. This era continued to focus on formally structured professional development as a means to address beginning teacher performance as well as socialization structures to acculturate new teachers into the profession (Fideler & Haselkorn, 1999; Wood & Stanulis, 2009). This era also expanded the practice of inter-institutional responsibilities for professional development (Feiman-Nemser, 2001a). It could be argued that this third wave and the previous wave are identical in paradigm, goals, and foci, if not for the added component of formative assessment. Despite the emerging empirical evidence of the positive impact of induction programs, their demise was due mainly to the elimination of program funding (Wood, 2001; Wood & Stanulis, 2009).

Wood and Stanulis (2009) took the wave concept one step further and explored the “fourth wave” originally predicted by Fideler and Haselkorn, from 1997 to 2006. Fourth wave programs were described or proposed as *integrated* or *comprehensive* and *multifaceted*.

Traditions of induction such as mentoring, professional development, and formative assessment were continued. This literature led to the form of mentoring intended to focus on long-term teaching performance as well as short-term concerns, namely, “educative mentoring” (Schwille & Wolf, 1997). At the peak of the fourth wave, federal mandates for assessment, accountability, and the requirement of a highly qualified teacher in every classroom (the No Child Left Behind Act of 2001—NCLB), as well as the establishment of national curriculum standards, heavily impacted all aspects education policy, including induction (Andrews & Martin, 2003; Wilkinson, 2009). In response, the focus of teacher induction shifted from transition support through socialization to promoting teaching practice towards standards-based teaching and learning (Wang, Odell & Schwille, 2008).

Fifth Wave: 2007 and on. For many reasons it could be argued that the fourth wave of induction continues to the present, but there are two major reasons for demarcating a fifth wave. First, there is a policy and paradigm shift in the focus and practice of fifth wave induction programs. Second, to continue the wave metaphor, there appears to be a “trough” or a discontinuation of outdated practices or the adoption of new ideas around 2007. Wood and Stanulis (2009) stated that fifth-wave programs could no longer downplay the importance of the effects on teacher effectiveness or on student learning. The interest in the effects on student achievement, especially for diverse populations, became a driving impetus for induction research and practice.

The concept of socializing new teachers into existing school cultures has largely been outmoded by the new conception of incorporating new teachers into professional learning communities or shared-interest collaborative school cultures focused on professional learning (Feiman-Nemser, 2012). In this sense, the *collaborative* element of the school culture acts as a

means to actualize the flexible effect that socialization has on both the new teacher and the school culture; collaboration creates a shared socialization of the new teacher to the school and the school to the new teacher. In the preceding eras, the school leader was conceptualized as the key contributor to the socialization of new teachers. Administrative elements in the practice of induction and the roles of administrators in the research on induction were explored further than previous eras. Beginning in the fourth wave, empirical work defining the school leader's responsibilities and roles increased (Brock & Grady, 1999; Brock & Grady, 2001). In the fifth-wave, specific behaviors, actions, and decisions of administrators were investigated resulting in an ever-clearer picture of the roles and relationships (Bickmore & Bickmore 2010b; Scherff, 2008; Wood 2005).

Summary. Of particular concern is that as induction programs have emerged and evolved there appears to be a steady abandonment of foci on foundational, developmental, and individual needs of beginning teachers. However, it can be seen that elements of induction have actually just been transplanted from focal areas and paradigms to integrated practices (see Table 2). For example, the immediate needs and concerns as well as long-term instructional development toward competence (a former focus and goal) are now integrated and addressed by the educative mentoring practice and formal professional development; acculturation into the profession is no longer a focus because of the recent focus on collaborative school cultures and the integrated practice of professional learning communities.

This review of the history of induction provides a lens into the varying treatments of induction throughout education history. More importantly, the emerging picture of fifth wave induction provides a starting point for researchers to draw current trends and a framework of historical patterns in induction thinking. Further, while the previous discussion of paradigms

provides a theoretical lens, this historical perspective embeds those paradigms in a temporal context with real-world interacting causes and consequences such as national policy initiatives and research agendas. In this way, a historical lens can inform the findings and discussion by juxtaposing the findings with the current national education policy climate. In much a similar process as an environmental scan, this comparison may yield predictions about future trends and the future impact of expectations.

Table 2: Overview of the Eras of Induction History

Eras	Practices & Programs	Goals	Paradigm	Focus
Pre-1963	- Orientation - In-service training	- Retention - Improved practice	- Functional	- New teacher needs
1963 to 1978	- Orientation - Mentoring	- Retention - Develop practice	- Functional - Supportive	- Socialization & Acculturation - Instruction
1978 to 1986	- Orientation - Mentoring - Underfunded state-initiated programs	- Retention - Competence - Professionalism	- Functional - Supportive - Developmental	- Socialization & Acculturation - Instruction
1986 to 1989	- Mentoring - Professional development - Site-based programs - State-mandated programs	- Retention - Competence - Quality practice	- Functional - Supportive - Developmental	- Socialization & Acculturation - Instruction
1990 to 1996	- Mentoring - Formal, structured professional development - Formative assessment - Formal site-based or state-level programs	- Retention - Competence - Quality practice	- Supportive - Developmental - Comprehensive	- Socialization & Acculturation - Standards-based instruction - Impacts/Effects
1997 to 2006	- Educative mentoring - Formal, structured professional development - Formative assessment - Comprehensive or multifaceted programs - Administrative responsibilities	- Retention - Quality practice - Gains in student achievement	- Supportive - Developmental - Comprehensive & Multifaceted - Standards-based	- Standards-based instruction - Standards-based learning - Impacts/Effects - School culture
Post-2006	- Educative mentoring - Formal, structured professional development - Formative assessment - Comprehensive or multifaceted programs - Administrative elements/roles - Professional learning communities	- Retention - Quality practice - Gains in student achievement	- Developmental - Comprehensive & Multifaceted - Standards-based - Reform oriented	- Differentiated instruction - Standards-based learning - Urban school issues - Diverse learners - Impacts/Effects - Collaborative culture

Role Theories

Role theories have had a long and varied history stretching back to the 1930s (see Linton, 1936; Mead, 1934). In their history, role theories have gained and lost favor among researchers in several swells and surges. These theories took many forms and paradigms, and were formally conceptualized into a single theoretical framework by Biddle (1966; 1979), and later, disaggregated by the same scholar (Biddle, 1986). Role theories contend that the difference and predictability of human behavior is dependent on social identities and the situation. This theory encompasses three major social concepts: *identities*, *behaviors*, and *expectations*. Assumptions about the social concept of expectations result in three differing modalities of expectations as *norms*, *beliefs*, and *preferences*. When assuming one of these modes of expectation, roles are generated for differing reasons resulting in differing versions of role theory. *Functional role theory* focuses on conformity and stability of the social system; much like the functional paradigms of induction and socialization. *Organizational role theory* focuses on hierarchal social systems which are planned and task-oriented, such as schools. In these systems, roles and behavior are the result of formal and informal normative expectations associated with the identified, discrete social identities. *Social interactionist role theory*, rooted in early symbolic interactionism, focuses on the flexibility and complexity of roles that evolve through interactions of subjective experiences, other people's input and responses, and relationship to other roles (Biddle, 1986; Pollard, 1985). *Cognitive role theory* focuses on role expectations and individual behavior without emphasis on the normative aspects of these. Attention is especially given to the conditions that give rise to these expectations. Certain theorists in this field focus on "anticipatory role expectations", where expectations are beliefs about anticipated behavior.

With regard to the study at hand, organizational role theory can frame the hierarchal school setting, discrete role identities, and formal and informal normative expectations within the induction process and within the school as a whole. Cognitive role theory can provide a lens for those non-normative expectations and beliefs that may be held by preservice teachers. Social interactionist role theory can also provide a lens for those experiences and interventions that developed and shaped expectations of roles.

Of prime importance to this study is the theoretical treatment of expectations as norms, beliefs, or preferences. Those expectations from the literature regarding the principal's role in induction are treated as *norms*: expectations held as a conception that prescriptively approve or request a characteristic based on shared expectations about a social identity or role. Those expectations sought in this study from preservice teachers are *beliefs*: expectations that are descriptive, objective, and may be anticipatory. Expectations that may appear in the data are *preferences*: expectations that are subjective, and possibly cathectic and emotion-laden. These preference-expectations are usually privately-held and reactive to previously experienced characteristics of a role or rooted in bias rather than accepted norms. The separation and individual treatment of belief-expectations and preference-expectations in the analysis of data strengthens the overall findings especially when comparing those to norms. Also with regard to the research design, role theory concepts inform the data collection. The wording of the initial questionnaire and subsequent interviews were specifically toward eliciting descriptive expectations that are modally varied.

Literature Review

Definitions and models of induction are established in the literature—a process of socialization, a phase in teacher development, and a formal system of support (Feiman-Nemser, 2010). The current tentative conceptualization of effective induction is one that addresses beginning teacher challenges and needs as a process of interactive socialization and as a formal program of multiple interacting components in a multifaceted endeavor embedded in a conducive school climate of collaborative organizational structures (Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b; Cherian & Daniel, 2008; Wood & Stanulis, 2009; Wood & Stanulis, 2010). The purpose of this review was to explore literature that encapsulated this emergent conceptualization of induction. To this end, the “fifth-wave” (Wood & Stanulis, 2009; Wood & Stanulis, 2010) induction literature and induction leadership literature as well as literature regarding the process of learning to teach from preservice to inservice—viewed as inherent to the induction process (Feiman-Nemser, 2010) was sought for review.

Selection of Studies of Teacher Induction

General induction literature for review was searched initially via ERIC and Google Scholar using the keywords *new teacher*, *beginning teacher*, and *novice teacher*, in permutation combinations with the keywords *induction*, *mentoring*, and *assistance*, and finally with a Boolean modifier keyword *program*. Also utilized was the ERIC subject-area thesaurus search feature with the thesaurus-suggested keyword *beginning teacher induction*. Another round of ERIC and Google Scholar searches were intended to find literature that pertained to educational leadership and induction. These searches involved the permutation pairing of the search terms *leadership*, *administrator*, and *principal* with *induction*, *mentoring*, *new teacher*, *beginning teacher*, and *novice teacher*.

No exclusion of articles was conducted at this point. Regardless of article type, titles and abstracts were scanned for further keywords, and cited references were scanned for further literature. Through this initial scan of the en masse literature, more keywords were discovered and therefore searched, for example *teacher socialization*, *unrealistic optimism*, etc. Also, further literature was added to the overall list from the cited references. This secondarily discovered literature was also scanned for keywords and references; a process that continued until a point of saturation was reached (referenced literature was already in the overall list). These searches garnered a list of well over 400 scholarly resources (book chapters, literature reviews, executive summaries, dissertations/theses, etc.).

Once a “saturated master list” of literature was compiled, the first round of winnowing was conducted. Given the history of new teacher induction and the recentness of literature reviews, a temporal exclusion criterion was determined. Empirical articles were sought from the “fifth wave” of induction history—2007 to the present (Wood & Stanulis, 2009). The original intent was to include only those studies which had data collected in the fifth wave. But due to the ambiguity of the date of the data collection in certain studies and the use of older data (compared to the publication date) in other studies, only five studies remained. The inclusion criterion was therefore extended to include studies with data from 2002 and forward. The rationale for this decision was two-fold. First, the wave metaphor of induction implementation and practice as conceptualized by Fideler and Haselkorn (1999) noted that the waves had peaks and troughs. The fourth wave of induction would have peaked with the enactment of the No Child Left Behind Act of 2001 which began the “ebb” of the fourth wave and the “rise” of the fifth wave. The use of the waves of induction as conceptualized by Fideler and Haselkorn could be considered problematic; they are referring to waves of state-initiated and state-mandated

induction programs. However, as Wood and Stanulis noted, independent local implementation by schools and districts usually follows the trends of those larger, state-wide plans.

Contextual considerations were determined for exclusion criteria. Works from contexts outside of North America were excluded. Literature from Canada is based in the same theories and empirical works as the United States. Canadian induction policy makers “follow the lead of many American institutions” (Cherubini, 2007, p. 1). But, Canadian induction policy and implementation does not follow the same history or “waves” of state-initiated induction as the U.S., nor was it impacted by the federal assessment and accountability mandates in the U.S. For these reasons, Canadian studies were included or excluded on a case-by-case basis; those contextually-driven were excluded; and those theoretically-driven were included.

Methodological considerations were determined for exclusion criteria. The strengths or weaknesses of the research designs were not a consideration in exclusion of literature. This method can be justified by the intention of this review, to delineate overarching themes and overall trends of all available empirical literature. Taken as a whole even methodologically deficient studies can contribute to a strong conclusion if consistency in their findings and conclusions is present (Glass, 1977; Veenman, 1984). Previous reviews have found a prevalence of consistency to be the case with most induction literature (McDonald & Elias, 1983; Serpell, 2000; Veenman, 1984) with the glaring exception of literature on the effects and impacts of induction (Ingersoll & Kralik 2004; Ingersoll & Strong, 2011; Lopez et al., 2004; Smith & Finch, 2010). The final exclusionary determinant was whether or not the study was reported in a peer-reviewed journal. After these inclusion and exclusion filters were applied, out of the initial list of about 150 empirical articles, 18 peer-reviewed, empirical studies remained.

Conceptual Lens

In the course of this review several conceptualizations and paradigms are used as the lens of inquiry and analysis. This review espouses the established definition of induction as multiple conceptualizations—a phase of teacher development, a process of socialization, and formal support structures. As such, the beginning teacher is viewed as a novice with emerging competency (Berliner, 1988) with a background of experiences that informs strongly held beliefs (Lortie, 1976), and a preparation that began the socialization process through the encouragement of dispositions of the education profession (Metzner, Nelson, & Sharp, 1972; Wilkinson, 2009); all of this interacting with the situational school context in which beginning teachers finds themselves (Wood & Stanulis, 2010). This review also took into account the transformative nature of the process of socialization, and therefore, espoused the interactionist paradigm of socialization (Assuncao-Flores, 2010; Zeichner & Gore, 1990). Much of the literature reviewed focused on the perceived needs of beginning teachers and those elements of induction they found valuable. In spite of this, a functionalist paradigm was avoided due to the incompatibility with the other conceptual lenses espoused. Instead, the comprehensive and multifaceted paradigm of induction was espoused—where needs are met through multiple, various interacting components.

The reviewed literature was bounded by the date of data collection to obtain those studies of programs and practices within the “fifth wave” (Wood & Stanulis, 2009) of induction implementation. The purpose of this review is to confirm, challenge, and contribute to the current general induction, induction literature, and literature on beginning teaching, specifically with regard to the predictions of Wood and Stanulis (2009) about the fifth-wave goals, foci, and elements of induction. An effort was made to synthesize the findings and themes as comprehensively as could be afforded, but not *every* finding from *every* study was included in

the synthesis. Findings that were insignificant or merely tangential to the purposes of this inquiry were disregarded. On the other hand, a concerted effort was made to be sure that significantly divergent findings were either synthesized or rationalized, but not ignored. This review is presented in a thematic approach rather than study-by-study due to the overlapping and sometimes redundant nature of findings across the reviewed literature.

Misaligned Perceptions of Components

Several studies in this review were interested in those induction components that were perceived as valuable compared to those induction elements that were actually received (Algozzine et al., 2007; Andrews, Gilbert, Martin, 2007; Fry, 2007; Fry, 2010; Gimbert & Fultz, 2009; Quinn & Andrews, 2004). Issues with this type of research included data from beginning teachers who ranked the perceived value or benefit of induction elements that they did not actually experience (Algozzine et al., 2007; Andrews, Gilbert, & Martin, 2007). Two studies found that beginning teachers valued orientation for the exact reason that they did not receive it or received an inadequate orientation (Algozzine et al., 2007; Quinn & Andrews, 2004). Further confounding, new teachers valued orientation more than mentors valued it, but new teachers also valued people enacting elements of induction as more influential than orientation (Bickmore & Bickmore, 2010a). The non-emphasis on orientation in the induction process may go beyond the depreciation of the activity by induction leaders. Administrators may in fact believe that they are providing adequate orientation when it is not perceived that they do. Andrews, Gilbert, and Martin (2007) noted in their study that while 97% of administrators reported providing orientation, only 85% of beginning teachers reported receiving it.

Mentoring was found by six studies to be perceived as beneficial if not integral to the induction experience (Algozzine et al. 2007; Bickmore & Bickmore, 2010a; Bickmore &

Bickmore, 2010b; Frels et al., 2013; Nielson et al., 2007; Womack-Wynne et al., 2011).

Oppositely, Gimbert & Fultz found that beginning teachers did not report valuing mentoring programs. Elementary beginning teachers were found to be more positive of their mentoring experience than their secondary-level counterparts (Frels et al., 2013; Gimbert & Fultz, 2009; Womack-Wynne et al., 2011). Further, they were more motivated than secondary new teachers to want an assigned mentor (Frels et al., 2013). Regardless of grade level, 90% of beginning teachers in one study reported a desire to be matched appropriately with a mentor (Frels et al., 2013).

Apparent in this theme is the misalignment of perceptions between teachers, mentors, and principals. While principals may believe they are providing needed assistance through formal components, teachers may believe that these components are lacking or altogether missing. In practice, expectations are not being met. Mentors and beginning teachers differ on the value of certain components, with beginning teacher generally overvaluing. This misalignment could be a manifestation of vestigial overly optimistic expectations from preservice. More importantly, if disagreement on the expectations of components and their value exists within the context of induction itself, this provides the foundation to the concept that expectations developed outside of the induction stage (in preservice) would also tend to misalign. This line of logic leads to the need to understand what expectations are held in preservice and how they compare to the identified norms.

Collaboration and the Roles of the Principal

Eight studies found collaboration, collaborative activities, and/or a collaborative culture as important and beneficial (Andrews, Gilbert, and Martin, 2007; Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b; Brown & Wynn, 2007; Brown & Wynn, 2009; Nielson et al.,

2007; Scherff, 2008; Womack-Wynne et al., 2011). Four studies identified a collaborative school culture as beyond an element of induction; as foundational to the elements of induction (Bickmore & Bickmore, 2010a; Bickmore & Bickmore 2010b, Cherian & Daniel, 2008; Nielson et al. 2007). In specific, Cherian and Daniel (2008) advocated that principals should create and foster communities of practice within their schools that collaboratively address induction elements and beginning teachers.

Of the literature reviewed, only a single study lacked mention of the role of the principal (Womack-Wynne et al., 2011). Whereas fourth wave induction literature was characterized by a growing interest in the mentor-mentee relationship (Serpell, 2000), fifth wave literature seems to be characterized by the dominant interest in the principal-novice relationship. Corroborating this research focus with actual induction practice, Ingersoll (2012) found from 2007-2008 data that the most common induction activity that beginners participated in was having regular supportive communication with their principal, other administrators, or their department chair (87%). In the same data, fewer beginning teachers, roughly 80%, reported receiving ongoing guidance and feedback from a mentor. Of particular interest in this relationship are the direct interactions between the principal and the beginning teacher (Brown & Wynn, 2007; Gimbert & Fultz, 2009; Scherff, 2008), which is seen as a means to satisfying beginning teachers' personal needs (Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b; Wood 2005). Likewise, indirect facilitation through mentor assignment/facilitation and provision of released time continued to be of interest and were incorporated into a larger framework of induction leadership roles (Cherian & Daniel, 2008; Wood, 2005).

Administrators and principals are viewed as most influential or vital in the establishment and maintenance of a healthy school culture or climate that tends to the needs of new teachers

(Angelle, 2006; Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b; Cherian & Daniel, 2008). Principals are further viewed to be responsible for the acculturation of a new teacher into the school culture (Angelle, 2006; Bickmore & Bickmore, 2010b; Wood, 2005). School climate is identified as contributing to both the professional needs and personal needs of beginning teachers (Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b). Principals, in the role of instructional leader, are expected to actively monitor new teachers, engage discussion, and provide meaningful, systematic, and ongoing feedback (Angelle, 2006; Wood, 2005).

Principals strongly promote new teacher growth both through direct facilitation and through mentor coordination and facilitation (Wood, 2005). Effective induction mentoring support is achieved through the specific actions of assigning of appropriate mentors, facilitating the development mentor-mentee relationship, providing time for these interactions to be meaningful, and directly supporting mentors as well as new teachers (Fry, 2007; Scherff, 2008; Wood, 2005). The literature presents a focus and emphasis on the importance of direct personal interactions between the principal and new teachers (Bickmore & Bickmore, 2010b; Cherian & Daniel, 2008; Quinn & Andrews, 2004; Wood, 2005). Beginning teachers expect principals to be visible in their classrooms and in their development (Cherian & Daniel, 2008).

Beginning teachers directly recruited by principals experienced a deeper commitment to their site and leader (Wood, 2005). Directly-recruited novice teachers facing challenges in their early career, “often persevered longer in solving their problems than those who had not experienced this direct recruitment by a site administrator” (p. 53). Leaders functioning in the role of novice teacher advocates can arrange ways for beginning teachers to extend their induction professional development learning on-site. Beginning teacher advocacy by the

principal manifests as involvement with beginning teachers on many levels, personal and professional (Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b; Kono, 2012; Quinn & Andrews, 2004).

Table 3 represents the roles of the principal as identified in the literature-at-large as well as the five specific roles delineated by Wood (2005). Table 4 further synthesizes these roles. Wood's recruiter role and advocate/retainer role are combined into a single role due to the identical expectations and behaviors. A separate role, direct interactor/facilitator is added to the list to encompass that literature that focused on the importance of direct interactions between the principal and the beginning teacher. The two roles of culture leader and instructional leader were left untouched due to their prominence in the induction literature, varied expectations and behaviors, and the fact that these roles extend from concepts in school leadership as a whole.

Table 3: Roles of the Principal in Induction

The Roles of the Principal identified in literature-at-large		The Roles of the Principal delineated by Wood (2005)
Leader Identities & Expectations	Leadership Behaviors & Impacts	Culture Builder
School Culture Leader	Direct Interaction & Active Visibility	Instructional Leader
(Angelle, 2006) (Bickmore & Bickmore, 2010) (Cherian & Daniel, 2008) (Quinn & Andrews, 2004) (Wood, 2005)	(Angelle, 2006) (Bickmore & Bickmore, 2010) (Cherian & Daniel, 2008) (Quinn & Andrews, 2004) (Wood, 2005)	Mentor Coordinator/Facilitator
Instructional Leader	Mentor Facilitation	Novice Teacher Recruiter
(Angelle, 2006) (Cherian & Daniel, 2008) (Wood, 2005)	(Fry, 2007) (Wood, 2005)	Novice Teacher Advocate/Retainer

Table 4: Induction Leadership Roles Framed by Role Theory Social Concepts

Induction Leadership Roles						
Role Theory Social Concepts	Identities	School Culture Leader	Instructional Leader	Direct Interactor / Facilitator	Mentor Coordinator / Indirect Facilitator	Novice Teacher Recruiter, Retainer, & Advocate
	Behaviors	Models the direct support of new teachers, encouraging a collaborative and supportive school culture through example	Addresses new teacher challenges through supporting professional development focused on improved teaching and learning	Direct personal interactions with new teachers Direct observation, assessment, and feedback	Assigns appropriate mentors, provides time, and supports mentors	Directly recruits Encourages new teachers through personal and individual attention
	Expectations (normative)	Establish and maintain a healthy school culture that tends to the needs of new teachers Responsible for socialization and acculturation of new teachers into school culture	Monitor new teachers, engage discussion, and provide systematic feedback Articulate vision for teaching and practice	Visible and active in new teacher classrooms and in their development	(not delineated in extant literature)	Actively recruit and develop new teachers through knowledge of strengths and weaknesses

Perhaps the most salient conclusion of this review is that there are no longer two independent veins of induction literature and induction leadership literature. Induction literature exploring the era of fifth-wave implementation is characterized by the embedded nature of induction leadership in inquiry and findings, whether explicitly or implicitly. As previously noted, all but one of the eighteen studies in this review specifically focused on or examined the

principal's interaction with induction elements, beginning teachers, or the culture and climate on which induction structures operated; most describing the principal as integral to the process. The need to understand the role of school leadership in the induction of beginning teachers is necessary. This assertion is mirrored by Wood (2005):

There is a dire need for further research on the roles principals play in the induction of novice teachers into education...A sound research base is needed on which principals can develop their professional roles in induction. (p. 59)

Not all beginning teachers will experience formalized induction, some will not receive a mentor, but *all* beginning teachers will have a supervising administrator. The literature has defined specific roles of principals and their inherent tasks and behaviors as observed in practice or as perceived by beginning teachers, mentors, and the administrators themselves. As induction is a transition from preservice to inservice, what remains is question of what perceptions and expectations preservice teachers hold regarding the pivotal role of the principal and where they originate. This leads naturally to the following research questions:

1. What is the nature of the preservice teacher expectations for secondary school principals in teacher induction?
2. How and why do these preservice expectations originate?
3. How do secondary preservice teacher expectations about school principals agree with and differ from norms in the current literature?

CHAPTER THREE

METHODOLOGY

This chapter outlines the general and specific methodological decisions of the research design. The overarching methodology is qualitative with the specific approach of grounded theory. The traditional education program context is explained in-depth as well as the justification for drawing participants from this context. The multiple data sources and collection methods are explained with reference to each research question. This chapter also outlines the data collection timetable and explains the analysis process and analytic methods involved. Finally, limitations of the research design are discussed as well as an explanation of institutional review board procedures.

Qualitative Methodology

The research design espoused a qualitative method to investigate the research questions. Since the main phenomena explored are expectations and the process of their development, including the reasons why certain expectations exist and develop, quantitative methods fall short of the rich description required to generate a clear picture. Of particular relevance to the study at hand is the exploratory nature of qualitative method in uncovering new areas of investigation to gain novel understandings (Stern, 1980; Strauss & Corbin, 1998). Further, the expectations of the principal's role can be complex, subjective, or possibly fragmented, uncategorized, and unanalyzed in the cognitive constructs of the preservice teacher. Using qualitative methods, the researcher could elicit these complex elements for an in-depth analysis and understanding. In this way, the researcher attempted to penetrate the conceptual world of the participants in order to understand the construction of the meanings (Bogdan & Biklen, 2011).

Grounded Theory

Creswell (2008) identified the key characteristics of grounded theory research as a process approach, use of theoretical sampling, constant comparative data analysis, memo writing, a core category, and theory generation. According to Creswell (2008), three approaches of grounded theory are advocated by three major researchers in the methodology. The *systematic design*, developed by Strauss and Corbin (1998), provides a systematic, rigorous set of procedures and results in the development of a *logic paradigm*, a visual representation of the generated theory. Creswell (2008) described this approach as “prescriptive” due to the preconceived categorical coding procedures (open, axial, and selective coding levels). The *emerging design*, associated with Glaser (1992), countered the prescriptive approach of the Strauss and Corbins’ systematic design. In this approach data is not forced into categories and results in a very abstract conceptual level of interpretation as opposed to a discreet representation. The third approach advocated by Charmez (2006), the *constructivist design*, eschews predetermined categorical treatment of data in favor of the feelings of the participants as they experience the phenomenon as well as the meanings they ascribe; this approach results in a more postmodern, narrative-like discussion of the phenomenon. Considering the specific target of inquiry of this study, and due to the ambiguity that may result from the use of the emerging design or constructivist design, this study espouses Strauss and Corbin’s (1998) systematic design. Further, this study incorporates into the research design each of the key characteristics of grounded theory identified by Creswell (2008).

Creswell (2008) noted that a “grounded theory design is appropriate when you want to develop or modify a theory, explain a process, and develop a general abstraction of the interaction and action of people. As such, it offers a macropicture of educational situations

rather than a detailed microanalysis” (p. 448). This study intends to develop a logic paradigm around a core conceptualization and explain the process of expectation development in preservice teachers with regard to principal roles. The emphasis on the ‘macropicture’ is also important to this study since the induction experience and induction programs or structures are ubiquitous in the process of learning to teach.

Of particular importance to this study and the use of grounded theory is the question of the use of preliminary theory and a literature review. Traditionally, grounded theory does not set the stage of study with related literature or a theoretical framework. However, Creswell (2009) stated that a popular use of literature in grounded theory is for comparison to results that emerged from the data of the study. As mentioned previously, the historical arc and resulting review of “fifth wave” literature outlined in Chapter 2, are included for this purpose rather than as preliminary framing devices. Further, Creswell stated that when a theoretical model is generated from data, existing theories and literature can be used to compare and contrast the central propositions found in the study. As mentioned earlier, the role theories espoused are for framing the type of expectations as a sociological and cognitive construct, but not dictating the content. Equally, the paradigms mentioned in the theoretical framework regard induction as a whole, not individual roles or expectations. The paradigms are also used to compare with the results, and like the historical perspective, frame the specific expectations in the larger picture of induction thinking.

Other methods could be considered but fall short of examining the specific target of inquiry in the way that it is needed to be studied. Argument could be made towards an ethnographic approach, as culture-sharing groups (preservice teachers) and beliefs (role expectations) are the intended target of inquiry in this study. But, absent from ethnographic

methodology is the exploration of the specific and individual processes of expectation development, a key question of this study. In fact, an underlying assumption of ethnographic methodology is that beliefs are culturally-generated and normative. This normative-belief assumption is not shared by the research purpose, target of inquiry, or the theoretical framework of this study. Preservice expectations and process of belief development will be analyzed as non-normative, individually-generated, and non-impactful to others' concurrent role behavior. Case study could also be argued as a method due to the flexibility of design. But, since the study is exploratory, selection of either an intrinsic case or instrumental case would be impossible since the conditions, dimensions, and critical attributes of the phenomenon are unknown.

In summary, systematic grounded theory was used to generate a theory of the development of preservice expectations regarding principals. The paradigms and historical lens within the theoretical framework as well as the literature review in Chapter 2, was utilized in the analysis as comparative to the emerging theory. This study espouses the key characteristics of grounded theory research: a process approach, use of theoretical sampling, constant comparative data analysis, memo writing, a core category, and theory generation.

Participants and Context of the Study

Context of the study. The context of study is a traditional teacher education program situated in a state university in the Southwest United States. The program is specific to the Secondary Education program; at the completion of their program, students will receive a Bachelor-level degree as well as statewide licensure in grades 7-12. Although this university also houses an alternate route to licensure (ARL) program as well as a graduate licensure program (GLP), participants from the ARL program were excluded from the participant

sampling as their previous career experience could confound the findings of this study which focuses on traditional teacher preparation.

Every student in this traditional Secondary Education program is required to meet course requirements for a First Teaching Field, a core subject in which they enroll in content-based courses. Secondary Education students are also required to complete Field Experiences near the completion of their program. Two practica are required beginning when 75% of their course requirements are completed. The practica are aligned with concurrent coursework in pedagogy and methods as well as other foundational courses. Student teaching is required in the last semester of the program with a concurrent seminar course. According to the Fall 2014 to Spring 2015 Undergraduate Catalog, “secondary education majors must select, from the fields available, a major (first) teaching field (one of the secondary education areas of concentration) in which they wish to be licensed” (n.p.). Students in this program have varied backgrounds and co-requisite content training and education. Depending on their chosen area of concentration, they could receive a Bachelor of Arts in Secondary Education or a Bachelor of Science in Secondary Education.

There are three field experience courses in the undergraduate secondary teacher preparation program of this study, Practicum I, Practicum II, and Student Teaching. Practicum I is the first phase of field experience and involves applying the knowledge acquired in methods courses to instruction of three formal lessons in a classroom setting. Practicum I develops prospective teachers’ understanding of and abilities in effective instructional planning and techniques. Decision making, learning principles, course strategies, lesson planning, instructional approaches, and student evaluation are emphasized. A specific signature teacher education pedagogy (Grossman, 2006), participation in micro-teaching, is a primary experience and a

required activity of this first practicum. This course supports the initial field experience through developing teacher candidates that are aware of instructional and classroom dynamics in multiple modes. The microteaching element of this course also prepares teachers in a “third space” (Zeichner, 2010) or relatively consequence-free environment. Three formal lessons must be microtaught in a university classroom to other practicum students. Beyond this, Practicum I students are assigned to classroom observations in schools.

Practicum II, is the second phase of field experience and extends the application of methods to an actual classroom situation; deepening the experience and reflection of practice. Supervised student teaching is the culminating field experience for teacher candidates and involves the student teacher eventually assuming nearly all instruction of a classroom under the supervision of a mentor teacher. Each field experience is aligned with a co-requisite course. For Practicum I, in the secondary program the co-requisite is Teaching and Learning in Secondary Education. For Practicum II, the co-requisite is the subject-specific methods course for the teacher candidate’s area of concentration. During Practicum II, the content area methods course extends teacher candidates pedagogical content knowledge. At the same time, as teacher candidates learn content-specific pedagogies, they are able to incorporate them into planning and instruction in a real classroom.

For student teaching the co-requisite course is Student Teaching Seminar. According to the course syllabus for Student Teaching Seminar, the experience serves as a support for teacher candidates in the final phase of their preservice training. The course incorporates authentic experiences from the classroom and content area discussions. This co-requisite to student teaching is aligned for reflection on practice with other secondary student teachers. One of the other goals of this course is to provide a collaborative, culminating experience aside from the

experience in the field to encourage a community of practice. In student teaching, the preservice teacher assumes instructional and management responsibility for a classroom under the supervision of a mentor teacher and a university facilitator. Both the mentor teacher and the facilitator evaluate the student teacher along facets of instructional and professional standards.

With regard to the study at hand, the only intervention in the program regarding perspective of school leadership is a single chapter in the course textbook for the general methods co-requisite course during Practicum I. Though the chapter is included in the text, the incorporation is at the instructor's discretion. This is potentially the sole intervention explicitly visible in the program curriculum. From this underlies the assumption that sources of intervention may be more implicit and "invisible".

Participants. Creswell (2007) states that the "hallmark of all good qualitative research is the report of multiple perspectives that range over the entire spectrum of perspectives" (p. 122). In this spirit the sample was purposively sought as well as the multiple perspectives that may exist in that group. The participants were preservice teachers within the context of this study. Within this sample, participants were sought from varied stages in program (Practicum I students, Practicum II students, and student teachers). The purpose for the experiential variation in the sample was to address possible sources of the development of certain expectations (informing one of the research questions).

Strauss and Corbin (1998) do not provide a specific number of participants but stated that "theoretical saturation" should be achieved. Creswell (2007) places a general number of participants in grounded theory studies at 20 to 30. This study sought this number of questionnaire participants and was able to recruit 21 questionnaire participants, 15 of which were primary participants who participated in interviews. These numbers were within the original

proposal numbers of 20 to 30 overall participants and 15 to 20 interviewees. Saturation was sought for the overall sample of preservice teachers but not for the individual subgroups (PI, PII, student teachers) as the phenomenon being investigated was an overarching concept of expectation development in preservice, specifically field experiences. The sample is notably small, but the ambition of this study is exploratory and focused intensely on a specific group, a specific process, and specific expectations. Participants were varied by gender, preparation program status, subject major, and the context of their assigned field experience school (see Table 5), though these demographic differences were not necessarily a focus of the inquiry.

Table 5: Participant Information

Participant Label	M/F	Program Status	Subject Major	Field Exp School	Extra Information
Participant #1	F	Practicum I*II	English	HS	long-term substitute
Participant #2	F	Practicum I	-	-	questionnaire only
Participant #3	M	*Practicum I	Science	-	postponed practicum
Participant #4	F	Practicum I	-	-	questionnaire only
Participant #5	M	Practicum I	Social Studies	HS	
Participant #6	F	Practicum I	-	-	questionnaire only
Participant #7	M	Practicum I	English	MS	
Participant #8	F	Practicum I	English	MS	
Participant #9	M	Student Teaching	English	MS	
Participant #10	F	Practicum I	English	MS	
Participant #11	F	Practicum I	Social Studies	MS	
Participant #12	F	Student Teaching	Special Ed	HS	prior career, children
Participant #13	M	Student Teaching	Science	HS	
Participant #14	F	Practicum I*II	-	-	questionnaire only
Participant #15	M	Practicum I	Social Studies	MS	
Participant #16	F	Practicum I*II	English	HS	long-term substitute
Participant #17	M	Practicum II	-	-	questionnaire only
Participant #18	F	Practicum II	English	HS	
Participant #19	F	Practicum II	Social Studies	HS	has children
Participant #20	M	Practicum II	-	-	questionnaire only
Participant #21	F	Practicum I	Social Studies	MS	has children
Female: 13 Male: 8		Practicum I: 10 Practicum II: 4 Student Teachers: 3 *In between: 4	English: 6 Science: 2 Social Studies: 5 Special Ed: 1	MS field exp.: 7 HS field exp.: 6	

Specific participants warrant slight discussion. Certain participants had experiences impactful to their expectation development that were outside of structured field experiences. Two participants (Participant #1 and Participant #16) had long-term substitute positions in high schools and were in between Practicum I and Practicum II. In fact, their acceptance of these long-term, full-time positions caused the postponement of their second practicum. Participant #3 enrolled in Practicum I, but early in the semester needed to drop the course and postpone his first practicum. Three participants had children of their own and considered themselves to be “older” undergraduates, two being in their 30’s, one being in her 60’s and a grandmother. One participant had a prior career, and while ARL and GLP preservice teachers were excluded for this particular reason, this participant was enrolled in a traditional undergraduate education program, and therefore included. While these participants had coloring experiences outside of structured field experiences, these experiences were not outside of the norm for traditional preservice teachers. Many preservice teachers “get their feet wet” with substitute work, have a family, and have prior work experience. These specific participants gave depth and condition to the data and a means of comparing structured field experiences to life experiences.

Data Sources

The data sources and their collection instruments in this study were intended to focus on and address certain research questions (see Table 6). This study includes four data sources: questionnaires, semi-structured interviews and re-interviews, documents, and focused verification interviews. The questionnaire is intended to identify the expectations preservice teachers hold, give insight to their nature, thus providing a basis for comparison to the norms. The interviews were intended to address all of the research questions in-depth and are arguably the most important data sources to this study as they provided the rich description of the process

being studied. Materials and documentary data, much like the previous discussion of theoretical sampling, provided corroborating data that clarified the emerging ideas. Finally, the focused verification interviews served as data sources for the second research question (where and why expectations develop) as well as a form of theory-verification and member checking. These focused verification interviews were separate in purpose from the primary interviews and re-interviews. While the primary interviews and re-interviews were to collect data of the participants' perspectives, the focused verification interviews served as a culminating confirmation of the theory.

Table 6: Data Sources and Research Questions

	<i>Questionnaires</i>	<i>Interviews Re-Interviews</i>	<i>Materials</i>	<i>Verification Interviews</i>
<i>RQ #1</i>	✓	✓		
<i>RQ #2</i>		✓	✓	✓
<i>RQ #3</i>	✓	✓		

Questionnaires. It is noted that the primary instrument of grounded theory is generally interview but grounded theory is not limited to interview alone. Multiple data sources may play a role, albeit secondary to interviews (Creswell, 2007). Creswell (2008) further categorized open-ended questions on questionnaires with interview methods, noting an advantage is that open-ended responses explore reasons behind close-ended responses. The methodological shortcoming of questionnaires is the inconsistency of the data (length of responses and depth or superficiality of content). But this shortcoming is easily reconciled by the use of other data sources in this study, especially interviews. The questionnaire (see Appendix B) is two sections, the first, an open-ended questionnaire focused on the preservice teachers' expectations their early career. This first section was intended to elicit "authentic" statements in the participants' words regarding their early career and to see if school leaders are in these thoughts. The second section

of the survey is closed-ended and ordinal-polytomous (Creswell, 2009) based on induction conceptualizations, paradigms, and the induction leadership roles identified by the literature (see Table 3 and Table 4). In this second section, participants ranked statements according to their current beliefs about school leader roles. This second section was intended to assist in categorizing the participants' beliefs as well as categorize the participants through conceptual ordering. The reasoning behind the use of an ordinal-polytomous tool as opposed to a Likert-style tool was to elicit profiles of the participants that would illuminate the early analysis. These participant profiles guided the interview protocol, emphasis of the semi-structured questions, as well as provided early assumptions to be explored in the deeper analysis. The questionnaire as a whole played a part in the final data analysis wherein open-responses, normed responses, and interview data were pooled towards the emerging theory on what expectations are held and how they compared to the norms.

Interviews. Interviews in qualitative research provide an avenue for information and processes that cannot readily be observed (Creswell, 2008). A limitation of interviews is that information can tend to be “filtered” through predetermined questioning; interviews run the risk of guiding the participant to say what the researcher wants. Marshall and Rossman (2006) noted that the phenomenon of interest should unfold as the participant expresses it, not as the researcher frames it. In this study, the development process of beliefs and expectations of principals is one that occurs within the preservice teacher and may not readily be visible even in the most closely observed actions and interactions. The process is most readily described through the emic perspective of the generators themselves. Thus, the primary data source of this study was interviews. To avoid overbearing the participant in the views of the researcher, the interviewing approach espoused was semi-structured (Strauss & Corbin, 1998) and in the style of

an in-depth conversation (Marshall & Rossman, 2006). The purpose of the interviews will be to produce a rich description of the participants' belief-expectations, to elicit a narrative of the development process, to seek the sources of these role expectations, and finally, why they developed. The semi-structure and questions were based on each participant's responses to the questionnaire. Despite this individualist approach to the interviews, a standard approach to the topical focus of the interviews was espoused. Each interview encompassed the two main topics of the specific role expectations of the participant and when, how, and why these developed in the preservice teacher (see Table 7: General Interview Questions towards Research Questions; see also Appendix C: Interview Protocol). The recursive and concurrent nature of data collection and analysis required re-interviewing of participants.

Table 7: General Interview Questions toward Research Questions

Research Questions	Semi-Structured Interview Questions
#1 What is the nature of the preservice teacher expectations for secondary school principals in teacher induction?	Describe how you expect to receive professional guidance from your school principal when you begin your teaching career.
#2 How, and why do these preservice expectations originate?	Describe principals in your past educational experiences (in school). In your university preparation, have roles of school leaders been discussed? {For student teachers} How do your current expectations compare to your experiences in student teaching?
#3 How do preservice teacher expectations about school principals agree with and differ from norms in the 'fifth wave'?	Describe how you expect to receive instructional assistance from your school principal when you begin your teaching career. How comfortable would you be directly communicating with your future principal? What actions do you expect your principal to take on your behalf? In situations and in general. Describe how you imagine that your principal will be involved in your early career.

Documents. Secondary data sources that could enlighten the data set were sought. Corroborating documents triangulated data and offer a source of verification to the emerging theory as well as direct source of information for the research questions (Creswell, 2008). These secondary data sources included an assignment for a participant during his practicum wherein he was asked to speak to the principal, a textbook chapter on supervision, and syllabi from the Practicum I, Practicum II, and co-requisite courses as well as the handbook prepared for student teachers. Of particular emphasis for documentary data sources was the question of whether these (or the actions and assignments they outlined) impacted the participants' expectations regarding the principal.

Focused verification interviews. The original proposed methods of this study called for the use of focus groups as a tool of member checking and theory validation. Logistics and scheduling prevented participants from attending both in-person and online synchronous focus groups. An asynchronous online focus group was considered, but Oringderff (2004) noted that the lack of nonverbal cues in this type of focus group can have a negative effect on the interpretation of meanings. As the purpose of the focus group was verification of meaning, it was integral to the design that validation be conducted synchronously and verbally. Therefore, focused verification interviews were conducted, beyond those conducted for data collection. These interviews were conducted with archetype participants. One of the general focuses of these validation re-interviews was to member check quotes that were selected for use; to confirm correct use and that the context was appropriate. As assumptions were verified or rejected in data collection interviews, the other main focus of these re-interviews was to validate the overall analysis and findings.

Data Collection

Phase I - Questionnaires. Phase I consisted of three steps: 1) data collection through questionnaires; 2) initial conceptual ordering; and 3) development of a matrix for theoretical sampling. Phase I of data collection occurred in February of 2016, after IRB approval was secured; a modification of the original pilot study to include preservice participants and questionnaire data (see Appendix A). At that time, a questionnaire was distributed to preservice teachers identified within the context. These preservice teachers were identified by their enrollment in Practicum I, Practicum II, and student teaching. Professors of these courses (and the concurrent courses) were contacted and requested to provide information regarding the study to potential participants as well as set up an appropriate date and time (in accordance with IRB protocol) for the questionnaire to be administered. The professors only informed potential participants of the existence and goals of the study; there was no power influence to participate. All participants were provided study information and consent forms prior to participation (see Appendix A).

The questionnaire was administered and collected in-person by the researcher or sent later by the participant by electronic means. An online platform, Qualtrics, was also used to administer the questionnaire to participants that could not be met in-person (mainly student teachers and those in between Practicum experiences). A threat to the reliability of the questionnaire is the closed-ended polytomous responses that limit the participant. But, the open-ended responses were intended to expand these responses and also provide a platform of true expression for the participant (Creswell, 2008). Beyond this, the closed-ended responses of the questionnaire were utilized as a means of initial, tentative categorization as well as a point of comparison in the final data analysis and theory verification stages. Participants were profiled

according to their responses. The approach of the Phase I analysis is an adaptation of the concept of *conceptual ordering* (Strauss & Corbin, 1998), wherein description is established to elicit dimensions and properties without necessarily relating the classifications to each other to form an overarching explanatory scheme. This conceptual ordering resulted in an initial profiling matrix (Strauss & Corbin, 1998) from which to theoretically sample the initial interview participants. This analysis also informed what roles were dominant in the beliefs and expectations held by preservice teachers (a research question). In all, twenty one questionnaires were completed by participants.

Phase II – Interviews and Documents. Phase II commenced after completion of the three steps of Phase I. The second phase of data collection involved the interviewing and re-interviewing of selected participants using a profiling matrix that was developed in Phase I. Interviews were conducted by the researcher exclusively, at locations convenient to the participant and conducive to interviewing as well as phone interviews. These locations included the researcher's worksite and the university. Interviews were audio-recorded and in-person interviews were video-recorded. The resultant recordings were transcribed verbatim for analysis. Beyond the use of a semi-structured approach, the threat of stereotypic responses was alleviated by the use of episodic interviewing (Maxwell, 2013) wherein the researcher elicited further specific experiences that color the description of the phenomenon. Due to the potential for participant fatigue, an effort was made to limit interviews and re-interviews to roughly 20 minutes. In all, fifteen initial interviews were conducted and eight re-interviews (not including the focused verification interviews conducted in Phase III). Also, any data sources, especially documents or materials that informed the emerging theory were collected in this phase.

Phase III – Verification. As mentioned previously, the original proposed methodology called for the use of focus groups during Phase III but was undermined by logistics. Because qualitative methodology allows for flexibility and the fact that the systematic approach to grounded theory does not necessarily utilize focus groups but rather emphasizes the importance of interview, the decision was made to re-interview participants with the expressed purpose of member checking and theory validation. Phase three commenced upon near completion of the data collection, interviews, and data analysis; specifically when the researcher noted the redundancy of data reflective of theoretical saturation. This phase marked the end of data collection, and as a theory-verification instrument, a closure to the study itself.

In all, six focused verification interviews were conducted with archetype profile participants. Another six of the semi-structured re-interviews from Phase II concluded with a member-checking and verification of the emerging concepts. A total of twelve verification interviews could be claimed, but only six stand-alone verification interviews were conducted.

Table 8: Data Collection Timetable

Phase	Prerequisite	Time
Phase I: Questionnaires	IRB approval	February 2016
Phase II: Interviews	Three steps of Phase I	March/April 2016
Phase III: Verification	Saturation of interview data	May 2016

Data Analysis

Constant comparative analysis. The hallmark of grounded theory methodology is the concurrent data analysis with data collection (Creswell, 2008). As data is collected, it is analyzed to identify initial concepts, and those concepts are elaborated as they guide further data collection. In this study, the analysis phase was concurrent with the data collection. For

example, the first phase during the initial conceptual ordering explicitly provided a means for profiling and choosing initial interviewees; data analysis guiding data collection. This concurrent process was also recursive as the data collection during the interview phase further guided the development of the interview protocol to each successive participant. Finally, this process was reiterative as it sought for the restatement and recapitulation of emerging themes by participants for the purpose of clarity and eliciting the dimensionalities of the phenomenon.

Coding. The inductive approach was the constructive aspect of theorizing the relationships between the held belief-expectations, their development, and their sources; the process. The data analysis procedure started the inductive process with the first step in the grounded theory approach: microanalysis, or the line-by-line analysis of data for open coding (Strauss & Corbin, 1998). Each block of participant response was divided into individual unit clauses or micro-ideas with open or in vivo codes summarizing several units that contained the same concept (see Table 9). This was completed using a table within a word processing document; a separate document for each transcribed interview.

Table 9: Example of Micro-Analysis during Open Coding Level

“Principal – whole school situation” “Teachers – individual classrooms, students” Modality: Preference “Principal as overarching idea” “guide to more specific sources such as mentors”	P: Yeah, I suppose I see that a little bit more. Um, ‘cause the principal would probably have a good idea to the whole school situation, but per individual classrooms, by subject, I think the teachers would be a little bit more down to the students level since they’re interacting with them on a significantly greater basis, just even by quantity and time. So I’d like the principal to be more of a overarching idea as well as thing, uh, as well as a guide to more specific sources, such as teacher mentors. But the teachers being the primary aid.
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The overall analysis followed the general stages of the systematic grounded theory approach: open, axial, and selective coding. During the initial microanalysis and open coding,

the emic perspective of the participants' was emphasized, especially the participants' interpretation of the process of their own belief-expectation development and its sources. Based on these, the initial concepts, range of potential meanings (Strauss & Corbin, 1998), categories, and subcategories were generated. During the open coding, margin-labeling was used in tandem with line-by-line microanalysis. Open codes and their potential ranges as well as dimensions were discussed in memos. During open coding, the mode of the expectation that manifested (norm, belief, or preference) was also noted and attached to each open code.

The discovery stage of axial coding sought to assemble these categories in new ways that logically and naturally accounted for the causal conditions of the phenomenon (Creswell, 2007). Strauss and Corbin noted that "axial coding is the act of relating categories along the lines of their properties and dimensions" (p. 125) to give the analysis more explanatory power. Further they noted that this stage does not necessarily have explicit sequential steps, despite the systematic approach. Categories of data naturally fell into continua that reflected what expectations were held through identification of expected roles as well as why these were held based on the attached expectation modalities related to each facet of each continuum. As data began to form into categories and conceptualizations, the analytic mode shifted from mainly inductive treatment to comparative and deductive, in accordance with the methods.

Finally, the selective coding process transformed data to theory and sought the explanatory central phenomenon of the expectation development process. Following the tenets of choosing a central category set forth by Strauss and Corbin, a central phenomenon was chosen. The central category was related logically and consistently to all other categories in the analysis. The central category appeared frequently in the data. And finally, the central category is abstract

enough to be integrated into other theories as well as flexible enough to still apply when conditions vary.

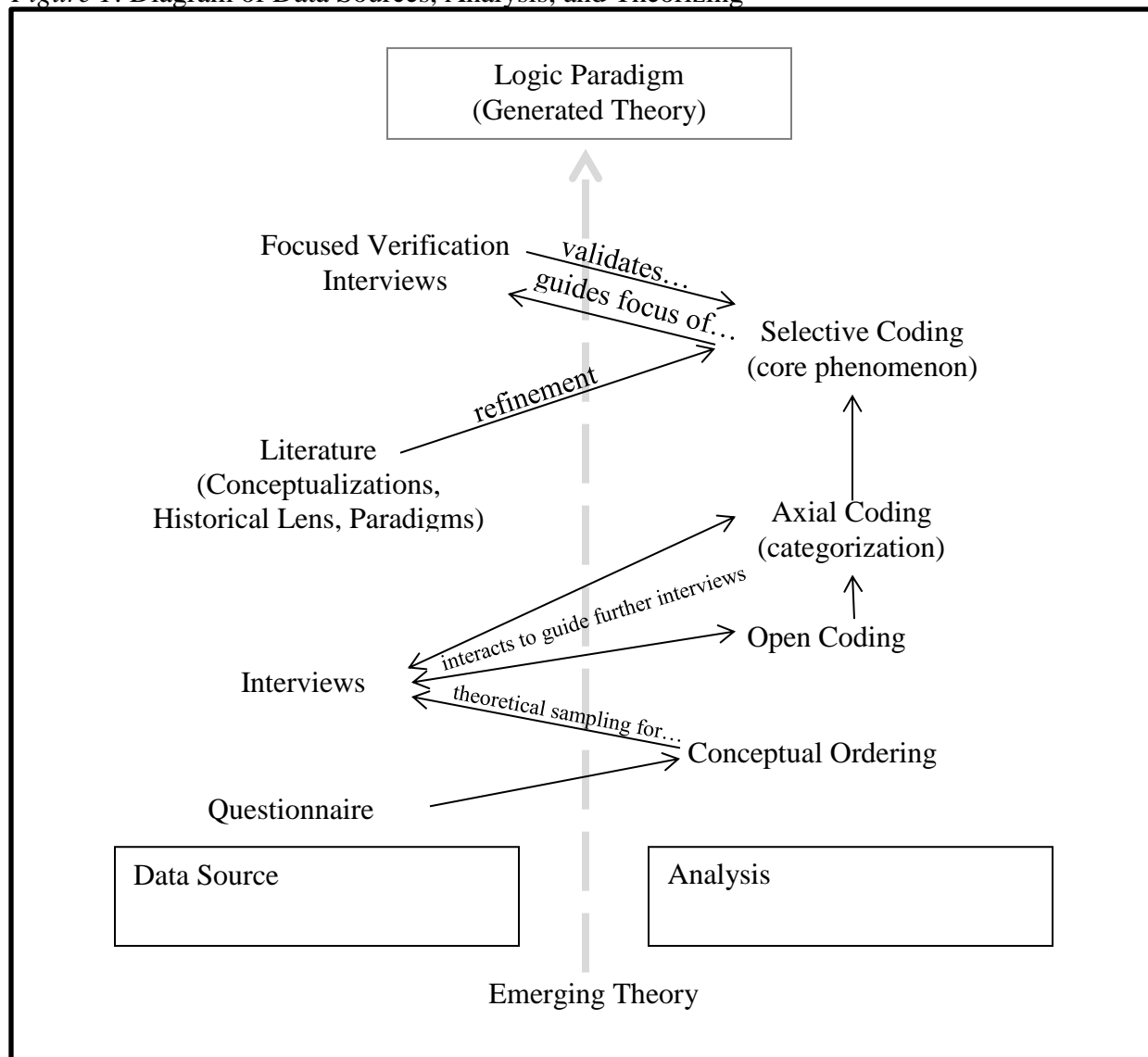
Analysis procedures. During the analysis process, analytic procedures specific to grounded theory were utilized. Strauss and Corbin stress the gravity of interpretations of language as indicators of assumptions or significance. As such, during the microanalysis of preservice teacher expectations (a potentially subjective and non-normative cognitive construct) the strategy of returning to significant words or phrases and considering alternative interpretations or meanings was employed. Another technique utilized was the “flip-flop technique” wherein the researcher looked at the extremes of an example to elicit significant properties. As the analysis showed that expectations fell into continua, this analytic method was paramount in the open and axial stages of coding. Also present during the analysis was a sensitivity to the indicators of bias that may be intruding into the analysis, such as “the face value acceptance of the words or explanations given by the respondents or the complete rejection of these without questioning what is being said” (p. 97).

Theorizing. As the theory begins to take its final shape, the paradigms, historical lens, and conceptualizations discussed in earlier chapters re-entered into the analysis as a form of comparison, justification, or contradiction. This was also a means to further guide the emerging theory based in participant data rather than using the existing theory and literature at the beginning of the analysis, where it would tend to stagnate and limit the findings in a study of this exploratory nature. The use of existing theory and literature was not an orienting lens, but an interrelating lens (Creswell, 2009).

Strauss and Corbin (1998) noted that the final stages of theorizing (once an overarching theoretical scheme has been outlined) involves refining the theory which “consists of reviewing

the scheme for internal consistency and for gaps in logic, filling in poorly developed categories and trimming excess ones, and validating the scheme” (p. 156). In this process, Strauss and Corbin forward that the researcher should begin with the central category, which must be defined in terms of its properties and dimensions. For the theme to be considered consistent and logical those identified properties must be built into and emerge from the scheme itself. Validation of theoretical scheme can occur during verification when it will be discussed whether the emerging theory matches their cases; one of the strategies of theory validation (Strauss & Corbin, 1998).

Figure 1: Diagram of Data Sources, Analysis, and Theorizing



The previous process outlined is incorporated into the research design of this study. At the conclusion of the analysis, refinement, and verification, the end result of this study is a logic paradigm (Creswell, 2008; Strauss & Corbin, 1998); a visual representation of the theoretical model of what, how, and why certain expectations regarding principals exist and develop.

Limitations

The methods of this study pose certain risks to validity. The *transferability* (Lincoln & Guba, 1985) of the findings of this study to other populations should be approached with caution. This research is limited to a population within a single post-secondary institution in a single state. This context was chosen as a typical traditional education program, as compared to ARL, GLP, or community college, distance, or extension education programs also available in the State. Further, the timeline of this study is purposefully short; to capture the varying beliefs at varying stages of teacher preparation. But, the intention of this study was to explore a new facet of early career perspective regarding expectations and principals, and therefore the research decision was made to choose the most normative environment of teacher preparation. In essence, the context provides a starting point; from this research, other contexts and situations can be explored.

A notable *credibility* threat of this design is that the study is not longitudinal and therefore representative participants of various stages are not the same individuals. Findings and inferences that cross experiential boundaries of the participants were approached with caution. The sources of belief development in this study are limited to those identified by participants. The magnitude of the intervention of these sources of belief development cannot be determined by qualitative means. In essence, the source of beliefs in preservice cannot be ranked, only observation of their prevalence can be noted. This limitation is tempered by the reiterative

nature of the data collection and analysis. Those concepts that were important to the participant frequently and consistently appeared. While the magnitude of impact cannot be measured by the methods of this study, the importance of concepts was apparent.

A final threat is to the *confirmability*; the traditional concept of objectivity (Lincoln & Guba, 1985; Marshall & Rossman, 2006). The collection of data, analysis, interpretation, and logical inferences are the effort of a single researcher. Therefore it was necessary for researcher bias that the bracketing of beliefs/experiences related to the study be outlined (Creswell, 2007). Further, in the initial analysis of the first two interview transcripts, an intercoder was utilized. Both the researcher and the intercoder individually then collaboratively coded the transcripts. Complete consensus was achieved on coding procedure, content in vivo codes, and modality interpretations in the two transcripts intercoded.

Researcher Bias and Bracketing

I, as the primary researcher of this study, note the internal biases that exist prior to the initiation of study. As this study and the methodology require a fresh perspective towards the data, these underlying biases are outlined with the intention of ethical transparency as well as identifying those biases that need to be tempered in order to allow the theory to emerge from the participants and data. This bias includes an “absentee” experience with principals in secondary schooling which (the researcher internally believes) led to an expectation of an uninvolved and disconnected principal in early career. This expectation was met in the first three years of teaching. In a specific story, after two years of working at my first site, I entered the office on a paperwork errand, said hello to the principal who was standing by the office manager’s desk, then left. The office manager later related the story that the principal asked her if I worked there after I left; he had no idea who I was. As I view this experience now, this should have been

devastating. But, as my expectations of the principal were of an “absent manager”, it did not affect me at all. My expectations were confirmed. My next principal was the opposite. He was highly involved, highly visible, and very supportive. Since this did not match my expectations (and previous experiences), I was initially suspicious of his motives and very cautious in my interactions with him. In essence, my experiential bias as a researcher (which must be set aside) is that expectations are developed early and through similar causes as the apprenticeship phenomenon (Lortie, 1975).

Institutional Review Board

This study extended a current pilot study (see Appendix A). The initial pilot study employed a grounded theory approach to investigate the roles of the secondary principal in induction from the perspectives of principals, other administrators, induction program facilitators, mentors, and inductees. Due to the identical methodologies and extremely similar topics, a request was made to revise this pilot study to include a preservice teacher participant group with a questionnaire data source. Though it was on the same IRB approval, the data regarding this study was purposefully “quarantined” and treated as a separate report.

CHAPTER FOUR

FINDINGS

Although the previous chapters introduced a foundation for understanding the complexities of induction, the beginning teacher, early career, and the roles of the principal, this chapter will expound on the perspectives of the preservice teachers' expectations of these concepts. The purpose of this study was to determine the nature of expectations that preservice teachers have developed regarding school principals. Further, the study intended to investigate from where, how, and why these expectations developed. Guided by the research questions, a lens for exploring modalities of expectations, and through the ground theory methodology with interviews as the primary source of data, findings emerged on the nature and sources of expectations held by preservice teachers.

As discussed in Chapter Three, the process of theory emergence was informed through conceptual ordering of the questionnaire data and grounded theory analysis of the interview data. Questionnaire data was used to profile each participant as well as identify group trends in perspectives. The interviews, guided by the profiles and trends, elucidated the foundational outlooks, general conceptualizations, and specific role expectations held by preservice teachers. Although each discussion of findings begins with initial assumptions and early findings based on the questionnaire data, the primary source of findings and validation was the interview and re-interview data; analyzed, coded, and incorporated into an emerging logic paradigm. A considerable effort was made to not only report those findings and data that support the overall theory developed, but also report and explain outlying perspectives.

An important point regarding the presentation of the findings in grounded theory research is forwarded by Strauss and Corbin (1998),

If theory building is indeed the goal of a research project, then findings *should* be presented as a set of interrelated concepts, not just a listing of themes. Relational statements, like concepts, are abstracted from the data. However because they are interpreted abstractions and not descriptive details of each case (raw data), they (like concepts) are constructed out of data by the analyst...an analyst reduces data from many cases into concepts and sets of relational statements that can be used to explain, in a general sense, what is going on. (p. 145)

As such, the findings in this chapter are presented in a macro-to-micro format; from the broadest outlooks to focused conceptualizations to specific roles of the principal. The findings are presented in three sections in alignment with research questions of the study. First, in answer to the first research question, the nature of preservice teacher expectations is discussed. Second, in response to the second research question, preservice expectation development is covered. Third, the emerging logic paradigm is outlined and discussed. Although descriptive raw data and participant quotes are presented in this chapter, it is for the purpose of illustrating a concept or relationship within the logic paradigm rather than presenting an individual case. Also in the spirit of grounded theory presentation, relational statements linking concepts are not explicit propositions laid out in sequence, but rather “woven innocuously into the narrative” (Strauss & Corbin, 1998, p. 145).

The Nature of Preservice Teacher Expectations

Outlook: Optimism and Hope

One of the underlying questions regarding expectations held by preservice teachers was the nature of the general outlook. As discussed in previous chapters, literature has noted a predilection in preservice teachers towards unrealistic optimism; expectations that are far above

the norm, held personally, and overly idealistic. It was integral to this study to determine if participants held this outlook as it would be the foundation upon which all other expectations of early career would stand, including those of the principal.

Table 10: Ranking Distribution Optimism Questionnaire Item

I think my early career in teaching....	1st	2nd	3rd
...will be more successful and impactful than the average beginning teacher.	8	7	4
...will be about the same as the average beginning teacher.	8	10	1
...will have much more challenges than the average beginning teacher.	3	2	14
Total (2 unanswered)	19	19	19

In the close-ended, ranked item regarding optimism (Question #4) on the initial questionnaire, trends appeared (See Table 10). Only three participants ranked the “more challenges” response first, two participants ranked it second, and fourteen out of nineteen ranked it third. This showed that the majority of the participant pool leaned away from a pessimistic outlook on their early career. When disaggregated into specific participant profiles, a continuum of optimism to pessimism is apparent; the bulk of participants held optimistic or hopeful outlooks (See Table 11). It should be noted that the profile labels were assumed outlooks and essentially temporary placeholders until confirmed or revised based on interview data. The labels represented in the tables are the revised labels based on interview data and in most cases were derived from the participants own words.

Table 11: Individual Ranking Profiles of Optimism Questionnaire Item

PROFILE LABEL	RANK ORDER OF QUESTION #4 (first – second – third)	NUMBER OF PARTICIPANTS
Optimistic	more successful – the same – more challenges	8
Hopeful	the same – more successful – more challenges	6
Doubtful	the same – more challenges – more successful	2
Confused	more challenges – more successful – the same	1
Pessimistic	more challenges – the same – more successful	2

During interviews, most participants in the “Optimistic” group reflected a realistic form of optimism, described by some participants as confidence, as opposed to the unrealistic

optimism described in the literature. Each time optimism was discussed, the participants naturally paired it with the concept of preparation, life experience, or experience in learning to teach. A Practicum II preservice teacher described her source of confidence as life experience as a parent, “I’ve been a homemaker, and I have four children...I think because of my maturity and age...the life experience that I have, which is a considerable amount, I know is really going to change the way I teach and how I interact with the students” (Participant #19). A Practicum I preservice teacher, in the “Optimistic” group, expanded on the idea of preparation but demonstrated realistic optimism; an acceptance that he would not be perfect, “[T]he university gets us ready for a teaching, but you don't really know what's going to work, and how well it's going to work until you actually try...As a first year teacher I’m not going to be perfect.” (Participant #7).

The second group who ranked, in order, “same” to “more successful” to “more challenges” were assumed to be demonstrating modesty or were assumed to be uncomfortable responding with their true rankings which could be perceived as prideful. The original profile label was “Modest” for this group. But after interviews were analyzed, it was clear that the responses were legitimate rankings of their beliefs. The participants believed that they would be average-performing beginning teachers, but hoped that they would end up being more successful. Since the operating belief was actually hope and not modesty, the label “Hopeful” was applied to this group (See Table 11).

In the “Doubtful” group, concerns and worry overtake hope. Like the participants in the “Hopeful” group, these participants actually believe that they will be average-performing teachers but have doubts that they will be more successful. This outlook can also be the result of fear, as a Practicum I preservice teacher stated, “Based off of what other teachers have told me,

I'm actually really scared for my first few years of teaching, because a lot of people told me that it's really difficult...So I'm nervous, but I'm also really...looking forward to figuring that out”

(Participant #11).

This participant’s comments also mirror two other trends in the more pessimistic-leaning groups. First, the sources of these pessimistic outlooks are implicit norms about the competency of beginning teachers; these norms being communicated to preservice teachers by current inservice teachers. Second, there is still a glimmer of hope and optimism despite the worry. Illustratively, this statement is almost identical, not only in content, but in how these expectations manifest as a communicated norm, an anticipatory belief, then concluding with hopeful preference: “Every single teacher I’ve talked to has said ‘Your first year is the worst year you’ll have as a teacher and it’s going to be the hardest year.’ And, I do expect a lot of challenges...I don’t think that I will be 100% prepared. And I think it’s going to get better”

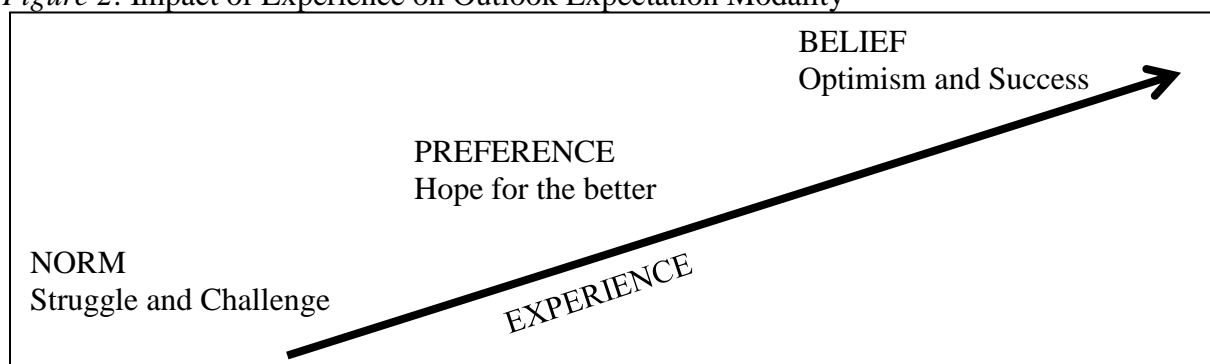
(Participant #11).

Like the participants in the “Doubtful” group, participants in the “Optimistic” group also reported that inservice teachers may be a source of pessimism or negativity. One particular participant in the “Optimistic” group reported “I’ve heard it that the first five years of teaching are probably the hardest thing you’ll ever do” (Participant #8). This same participant related her experience with a negative mentor teacher, describing the mentor teacher as an experienced and well-equipped teacher that had become disillusioned. The mentor teacher continually told the Practicum student to lower her expectations of the students and the administration as well as witnessed the mentor teacher use poor instructional practices due to apathy. She paraphrased his outlook as, ““These kids, they don't really care. You shouldn’t really care either.”” Despite these two sources of pessimism, she still reported and expressed an optimistic outlook on her early

career and stressed the importance of positivity in her future colleagues. Her experience, witnessing that his negative outlook was actually a barrier to effective instruction, is a source of her avoidance of pessimism. During re-interview, this was a major topic with this participant. She confirmed that if it had not been for her experience, she may underestimate the negative influence of those around her and her active pursuit of positivity may not be as important. As a result, she may have had a different, possibly more doubtful, outlook on her early career. Although this is a singularly presented case, it is representative (albeit extreme) of the communicated norms and the impact that mentors' words have on preservice expectations.

Summary. The most common thread between all of the participants is a sense of hope. This hope is the manifestation of anticipatory expectation as a preference. It is also apparent that personal experience, not vicarious experience, as well as self-efficacy and confidence built through field experiences can transform this hopeful preference into optimistic belief. Despite the prevalence of optimism in the participants, unrealistic optimism did not seem to be an operating phenomenon. When confidence was expressed, it was confidence in competence rather than overt superiority in expertise. The norm that beginning teachers will face enormous struggle in their early career may be true and can be a source of pessimism but as experience is gained (especially field classroom experience), the implicit norm becomes a preference for hope and ultimately can become a belief in success (see Figure 2).

Figure 2: Impact of Experience on Outlook Expectation Modality



Conceptualizations of Early Career Support

Like the previous section, it was important to understand the foundational expectations on which more role-specific expectations would be embedded. Question #1 from the questionnaire was designed to elicit basic concepts about the conceptualizations of early career induction. The three responses mirror the three current conceptualizations of induction: a process of socialization and acclimatization; a phase in teacher development and learning to teach; and the formal, systematic structures of induction (Feiman-Nemser, 2010). The most prevalent trend in the questionnaire responses was the low ranking of “formal, systematic structures” (see Table 12).

Table 12: Ranking Distribution of Conceptualization Questionnaire Item

My early teacher career will...	1 st	2 nd	3 rd
...be supported by people who help me adjust to the school and the profession of teaching.	6	12	2
...develop through continued learning on the job (experience and learning opportunities).	12	6	2
...be assisted through formal, systematic structures intended to enhance my instruction and acclimate me...	2	2	16
TOTAL (1 unanswered)	20	20	20

Two participants ranked it first, two participants ranked it second, and sixteen participants ranked it third. A student teacher was one of the two who ranked “formal structures” as first. During the interview, in answer to why he had ranked it first, he responded “to follow everything I can perfectly, make sure, you know, I’m doing my job correctly as an instructor” (Participant #9). When prompted in a later re-interview to clarify this, the participant described that he perceived formal, systematic structures as analogous to the Common Core State Standards and school-wide procedures. When the researcher relayed that the “formal, systematic structures” in the questionnaire item was referring to induction activities such as orientation, formal mentoring, cohorts, etc., the participant stated that he would not have ranked that first.

The other participant who ranked “formal, systematic structures” first was not available for interview, so it is unclear if any participants would have ranked it first. The remainder of rankings was dominated by the socialization and teacher development items, with 18 of the 20 participants ranking them either first or second. It would seem that solely based on the ranking distribution that the trend in conceptualization is teacher development first, socialization second, and formal induction third. But once again, disaggregating the data into individual participant profiles reveals a further depth of findings regarding the participants’ current progress in preparation (See Table 13).

Table 13: Individual Profile Rankings of Conceptualization Questionnaire Item

Program Status Response Order	Practicum I	Practicum II	Student Teaching	No response In-between	Total
Development-Socialization-Formal	4	3		4	11
Socialization-Development-Formal	2		2	1	5
Socialization-Formal-Development			1		1
Development-Formal-Socialization	1				1
Formal-Socialization-Development	1				1
Formal-Development-Socialization	1				1

Sixteen of twenty participants ranked either development or socialization first and ranked formal last. The four non-normative participants were alone in their order of rankings. Besides the major group trends, all three student teachers ranked socialization first. During interviews, participants noted the socialization aspect of early career more than the development aspect. The cause for this inclination was explored in interviews and two phenomena appeared.

First, as preservice teachers reach the end of their degree program, they already feel “developed” through the preparation and field experiences: “I don’t expect the principal to spend a lot of time mentoring me when I’ve already went through the training, and went through...the student teaching class” (Participant #9). Second, student teaching is an inherently socializing process, more so than any field experience before it. During practicum, the majority of activity

is observation. Student teaching is immersive and participatory; it is probably the closest to real career teaching that a preservice teacher has experienced: “I expect to survive by definitely leaning on my fellow teachers...and I definitely feel like I’ll lean on them because that’s what I did in student teaching, all the time” (Participant #13).

Summary. Preservice teachers do not conceptualize early career support or induction as a formal set of systemic structures. Although the questionnaire data may point to the conclusion that preservice teachers find it unimportant or perhaps preferred the other options, the interview data clarified that preservice teachers do not hold a clear picture or expectation of formal structures other than an orientation meeting. Further, as field experiences develop the preservice teacher, and as the preservice teacher becomes more immersed in the classroom and school functions, the perceived need for professional development fades while the need for socialization gains importance in their expectations.

As mentioned in a previous chapter, findings that cross experiential boundaries should be approached with caution as the research design was not longitudinal and therefore participants at varied levels should be treated as separate individuals. But, student teachers in the upper-part of the participant experiential spectrum specifically noted that their level of experience impacted their conceptualization. Specifically, when they were asked why the development item was ranked below the socialization item, they stated that field experience had already developed them. These student teachers perceptions, combined with the questionnaire data, and the documentary evidence (course syllabi that slowly shift emphasis from development to socialization) provides the justification for this finding that crosses experiential boundaries.

Expectations of the Principal's Role

The roles of the principal as manifested by preservice teacher expectations emerged gradually via the data collection tools. Participant profiles garnered through the questionnaire data were analyzed conceptually, and interview data was conceptually ordered as well as micro-analyzed and coded. Analysis decisions and relational concepts developed and redeveloped as analysis continued. Because decisions and concepts emerged gradually in the analysis, this section is presented in that emergent order.

Questionnaire data and conceptual ordering. Despite the use of pre-existing roles to design the principal questionnaire item (Question #5), the questionnaire was intended to elicit conceptual ordering data, not to identify roles or expectations. Slight trends appeared in the ranking distribution (see Table 14). No participants ranked “foster a collaborative school environment that supports me as a beginning teacher” last, with the majority of participants (sixteen of twenty) ranking it first or second. The bulk of participants ranked “involved in my classroom regularly and directly assist me with my practice” on the low end of the rankings, if not last (seventeen ranked it 4th or 5th; twelve ranked it last). In Table 14, the responses were reordered in a spectrum from the most facilitative actions at the top to the most direct actions at the bottom. Viewed in this manner, there is a definite trend towards facilitative actions and away from direct involvement.

Table 14: Ranking Distribution of Principal Role Questionnaire Item

My future first principal should...	1 st	2 nd	3 rd	4 th	5 th
...foster a collaborative school environment that supports me as a beginning teacher.	8	8	1	3	0
...articulate a vision of effective instruction and provide feedback on my practice.	6	4	5	4	1
...match me with a colleague to assist me and provide time for us to collaborate.	2	5	6	3	4
...be the one that recruits, interviews, and hires me, and later advocates for me.	3	3	6	5	3
...involved in my classroom regularly and directly assist me with my practice.	1	0	2	5	12

Exact, specific trends were relatively vague due to the five closed-response options as opposed to three. Whereas the three closed-response ranking items could result in six different permutations of rankings, this item had a potential of 120 different permutations of rankings. In this study, with twenty participants answering this item, sixteen profiles (permutations of rankings) appeared (see Table 15). Instead of hindering the analysis, the scattered nature of the profiles actually supported the *conceptual* treatment of the data.

Table 15: Ranking Profiles of Principal Role Questionnaire Item

Facilitation through Culture (n=8)	Mixed (n=6)	Facilitation through Mentor (n=2)	Hired then Facilitated (n=3)	Directly Involved (n=1)
f-a-b-m-i	a-b-i-f-m	m-f-a-b-i	b-f-a-i-m	i-b-f-a-m
“	a-b-m-f-i	m-f-a-i-b	b-f-m-a-i	
“	a-f-b-i-m*		b-f-m-i-a	
f-a-m-b-i	a-f-m-b-i*			
f-m-a-b-i	a-f-m-i-b*			
“	a-m-i-f-b			
f-m-b-a-i				
“				
<p>KEY a – articulate a vision of effective instruction and provide feedback on my practice b – be the one that recruits, interviews, hires me and later advocates for me f – foster a collaborative school environment that supports me as a beginning teacher i – involved in my classroom regularly and directly assist me with my practice m – matches me with a colleague to assist me and provide time for us to collaborate * - Profile that is in the “Mixed” group but has or leans towards a facilitative orientation</p> <p>Profiles are in 1st ranked order and alpha-permuted</p>				

Those who ranked “foster a collaborative school environment” as first were labeled the “Facilitation through Culture” group. This group had the most consistency amongst the profiles: three participants in the group shared the “f-a-b-m-i” profile, two participants shared the “f-m-a-b-i” profile, and two shared the “f-m-b-a-i” profile. No other group had participants that shared identical profiles. Every participant in this group, grouped by their first ranking, also matched in their last ranking, “involved”. That is, every participant that ranked number one “foster a

collaborative school environment...” also ranked “involved in my classroom” as fifth. Being that the first and last ranking of this group were set, only the middle three rankings (2nd, 3rd, and 4th) demonstrated variation; six permutations. Only four of the six permutations appear in this group’s profiles; those ranking “a” and “m” (articulate a vision and match with a colleague) as second. The two permutations that would place “b” (be the one that recruits, interviews, hires me and later advocates for me) second, do not appear. Being that “a” and “m” are facilitative actions and “b” is an example of direct involvement, further supports the concept of a spectrum noted earlier.

Another stable group of profiles were those who ranked as first, “match me with a colleague to assist me and provide time for us to collaborate”. Both participants in this group also matched in ranking facilitative concepts: “foster a collaborative school environment” second; and “articulate a vision of effective instruction” as third. It was assumed that these participants expected facilitation through mentoring, a collaborative environment conducive to mentoring, and an overarching vision to guide instruction. This concept was noted for their individual interviews and the group was labeled “Facilitation through Mentor”.

The next group that reflected stability was the group of participants who ranked as first “be the one that recruits, interviews, hires me and later advocates for me”. These three participants also ranked “foster a collaborative school environment” as second. All three also ranked a facilitative action as third; either “articulate a vision” or “match me with a colleague”. These participants were assumed to hold the expectation to be hired by the principal then facilitated but not necessarily through direct involvement. Since the recruiting and hiring aspect was ranked first, it was also assumed that these individuals may have been preparing to enter their career or be further along in their preparation. But as will be discussed later in this section,

when disaggregating profiles according to preparation, no discernible patterns emerged. In fact, the three participants in this group were all in differing stages of preparation.

The “Mixed” group contained those participants who ranked as first, “articulate a vision of effective instruction and provide feedback on my practice”. This group had the most variation in profiles: some mixing facilitative and direct roles among the rankings; some leaning slightly toward direct roles; and some leaning towards facilitative roles. The muddling of this group may be due to the questionnaire item itself wherein the “articulate a vision” portion could be interpreted as facilitative but the “provide feedback” portion could be interpreted as direct. All of the mid-spectrum options in the questionnaire item contain this type of duality, but perhaps this option’s duality was more perceptible and therefore confounded the data. This group was noted for specific interview questions to elicit their expectations and illuminate what phenomenon may have been occurring.

There was a single outlying participant (Participant #4) who reported the opposite of the spectrum. She ranked the two direct involvement roles as first and second; “involved in my classroom regularly” and “be the one that recruits, interviews, hires me and later advocates for me”, respectively. The three facilitative roles were ranked “foster a collaborative environment” third, “articulate a vision of effective instruction” fourth, and “match me with a colleague” as last. Interestingly, this participant stated almost the exact opposing view in her open response to the prompt, “Describe the ways in which you expect to receive help or support from individuals in your school when you begin your teaching career”:

I will seek help from other teachers about what works best for them and ways for myself to have less work to do and to keep my students engaged...I expect other teachers to be

able to give me guidance on what things I can improve. I expect the administration to stand behind me if I need them in a particular situation.

Unlike the earlier differences in outlook and conceptualization, there seemed no difference in the appearance of a participant's ranking profile regarding the principal and their current stage in preparation (see Table 16), at least according to the questionnaire data. In each level of preparation, no profile was identical. Likewise, there was a mixture of first rankings among profiles in each level. The participant's level in preparation seemed not to impact their expectations of their future principal.

Table 16: Role of Principal Ranking Profiles by Participant Stage in Preparation

Practicum I	Practicum II	Student Teaching	In Between
a-b-i-f-m	b-f-m-a-i	f-a-b-m-i	a-b-i-f-m
a-b-m-f-i	f-a-b-m-i	f-a-m-b-i	a-f-b-i-m
a-f-m-b-i	m-f-a-b-i	m-f-a-i-b	a-m-i-f-b
a-f-m-i-b			b-f-a-i-m
b-f-m-i-a			f-m-a-b-i
f-a-b-m-i			f-m-b-a-i
f-m-a-b-i			
f-m-b-a-i			
i-b-f-a-m			

Beyond the close-ended ranking responses, the open responses of the questionnaire were intended to determine if preservice teachers would mention the administrative role with regard to early career concerns, survival, and those who would provide support. In the open responses, less than half of the participants (nine out of twenty-one) mentioned or alluded to administrative involvement in their early career. Of those nine responses, seven mentioned administration or administrative roles and only two specifically discussed the principal. Each mention of the principal was relatively superficial in nature and manifested as a preference. For example: "Always make friends with the teachers around you and be kind to the admin[istrators]. If you do that, you will find that you will usually have help if you need it" (Participant #2). A student

teacher specifically named the principal but only as part of the staff, not as an isolated entity: “I believe it takes all of staff (teachers, principles [sic], admin) to be unified in discipline issues, which is not the case for many schools” (Participant #13). Two participants were more specific to principal action and role, but lacked detail and explanation: “I also am optimistic for an administration and principal that are great at communication and open/welcoming to any questions I have as well as any ideas I might be interested in implementing in my classroom” (Participant #14). “I would try to get a good relationship with my principal and AP, so that if I ever need help or have a question, I wouldn't feel intimidated to ask” (Participant #16).

Summary. According to the trends apparent from the ranked questionnaire item, preservice teachers may have developed expectations regarding the principal's role and actions. Specifically, preservice teachers may prefer or believe that the principal's role in their induction is mainly facilitative in nature, but many participants did not mention the principal in open response. The few that mentioned the role of the principal did so in a superficial manner, showing that these expectations are not fully developed or at the forefront of concern compared to classroom-level expectations such as those regarding instruction, management, and discipline. These assumptions, along with the trend data, profiles, and initial findings on outlook and conceptualization provided the foundation and grounding for the individual interviews with participants. In essence, this conceptual ordering of initial questionnaire data guided the collection of interview data.

Interview data and reiterative analysis. As mentioned in Chapter Three, Methodology, a concerted effort was made to code interview data in vivo and to avoid the use of a framework of roles. From this process a total of over 300 in vivo codes and open codes emerged regarding the expected (or experienced) role of the principal. Care was taken to keep track of the

expectation modality (norm, preference, or belief) of each individual code. The open codes were categorized and re-categorized as the reiterative nature of the analysis in combination with continual data collection progressed. Categories were combined and compressed using the analysis procedures in Chapter Three, especially utilizing those analysis techniques that treated data on an opposing spectrum such as the flip-flop technique (Strauss & Corbin, 1998).

Originally mentoring and evaluation were treated separately, but as the codes began to show a continuum, they were combined under one category. Likewise, certain codes reflecting leader characteristics were combined into the broader categories regarding overarching leadership roles. The initial categories “experienced educator” and “advocate” were absorbed into the mentoring-end of the evaluation and observation category due to the context of the codes and the similarities in phenomenon.

One of the more drastic, and final combinations of originally separate categories was the choice to combine “vision” codes and “culture” codes. Reviewing the initial data and context of the codes, it was clear that vision and culture were linked in the participant’s perspectives. This is further supported by the fact that in the conceptually ordered questionnaire data, eleven of twenty participants placed “foster a collaborative school culture” and “articulate vision of effective instruction” in adjacent rankings (1st and 2nd; 2nd and 3rd, etc.). On the opposite end, no participant ranked these two at the opposing ends (1st and 5th). This decision was further supported by re-interview data where participants were asked to validate if these two concepts were linked. All participants in re-interview agreed that vision and culture were inextricably connected and impacted each other and the school as a whole. In re-interview, Participant #7 stated, “The vision is the culture, the culture is the vision. The success of one leads to the other

and back again.” In the end two axial categories, manifesting as continua, emerged: School Leader Roles and Instructional Leader Roles.

School Leader roles. The first axial category encompassed actions, decisions, and characteristics of the principal as a leader. As the codes were combined they were placed into a continuum from generally negative to positive. When viewed in this manner, four types of expected principals emerged: the absent principal, the micromanaging principal, the administrative leader, and the visionary culture leader. Participants reported the expectation that the principal may be absent due to time constraints on the principal’s schedule and the prioritization of the school as a whole over individual teachers. Oppositely, but interestingly still a negative preference, the micromanaging principal is expected to be overly, directly involved in the teachers practice to the point of “stifling creativity” and the teacher’s “loss of control”. In some participant cases, the appearance of the principal in the classroom combined with direct attention would be perceived as micromanagement. The administrative leader role encompassed those concepts that were professional norms and relatively neutral in nature. Codes that named a role such as “boss”, “manager”, and actions such as “running the school” and “brings policy into the school”, were included in this category. On the positive end of the continuum were those characteristics and actions that were ideas and concepts that looked toward the future and emphasized constructive interaction. As these codes were added, two roles emerged: vision leader and culture leader. But, as the reiterative analysis continued it was clear that these two roles were consistently discussed as corresponding, as with the overall ideas of vision and culture.

Table 17: School Leader Roles Expectation Continuum

SCHOOL LEADER ROLES		
NEGATIVE ABSENT/MICROMANAGING	NEUTRAL ADMINISTRATIVE	POSITIVE VISIONARY CULTURE
<p>“doesn’t micromanage” no micromanagement not a micromanager direct involvement seen as micromanagement micromanaging – “annoyed, disrespected” teacher control vs. micromanagement “without micromanaging” provides feedback but doesn’t micromanage higher ups stifle creativity “tell you how to manage your classroom perceived as micromanagement”</p> <p><u>Flip Flop Codes:</u> “let you develop your own style” “teachers still have control over teaching”</p> <p><u>ABSENT</u> “might be too busy” “they probably have more important things to do” “they don’t have time” expectation of limited availability “they got a school to run”</p>	<p>“running the school” “boss” “gives an idea of the school” “guidelines to follow directly” “principal – whole school situation” “have larger scope” “captain of the ship” “be a leader” “upper management who send down the guidelines” “be in charge” “manager” “school policy” “authority figure” “manager” “first and foremost they’re the boss” “bring policy into the school” “head disciplinary figure” “principal as overarching idea” “principal sets tone” “sets the tone”</p> <p><u>TIME MANAGER</u> “will make time” “uses delegation” “good time management” “certain things more of a priority”</p>	<p><u>VISION LEADER</u> “vision for entire school” “work towards bettering school” “have high expectations” “clear idea” “they see the future of the school” “umbrella goal to work towards” “make goals clear” “provide clear goals for whole school” “setting school-wide goals” “lays down what needs to be done” “make sure we’re all on the same page” “make sure foundation stays” “model what is expected” “manage and model” “trust teachers to do their job” “had a vision”</p> <p><u>CULTURE LEADER</u> “culture of success that starts with principal” “promoting a positive community for morale” “community or collaborative capacity” know the influence of incoming teachers “relationship with each of the teachers” “relationship” “know the teachers and students” “involved in socialization” “facilitate a collaborative school” “close relationship with teachers they are hiring” “good relationship with principal” “provide comfortable and welcoming environment” “being collaborative with teachers”</p>

Instructional Leader roles. The second axial category encompassed actions, decisions, and characteristics of the principal as an instructional leader. As the codes were combined they were placed into a continuum from generally negative preferences to neutral norms to positive beliefs. When viewed in this manner, four types of expected principals emerged: the critic, the observer/evaluator, the mentor, and the advocate. The “critic” role is described as a principal who “puts rubrics to you [the beginning teacher]” (Participant #9) and is very critical and unsupportive with instruction. On the far extreme, participants have reported a fear of termination due to the principal’s position as an evaluator. There is also a negative expectation that the principal in the role of “critic” will not be as forthright with the beginning teacher and will not extensively follow up with the beginning teacher. The observer/evaluator role encompassed those concepts that were professional norms and relatively neutral in nature. Codes that named actions such as “complete observations”, “feedback”, and “come in and check on teachers”, were included in this category. On the positive end of the continuum were those characteristics and actions that were ideas and concepts that looked aided the teacher and emphasized constructive interaction. As these codes were added, two roles emerged: mentor and advocate. Unlike the previous axial category that combined the two positive roles, these roles were determined to be operating separately. In the mentor role, the principal is expected to use their professional experience to guide and improve the instruction of teachers through observation, communication, feedback, and constructive criticism. In the advocate role, the principal is expected to help teachers in conflict or who are having instructional or student issues. But beyond that, in the advocate role, participants report that they expect the principal to value them, like them, be curious about them, and reassure them. The intersection of these two roles is the emphasis on the support of instruction and classroom management.

Table 18: Instructional Leader Roles Expectation Continuum

INSTRUCTIONAL LEADER		
NEGATIVE CRITIC	NEUTRAL OBSERVER/EVALUATOR	POSITIVE MENTOR & ADVOCATE
<p>“putting rubrics to you” “advocacy not part of their job” no current experience</p> <p>“not as forthright as colleague” “keep bringing up problem area” “I won’t go for help or guidance” fear of termination</p> <p>“principal will be very critical of me” “very critical” “don’t expect a high level of follow up” administration may cause negative outlooks “not back me up”</p>	<p>delegate evaluations “feedback” “coming in, seeing what’s working, what isn’t” “model lessons” “give feedback” “complete observations” “evaluate you and observe” “sitting in classrooms” “see how their teachers work” “once a year evaluation” “performance review” “sit and evaluate me” “do what’s required - no time for mentoring” “being present in the classroom”</p> <p>“some monitoring” “see my teaching style” “give me some criticism/pointers on teaching & management” “come in during first couple days” only directly involved when evaluating “come in and check on teachers”</p>	<p><u>MENTOR</u> has classroom experience from before “they have more experience” “help me b/c their experience” “give good evals and additional support” “genuine pov appreciated” “constructive criticism and feedback” “improvement” “appropriate advice” “go so far as to help them lesson plan” “doesn’t see any task as too little for him” “the goal is to help fix it” “mentor some” communicator “helps shape how you teach” “assist with discipline, assessment, planning” “works with me”</p> <p><u>ADVOCATE</u> principal resolves issues “supports teachers in conflict” “support decisions we make” “values me” “I’m worth hiring” “likes me on a personal level” “be curious about me” “treats me equal to other beginning teachers” reassurance “open door policy” “Teachers can come with professional problems” “give insight and help” unsocialized – seek principal help “asks what i need” “should go to principal with issues/challenges” “I could go to them without any hesitation” “earn their advocacy” accept mistakes but not be responsible comfortable to share issues</p>

Summary. An initial assumption after the questionnaire conceptual ordering was that the dichotomy of expectations would naturally divide between indirect facilitation and direct interaction. This was not necessarily the case. Codes naturally fell into continua of negative to positive, and instead of a spectrum of indirect to direct, the continuum reflected expectation modalities. Generally, the continuum reflected negative beliefs to neutral norms to positive preferences. The preferences are a positive extension of norms, whereas the negative beliefs are opposite of the norm. Looking at the prevalence of positive preferences as well as the fact that two roles inhabit the positive-end of the continua, it can be assumed that positive preferences are more at the forefront of preservice expectations. Viewed in this way, once again the operating phenomenon can be seen as hope. Preservice teachers fear the negative possibilities and believe they can occur, they passively hold the norms of the profession, but extend those norms into positive roles that they hope their future principals will enact.

Preservice Expectation Development

Preservice teacher expectations of principals are based on implicit norms within the education profession as well as unique personal experiences and formal field experiences. The nature and modality of the preservice teachers' expectations of their early career at-large as well as their conceptualizations and beliefs regarding support has a profound effect on their expectation of the principal's role in their induction. A common thread among participants was that when they were asked about expectations, their responses usually began with or encompassed the concept of: "This is what I've heard", "This is what I've experienced", or "This is what everyone expects". Usually after explaining the source, a participant would then articulate their preference or belief. Sometimes these were muddled. For example, participants may have heard a preference from another teacher that then became their belief. It is important

to understand these sources of expectations and expectation development. Two sources were identified as impactful to expectation development regarding principals: people (mentors and other teachers) and experience (K-12 and field experiences). One source was discarded as impactful to expectation development of principals: teacher education coursework.

Mentors and other teachers are a primary source of norm expectations; those expectations that are based on norms and normative roles of the profession at-large. As mentioned previously, several participants reported that they expected their first few years of early career to be the most difficult. All participants who said this began by stating that they had heard this fact from other teachers. As this norm was not a vestigial expectation from their K-12 experience or the result of field experience, this was a socialized norm. This transmission of norms was usually achieved through the conveyance of stories experienced by the mentor teacher (or other proximal teachers) to the preservice teacher; vicarious experience. Another way that these norms were transferred from mentor to preservice teacher was through direct statements that appeared as generalizations. The intention of these statements was usually to inform the preservice teachers of the typical professional experiences that they may encounter. But as will be discussed next, direct experience is more impactful than transmitted norms.

Experience plays the primary part in non-norm expectation development. Experience is the foundation of belief modality expectations by definition, but can also inform preference expectations. In the experiences of participants, it seems that field experiences through teacher preparation are more impactful to expectations than previously held beliefs generated by their K-12 experiences. A prime illustrative example is the experience of one of the Practicum I participants, who had extensive relationships and interactions with their K-12 principal but absolutely no contact with the principal during her practicum. In this case, she preferred the

extensive involvement of the principal that she experienced in her K-12 experience, but believes that the lesser practicum experience will be what actually occurs in her future early career. Her practicum experience changed her expectation from a preference of belief to a preference of hope. When asked if she would hold overly ideal expectations of the principal (based on her K-12 experience) if she had not had the practicum experience of an absentee principal, she responded, “Yes, I think I would be very optimistic. I think I would, but, I'm really grateful that I was placed at the school I was for my practicum because I think that this has given me a clear picture” (Participant #11).

Oppositely, a Practicum II participant experienced a “hands-on” principal in his practicum but an absent principal in his own secondary middle school and high school experience. This experience changed his expectation from a neutral generic norm to a specific positive role. When asked if he held any specific expectations of the principal before practicum experiences, he responded, “No. Not to the extent that I have seen them involved now...I figured they were just there to make sure everything was working how it was supposed to, and to be...in charge. But now that I've seen the hands-on version, I like it a lot” (Participant #18).

One participant was enrolled in Practicum I but ended up having to postpone his practicum. His experience of a principal was one that became more and more removed as he progressed through higher grades during his own K-12 education. His experience is similar to the Practicum II participant previously discussed. This participant did not, however, have a practicum experience and therefore his original K-12 belief remained the foremost expectation.

When I was in elementary school, the principal was really involved in a lot of school events, was really personable with a lot of the students and with that also interacted a lot

with the teachers. Which is really great, and I started going to higher, higher levels that you came a little bit more disconnected and just kind of an entity that was there if students messed up, which I suppose it is probably a source of my idea of the principal being a layer slightly separate from the teachers even now. (Participant #3)

One salient finding with implications for the field of teacher education is that coursework was not considered impactful to preservice expectations with regard to the principal or even supervisory roles of administrators. When asked in interviews if they had discussed the principal or administration in coursework or classes, participants generally stated that they had not: “I can’t really think of a specific you know moment or discussion or a chapter that I read or any lecture where they talked specifically about what to expect from your principal or what you should talk to your principal about” (Participant #16). Likewise stated: “I would say barely. I remember in a couple of my textbooks and mentioning the importance of our relationship with your administration, but it was never the center of a lesson or it was never really discussed at large with my instructors or my peers” (Participant #11).

Emerging Logic Paradigm of Role Expectation Development

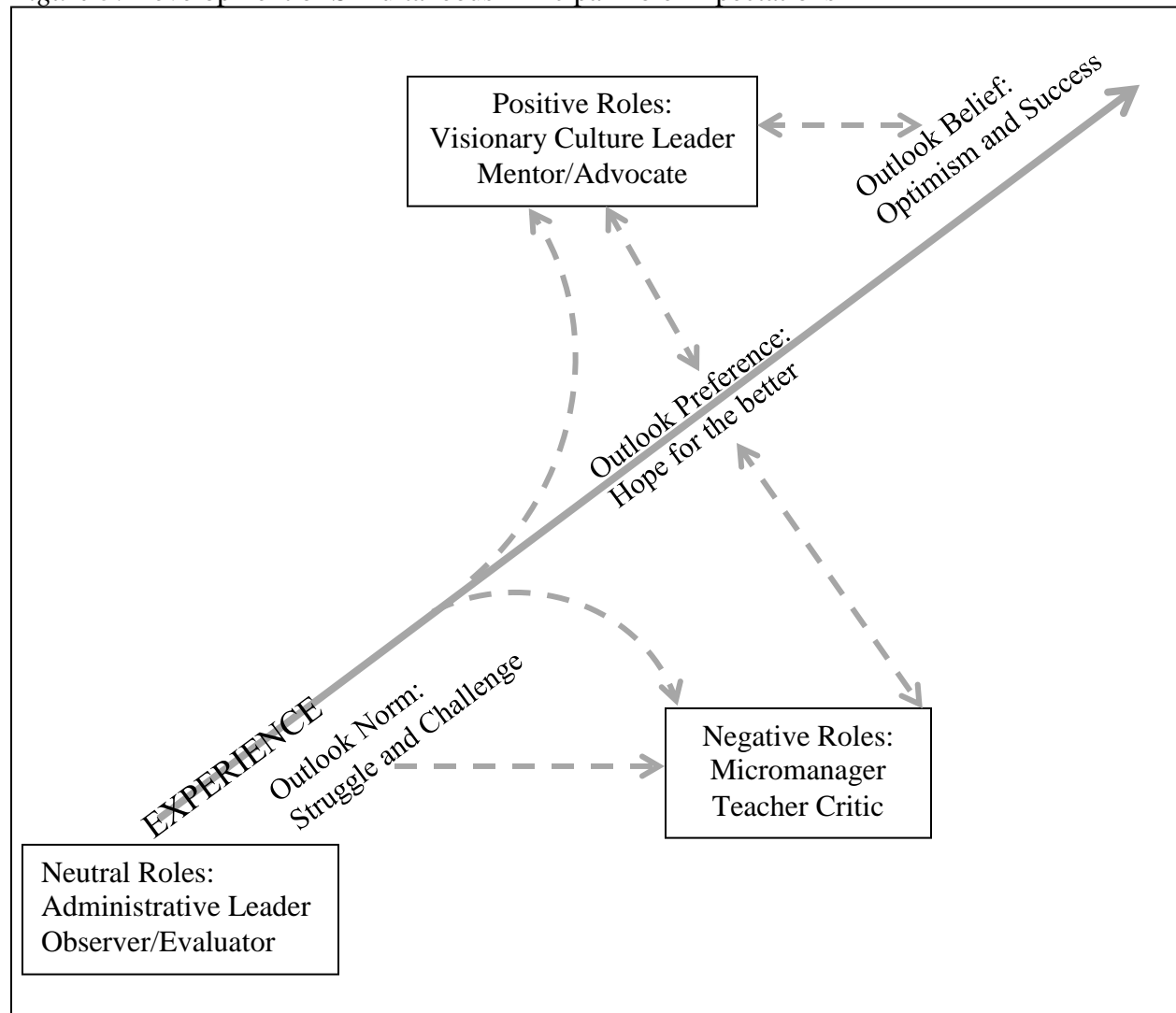
As summarized in the previous section regarding the nature of expectations, preservice teachers fear the negative possibilities and believe they can occur. Further, they passively hold the norms of the profession, but extend those norms into positive roles that they hope their future principal’s will enact. With regard to the development of these expectations, it is important to note that all three modalities and the full spectrum of expectations can be held simultaneously by a preservice teacher depending on their own set of experiences. Preservice teachers ubiquitously hold the normed roles of the principal in their expectations, namely the administrative leader and evaluator of teachers. Experiences in their own K-12 education can

impact expectations. If their own K-12 experience of the principal is an absent one, rather than creating a negative expectation, it simply perpetuates the normed expectations. If the K-12 experience is positive, this creates an ideal expectation that may be at a minimum, a source of hope, and at an extreme, overly idealistic. As shown in the data and findings, field experiences temper ideal expectations either through vicarious experience of a mentor teacher communicated to the preservice teacher or by direct experience. These experiences begin to extend the norm roles of the principal into the positive and/or negative ends of the role spectrum. Paramount to this expectation development process is whether role expectations develop into anticipatory beliefs of what is expected to occur. A field experience of a positive principal may not result in an optimistic belief. Likewise a negative principal field experience may not disillusion the preservice teacher. As expectations of the principal's role become more clarified and crystallized in the preservice teacher, there is a weighing of the neutral norms, positive roles, and negative roles, all held simultaneously and constantly competing for the forefront.

In this emerging logic paradigm (Figure 3), it is not only a question of which roles are developed and held, it is a question of how preservice teachers' general outlook, as transformed by experience, shapes these expectations. With little to no experience, the preservice teacher will hold the role norms of the profession or roles which they have experienced prior to field experiences. Early in their preparation, preservice teachers may adopt an outlook of anticipated struggle and challenge, usually based on communicated norms from other teachers or based on their own informal experiences that relate to teaching. With this general outlook, preservice teachers may tend to adopt principal role expectations that are negative in nature. More specific principal role expectations are developed through field experiences. These roles are extensions of the norm roles or extensions of roles experienced prior to field experiences (as a K-12 student,

parent, etc.). These roles have a positive or negative slant and generally develop at the same time as the preservice teacher is shifting away from the norm of struggle outlook to the outlook of hope. Both the negative and positive role expectations develop the hopeful outlook, and likewise, the outlook further develops the roles. When a preservice teacher shifts in outlook to optimistic belief, positive principal roles are expected. It is important to note that in this phase, the other principal role expectations are not abandoned but rather passively held; the preservice teacher understands that any role may be enacted and still holds all role expectations. Therefore, this emerging logic paradigm is named: *Simultaneous Principal Role Expectations*.

Figure 3: Development of Simultaneous Principal Role Expectations



CHAPTER FIVE

DISCUSSION AND CONCLUSIONS

This chapter discusses the findings of this study and extends the concepts and logic paradigm to the various fields of teacher education, professional development, and school leadership. Through a brief summary of findings, a discussion of the contribution to the literature and theory, an examination of the implications, and a review of the limitations, conclusions regarding this dissertation study are drawn.

Brief Summary of Findings

The findings were framed by the first two research questions. The first research question explored the nature of the preservice teacher expectations for secondary school principals in teacher induction. The second research question pondered how and why these preservice expectations originate. The third research question asked how these preservice teacher expectations about school principals compare to concepts in the current literature, which is discussed in the next section.

The overall nature of the held expectations was found to be hopeful in outlook even if challenges were expected to occur in early career. Moving from the larger outlook to a more focused picture, expectations of induction and the conceptualizations of support and development in early career are not formal in nature. Preservice teachers do not expect formal induction structures and processes, nor do they view them as impactful. Conceptualizations of induction support are developmental when an individual is early in preparation. Nearing the end of field experiences, namely student teaching, the preservice teacher shifts to view socialization as the preferred and expected form of induction support. From this, it can be assumed that

preservice teachers do not hold an expectation of formal involvement from the principal beyond the norms of orientation and evaluation.

On a very specific level of expectations, preservice teachers view that principals enact two broad roles: the school leader and the instructional leader (see Table 19). These two broad roles manifest as a spectrum of sub-roles from negative to neutral to positive. The school leader role encompasses the spectrum roles of the micromanager (negative), the administrative leader (neutral), and the visionary culture leader (positive). The instructional leader role encompasses the spectrum roles of the teacher critic (negative), the observer/evaluator (neutral), and the mentor/advocate (positive). Of particular note is that multiple roles can coexist in a preservice teacher's expectations, and that it is a question of which they prefer and which they believe will occur.

Table 19: Preservice Teacher Expectations of the Principal Role

	Negative Roles	Neutral Roles	Positive Roles
School Leader	Micromanaging Leader Absent Leader	Administrative Leader	Visionary Culture Leader
Instructional Leader	Critic	Observer/Evaluator	Mentor Advocate

Posed by the second research question, how and why these expectations develop, the development of these expectations was found to be an interactive process involving previously held norms and beliefs and field experiences. Direct field experiences were found to be the most impactful to preservice teachers' expectations of the principal as compared to communicated beliefs from mentors, vicarious experience, and initially held beliefs. Field experiences inform the roles that the principal can inhabit as well as develop the preferences held by preservice teachers, and ultimately, guide what they believe will occur in teaching and in learning to teach. They hope for and prefer those positive expected roles that have either initially developed due to K-12 experience or during field experiences, even if a field experience with a principal was

negative. Preservice teachers develop anticipatory beliefs based on experience and their general level of optimism.

Comparison and Contribution to Literature

The findings outlined corroborate, contribute, and contradict certain concepts in the current literature on teacher induction and school leadership related to mentoring and teacher education. This discussion includes comparing expectations and their development to norms in the literature, explicitly identified roles, and paradigmatic induction thinking.

New understanding of preservice teacher outlook. As mentioned in the findings, the general outlook of preservice teachers is hopeful optimism, a general hope for the positive despite the expectation of challenges and apprehension towards the realities of early career. This finding contradicts earlier research on “unrealistic optimism” (Weinstein, C., 1989; Weinstein, C., 1998; Weinstein, N., 1980) wherein preservice teachers are overly optimistic and idealistic regarding their success in early career. The foundational work of Neil Weinstein (1980) stated that this phenomenon was “not merely a hopeful outlook in life, but an error in judgment” (p. 806). He further stated that a manifestation of unrealistic optimism was the tendency for individuals’ predictions to align with their preferences. In this study, cases of the opposite were found.

Certain preservice teachers had developed expectations that predicted negative events (challenges and struggle in their early career and/or negative principal roles). These expectations also had simultaneously-held mirrored preferences (success in early career and positive principal roles) for which the preservice teacher hoped but did not expect to occur. Although a large group of participants showed optimism, it was generally tempered by the belief that a positive early career experience may not occur. Those who reflected pessimistic-leaning outlooks still

had a preference for hope but it was not a prediction or belief of what would occur. Carol Weinstein (1988; 1989) extended the study of unrealistic optimism to the field of teacher education, specifically to teacher education students' preconceptions. She found that preservice teachers tended to manifest unrealistic optimism as self-serving biases, such as believing that problems faced by others will not occur to them, rating themselves superior to peers, and emphasizing important teacher attributes as those that they themselves reflect. Once again in contradiction, this study found that preservice teachers developed multiple modalities of expectations of their early career.

Within these expectations, preservice teachers believe they will face challenge but hope and prefer that it does not occur. Because these prior studies only investigated one modality of expectation, beliefs, they did not elicit the alternatives that may have existed such as norms and preferences. Especially salient to this argument is that the foundational work of Neil Weinstein muddled belief-expectations and preferences. Preferences and norms in later work were only discussed as a comparison to the beliefs; comparison to peers (Weinstein, C., 1988) and comparison to inservice perceptions (Weinstein, C., 1989). Despite the contradictions, this study does contribute to this line of research in corroborating the existence of an optimistic bias in preservice teachers. The hopeful outlook described in the findings of this study is pervasive even in participants who hold the belief that negative experiences are likely to occur. In essence, the generally-held hopeful outlook of preservice teachers demonstrates a *realistic* optimistic bias.

Preservice understanding of formal induction. With regard to induction structures, the earlier literature describes the perceived importance of an orientation meeting by new teachers. As discussed in the review of literature, two studies found that beginning teachers valued orientation for the exact reason that they did not receive it or received an inadequate orientation

(Algozzine et al., 2007; Quinn & Andrews, 2004). Through this study, this concept can be extended to preservice teachers and a contributing facet may be explained. When discussing formal induction structures, preservice teachers only described or named an orientation meeting as a formal structure. It appeared that it was the only induction structure of which they were aware. This may explain the earlier findings of its perceived value even when not received. If this is the only induction structure of which preservice teachers hold a clear picture, then the unmet expectation, when it is not received, can result in confusion and disillusionment.

Previous literature found collaboration as important and beneficial to induction (Andrews, Gilbert, and Martin, 2007; Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b; Brown & Wynn, 2007; Brown & Wynn, 2009; Nielson et al., 2007; Scherff, 2008; Womack-Wynne et al., 2011). Certain studies identified a collaborative school culture as beyond an element of induction; as foundational to the elements of induction (Bickmore & Bickmore, 2010a; Bickmore & Bickmore 2010b, Cherian & Daniel, 2008; Nielson et al. 2007). This study contributes to this line of research by extending this perception to a previously unexamined group, preservice teachers. A constant and consistent theme throughout the study was the perceived importance of relationships, interactions, and collaboration. In the end, it was found that one of the major positive principal roles preservice teachers expect is the *visionary culture leader*; a principal who enacts a vision through the establishment of a collaborative school culture.

Expected roles of the principal. The expected roles of the principal that preservice teachers hold match those extant in the literature but roles also exist in the literature that are not within the expectations of preservice teachers or at least not emphasized. Wood (2005) identifies

five discrete roles of the principal in new teacher induction: culture builder, instructional leader, coordinator/facilitator of mentors, novice teacher recruiter, and novice teacher advocate/retainer. Further, the literature delineates these roles as sets of responsibilities and behaviors. Contrarily, preservice teachers seem to hold just two general roles as a set of negative to neutral to positive expectations. This study contributes the concept of negative roles that principals may enact and specifically contributes the roles of the school leader as a micromanager and the instructional leader as a teacher critic.

Understanding that negative roles exist within expectations is a major contribution to the literature of school leadership. It is known that negative management and leadership styles exist in expectations (Bodycott, Walker, & Chi, 2001) but generally the literature on school leadership has treated discrete roles as the enactment of a normative/positive role or the absence of those actions and disregard of responsibilities. Rather than a concept of enactment or disregard, this study poses that within preservice expectations of role, it is a spectrum of enactment from negative to neutral to positive. In essence, the principal is always expected to enact the two roles of school leader and instructional leader. At question in the expectations of the preservice teacher, is where on the spectrum that the roles will be enacted.

Of particular note in this concept is that the principal's expected "absence" was not considered by participants to be a disregard of role responsibilities but rather an enactment on the negative side of the spectrum. For example, a principal who is not as visible in classrooms was perceived by preservice teachers to be prioritizing the management of the school over individual interaction; enacting the "time manager" sub-role of the administrative leader. In fact, one of the roles in the negative spectrum of the school leader is actually the opposite of dereliction of principal duties, the micromanaging leader. In this case, the negative role is a principal who is

perceived to be too involved and too structured. This study forwards that both the absentee principal (due to time constraints of being an *administrative leader*) and the micromanaging principal exist simultaneously in preservice role expectations, with the idea of micromanagement being more prevalent.

At the secondary level, as opposed to the elementary level, one might assume that the majority of expectations would lean toward the absentee principal due to the context of secondary schools (larger student population, more co- and extra-curricular activities, multiple departments, etc.), but this study showed a prevalence of the “micromanager” expectation as opposed to the “absent” expectation in the secondary-level participants. This was somewhat of a confounding finding considering that these preservice teacher’s expectations were developed through field experiences in secondary contexts. To interpret this finding, a review of the context under which these expected roles developed was taken. Participants with “absentee” expectations had developed these expectations based on experiences with absent principals prior to and/or during field experiences, although these expectations tended to be passively-held compared to other role expectations. Participants with expectations of micromanaging principals had developed these expectations based on communicated norms and vicarious experience of other teachers. In this case, the communicated norm and vicarious experience led to a more prevalent expectation than the direct life and field experiences. This can be explained by two concepts. First, the experience of an absent principal is more of a non-experience. In other words, the lack of the experience leads to the development of the passively-held expectation. Second, the communicated norms and vicarious experience of other teachers can be more impactful if it reinforces emotion-laden beliefs. In this case, the micromanaging principal

expectation reinforces preservice fears of criticism, termination, and the loss of instructional control and autonomy.

In previous explanations of the roles relating to culture and vision, these responsibilities and behaviors have been divided into separate roles (Cherian & Daniel, 2008; Wood, 2005). This study also contributes the idea of a combined *visionary culture leader* role. In preservice teacher expectations, the concepts of leading an effective school culture and leading with a shared vision are inextricably linked. The development of this role in preservice expectations may be due to the experiential nature of the role itself. Those who had developed this specific role expectation had done so through experience within a collaborative culture. As vision is more effectively transmitted through a collaborative school culture (Feiman-Nemser, 2010; Wong, 2004), both are experienced hand-in-hand.

The literature has described behavior and responsibilities of roles that are direct interactions with the beginning teacher (Brown & Wynn, 2007; Gimbert & Fultz, 2009; Scherff, 2008) which are seen as a means of addressing beginning teachers' needs (Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b; Wood, 2005). But there is no single role that encompasses these concepts in the literature. Rather this concept is distributed among the many roles that the principal may enact. This study forwards the role of the instructional leader as a direct mentor of beginning teachers as a specific expectation of preservice teachers. This role also encompasses the concept of advocacy. Preservice teachers perceive that the positive enactment of the principal in the observer role is a principal who provides feedback and direct professional support. This role expectation could be the result of the field experiences, wherein the preservice teachers' superiors (cooperating teacher, university facilitator, co-requisite course professors, etc.) all take a developmental mentorship role.

Unexpected roles of the principal. Certain roles that are described in the literature fall outside of the preservice expectations. Wood (2005) specifically delineated the role of “novice teacher recruiter” which is not reflected in preservice teacher expectations. Preservice teachers do not expect to be directly recruited by the principal. In many cases, preservice teachers were not informed of hiring practices and processes in the field of K-12 education. Further, they were unaware that hiring decisions are a responsibility of the principal. Oddly, and oppositely, preservice teachers were acutely aware that termination was a responsibility of the principal. During the data analysis of this study, this was a conundrum until it was noted that preservice teachers paired their fear of termination to the principal enacting the role of a teacher evaluator. When viewed in this manner, it is clear how a preservice teacher could expect a principal to terminate them through negative evaluations, but not have an expectation that the principal would be involved in recruitment. A consequence of this could be that principals may enact the role of a new teacher recruiter and become actively involved in the hiring process, whereas the preservice teacher in the process of recruitment may not expect this level of involvement, potentially causing the stressful process of “reality shock” (Hughes, 1958; Louis, 1980; Metzner, 1982; Veenman, 1984) in the preservice teacher.

Another role at contention is the “mentor facilitator” role, which does appear in preservice expectations, but is extremely vague and underdeveloped. Preservice teachers somewhat expect the principal to be involved in the mentor-mentee assignment but do not have a clear picture of what this entails. In the literature-delineated role, it is important that the principal considers several factors with regard to matching mentor and mentee, such as subject area, teaching style, and the strengths and weaknesses of both the mentor and mentee. Beyond this, the principal is also to facilitate the mentoring process through provision of a vision of the

professional standards of the school as well as time for the mentoring to occur. Preservice teachers on the other hand view this facilitation as a facet of the principal's role in building and maintaining a collaborative school culture but not as an explicit, stand-alone role.

Summary. This study contributed to the literature of teacher education, teacher induction, and education leadership. It contradicts earlier work on preservice teacher unrealistic optimism. When viewing the multiple simultaneous modalities of their expectations, this study shows that preservice teachers hold realistic optimism or a hopeful outlook. It sheds light on preservice teacher conceptualizations of induction, which are underdeveloped with regard to formal induction structures but still place an emphasis on the role of a collaborative school culture as an active element in their early career. Preservice teachers develop a spectrum or continuum of two major roles that they believe their future principal will enact. These two roles generally reflect two of the five roles delineated in the literature with aspects of the other roles either incorporated into these two continua or falling outside of preservice teacher expectations. This study forwards the addition of a direct mentor role (on the positive end of the instructional leader role) as expected by preservice teachers, which is distributed among other roles in the current literature. The roles delineated by the literature that preservice teachers do not expect (recruiter, retainer), or those that are underdeveloped (mentor facilitator), may be due to the nature and structure of field experiences. And similar to their unawareness of formal induction, preservice teachers are unfamiliar with goals of induction as a whole. Therefore, roles which intend to address induction goals are not fully expected by preservice teachers.

Contribution to Socialization Theory, Induction Paradigms, and Fifth-Wave Thinking

Socialization theories. This study proposes a new emerging logic paradigm that questions not only which roles are developed and held, but how preservice teachers' general

outlook, as transformed by experience, shapes these expectations. Because a major consideration of this logic paradigm is the use of expectation modalities from role theory, it extends this theory as well as joins it to other theories of socialization. Of particular note, this theory aligns with the theory of “apprenticeship of observation” (Lortie, 1976). In both theories, experiences color expectation. And in both theories, these are preservice experiences that are prior to assuming full responsibility of classroom in career. These experiences are considered “frontstage” and the workings, intentions, and events “backstage” remain out of the preservice teacher’s view, even in field experience. While Lortie was focused on the pedagogical consequences, this study extends the impact of this process to the development of role expectations.

Where this study diverges from Lortie’s apprenticeship theory is the concept that initial, incoming beliefs before teacher education coursework are strongly-held beliefs. With regard to principal role, the strength of initial beliefs was dependent on each individual’s experience. Those who experienced positive interactions with the principal prior to teacher education programs did have strongly-held initial beliefs. Those who did not experience interaction with the principal held initial expectations that were passively-held norms. This can be explained by proximity of the K-12 student to the principal. Whereas every student experiences teachers, has interactions with them and connects affect to the roles that they enact, not every K-12 student has experience with the principal. In these cases, no affect is connected to the role of the principal, hence the passivity of their nature. Further, the passive belief is based on generalizations that were transmitted via means other than experience, which is the main reason why they are outmoded and consequently extended to other roles in field experiences.

Transformative or interactionist socialization (Assucao-Flores, 2010; Brock & Grady, 2001; Feiman-Nemser, Schwille, Carver, & Yusko, 1999; Zeichner & Gore, 1990) as an interplay between the individual and the context of the school was seen throughout the perspectives given by preservice teachers in this study. They expect this form of socialization as opposed to functional socialization focused on personal needs or socialization with the goal of retention. This aligns with reform-oriented paradigm of induction, wherein the strengths of the beginning teacher are utilized through the collaborative culture of the school as a vehicle for reform. While the two theoretical constructs of transformative socialization and reform-oriented induction are not expanded, it is important to note that these two concepts develop somewhat naturally in the expectations of preservice teachers.

The theoretical socialization processes of “sense-making” or “meaning attribution” wherein individuals rely on individual and organizational inputs to make sense or attribute meaning to unmet expectations or unexpected events (Louis, 1980; Quaglia, 1989) were not and could not be explored in the design of this study. However, this study does provide the first half of this puzzle: preservice expectations of the principal. This study also contributes to the theory a baseline of individual and organizational inputs that are initially-held before unexpected events or unmet expectations occur. In this way, this phenomenon can be more readily explored with regard to the process of sense-making and meaning-attribution when a principal enacts role elements that are unexpected.

Induction paradigms and fifth-wave thinking. The fifth-wave of formal induction thinking was predicted by Wood and Stanulis (2010) based on the work of Fideler and Haselkorn (1999). The literature review in Chapter Two revealed that recent literature describing fifth-wave induction implementation embraces the comprehensive, multifaceted paradigm embedded

in collaboration (Wood & Stanulis, 2010) and the absolute, integral role of the principal within this type of induction system (Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b). Beyond these concepts, the fifth-wave is marked by use of specific “educative mentoring” (Schwille & Wolf, 1997), formative assessment of beginning teachers by a supervising administrator, and the emergence of the standards-based paradigm of induction and the reform-oriented paradigm.

With regard to fifth-wave induction thinking, several themes warrant discussion. First and foremost, viewing induction through the fifth-wave lens inherently frames the process as formal and systemic. Preservice teachers do not view induction in the same manner. They do not expect systematic, formal structures specifically geared toward their early career development and socialization. Because of this, the fifth-wave norms of multi-faceted and comprehensive paradigm approaches to induction remain out of the grasp of preservice expectations. Much like the fifth-wave thinking regarding the formative assessment of beginning teachers, preservice teachers also seem apprehensive of formative assessment by administrators. Their expectation, that mentor teachers should conduct formative assessment rather than supervising administrators or principals, as well as the expectation that principals will conduct the summative evaluation of beginning teachers, matches the controversy present in the current and emerging literature on the topic (Fox & Singletary, 1986; Schwille & Wolf, 1997; Yusko & Feiman-Nemser, 2008). Also in fifth-wave induction thinking are the competing paradigms of standards-based induction and reform-oriented induction. This study found that preservice teachers overwhelmingly expected and preferred the reform-oriented paradigm to the standards-based paradigm. One final alignment between the fifth-wave concepts and the findings of this study can be noted. Preservice teachers view the process of socialization as their

future incorporation into a professional and collaboratively-conducive whole school culture which is a major tenet of fifth-wave induction thinking.

Implications for Teacher Education, Teacher Induction, and School Leadership

The findings of this study regarding the expected roles of the principal as well as the process by which these expectations develop have implications for several fields, including teacher education, professional development that is tied to teacher induction, and school leadership. The early career induction of beginning teachers is the bridge between preservice teacher education program preparation and inservice professional development (Feiman-Nemser, 2001; Feiman-Nemser, 2010). The success of a beginning teacher's early career and their induction into the profession is increasingly the responsibility of the school principal (Bickmore & Bickmore, 2010a; Bickmore & Bickmore, 2010b; Cherian & Daniel, 2008; Wong, 2004). Even in cases where larger school district structures dictate the induction process, the principal is still responsible for a beginning teacher's development and socialization to the context of the school. This study explored the preservice expectations of this crucial period and process, and as such, the findings and theory generated have implications for all three fields.

Teacher education. A critical finding in this study was that at the end of field experiences, on the cusp of entering their career and starting inservice induction, preservice teachers had not developed a vision of induction as a formal or programmatic process. This has been a point of contention in the literature, regarding exactly what role teacher education programs should play in teacher induction (Feiman-Nemser, Schwille, et al., 1999; Wallace, 1982; Wong, 2004; Zeichner, 1979). On the extremes, it has been described that universities should form partnerships with their local school districts to share a large role in teacher induction by providing structure, staff, and support (Feiman-Nemser, Schwille, et al., 1999). On the other

hand, it has been suggested that universities should play a limited role and provide a process for verifying the competency of its inservice graduates either through direct means or by delegating the process to the hiring school district (Wallace, 1982). But the latter view of university responsibility is too focused on the actual induction process. Because of the lack of curriculum and learning opportunities in teacher education programs that would prepare preservice teachers for the induction process, the first charge of the teacher education program with regard to induction should occur before the preservice teacher graduates. At the very minimum, teacher education programs should facilitate the induction process by informing preservice teachers of its existence, goals, and structures. This responsibility can be achieved through a combination of coursework and field experiences (Clift & Brady, 2005). During coursework, the preservice teacher may be informed of the induction process and its varying manifestations. During field experiences, specific involvement in induction activities would be important to the development of clear expectations of induction. Structuring the observation of as well as reflection on orientation, professional development activities, beginning teacher cohorts, inservice mentoring, and supervisory evaluation would broaden and sharpen the preservice picture of induction structures and their goals.

A salient finding of this study for teacher education programs was that preservice teachers did not find coursework impactful to their expectations of the principal. It was further found that field experiences outmode and redevelop initial expectations in preservice teachers. These two findings lead to two implications for teacher education programs. First, teacher education programs should design coursework curriculum (prior to field experiences) to shine a light on the topics of school leaders and administrator responsibilities. These discussions should be framed within the context of school-wide collaborative induction models (Bickmore,

Bickmore, & Hart, 2005). In this way the preservice teacher is not only informed of roles and responsibilities but understands the underlying interactive dynamic; facilitating the appropriate establishment of a relationship with the principal during field experiences and beyond. Although it is impossible for preservice teachers to fully comprehend the complexities of a school administration and effective collaborative interactions, even superficial or rudimentary knowledge will help them start their career with the appropriate mindset of their school community.

The coursework curriculum on this topic may also serve as an intervention to misconceptions of the principal's roles and responsibilities (Clift & Brady, 2005). A chief example in this study of a misconception carried into field experience was that preservice teachers were unaware that hiring and staffing decisions are the principal's responsibility, even though they were acutely aware that the principal could fire them. In the same way that teacher education coursework is intended to correct pedagogical misconceptions in preservice teachers (Clift & Brady, 2005; Zeichner & Conklin, 2005), it should likewise seek to mediate misconceptions of the roles of principals and other administrators. It could be argued that transmitting norms of the profession in coursework is futile as it leads to passively-held norms that will be outmoded in field experience nonetheless. Teacher education coursework should seek to lay the foundation for appropriate role development and frame these discussions with the field experiences in mind. In essence, the coursework curriculum should align and link to the field experience curriculum and especially the student teaching curriculum, regarding this topic.

The second implication of these findings is that teacher education programs must design field experiences that specifically incorporate experiences with the principal. As mentioned previously, those preservice teachers who experienced absent principals in field experiences

simply extended the neutral, normed expectations of their role. Those with negative interactions with principal, tempered their idealism, and this process resulted in a hopeful but more realistic expectation of their future principal. Those who experienced a positive interaction with the principal, had a more developed and complex vision of the positive roles that principals could encompass, thus impacting their preferences but not necessarily their belief that all principals behave in the same manner. Regardless of the tone of the interaction, preservice teachers developed more realistic expectations of the principal's role. Teacher education programs, through their design of field experiences for preservice teachers, can facilitate the development of these expectations through formal, programmatic implementation of principal interactions with the preservice teacher. Equally, if the preservice teacher is informed of the dynamic of the principal role in coursework, these field experiences will be framed by appropriate knowledge of the role.

Within the context of this study, the student teachers experienced more intense teaching assignments than practicum students but did not have significantly different experiences with principals; they were not provided with structured opportunities to learn the auspices of school administration and their forms of support. Much like the research on structured and sustained interactions with students, wherein these interactions impacted the beliefs about students and learning, and ultimately promoted change in beliefs and practices (Clift & Brady, 2005), methods courses and field experiences must include structured and sustained experiences with principals and other administrators. Based on the study at hand, participants did not receive structured and sustained experiences with the principal and therefore developed the belief that they would need to socialize themselves into the collaborative culture. In this context, preservice teachers cannot

establish a sound vision of their early career and may either be socialized into the status quo or struggle with the schools trying to incorporate them.

A specific suggestion for the implementation of this type of field experience is a mock hiring interview, feedback, and reflection activity between the preservice teacher and the principal. In this activity the preservice teacher would interview with the principal for an open position (a mock position). After the interview the principal would provide feedback on the interview, providing guidance and advice on what a principal may be seeking or how the preservice teacher could improve their interview skills. The preservice teacher would reflect on the activity and perhaps redo the interview. The purpose of this activity is two-fold, to inform or affirm the induction role of the principal as a recruiter in charge of hiring decisions (Wood, 2005), and to provide an opportunity for interaction between the preservice teacher and the principal that contains elements of direct mentoring and advocacy.

In summary, teacher education programs need to redesign the coursework and field experience curriculum to inform preservice teachers of the induction process and the roles of the principal; to provide them opportunities to learn about different learning contexts, misconceptions, and challenges in the initial stages of their teaching career. While the awareness developed in coursework may lead to passively-held norms, the roles emphasized in coursework should be nonetheless appropriately framed by research-delineated roles rather than by generalizations. This provides the foundation on which structured and specific field experiences with the principal can further develop appropriate role expectations in the preservice teacher. Likewise, field experiences that involve the preservice teacher in induction activities can foster the development of a clear picture of the process.

Professional development – teacher induction. Induction program design and implementation should take into account the expectations that preservice teachers hold. First, because preservice teachers do not hold a clear picture of programmatic induction, beginning teachers fresh from preparation programs may not have a vision of how formal induction looks. Beyond introducing the beginning teacher to the school, the orientation meeting should outline the formal aspects of the induction program, how each element functions and for what purpose, as well as those individuals that will be facilitating the process and providing support. In essence, the first socialization process for beginning teachers should be the socialization to the norms of the induction program itself and the paradigmatic thinking behind it rather than immediate institutionalization and further socialization into the status quo.

Although preservice teachers have not developed a picture of formal or programmatic induction, they do have a clear expectation of collaboration. This collaborative culture is seen by preservice teachers as both a support and a means to utilize their strengths. In the first perspective, preservice teachers expect support during induction to be collaborative in nature; an implication for the approach to induction programming. In this latter perspective, preservice teachers expect that the collaborative school culture will be a vehicle by which to spread their ideas and affect change in the school. The one-size-fits-all approach to workshops as induction development has been seen as insufficient (Wang, Schwille, & Odell, 2008) and it is now clear that these approaches do not suffice in the mind of the preservice teacher as well. This perspective aligns with ideas of reform-oriented induction and transformative socialization. As discussed previously, transformative socialization and reform-oriented induction approaches are intended to interact with the beginning teacher to affect the school as a whole rather than the alternative of inflexibly socializing the teacher to the context (Assucao-Flores, 2010; Brock &

Grady, 2001; Feiman-Nemser, Schwille, Carver, & Yusko, 1999; Zeichner & Gore, 1990). In the same spirit, the approach to induction programming should be flexible and interplay with the strengths of the beginning teacher rather than the alternative of a rigid, systematic process that is predetermined regardless of beginning teacher strengths. In this way, the induction program not only states its goals, but the inductees themselves forward them. Likewise, this flexibility in induction approach should also be sensitive the context in which it resides.

While beginning teacher strengths should be one focus of induction programming, their weaknesses cannot be ignored. Professional development activities are necessary to continue the pedagogical development of beginning teachers (Feiman-Nemser, 2010; Wong, 2004). These activities should be a combination of practiced-based professional development and theoretical professional development. In effect, these activities should provide specific methods to perform in the beginning teacher's classroom but also be based in the theories of effective instruction. The balance of these two types of professional development is paramount. Preservice teachers in this study, specifically student teachers, showed a lowered preference for developmental activities due to their belief that the teacher education program had already developed their competency. If this preservice belief is held through to the beginning of inservice, beginning teachers may not fully engage in professional development activities unless they see direct benefits in their classroom. This phenomenon provides justification for professional development with a practical emphasis. But to mediate a return to custodial or didactic practice predicted by Veenman (1984), beginning teachers must be reminded of the effective teaching models that were covered in preservice preparation, hence the use of theory-based professional development activities.

Aligned with the preservice expectation, induction structures should be collaborative in nature. Beginning teachers are the largest subpopulation in one of the largest occupations in the country due to disproportionate numbers of entering beginning teachers while veteran teacher leave (Ingersoll, 2012). Rather than viewing this as a challenge to the field of education, induction design can embrace this phenomenon. With so many entering teachers, school-based beginning teacher cohorts can be easily established. This collaborative structure can provide professional and personal support to the beginning teacher, foster socialization, and facilitate collaboration among peers. Further, if used as a means of providing opportunities to the impact school, it can enact the reform-orientation of induction. Beginning teacher cohorts as a support system and a means through which ideas can be shared can improve beginning teacher engagement in the induction process as well as prevent disillusionment.

In summary, the first socialization process the induction program should undertake is the beginning teacher's socialization to the induction program itself. The approach to induction should be flexible and interactive with the beginning teacher and the context of the school in mind to avoid institutionalization and one-way socialization without challenging the status quo. Structures of formal induction should be collaborative in nature and can manifest as beginning teacher cohorts, and other activities that allow for the use of beginning teacher strengths while addressing their shortcomings. This dual approach of utilizing strength and mediating weakness is the basis to avoid disillusionment and improving engagement, while at the same time promoting the use of effective teaching strategies and preventing the beginning teacher's decline into use of didactic or custodial instruction. Developmental activities should balance the practical and theoretical aspects of instruction. In these ways, the beginning teacher will not

only accept the induction process but also be an active agent within it (Assucao-Flores, 2010; Zeichner & Gore, 1990).

School leadership. The implications of this study for school leaders is based in the early career thinking that preservice teachers hold that will become the initial beliefs that they carry with them as they enter the profession. As discussed in the previous section, the literature on induction leadership delineates certain roles that may fall outside of the expectations of the preservice teacher. The role of the principal as a recruiter of new teachers is outside the expectations of the preservice teacher. This direct interaction with the principal has the potential to cause some reality shock (Hughes, 1958; Louis, 1980; Quaglia, 1989; Veenman, 1984) in the preservice/beginning teacher, especially considering that it may be the first direct, professional interaction that the preservice teacher may experience. Principals should be aware of this dynamic when approaching the recruitment process. They should understand the difference in the recruitment of a veteran teacher, who has been through the process before and has had interactive experiences with principals, and the recruitment of a new teacher, who has perhaps not expected to interact so directly with the principal so soon in their career.

The role of the principal as a mentor coordinator and facilitator (Wood, 2005) is vague in the expectations of preservice teachers. As such, principals should be sure to include the beginning teacher in the process as well as explain the reasoning and thinking behind mentor selection decisions. As preservice teachers hold the expectation of the principal in a mentor role as well, principals should be sure to balance and coordinate their own mentorship of the beginning teacher with that role of the mentor teacher. Communication between the mentor teacher and principal would be paramount to encourage a shared goal of the beginning teacher's development and socialization.

Of most importance to principals are the expected roles that preservice teachers have developed. The two broad roles that preservice teachers hold, the school leader and the instructional leader, are prevalent norms to the practicing principal. But, the underlying spectrum of expectations these roles encompass are the important facets which the principal should regard. Preservice teachers simultaneously hold several forms and modalities of these roles. For the school leader role, preservice teachers hold expectations of an undesirable micromanager, a neutral administrative leader, and an impactful visionary culture leader. For the instructional leader role, preservice teachers hold expectations of a negative teacher critic, a neutral observer/evaluator, and a positive mentor/advocate. The principal should know, through the recruitment process, which of these expected roles the preservice teacher believes. If a preservice teacher chiefly preferred the mentor/advocate role, this would be misaligned with a principal who believes that mentorship should be delegated completely. It is important to understand expectations and their alignment or contradiction to a particular leadership style. In the end, principals should be aware of what norms have been socialized already, what preferences of the principal's role that preservice teachers have developed, and ultimately, what beliefs they carry. In essence, what they know to expect, what they want the principal to be, and what they believe the principal will actually enact.

Limitations and Suggestions for Future Research

Limitations. If the purpose of this discussion has been to underline the strengths of the logic paradigm developed in this study, a discussion of the limitations is warranted to consider those elements of the research that lacked strength. This open discussion is critical to preserving the integrity of this research. As mentioned previously, in Chapter Three, and with regard to design, the methods of this study posed certain risks to validity. The transferability of the

findings to other populations should be approached with caution due to the limited participant population and context (Lincoln & Guba, 1985). Although the context was a single program, it was chosen as a typical traditional education program as compared to alternate licensing programs. In this way the context provides a general and typical starting point for future research. Since the study was not longitudinal and participants representing various levels were separate individuals, findings and inferences that cross experiential boundaries of the participants were approached with caution. Further, the magnitude of the impact of sources of expectation development cannot be determined by qualitative means (Creswell, 2007). This limitation was tempered by the reiterative nature of the data collection and analysis; concepts that were important frequently and consistently reappeared and saturated the data (Strauss & Corbin, 1998). The collection of data, analysis, interpretation, and logical inferences are the effort of a single researcher, a threat to confirmability (Lincoln & Guba, 1985). To increase validity, an intercoder was utilized in the initial analysis until consensus was reached (Kurasaki, 2000).

This study extended a previous pilot study of induction that included multiple perspectives of beginning teachers, mentors, administrators, and principals. As per the research design, and with the intention of collecting and analyzing preservice perspectives without contamination from other perspectives, this study was limited to a single population and any referral to other data sources by this population. Due to logistics and participant preferences, the procedure of data collection was inconsistent. Interviews were conducted in person and via telephone. All initial interviews were audio-recorded and transcribed with the exception of two; one involving a technical failure of recording and the other wherein the participant declined the use of recording. In these interviews, notes were taken in lieu of transcriptions. Most re-interviews were audio-recorded and transcribed dependent on the participant.

Due to the non-participation in focus groups and the researcher's perception of participant fatigue, focused verification interviews with the purpose of member-checking and theory confirmation were brief and not audio-recorded. Once again, data analysis was the undertaking of a single researcher. Despite the use of an intercoder and a concerted effort to approach the data without a framing theory in mind, a schema developed from a deliberate review of literature can never be fully placed aside. Limitations on the implication drawn from the findings are based on the population sampled. The implications regarding teacher education, professional development, and school leadership are limited to those preservice teachers or incoming beginning teachers from traditional teacher education programs.

Lingering questions. This study illuminates what expectations exist in preservice and how they develop through experience, right up to the last weeks of student teaching. What remains is a small gap between the end of student teaching and the entry into career. Feiman-Nemser (2001) described it as a boundary to one side of the inservice career. A set of lingering questions are posed by this gap. What happens as they approach that boundary? Do graduation, leaving college, and entering the job search affect their general expectations further? Do more general expectations develop? Does the general outlook of hopeful optimism remain? And what happens to the expectations of preservice teachers who meet struggle in the job search?

It is unclear whether the implications drawn can be extended to all preservice teachers or if this phenomenon described is unique to those enrolled in traditional teacher education programs. Another set of lingering questions emerge: Do the shortened field experiences of alternate licensure programs lead to underdeveloped expectations? Do second career beginning teachers (those with a previous career in another field) carry different initial expectations of the principal? And are these as easily outmoded by field experiences as the initial passively-held

norms of their traditional preparation counterparts?

Finally, the focus of the study was the secondary level of K-12 education. Lingering questions about the elementary side of this phenomenon still exist. Do other roles develop (or remain undeveloped) in elementary field experiences? Does the smaller nature of the elementary context facilitate more contact and experience with the principal in preservice? Since the elementary level is not inherently subject-specific, does this affect the direct mentorship expectations of the principal?

Future research. To avoid these limitations in future research, the approach to design may be longitudinal and incorporate multiple contexts, both geographically and with regard to the type of preparation program (traditional, ARL, etc.). Further, as this study focused on the secondary level, future research may explore this phenomenon in the elementary programs and participants. Future research may also triangulate between the stakeholder groups of induction (preservice teachers, beginning teachers/inductees, mentors, school leaders, induction leaders/implementers, education policymakers). Although the methods of this study were appropriate to exploring a previously unknown phenomenon, future research may use multiple methods of inquiry. Because this study outlines the basic phenomenon occurring, quantitative methods may be used to confirm or refute the generated theory or its variables and tenets. Mixed methods may be used to continue the thread of qualitative inquiry using the perspectives of participants while quantitative methods can confirm these, or the opposite, quantitative methods can measure the phenomenon while participants explain qualitatively (Creswell, 2007; Creswell, 2014; Creswell & Clark, 2011).

In purely qualitative methodology, future research in this line can be achieved by any of the five approaches outlined by Creswell (2007). Narrative inquiry could elicit specific and

episodic events of the expectations development or could extend into early career and explore the mismatches of expectations and the consequences in individuals. Phenomenological inquiry targets a shared experience among a group of participants and therefore this approach would be appropriate to investigating specific role expectations and the exact experience that led to its development. Further grounded theory inquiry could explore this process using an approach other than Strauss and Corbin's (1998) systematic approach, such as constructivist grounded theory (Charmez, 2006; Clark, 2005) focused on postmodern and less "positivist" concerns. Ethnographic and case study research may be difficult to utilize due to the emphasis on observation rather than interview, but it would still be possible to investigate expectations and their consequences through these methods.

Now that expectations are identified, future research can use major theories to extend our understanding of induction and early career. Specifically, the theory of apprenticeship (Lortie, 1976) can frame research on whether beginning teachers return to custodial (passive norms) expectations of the principal's role when expectations are unmet. Likewise, research framed by the socialization theories of sense-making (Louis, 1980) and meaning-attribution (Quaglia, 1989) can explore the inputs utilized in the socialization process when expectations are unexpected or unmet. For the socialization theories, the first half of the puzzle is provided, the initially-held beliefs and role expectations that have developed upon entry into the profession. Future research can use this first half to finish the puzzle using a number of theoretical lenses, models, or conceptualizations.

Conclusion

Taking a step back to view the issue at-large, the misalignment of expectations and realities is a major contributing factor to early career disillusionment and attrition of new

teachers. This study begins a strand of research that elucidates the expectations held in preservice and how they develop. Preservice teachers view that principals enact two broad roles, the school leader and the instructional leader, that manifest as a spectrum of sub-roles from negative to neutral to positive that coexist in a preservice teacher's expectations. Direct field experiences are most impactful to preservice teachers' expectations of the principal as compared to vicarious experience, initially held beliefs, or beliefs communicated by mentors that inform the lesser-held norms and preference role expectations. Field experiences ultimately guide what they believe will occur in their early career and which roles the principal will enact.

This study closed a gap in literature regarding preservice expectations of the principal and of school leadership. This study also identified potential misalignments between preservice expectations and the realities of inservice as well as the current norms of induction thinking. Theoretically, this study has provided a means to explore induction as socialization in a deeper manner with regard to beginning teachers. By understanding the incoming initial beliefs of beginning teachers, researchers can follow the continuum of induction from preservice through inservice and investigate the consequences of these developed role expectations. Likewise in practice, by understanding the incoming initial beliefs of beginning teachers, school leaders can better prepare induction experiences and structures that align with these as well as utilize the strengths while addressing the shortcomings of inductees in an effective manner.

The theory presented, *Simultaneous Principal Role Expectations*, provides a picture of the spectrum of principal role expectations that preservice teachers develop in field experiences. The understanding of these expectations is needed for the success of teacher induction and those who lead beginning teachers through it. By possessing insight into the expectations that preservice teachers hold, those who control the realities may make the effort to meet those

positive expectations. The theory generated by this study can frame future research, guide induction planning and policy, and inform principals of what is expected of them. These efforts can continue to improve the teacher induction process and remove if but one more challenge facing beginning teachers.

APPENDIX A: Original Pilot Study IRB Documents



IRB Received Date Stamp—Office Use Only	IRB Protocol Number—Office Use Only
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Research Protocol Proposal Form For Research Involving Human Subjects

Instructions:

1. CITI certification (www.citiprogram.org) must be current at the time of protocol submission.
2. Complete all sections. Do not reference other sections as a response (e.g., "see section..." or "see attached...").
3. Submit one complete protocol package with all enclosures. You will be notified if additional copies are necessary.
4. Projects with funding/proposed funding must include copy of the application or proposal.
5. You must proofread your document for spelling and grammar before submitting to assure timely IRB review.
6. Submit the protocol package via email to ORI – Human Subjects (IRB@unlv.edu) from the PI's UNLV email address.

Note:

1. Research may not begin until you have received notification of IRB approval.
2. Handwritten and incomplete forms cannot be accepted.
3. For your records, it is important that you keep a copy of this completed form.

1. Duration of Study Anticipated Start Date: 9 / 2014 Anticipated Termination Date: 1 / 2015

2. Research Protocol Title (Research Protocol Title must match the funding/proposed funding application or proposal): The Role of Site-based Secondary Administrators in the Induction Development of Teachers
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3. Investigator(s) Contact Information (The PI must be UNLV faculty in all cases involving studies carried out by students or fellows.) A. Principal Investigator (Name and Credentials): <u>Dr. Shaoan Zhang</u> <input checked="" type="checkbox"/> Faculty <input type="checkbox"/> Faculty Advisor Department: <u>Teaching and Learning</u> Mail Stop: <u>3005</u> Phone Number: <u>(702)895-5084</u> E-Mail Address: <u>shaonan.zhang@unlv.edu</u> B. Student/Fellow Investigator (Name and Credentials): <u>Matthew Nishimoto</u> <input type="checkbox"/> Undergraduate <input type="checkbox"/> Master <input checked="" type="checkbox"/> Doctorate <input type="checkbox"/> Fellow Department: <u>Teaching and Learning</u> Mail Stop: _____ Phone Number: <u>(702) 354-3838</u> E-Mail Address: <u>mnnishimoto@interact.ocsd.net</u> C. Please complete (if applicable). Protocol Coordinator (Name and Credentials): _____ Phone Number: _____ E-Mail Address: _____ Co-Principal Investigator (Name and Credentials): _____ <input type="checkbox"/> Faculty Department: _____ Mail Stop: _____ Phone Number: _____ E-Mail Address: _____
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4. Research Team Members: List all research team members (including PI) who will have contact with subjects, have contact with subjects' data or biological samples, or use subjects' personal information.
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NAME and DEPARTMENT	ROLE IN PROTOCOL	SPECIFIC EXPERIENCE WITH ROLE IN PROTOCOL	ROLE IN CONSENT PROCESS
EXAMPLE: Dr. Chris Researcher, Research Department	EXAMPLE: Developed protocol, collecting data, analyzing data, writing report	EXAMPLE: Has had 7 years of conducting and publishing human subjects research at a university	EXAMPLE: Recruiting subjects, writing the consent form, consenting subjects, answering questions
Dr. Shaoan Zhang PhD, Department of Teaching and Learning	Principal Investigator, analyzing data, writing report	Has had 8 years of conducting and publishing human subjects research at a university	None
Matthew Nishimoto, Department of Teaching and Learning	Student Investigator, developing protocol, collecting data, analyzing data, writing report	Classroom training in qualitative research methods	Recruiting subjects, writing consent forms, consenting subjects, answering questions

5. Complete Description of the Study Procedures:

A. Purpose and Method:

5.1 Describe the purpose of the study: The purpose of this qualitative phenomenological study will be to describe the perceived role of secondary school administrators in the induction experience of individual teachers from the perspective of preservice teachers, inservice teachers, and administrators. At this stage in the research, the role of administrators will generally be defined as the expectations, identities, and behaviors of administrators. Induction will generally be defined as the systems and constructs to assist teachers in professional growth; induction being a specific and isolated construct of professional development at the beginning of teachers' careers. The potential significance of this study is three-fold. First, this study has potential significance for school policy and professional development design. Second, this study has potential significance for practicing administrators by informing them of perceptions of their role in the professional development of teachers. Third, this study has potential theoretical significance as the perceptions of role in this study can further the current frameworks of role and positioning theory (Biddle 1966; Biddle 1979). This study is to address the issue of contradicting roles in the extant literature regarding administrator role and professional development.

5.2 Provide a COMPLETE description of the study procedures in the sequence that they will occur.

RATIONALE FOR QUALITATIVE RESEARCH DESIGN: The rationale for using a qualitative approach is that the perceived role of the administrator can be complex, subjective, and possibly fragmented, uncategorized, and unanalyzed in the cognitive constructs of both the administrator and the teacher. There may also be facets of the perceived role that are not outlined in the current frameworks of role theory (Biddle 1966; Biddle 1979; Biddle, 1986).

Using qualitative methods can elicit these complex elements for in-depth analysis and understanding (Marshall & Rossman, 2006).

QUALITATIVE APPROACH: This study will employ a general phenomenological approach as described by Creswell (2007) as well as analytical coding elements from grounded theory (Strauss & Corbin, 1998).

TRUSTWORTHINESS: This study will apply the four characteristics of trustworthy research as identified by Lincoln and Guba (2005): credibility, transferability, dependability, and confirmability. These four elements will be increased through the textual and conceptual organization afforded by ATLAS.ti (the database will be accessible for other researchers' direct review of evidence), triangulation of data sources among different experiential groups, multiple theoretical perspectives (role and positioning), and multiple methods including phenomenological bracketing and grounded theory coding.

RESEARCH QUESTIONS: The overarching research question is:
What are the perceptions of the role of school administrators in induction professional development?

Subquestions:

What are the perceptions of the role of school administrators in induction from the different perspectives of preservice teachers, inservice teachers, and administrators?

How do the perceived roles compare and contrast among the separate participant groups?

What are the specific dimensional elements of the role of school administrators in induction when inductively analyzed?

PROCEDURES:

1. INITIAL RECRUITMENT: Potential inservice participants will be identified through public CCSD websites and staff directories. These potential participants will be contacted via email to assess their willingness to participate in the study using a form recruitment letter. Current preservice teachers (students enrolled in a teacher education program) will be recruited via flyer distribution: posted flyers in the College of Education at UNLV and outside the classrooms of general pedagogy courses at Nevada State College. Instructors of pedagogy courses will be provided flyers to distribute to preservice teachers as well as be informed to direct potential participant questions to the researchers via the contact information on the flyer.

2. RESPONDENTS AND PURPOSEFUL SAMPLING: Respondents to the initial recruitment will be contacted and sent via email a consent form, asked two questions, and asked to identify and provide contact information for other potential participants (especially teachers). The provided a copy of the consent form is for the respondent to read and possibly respond with questions. The two questions asked of respondents is, "When would be an optimal date and time for a one-hour interview? Would the location at UNLV be fine or is there another convenient location?"

3. RECURSIVE PURPOSEFUL SAMPLE: Those individuals identified by initial respondents as potential participants will be recruited by means of the same recruitment procedures as the initial sample including identifying further potential participants. This recursive purposive sampling will continue until the number of maximum participants (or very close to) is achieved. Rationale for the use of purposive sampling in this study: "purposive sampling is a type of non-probability sampling that is most effective when one needs to study a certain cultural domain with knowledgeable experts within" (Bernard, 2002, p. 39).

4. INTERVIEW TIME AND DATE: Via email or phone, each participant will set a time and date of their interview.

5. CONSENT: At the location of the interview, before the interview protocol commences, the participant will be provided a hard copy of the consent form. After the potential participants have had enough time to read the consent form, each of them will be given the opportunity to ask the researchers any questions about the research.

6. INTERVIEW DATA COLLECTION and RECORDING: Dependent on participant permissions, the researcher will videotape, audiotape, or otherwise document the interview. Control of any of the recording devices will be placed in the hands of the participant and the research will emphasize that if at any time the participant is uncomfortable, they may stop the recording. If this does occur, the researcher will also not document by any other means until the participant wants to continue or withdraw from the interview and/or study. The interviews will be generally open-ended using the attached Interview Protocol.

7. ANALYSIS: All interviews (other than those of individuals who withdrew from the study) will be transcribed and analyzed by the investigators using established phenomenological data analysis procedures: horizontalization and

meaning clustering (open coding, axial coding, and selective coding), textual and structural description of experiences, and ultimately essential structure (Creswell, 2007; Marshall & Rossman, 2006; Moustakas, 1994; Strauss & Corbin, 1998).

1.

B. Consent

5.3 Describe the consent process for enrolling subjects into this study. Current CCSO secondary administrators will be asked via an email letter, their willingness to participate in the study and to identify and provide contact information for other potential participants. If any are willing to participate, each potential participant will, as a part of the interview protocol, be given a consent form (this consent form will also be provided in previous email contact). After the potential participants have had enough time to read the consent form, each of them will be given the opportunity to ask the researchers any questions about the research.

5.4 Where will the consenting process take place? The Informed Consent Form will be distributed and participant questions addressed during the interview protocol to be conducted in Room 350A of the Carlson Education Building at UNLV (unless another interview location is agreed to by the participant).

5.5 Is a waiver of the signature requirement on the Informed Consent being requested? ☐ Yes ☒ No

If yes, please complete for following:

5.5.1 Please check one

- ☐ The only record linking the subject and the research would be the consent document AND the principal risk would be potential harm resulting from a breach of confidentiality.
- ☐ The research presents no more than minimal risk of harm to subjects AND involves no procedures for which written consent is normally required outside of the research context.

5.5.2 Explain why the waiver of signature is being requested. _____

6. Exempt Research Category (Check the applicable category):

- | | |
|--------------------------|---|
| <input type="checkbox"/> | 1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods. |
| <input type="checkbox"/> | 2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. |
| <input type="checkbox"/> | 3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b)(2) of this section, if (i) the human subjects are elected or appointed public officials or candidates for public office; or (ii) Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter. |
| <input type="checkbox"/> | 4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. |
| <input type="checkbox"/> | 5) Research and demonstration projects which are conducted by or subject to the approval of Department or Agency heads, and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs. |
| <input type="checkbox"/> | 6) Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. |

	Department of Agriculture
<input type="checkbox"/>	7) None of the above categories apply to the proposed research study.

<p>7. Research Activities (Part A)</p> <p>7.1 Please check any/all that apply to the proposed research study:</p> <p><input type="checkbox"/> (1) Clinical studies of drugs and medical devices only when condition (a) or (b) is met: (a) Research on drugs for which an investigational new drug application (21 CFR Part 312) is not required. (Note: Research on marketed drugs that significantly increases the risks or decreases the acceptability of the risks associated with the use of the product is not eligible for expedited review.) (b) Research on medical devices for which (i) an investigational device exemption application (21 CFR Part 812) is not required; or (ii) the medical device is cleared/approved for marketing and the medical device is being used in accordance with its cleared/approved labeling.</p> <p><input type="checkbox"/> (2) Collection of blood samples by finger stick, heel stick, ear stick, or venipuncture as follows: (a) from healthy, non-pregnant adults who weigh at least 110 pounds. For these subjects, the amounts drawn may not exceed 550 ml in an 8 week period and collection may not occur more frequently than 2 times per week; or (b) from other adults and children, considering the age, weight, and health of the subjects, the collection procedure, the amount of blood to be collected, and the frequency with which it will be collected. For these subjects, the amount drawn may not exceed the lesser of 50 ml or 3 ml per kg in an 8 week period and collection may not occur more frequently than 2 times per week.</p> <p><input type="checkbox"/> (3) Prospective collection of biological specimens for research purposes by noninvasive means. Examples: hair and nail clippings in a non-disfiguring manner; excreta and external secretions (including sweat); unaccumulated saliva collected either in an unstimulated fashion or stimulated by chewing gumbase or wax or by applying a dilute citric solution to the tongue; placenta removed at delivery; supra- and subgingival dental plaque and calculus, provided the collection procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques; mucosal and skin cells collected by buccal scraping or swab, skin swab, or mouth washings; sputum collected after saline mist nebulization.</p> <p><input type="checkbox"/> (4) Collection of data through noninvasive procedures (not involving general anesthesia or sedation) routinely employed in clinical practice, excluding procedures involving x-rays or microwaves. Where medical devices are employed, they must be cleared/approved for marketing. Examples: physical sensors that are applied either to the surface of the body or at a distance and do not involve input of significant amounts of energy into the subject or an invasion of the subject's privacy; weighing or testing sensory acuity; magnetic resonance imaging; electrocardiography; electroencephalography; ultrasound; diagnostic infrared imaging; doppler blood flow; and echocardiography; moderate exercise; muscular strength testing; body composition assessment; and flexibility testing where appropriate given the age, weight, and health of the individual.</p> <p><input type="checkbox"/> (5) Research involving materials (data, documents, records, or specimens) that have been collected, or will be collected solely for nonresearch purposes (such as medical treatment or diagnosis). (NOTE: Some research in this category may be exempt from the HHS regulations for the protection of human subjects. 45 CFR 46.101(b)(4). This listing refers only to research that is not exempt.)</p> <p><input checked="" type="checkbox"/> (6) Collection of data from voice, video, digital, or image recordings made for research purposes.</p> <p><input checked="" type="checkbox"/> (7) Research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies. (NOTE: Some research in this category may be exempt from the HHS regulations for the protection of human subjects. 45 CFR 46.101(b)(2) and (b)(3). This listing refers only to research that is not exempt.)</p> <p><input type="checkbox"/> None of the above categories apply to the proposed research study.</p>	
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8. Research Activities (Part B)

8.1 Please check any/all that apply

- ☐ False or misleading information will be presented to subjects (deceptive studies).
- ☐ Procedures for debriefing subjects (Debriefing is defined as giving subjects previously undisclosed information about the research project following completion of their participation in research. Note that this usage, which occurs within the behavioral sciences, departs from standard English, in which debriefing is obtaining rather than imparting information.): _____
- ☐ Invasive biomedical procedures
Explain procedure: _____
- ☐ Sensitive questions will be asked about personal issues.
- ☐ The study involves use of potentially hazardous materials (Explain): _____
- ☒ The research includes collection/storage of data/biological specimens for future research analysis. If yes, the consent document must address the possibility of future use.
- ☐ Procedures are novel or not accepted practice (if this category applies, explain in the Informed Consent Form how provisions are made to correct, treat or manage unexpected adverse effects).
- ☐ Risky procedures or harmful effects, including discomfort, risk of injury, invasive procedures, vulnerability to harassment, invasion of privacy, controversial information or information creating legal vulnerability (if this category applies, explain in the Informed Consent Forms how harmful effects will be addressed and how benefits outweigh risks).
- ☐ None of the above categories apply to the proposed research study.

9. Project Site(s) (Check all that apply)

- ☒ University of Nevada, Las Vegas (UNLV) – Please check the specific campus.
 - ☒ Maryland Campus (main)
 - ☐ Shadow Lane Campus
 - ☐ Online only
 - ☒ Other: (Specify and Explain): Other locations designated by participants that may be more convenient for travel than UNLV, such as school sites where participants work or homes.
- NOTE: If the project site is other than UNLV or online, Facility Authorization Letter must be submitted.

10. Research Subjects

10.1 Maximum number of subjects: 20

10.2 Describe the targeted population (e.g. healthy adults age 18-45), including age range: Preservice Teachers, Secondary Teachers, and School Administrators, aged 18 and beyond

10.3 Summarize the inclusion and exclusion criteria that must be met in order for the person to participate in the study:

Inclusion: Group 1: Individuals who are preservice teachers enrolled in a teacher education program.
Group 2: Individuals who are secondary public school teachers and are currently in their induction period (first three years).
Group 3: Individuals that are or were teachers in secondary public schools and worked beyond the average induction period (first three years) and are considered veteran (roughly beyond ten years).
Group 4: Individuals that are or were site-based secondary administrators and supervised teachers during their induction period.

Exclusion, if any:

10.4 Are there any enrollment restrictions based on gender, pregnancy, race or ethnic origins? ☐ Yes ☒ No
If yes, please explain the nature of the restriction(s) and provide justification. _____

11. Privacy and Confidentiality
*Privacy refers to a person's desire to control the access of others to themselves. Privacy relates to the subject.
 Confidentiality refers to the researcher's agreement with the subject about how the subject's identifiable private information will be handled, managed, and disseminated. Confidentiality relates to a subject's information.*

11.1 How will you protect the privacy of the participants? No specific mention of the schools, names of participants, or names of individuals discussed in interviews will appear on any report of the research.

11.2 How will you ensure confidentiality of the data obtained? All data will be controlled by only the principal investigator and student investigators. Video/Audio recordings of interviews will be recorded temporarily onto an SD card (storage medium of the camera). Recordings will be transferred from the SD card to a dedicated USB storage drive (for long term storage). Upon transfer the SD card will be cleared of recordings. Only de-identified data will be used in future studies.

11.3 Where will all data be stored? (For review/audit purposes, records must be stored on UNLV property.)
☒ PI's office (bldg/room): CEB 366 ☐ PI's laboratory (bldg/room): _____ ☐ Other (bldg/room): _____

11.4 How long will all data be stored? 3 years

11.5 What are the plans for the final disposition or destruction of all data? Shredding of documents, erasing of electronic audio and video recordings (formatting of USB drive(s)).

12. Recruitment Procedures

12.1 Describe below the processes used for selecting subjects and the methods of recruitment, including use of letters and/or advertising. Include, when, how and by whom the subjects will be recruited. The student investigator, Matthew Nishimoto, will recruit subjects via email letters to administrators. These letters will ask if the administrators are willing to participate as well as ask the administrators to identify and provide contact information for other potential research subjects (individuals that are veteran teachers and newly inducted teachers).
Current preservice teachers (students enrolled in a teacher education program) will be recruited via flyer distribution: posted flyers in the College of Education at UNLV and outside the classrooms of general pedagogy courses at Nevada State College. Instructors of pedagogy courses will be provided flyers to distribute to preservice teachers as well as be informed to direct potential participant questions to the researchers via the contact information on the flyer.

12.2 Indicate the types of recruitment materials to be used below (check all that apply). Attach copies of all recruitment materials to this application.
☒ Internet/Email ☐ Television/Radio/Newspaper ☐ Flyers/Posters/Brochures
☒ Letter of Contact ☐ Subject Pool Description ☐ Other (Describe): _____
☐ This research study will not be using any recruitment materials.

12.3 Do you or any member of the research team have an authoritative role over the research subjects? ☐ Yes ☒ No
If yes, please explain: _____

13. Medical Devices

13.1 Are you using a medical device? ☒ No ☐ Yes

13.2 What is the name of the medical device? _____

13.3 Please describe how the medical device will be used. _____

13.4 Is this a SIGNIFICANT RISK (SR) or NON-SIGNIFICANT RISK (NSR) device?
☐ SR ☐ NSR

13.5 Is this an INVESTIGATIONAL MEDICAL DEVICE? ☐ Yes ☐ No

APPROVED MEDICAL DEVICE FOR AN UNAPPROVED USE: ☐ Yes ☐ No
 If yes, indicate DEVICE name: _____
 IDE number: _____
 Sponsor/Manufacturer: _____
 NOTE: Please provide the investigator's brochure when using an investigational device.

FDA APPROVED MEDICAL DEVICE FOR AN APPROVED USE: ☐ Yes ☐ No
 If yes, indicate DEVICE name: _____
 Sponsor/Manufacturer: _____
 NOTE: Please provide the package insert when using an approved device.

13.6 Is the IDE (Investigational Device Exemption) held by the sponsor or by the investigator?
☐ Sponsor (Please forward copies of the annual report from the sponsor to the IRB.)
☐ Investigator (Please provide a copy of the original IDE application and copies of the annual reports at the time of continuing review)

14. Risks

14.1 Summarize the nature and amount of risk (including side effects, stress, and discomfort). Examples of risk include physical risks, psychological risks (such as stress, discomfort, or invasion of privacy) and social risks (such as jeopardy to insurability or employability). There are minimal risks involved in this study. A risk is that participants may feel uncomfortable discussing their own concerns regarding the induction experience. Participant administrators may also feel uncomfortable discussing individuals whom they supervised. However, the participants will be allowed to not respond to questions they may feel uncomfortable answering.

14.2 Estimate the probability (e.g. not likely, likely, etc.) that a given harm may/will occur, its severity, and its potential reversibility. Not likely

14.3 What procedure(s) will be utilized to prevent/minimize any potential risks? The student investigators will attempt to be sensitive to the feelings of the participants. During the interview process, participants will be in control of the recording device and may stop the recording at any time. The student investigators will emphasize that the participants have the opportunity to withdraw from the research at any time.

15. Benefits

15.1 Describe any probable benefits of the research for the subject(s). (Do not address compensation)
Participants may benefit from the study because when they discuss their experiences, they can gain a greater awareness through critical reflection of these experiences.

15.2 Describe the probable benefits of the research for society. The potential significance of this study is three-fold. First, this study has potential significance for school policy and professional development design. Second, this study has potential significance for practicing administrators by informing them of perceptions of their role in the professional development of teachers. Third, this study has potential theoretical significance as the perceptions of role in this study can further the current frameworks of role and positioning theories.

16. Time Cost to Subjects:

16.1 Amount of participation time: 1 hour

17. Financial Information

17.1 Are there financial costs to the subject? ☒ Yes ☐ No If yes, explain: Travel expense to the site of interview

17.2 Will subjects be paid or otherwise compensated for research participation? ☐ Yes ☒ No

If yes, please respond to the following questions:

- a) Describe the nature of any compensation to subjects. Include cash, gifts, research credit, etc. _____
b) Provide a dollar amount, if applicable, and indicate method of payment. _____
☐ Cash ☐ Check ☐ Research Credit ☐ Other: _____
c) When and how is the compensation provided to the subject? _____
d) What is the effect on compensation if a subject does not complete the study? _____

17.3 Is there any internal or external funding (e.g., grants, contracts, gifts, etc.) ☐ Yes ☒ No

If yes:

- a) Name of Sponsor or UNLV Grant Program: _____
b) Attach a copy of the proposal and/or award document.

18. Conflict of Interest

Does a conflict of interest exist with this study? ☒ No ☐ Yes, explain: _____

19. Signatures of Assurance

A. Investigator's Assurance:

I certify that the information provided in this application is complete and accurate. As Principal Investigator, I have ultimate responsibility for the conduct of this study, the ethical performance of the project, the protection of the rights and welfare of human subjects and strict adherence to any stipulations designated by the IRB. I agree to comply with all UNLV policies and procedures, as well as with all applicable Federal, State and local laws regarding the protection of human subjects in research including, but not limited to the following:

- Performing the project by qualified personnel according to the approved protocol.
- Not changing the approved protocol or consent form without prior IRB approval (except in an emergency, if necessary, to safeguard the well-being of human subjects).
- Obtaining proper informed consent from human subjects or their legally responsible representative, using only the currently approved, stamped consent form.
- Promptly reporting adverse events to the ORI – Human Subjects in writing according to IRB guidelines.
- Arranging for a co-investigator to assume direct responsibility, if the PI will be unavailable to direct this research personally, as when on sabbatical leave or vacation.

*****FACULTY ADVISOR (IF APPLICABLE):** By my signature as Principal Investigator on this research application, I certify that the student/fellow investigator is knowledgeable about the regulations and policies governing research with human subjects and has sufficient training and experience to conduct this particular study in accordance with the approved protocol. In addition:

- I agree to act as the liaison between the IRB and the student/fellow investigator with all written and verbal communications.
- I agree to meet with the student/fellow investigator on a regular basis to monitor the progress of the study.
- I agree to be available and to personally supervise the student/fellow investigator in solving problems, as they arise.
- I assure that the student/fellow investigator will promptly report adverse events to the ORI – Human Subjects according to IRB guidelines.
- I will arrange for an alternate faculty advisor to assume responsibility if I become unavailable, as when on sabbatical leave or vacation.
- I assure that the student/fellow investigator will follow through with the storage and destruction of data as outlined in the protocol.
- By submitting this form electronically, I agree to the assurance as stated above.

APPENDIX B: Role of the Principal Questionnaire

Part 1: Open-ended

Describe how you expect to receive *personal support* from your school principal when you begin your teaching career.

Describe how you expect to receive *professional guidance* from your school principal when you begin your teaching career.

Describe how you expect to receive *instructional assistance* from your school principal when you begin your teaching career.

What actions do you expect your principal to take on your behalf? In situations and in general.

Part 2: Closed-ended

Rank each statement in the order that you believe is important or the degree to which the statement aligns with your beliefs (1st being the most important or most aligning).

{Conceptualizations}	
My early teaching career will...	
_____	be supported by people who help me adjust to the school and the profession of teaching.
_____	develop through continued learning on the job (experience and learning opportunities).
_____	be assisted through formal, systematic structures intended to enhance my instruction and acclimate me to my new surroundings (orientation, workshops, etc.)
{Paradigms}	
Support provided in my early career should...	
_____	match the general professional needs of a beginning teacher.
_____	attend to my individual needs, to help me adjust to starting a career.
_____	come from multiple places to meet my varied needs.
_____	develop me as a teaching professional, at my own pace.
_____	develop me as a teaching professional, based on national professional standards
_____	help identify my strengths, to be utilized to impact the school as a whole
{Optimism/Pessimism}	
I think my early career in teaching....	
_____	will be more successful and impactful than the usual beginning teacher.
_____	will be about the same as the average beginning teacher.
_____	will have much more challenges than the average beginning teacher.
{Principal Roles from Literature}	
My future first principal should...	
_____	foster a collaborative school environment that supports me as a beginning teacher.
_____	articulate a vision of effective instruction and provide feedback on my practice.
_____	involved in my classroom regularly and directly assist me with my practice.
_____	match me with a colleague to assist me and provide time for us to collaborate.
_____	be the one that recruits, interviews, and hires me, and later advocates for me.
{Modes of Expectations}	
What I expect of my future principal is...	
_____	what I personally prefer.
_____	based on experience and is what I believe.
_____	what the education profession as a whole expects.

*Note: Titles to sections in brackets { } will be omitted in questionnaire presented to participants

APPENDIX C: Interview Protocol

Semi-Structured Interview (Questions may be modified or omitted)

Establish Rapport

- “Weather” talk

Consent Procedure

- Consent Form; Audio-Videotape signature
- Address participant questions/concerns, if any

Interview Questions

Describe principals in your past educational experiences (in primary/secondary school).

Can you describe any specific interactions or experiences that you had with your principals when you were a student? {episodic interview question}

Describe how you imagine that your principal will be involved in your early career.

(Same questions from questionnaire, but refined and reiterated for clarity)

Describe how you expect to receive personal support from your school principal when you begin your teaching career.

Describe how you expect to receive professional guidance from your school principal when you begin your teaching career.

Describe how you expect to receive instructional assistance from your school principal when you begin your teaching career.

What actions do you expect your principal to take on your behalf? In situations and in general.

How comfortable would you be directly communicating with your future principal?

In your university preparation, have roles of school leaders been discussed?

Has it impacted your expectations?

Was there any particular course, professor, reading, or other educational experience in your university preparation that impacted your expectations?

Can you describe a specific instance where principals were discussed in a course?

How do your current expectations compare to what you have learned in your university preparation about principals?

How do your current expectations compare to your K-12 experiences of principals?

How do your current expectations compare to your experiences in student teaching?

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CURRICULUM VITAE

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Education

Doctor of Philosophy in Teacher Education
Department of Teaching & Learning, College of Education
University of Nevada, Las Vegas
2016
Emphasis: Teacher Education, Ed Leadership, Professional Development (Teacher Induction)

Master of Education – Educational Leadership
Department of Educational Leadership, College of Education
University of Nevada, Las Vegas
2012
Emphasis: K-12 School Leadership

Bachelor of Arts – Music
Department of Music, College of Fine Arts
University of Nevada, Las Vegas
2007
Emphasis: Classical Guitar, K-12 Music Education

Career

Teacher
Coronado High School, Henderson, NV
Clark County School District
2003 –
Subjects Taught: Guitar (Beginning through Advanced), Music Theory AP, Film Studies

Guitar Curriculum Chairperson / Professional Development Presenter & Pedagogy Mentor
Secondary Fine Arts
Clark County School District
2010 – 2013
Responsibilities: Developed new district curriculum. Presented professional development workshops and mentored individual teachers

Awards

Grammy Foundation – Music Educator Award

Nominated (2014, 2015), Quarter-Finalist (2016), Semi-Finalist (2017)

Smith Center for the Performing Arts – Heart of Education Award

Finalist (2016)

Publications & Presentations

Nishimoto, M. (2016). *Expert blind spot effect: Empirical literature, theory, and implications for the guitar pedagogue*. Lecture presented at the Annual Convention of the Guitar Foundation of America, Denver, CO, June 22, 2016.

Nishimoto, M. (under review). Expert blind spot effect: Implications for the guitar pedagogue. Manuscript in preparation for *Soundboard: The Journal of the Guitar Foundation of America*.

Nishimoto, M. (in press). The importance of new teacher induction for improving teaching and learning. Book chapter submitted for publication in *The Handbook of Teaching and Learning: Improving Education*.

Nishimoto, M., Zhang, S., Liu, K., & Bickmore, S. (under review). *Secondary preservice teacher expectations of early career: Implications for teacher educators*. Manuscript in preparation for Annual Meeting of the American Educational Research Association, San Antonio, TX.

Nishimoto, M., Zhang, S., Bickmore, D., & Hall, G. (under review). *Secondary preservice teacher expectations of the principal's role in induction: Implications for induction implementation*. Manuscript in preparation for Annual Meeting of the American Educational Research Association, San Antonio, TX.