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CONCERNS OF PRINCIPALS REGARDING
ENGLISH LANGUAGE LEARNER INSTRUCTION

by

RICHARD HERMAN LITTLETON

A DISSERTATION

Submitted to the graduate faculty of the University of Alabama at Birmingham and the
University of Alabama in partial fulfillment of the requirements
for the degree of Doctor of Education

BIRMINGHAM, ALABAMA

2003

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ABSTRACT OF DISSERTATION
GRADUATE SCHOOL, UNIVERSITY OF ALABAMA AT BIRMINGHAM

Degree Ed.D Program Educational Leadership
Name of Candidate Richard Herman Littleton
Committee Chairs William Boyd Rogan and David L. Dagley
Title Concerns of Principals Regarding English Language Learner Instruction

The purpose of this study was to describe the concerns of principals regarding ELL instruction in one county system located in central Alabama. Educational leaders in the state of Alabama face unprecedented challenges due to exponential growth in numbers of English language learners (ELLs), federal and state mandates to provide all students appropriate instructional programs, and the apparent lack of preparation of teachers and principals to provide that instruction. These and many other changes are often expressed as concerns by individuals within the educational setting. Results from this study could be used as a source of information for implementation of effective instructional programs for ELLs, preservice programs for principal preparation, and professional development opportunities for principals regarding ELL instruction.

The design of the study utilized both quantitative and qualitative methods. In the quantitative component, the Stages of Concern Questionnaire developed by Gene Hall and colleagues at the Research and Development Center for Teacher Education at The University of Texas at Austin was used to describe the concerns of principals regarding ELL instruction. The instrument has been shown to be both reliable and valid at measuring the stages of concern regarding innovations. Data analysis in the quantitative component was done using the procedures recommended by the developers of the instrument. A phenomenological approach was utilized in the qualitative component.

Interviews captured the perceptions of principals regarding ELL instruction. Data analysis in the qualitative component was conducted using content analysis with emergent categories. Categories that emerged were experiences with ELL instruction, resources on site, support from district, impact on the school, personal role in professional development, and preparation. An additional category of miscellaneous was used to include data that did not appear to relate to the other emergent categories. Cross case analysis then described commonalities among perceptions of the principals.

Data analysis revealed that most participants demonstrated intense concerns related to awareness of ELL instruction as compared to low concern regarding impact of ELL instruction on students. Their profiles were typical of individuals having little or no experience with ELL instruction. Individual and group intervention strategies were recommended.

DEDICATION

To my wife Ina, the love of my life, thank you for being there for me.

ACKNOWLEDGMENTS

Upon reaching this goal in my life, I have many people to thank: my family, for their undying support; friends and colleagues, who have supported me with encouragement and suggestions that ultimately led to the completion of this study; my professors at The University of Alabama at Birmingham, for their patience, knowledge, and insight that transformed my views of educational leadership and research; and my dissertation committee, Drs. Boyd Rogan, Dave Dagley, Gypsy Abbott, Julia Austin, and Zack Kelehear, for their patience that allowed me to make mistakes and guided me through the process.

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LIST OF ABBREVIATIONS

| | |
|-------|--|
| ALSDE | Alabama State Department of Education |
| CBAM | Concerns based adoption model |
| ELL | English language learner |
| ESL | English as a second language |
| FSHSS | First and Second High Stage Score interpretation |
| ICC | Innovation Configurations Checklist |
| L1 | First or native language |
| L2 | Second language usually English |
| LEA | Local education agency |
| LEP | Limited English proficient |
| LoU | Levels of use of the innovation |
| NABE | National Association of Bilingual Education |
| NCLB | No Child Left Behind Act |
| PSS | Peak Stage Score interpretation |
| PI | Profile interpretation |
| SCSS | Shelby County School System |
| SEA | State education agency |
| SoC | Stages of Concern |
| SoCQ | Stages of Concern Questionnaire |
| TESOL | Teachers of English to speakers of other languages |

CHAPTER 1

INTRODUCTION

Background

Across the nation, school districts are experiencing exponential increases in students whose primary language is not English (Kindler, 2002; Robbins, 1998; Torres, 2001). These increases have resulted in changes in instructional programs for English language learners (ELLs) (Echevarria, Vogt, & Short, 2000).

Qualified teachers are important to the success of all students, including students who are learning English as a new language. Both certified English as second language (ESL) teachers and content-area teachers knowledgeable in ESL best practices are needed to deliver quality instruction to ELLs (Berube, 2000; Hamayan, 1990). With the adoption of state and national standards for ESL instruction, educators have a useful framework with which to meet the challenge of standards based accountability for ELLs (Snow, 2001). However, the number of certified ESL teachers is not sufficient to provide an equitable education for these students (Berube, 2000; Echevarria et al., 2000).

School principals play a critical role in supporting ELL instruction. They must address personnel, facilities, budget, parents, as well as changing issues related to local, state, and federal requirements (Kuamoo, 2002; Reyes, 2002; Short, 2000). Principals work with school and district staff to meet the needs of all students, including ELLs (Berube, 2000; Echeverria et al., 2000; Reyes, 2002). However, there is little evidence in

the research that principals are trained to deal with concerns specifically related to ELL instruction.

Preservice programs and professional development opportunities may not offer educators the training needed to effectively serve ELLs. Research shows that many educators are not prepared to meet the instructional needs of ELLs (Berube, 2000; Echeverria et al, 2000). Yet, federal, state, and local mandates require schools to provide appropriate educational opportunities for all students. The recently passed federal *No Child Left Behind* (NCLB) legislation (2001) and the Alabama State Department of Education (ALSDE), *Local Education Agency Requirements for Serving Limited-English Proficient (LEP) Students* specifies requirements for serving ELLs (ALSDE, 2003).

The deficit of trained educational professionals can dramatically influence lifetime outcomes for ELLs. In states such as Alabama where high stakes tests are required for graduation, ELLs may not possess sufficient English proficiency to pass the graduation exam. This can have a dramatic effect on their future. ELL dropout rates in the United States are greater than that of their native English speaking classmates (Kindler, 2002). Often these ELL dropouts take menial jobs, and are then trapped in a cycle of ignorance and poverty (Zehler, Hopstock, Fleishman, & Greniuk, 1994). The challenge for educators is to prepare all students to succeed.

Concerns of school principals and teachers are important factors in the implementation of innovative programs (Hooper, Pankake, & Schroth, 1997). Hooper et al. also suggested that the concerns of school leaders influence the way those within the school accept the change. Knowledge of the concerns of school leaders provides information that can be used to direct professional development opportunities,

information, and support needed to effectively deliver instruction. Therefore, it would appear that understanding the concerns of principals about ELL instruction will increase the knowledge base regarding effective ESL programs.

Statement of the Problem

Changes brought about by exponential growth in ELL populations coupled with mandates at the local, state, and federal levels have resulted in increased pressure on school principals to examine instructional practices for ELLs. Preparation programs for principals often do not include effective ESL practices. ESL-certified teachers often teach in isolation because of a lack of collaboration with content-area teachers and principals (Echievarria et al., 2000). There appears to be little evidence that school principals are trained to deal with the issues of educating ELLs and of providing support for the teachers of these students. The school principal plays an important role in supporting instruction for all students; including those whose primary language is not English (Berube, 2000). Understanding the concerns of principals regarding ELL instruction is important to providing effective instruction for all students.

Purpose of the Study

The purpose of this study was to examine the concerns of principals regarding ELL instruction in one central Alabama school district. One research question was formulated.

Research Question

What are school principal concerns regarding ELL instruction as measured by the Stages of Concern Questionnaire (SoCQ) and supported by qualitative input? The SoCQ (Hall, George, & Rutherford, 1998) is designed to examine concerns about adopting an innovation. The innovation in this instance is ELL instruction.

Significance of the Study

Because of the rise in ELL student populations across the nation, the strong mandate to assure educational opportunities for all students and the fact that principals play a vital role in the effective implementation of instruction for ELLs, educational researchers and practitioners should be aware of school principal concerns regarding ELL instruction (Berube, 2000; Echevarria et al., 2000; Reyes, 2002). This study examined the concerns of principals regarding ELL instruction. The results of this study could be used as a source of information for implementation of effective instructional programs for ELLs, preparation programs for principals, and professional development opportunities for principals regarding ELL instruction.

Assumptions of the Study

The following assumptions exist regarding this study:

1. The participants willingly participated in responding to the questionnaire and interview.
2. Participants have provided honest responses to questionnaire and interview questions.

3. The researcher's data collection and interpretation are unbiased.
4. The SoCQ and interview guide is the appropriate instrument for this study.

Limitations of the Study

The study is limited to the principals of the Shelby County School System (SCSS), Shelby County, Alabama. Data gathered reflect the concern of school principals regarding ELL instruction in Shelby County, Alabama. However, the findings, conclusions, and recommendations of this study could inform principal preparation programs and professional development opportunities for school principals.

Organization of the Study

Chapter 1 includes background, the purpose of the study, the significance of the study, assumptions of the study, limitations of the study, organization of the study, and definition of terms used in the study. Chapter 2 is a review of the literature related to the research question. Chapter 3 presents the methodology used to conduct the study. Chapter 4 contains an analysis of the data, and chapter 5 presents conclusions, implications, and recommendations for further study.

Definition of Terms

The following definitions were used in this study:

Concern: The combined account of thought, preoccupation, and consideration given to a particular issue or task (Cheung, Hattie, & Ng, 2001).

Content-area teachers: Teachers teaching grade-level content such as mathematics, science, and social science. They may or may not have had training on teaching ELLs (Snow, 2001).

English as a Second Language (ESL): An approach using English (L2) as the primary language of instruction with sensitivity to the first language (L1) and the culture of L1. The teacher need not know L1 (Gonzales, 1998).

English Language Learners (ELL): Students whose native language is not English (ALSDE, 2003).

Innovation: The issue, idea, object, or problem at hand that is the focus of attention. The innovation in this instance is ELL instruction (Hall et al., 1998).

CHAPTER 2

REVIEW OF THE LITERATURE

Introduction

With the recent passage of the *No Child Left Behind* legislation (NCLB, 2001); there is a strong mandate by the federal government to provide quality education for every child. In June 2003, the ALSDE issued regulations to local education agencies (LEA) regarding the implementation of programs serving ELLs in the state (ALSDE, 2003). School districts must address these mandates along with other challenges. As the instructional leader of the school, the principal is responsible for the implementation of all educational programs within the school (Fullen, 1992). However, there is little evidence that principals are prepared to be instructional leaders in the area of ELL instruction (Berube, 2000; Echevarria et al., 2000). An understanding of instructional best practices in ESL may not be included in programs designed to prepare principals. As a result, many principals must rely on experiences learned on the job (Short, 2000).

The history of education in the United States is replete with instructional innovations that have been initiated only to be cast aside and another take its place (Hord, Rutherford, Huling-Austin, & Hall, 1998). The process of change is complex. Critical to understanding the change process is an examination of the concerns of those responsible for the implementation of the innovation (Hall & Hord, 2001). Areas relevant to the research question and a part of this review of related literature include the following: ELL

instruction in a changing educational system, teachers and ELL instruction, the principal and ELL instruction, and concerns-based approach to implementing change.

ELL Instruction in a Changing Educational System

Increases in ELL Populations

Enrollment of ELLs in the United States is increasing at a rate greater than the rate of increase of the total enrollment (Echevarria et al., 2000). Kindler (2002) reported that nation-wide in 2000-2001, there were approximately 4,584,946 ELLs enrolled in public schools representing 9.6% of the entire student population. This reflects an increase of approximately 105% in the ELL student population in this country in the past 10 years whereas the total student enrollment increased only 12% during the same time period. Grades PreK-6 accounted for 67% of all the ELLs nationwide in 2000-2001.

An examination of ALSDE records reveal that 7,434 ELLs were enrolled in the state during the 2000-2001 school year. That number increased to 10,053 during the 2001-2002 school year. Therefore, Alabama reported a 135% increase in ELL enrollment during those 2 years (Dely Roberts, personal communication, September 13, 2003).

Individual school districts in Alabama have seen exponential growth in ELL populations. An examination of SCSS records reveal that during the 1998-1999 school year, 157 ELLs were enrolled in the district. Preliminary reports from the 2003-2004 school year indicate 913 ELLs were enrolled. Consequently, SCSS witnessed a 583% increase in the ELL population during the past 6 years. Every school in the district has been affected by increases in ELL enrollment and according to district records, 50 languages are represented in SCSS's ELL population (Janet Smith, personal

communication September 13, 2003). Perhaps the most striking aspect of this growth is the rate of growth in just the past 5 years. Increases in ELL populations have challenged school systems, both urban and rural, to meet the instructional needs of these new students (Allen, 2002).

Changing Requirements of ELL Instruction

National. Title III of NCLB (2002), requires State educational agencies (SEAs) and LEAs receiving federal funds to provide quality educational opportunities for ELLs. The mandate has resulted in changes in the requirements at the federal level.

The mandates of Title III, Part A of the NCLB act of 2001 are clear.

1. ELLs will succeed in the development of language skills and content objectives.
2. The same high academic standards expected of all children will be expected of ELLs.
3. Schools will develop high-quality instructional programs for all students including ELLs.
4. The U.S. Department of Education will assist SEAs, LEAs, and schools develop programs that transition ELLs into all-English classes;
5. SEAs, LEAs, and schools will establish, implement, and sustain instructional programs in English language development and academics for ELLs.
6. Schools receiving federal funds will promote parent and community involvement programs.

7. Instructional programs for ELLs will be merged into state formula grant programs.

8. The U.S. Department of Education will require accountability at the state, district, and school level for demonstrating improvements in English proficiency and academic achievement of ELLs.

9. Program design and approach will be grounded in scientifically based research in ELL instruction.

To achieve these purposes LEAs are required to increase English proficiency through effective language instruction programs. These programs must be grounded in scientifically based research that improves English proficiency and academic achievement in core courses.

All professional staff including mainstream teachers and school administrators must be provided effective, ongoing professional development activities. These activities must be designed to improve instruction and assessment of ELLs as well as increase knowledge and use of ELL instruction.

LEAs are required to develop and implement an instructional plan approved by the SEA. The LEA plans for ELL instruction must follow strict guidelines provided in NCLB. A LEA plan for ELL instruction must address yearly progress toward measurable objectives, local school program accountability measures, parental and community involvement, meaningful collaboration with all stakeholder groups, fluency of ELL teachers in English, and annual testing of student language proficiency and academic achievement. In addition, each LEA is required to properly notify parents of ELLs regarding identification and participation in instructional programs for ELLs.

State. ALSDE requirements for LEAs regarding ELL instruction (ALSDE, 2003), provide “basic requirements and guidance for policies, procedures, and practices for identifying, assessing, and serving (ELLs). . . ” (p. 2). The document reflects elements of NCLB as well as “voluntary agreement with the U. S. Department of Education, Office for Civil Rights...” (p. 2).

All Alabama LEAs are required to develop a plan for ELL instruction that conforms to ALSDE requirements regardless of the number of ELLs in the district. Minimum requirements include written description of the program, accountability measures, parental and community involvement, data collection and reporting, collaboration among stakeholders, and ELL teacher qualifications. ALSDE also recommends that LEAs form stakeholder teams to address the needs of ELLs and their families (ALSDE, 2003).

In addition to minimum requirements, LEAs are encouraged to include statements that address program goals and objectives, methodology of student progress through the program, building-based support teams, and program evaluation procedures (ALSDE, 2003).

Implementation of the plan is dependent on the needs of students in the district. Should one or more students require support, the LEA is required to implement the approved plan (ALSDE, 2003).

LEAs possess discretion in their approach to ELL instruction. However, instructional programs must be grounded in research and “must be provided by qualified and appropriately trained teachers” (p. 19). Curricula and materials used in ELL instruction must align with the Alabama Course of Study and demonstrate effectiveness

in improving both English language skill and academic achievement. Appropriate instructional accommodations should include student assessment strategies that consider the unique needs of ELLs (ALSDE, 2003).

LEAs are required to evaluate ELL instructional programs annually. ALSDE requirements for evaluation are based on the premise that ELL instructional program evaluation should be grounded in student achievement in language and grade-level academic proficiency. Disaggregated data from standardized tests and language proficiency tests as well as informal data should be used in the program evaluation process (ALSDE, 2003).

Staffing and professional development opportunities are addressed in the ALSDE (2003) requirements for LEA programs of ELL instruction. District-level coordinators are to be identified in the area of ELL instruction. It is the stated responsibility of the ELL coordinator to “ensure that students are identified and that an appropriate and effective instructional program is provided” (p. 31). The ELL coordinator also provides training for district principals and staff, especially in the area of registration requirements. ESL teachers should be certified and have the ability to facilitate effective ELL instruction and communication with parents and other school staff (ALSDE). It appears that in Alabama, the district-level ESL coordinator and the ESL teacher are facilitators of ELL instruction more so than the school principal.

Standards for ELL Instruction

National. Teachers of English to Speakers of Other Languages, Inc. (TESOL) is a national organization that promotes ESL education and has developed national standards

for ELL instruction (ALSDE, 2003). According to TESOL's *ESL Standards for Pre-K-12 Students* (1997), national standards for ELL instruction are needed because of the growing numbers of ELLs in the nation. These standards address the variations in ELLs cultural background, English language proficiency, and academic achievement; identify the needs of all ELLs in social and academic skills; and provide the connection needed by ELLs to high quality expectations of all students in the nation. TESOL also suggests that school principals be aware of these standards for ELL instruction so that they can better guide decisions that affect programs for ELLs.

Nine standards for ELL instruction are aligned with three broad goals for ELLs.

The TESOL goals and standards are found in Table 1.

Table 1

TESOL Standards for ELL Instruction (TESOL, 1993)

| Goal Number 1 | Goal Number 2 | Goal Number 3 |
|--|---|---|
| <p>To use English to communicate in social settings</p> <p>Students will:</p> <p>1. Use English to participate in social interaction</p> | <p>To use English to achieve academically in all content areas</p> <p>Students will:</p> <p>1. Use English to interact in the classroom</p> | <p>To use English in socially and culturally appropriate ways</p> <p>Students will:</p> <p>1. Use the appropriate language variety, register, and genre according to audience, purpose, and setting</p> |
| <p>2. Interact in, through, and with spoken and written English for personal expression and enjoyment</p> | <p>2. Use English to obtain, process, construct, and provide subject matter information on spoken and written form</p> | <p>2. Use nonverbal communication appropriate to audience, purpose, and setting</p> |
| <p>3. Use learning strategies to extend their communicative competence</p> | <p>3. Use appropriate learning strategies to construct and apply academic knowledge</p> | <p>3. Use appropriate learning strategies to extend their sociolinguistic and sociocultural competence</p> |

State. According to the ALSDE (2003), Alabama standards for ELL instruction are based on national TESOL standards. The nine standards are supported by objectives and described on four levels of proficiency. The standards apply to students in Pre K-12. Level 1 includes beginning ELLs who do not meet the standard. They speak little or no English and may not use words to respond to commands. Level 2 includes students who partially meet the standard. They may speak in broken sentences, often with many errors. Level 3 includes advanced ELLs that meet the standard. At Level 3, students may make occasional errors, but their language skills are sufficient for communication. Level 4 includes students that exceed the standard. Students at Level 4 communicate on a level that approximates native-like proficiency.

The recently published Alabama ESL standards are in addition to academic standards for all Alabama students found in the Alabama Course of Study. ELLs in Alabama also participate in state assessment as do all students. Alabama English Language Standards are presented in Table 2.

Teachers and ELL Instruction

According to Echevarria et al. (2000), there is a shortage of teachers certified to teach the growing numbers of ELLs. Principals often place teachers in classes they are not prepared to teach, resulting in limited educational opportunities for ELLs. Kindler (2002) reports that the ratio nationwide of ESL-certified teachers to ELLs is approximately 1:44. The ratio of teachers certified in Bilingual Education to ELLs is reported as 1:47. Because many teachers hold dual certification in ESL and Bilingual Education, the total number of teachers certified to teach ELLs is not clear. Certified

Table 2

Alabama English Language Acquisition Standards (ALSDE, 2003)

| Standard Number 1 | Standard Number 2 | Standard Number 3 |
|--|--|---|
| Standard Number 1: Students will use language to communicate in social settings and participate in social interactions. The student will . . . | Standard Number 2: Students will use English in social settings by using spoken and written language for personal enjoyment and expression. The student will . . . | Standard Number 3: Students will use English to communicate in social settings and employ strategies to increase communication skills. The student will . . . |
| 1. Share and request information to meet personal needs. | 1. Express personal needs and feelings. | 1. Test hypotheses about language. |
| 2. Engage in conversation to express needs, feelings, and ideas. | 2. Participate, read aloud, or describe a favorite activity. | 2. Focus attention selectively. |
| 3. Use nonverbal communication in social interaction. | 3. Share cultural traditions and social values. | 3. Seek feedback or support from others. |
| | 4. Participate in local culture. | 4. Compare verbal and nonverbal cues. |
| | | 5. Self-monitor and self-evaluate language development. |
| | | 6. Use context to gain meaning. |
| | | 7. Practice new language. |
| | | 8. Select a variety of media to help understand language. |

teachers to student ratios vary greatly from state to state. Alabama reported 132 ELLs per certified teacher. SCSS began the 2000-2001 school year with two full-time ESL teachers, and neither was certified in ESL. As the school year progressed, SCSS added a third full-time and six part-time ESL teachers. None were certified in ESL. At the start of the 2003-2004 school year, Shelby County had 15 full-time ESL teachers, of which 9 were certified in ESL and 4 were pursuing certification in ESL. Of the 11 part-time

teachers; 1 has certification (Janet Smith, personal communication, September 13, 2003). According to Allen (2002), despite the increases in ELLs, most states do not require preservice training in ELL instruction.

Content-area teachers play a vital role in the implementation of programs for ELLs. Content-area teachers must be able to work effectively with ELLs as they often have ELLs in their classrooms. It is likely that, during their career, content-area teachers will encounter students whose primary language is not English (Berube, 2000; Hamayan 1990). Hamayan (1990) suggests that regardless of the type ESL program that is in place in a school, content-area teachers will come in contact with ELLs. According to Short (2000), the instruction of ELLs often used to take place in isolation. Content-area teachers were not involved with ELLs until they had demonstrated sufficient proficiency in English in order to compete in the mainstream class at the same level as their English-speaking peers. Short also reported that ELLs in secondary grades are often taught in sheltered content courses by content-area teachers so that students can receive credit toward graduation.

In some states such as Alabama, content-area teachers do not receive pre-service training that includes issues related to ELLs. Many content-area teachers received their pre-service training during a time when the ELL was not the concern of the content-area teacher (Berube, 2000; Echeverria et al., 2000). This appears to put the content-area teacher at a disadvantage regarding the needs of this group of students. According to Echeverria et al. (2000), content-area teachers in districts with large numbers of ELLs are more likely to receive some type of training than content-area teachers in areas with few ELLs.

Skills required for teachers of ELLs often depend on state regulations. Some states may require that the teacher be certified in ESL and be proficient in the native language of the learner. Although this is desirable, reality is that the teacher may be neither. This especially holds true in schools with few ELLs (Berube, 2000). According to Echverria et al. (2000), ELLs will continue to be in the classrooms of teachers who are not certified in ESL and who do not speak two languages. Thus, it appears that content-area teacher attitudes toward ELLs and professional development opportunities related to ELL instruction are important to effective instruction of this growing segment of the school population.

Teacher attitudes are important to the quality of education that ELLs receive (Hamayan, 1990; Schimizz, 2002; Youngs & Youngs, 2001). Just like their English speaking peers, ELLs need the same caring and nurturing atmosphere conducive to learning (Berube, 2000).

According to Schimizz (2002), a significant positive correlation exists between teacher attitude toward linguistic diversity vis-à-vis teacher preparation and perceived support for teaching ELLs. According to her study, specific preparation efforts correlate to teacher attitudes. When teachers receive more training in regard to ELLs, not only are their attitudes more positive, but ELLs receive more positive educational experiences.

Youngs and Youngs (2001) examined five predictors of regular content teacher attitudes toward ELLs: general educational experiences, ESL training, personal contact with diverse cultures, ELL contact, and demographic characteristics. Generally, they found that teachers have a neutral to slightly positive attitude toward ELLs. Content-area teachers were more likely to demonstrate positive attitudes if they have had a foreign

language or multicultural education course, have had some ESL training, have had contact with ELL populations, are female, and teach in social sciences, humanities, and natural or physical sciences. Youngs and Youngs concluded that teacher training in ESL promotes positive teacher attitudes toward ELLs.

Sakash and Rodriguez-Brown (1995) stated that content-area teachers often do not understand nor make sense of the behaviors of culturally diverse students. They also indicated that meaningful exchanges between teachers enhanced educational services to ELLs.

Content-area teachers are unprepared to teach the increasing numbers of ELLs in their classrooms. They are often not sure how to address the needs of these students (Echevarria et al., 2000). McCandless (1996) reported that content-area teachers with high percentages of ELLs in their classes are more likely to receive professional development opportunities in ELL instruction. He also found that where low numbers of ELLs are enrolled, language arts teachers are more likely to receive professional development opportunities than are teachers in other content-areas.

O'Byrne (2001) suggested that secondary content-area teachers need different strategies in today's changing classroom. She indicated that collaboration between ESL teachers and content-area teachers is needed for changing the way content-area teachers view the multilingual classroom. According to Berube (2000), collaboration serves the dual purpose of assisting both the ESL-certified teacher and the content-area teacher. The certified ESL teacher gains up-to-date information regarding content-area instruction and the content-area teacher may learn and use teaching strategies that benefit the ELL. Time to collaborate is needed as well. According to Advocates for Children of New York

(2001) 67% of the teachers surveyed stated that coordination between ESL and general education teachers was a problem. Coordination was seen as important to the educational needs of the ELL.

TeamWorks, a Chicago-based program for fostering collaboration between content-area and ESL-certified teachers, found that the instructional competencies of both ESL and content-area teachers were enhanced when collaboration was advanced (Sakash & Rodriguez-Brown, 1995). Communication between the groups was found to be the key component. Both certified ESL teachers and content-area teachers who work with ELLs need time to communicate. Communication enhances collaboration and thus improves the education of ELLs.

Hamayan (1990) stated that collaboration is important for correct placement of ELLs. Multiple sources are needed to effectively assess student proficiency. All teachers who come in contact with the ELL should provide information to assist in the placement of that student. This knowledge can come from teachers who communicate regularly.

Content-area teachers of ELLs also need professional development opportunities (Berube, 2000; Echeverria et al., 2000; Short, 2000). Teachers need formal coursework in second language acquisition and ESL teaching methods within their pre-service training as well as strategies to make content comprehensible within ongoing inservice professional development. Traditional one-shot approaches are not effective. According to Berube (2000), certified ESL teachers can be a source of expertise for staff development. He also indicated that distance learning courses can fill the need for coursework in the area of ESL, especially in rural districts that are far away from

traditional campuses. He added that almost every state in the nation has an institution of higher learning that offers ESL coursework and certification.

According to Berube (2000), communication with parents of ELLs is important for content-area teachers: "The single greatest barrier to LEP parent participation at school is the parents' lack of English skills" (p. 120). Berube suggested that interpreters are needed to provide communication between ELL parents and school personnel. Translating written communication between the school and the parents of ELLs makes it possible for teachers to provide parents with progress updates and program activities in a language that is understandable to the parent.

The Principal and ELL Instruction

According to Reyes (2002), dropout rates for ELLs are nearly 50% in some states. As the instructional leader, the school principal sets the tone for all student success. The school principal plays a vital role in ensuring the effectiveness of instructional programs as demonstrated in the success of all students. Implementation of state and federal regulations at the school building level is also the responsibility of the school principal. Passage of NCLB (2001) has resulted in unprecedented accountability to provide for the educational needs of ELLs. According to ALSDE (2003), issuance of state regulations regarding ELL instruction along with assessment tests required for graduation and disaggregating data for school accountability have made it imperative that school principals provide an education consistent with mandates from the federal and state governments.

Role of the Principal in Support of ELL Instruction

Short (2000), reported that school principals play a vital role in the implementation of effective programs for all students. She suggested that principals have responsibility for recommending qualified teachers with certification in content areas and ESL, instituting quality professional development opportunities, coordinating school improvement planning, providing a school climate conducive to learning by all students; and assessing instructional programs. An understanding of instructional best practices in ELL instruction may not be included in programs designed to prepare principals. As a result, many principals must rely on experiences learned on the job. It appears that this might have negative implications for principals.

During informal interviews on the importance of leadership to the support of ELL programs, teachers, students, and parents believed leadership to be very important (Kuamoo, 2002). Kuamoo also reported that in an informal survey conducted by the National Association for Bilingual Education (NABE), teachers rate their principal positively on support for ELL programs but think they could do more. According to Kuamoo, school principals assume many roles such as instructional leader, manager, school and community liaison, problem solvers, and school visionaries. He suggested that principals play a vital role in support for ELL instruction.

Reyes (2002) made a persuasive argument for principal support of ELL instruction. According to Reyes, the role of school principal is important to the success of all students. Working with several national organizations for school administrators and the National Council for the Accreditation of Colleges of Education, the Education Leadership Constituency Council (ELCC) has developed a set of standards for school

administrators. As reported in Reyes, these standards include a vision shared by all stakeholders, a school culture that emphasizes student learning and professional growth, a safe and effective learning environment, partnerships with community resources, and ethical leadership. All of these standards are pertinent to the success of ELLs.

The Texas Administrative Code State Board for Educator Certification Standards, as reported in Reyes (2002), reflects the standards of the ELCC with emphases on staff development, professional development, and meeting individual student needs. A recent program to meet the needs of principals in the area of professional development is the innovative University of Houston Title III Principal Preparation Program. This preparation program was designed to meet the needs of principals serving ELLs. Using ELCC guidelines and Texas Board for Educator Certification Standards, stated program goals include certification of principals with a background in ELL instruction and improvement of pre-service preparation of principals with backgrounds in second language programs.

A major problem for the Houston program and others that are similar is the absence of institutional instructor expertise concerning ELL issues. Adapting courses to address issues related to the needs of language minority students has been moderately successful in some areas such as research, finance, personnel, and counseling. Some areas such as infusion of ELL needs into child development courses and school improvement issues indicate much should be done to improve the program (Reyes, 2002). This study suggests a gap in the knowledge base of what school principals know and what they need to know to serve all students. It also suggests that many principals are not prepared to be instructional leaders in the area of ELL instruction.

According to Reyes (2002), teachers of ELLs often do not receive the support they need from school principals. Garcia, as cited in Reyes, reported that effective principals do not see their students or communities as being disadvantaged. They hold high expectations for all learners and their teachers. Effective principals listen to and collaborate with their teachers.

Collaboration Between Teachers and Principals

Collaboration between teachers and principal is of critical importance in ELL instruction (Echeverria et al., 2000; Reyes, 2002). Schools with large numbers of ELLs in bilingual programs are in the greatest need for collaboration. Isolation and poor communication negatively affect the education of ELLs. Principals are the key to communication between content-area teachers, ESL-certified teachers, and the administration (Pang & Branch, 2001). Some states such as Illinois have prioritized collaboration between content-area teachers and ESL-certified teachers resulting in significant enhancement of ELL instruction. To foster collaboration, schools must work toward collaboration as a goal (Sakash & Rodriguez-Brown, 1995).

According to Berube (2000), ELL instruction requires collaboration between the content-area teacher and the certified ESL teacher. Principals should include content-area teachers in ongoing staff development activities that include ELL issues. Collaboration is effective when teachers share teaching strategies. This benefits both content-area teachers and ESL-certified teachers. School principals who provide time and resources for teacher sharing demonstrate support of collaboration efforts.

Concerns Based Approach to Implementing Change

From the launch of Sputnik until the passage of NCLB, public schools in the United States have been and will likely continue to be the target of change. Changes have often been touted as the cure for what is viewed as wrong with education at a given time. Many of these changes or reform efforts have been a source for confusion and frustration for educators. School leaders, committed to school improvement, struggle to meet the demands of new reform and, at the same time, manage new programs already in place. Teachers and principals may frame their view of the mandated change with the knowledge that past changes disappeared only to be replaced by another change touted to be the new cure for the ills of education (Hall & Hord, 2001). Often ignored in the process of change is the individual charged with the implementation of the innovation (Hall & Hord, 1987). This section attempts to elucidate the dynamics of the change process within the concept of one proven, effective approach referred to as the concerns based approach to implementing change.

The Inevitability of Change

Since the 1980s, many organizations have experienced a shift from comfort and control to a state of chaos and disorganization (Bardwick, 1996). Individuals within these organizations may view the change as danger or they may see the opportunity for positive outcomes regarding the change. Bardwick suggested that leaders are in a world that is and will continue to change. Failure to manage the change has negative implications. Hall and Hord (2001) believed that change is inescapable and that individuals naturally tend to defend the present condition rather than embrace the change.

Loucks, Newlove, and Hall (1998) stated that “the most predictable characteristic of education has been change” (p. 1). Change has occurred in every aspect of education often without substantial outcomes.

Change

Hall and Hord (2001) have proposed the following 12 principles of change:

1. Change is a process, not an event.
2. There are significant differences in what is entailed in development and implementation of an innovation.
3. An organization does not change until the individuals within it change.
4. Innovations come in different sizes.
5. Interventions are the actions and events that are key to the success of the change process.
6. Although both top-down and bottom-up change can work, a horizontal perspective is best.
7. Administrator leadership is essential to long-term change success.
8. Mandates can work.
9. The school is the primary unit for change.
10. Facilitating change is a team effort.
11. Appropriate interventions reduce the challenge of change.
12. The context of the school influences the process of change. (pp. 4-16)

These assumptions are the foundation of the concerns based approach to implementing change. They are predictable, they may be found in conjunction with each other, and they are not the only characteristics of the change process. Following is a description of each of these assumptions.

Change is a process not an event. According to Hall and Hord (2001) change occurs gradually over a period of 3 to 5 years. All too often, educational leaders announce a new program, evaluate the results after a year, and then announce the success or failure of the program along with the next innovation to be implemented (Hall & Hord, 1987).

Individuals within the organization need time to adjust to the innovation. Often mistaken as resistance, this adjustment may be the individual expressing grief over losing a program with which they were comfortable (Hall & Hord, 2001).

There are significant differences in what is entailed in development and implementation of an innovation. Hall and Hord (2001) indicated that actions leading to the creation of an innovation and the actions regarding how to use the innovation are equally important. Often school leaders devote a large portion of effort and resources to developing the innovation only to lose interest in the innovation during implementation.

An organization does not change until the individuals within it change. Change within an organization is experienced on an individual level. Not all members of the organization will respond identically to the change. Educational leaders may introduce change incrementally to all group members at the same time. Some will understand and use the innovation quickly, whereas most take longer. Individuals move through the implementation of an innovation in a predictable pattern (Hall & Hord, 2001). These stages of concern (SoC) are described later in this chapter.

Innovations come in different sizes. Innovations may be distinguished by many characteristics. They may vary greatly by their size, scope, and intended outcome. Some innovations may be small such as changes in the lunch schedule in an individual school or large scale such as a system wide initiative involving inclusion. Innovations may also be incorporated into a much broader change effort such as ELL instruction in a nation-wide initiative to reform education (Hall & Hord, 2001).

Interventions are the actions and events that are key to the success of the change process. Interventions may be substantial efforts such as a system-wide program to

certify teachers in ESL or a short discussion between the ESL coordinator and a teacher in the hallway. Both are important (Hall & Hord, 2001).

Although both top-down and bottom-up change can work, a horizontal perspective is best. According to Hall and Hord (2001), most changes start at the top of the organization. Those at the bottom, such as teachers in the educational system, may not have the ability or the desire to affect change. Leadership at the top is often not willing to give control to those at the bottom of the organizational chain and may not support those change efforts that are initiated from the bottom. When all participants do their part and are confident that everyone in the organization will do their best, change has the best opportunity to be lasting.

Administrator leadership is essential to long-term change success. According to Hall and Hord (2001), “while the bottom may be able to launch and sustain an innovative effort for several years, if administrators do not engage in ongoing active support, it is more than likely that the change effort will die” (p. 13). Teachers can initiate new programs, principals and district office administrators must support the change, and school boards must foster policy that creates the climate conducive to sustaining the change over time.

Mandates can work. If mandates are followed by continuous commitment to the change, they can work. Mandates often fail due to lack of support, at a time when such is needed for the innovation to survive (Hall & Hord, 2001).

The school is the primary unit for change. Change must occur at the building level. Although initial interventions such as professional development may be done

system wide, subsequent interventions should assist the individual school (Hall & Hord, 2001).

Facilitating change is a team effort. Without teachers and principals working in concert with central office administrators, change efforts may not survive. Ongoing, sustainable leadership from all levels is important to change efforts and their success (Hall & Hord, 2001).

Appropriate interventions reduce the challenge of change. Change is often associated with dread. This need not be the case if interventions are made that address the concerns of those in the organization (Hall & Hord, 2001).

The context of the school influences the process of change. School culture directly affects the likelihood that an innovation will be successful. Schools where there is a spirit of collaboration are more likely to be successful at implementing innovations (Hall & Hord, 2001).

Leadership for change

According to Hall and Hord (2001), the principal is often the focus for study regarding leadership in schools. As the head of the school, the principal is responsible for many aspects of the school including instruction. However, leadership in efforts to implement change is the responsibility of all involved.

Innovation Configurations

To more fully understand the process of change, Heck, Stiegelbauer, Hall, and Loucks (1981) focus on implementation of the innovation and how participants in the

change process define the change. They ascribe innovations as being defined in different ways by the various groups and individuals within those groups. Thus, principals and teachers may view the innovation in considerably different ways than the central office coordinator. Conceptualized as Innovation Configurations, patterns were distinguished that can be used to understand the process of change.

Heck et al. (1981) found that users, facilitators, and policy makers may adapt the innovation to their view. To clarify the vision of the innovation for all involved in the implementation process, a checklist can be developed. The checklist should identify the components and component variations. From this, acceptable and unacceptable variations in the innovation may be identified. Heck et al. reported the following implications for use of the Innovation Configurations Checklist (ICC).

1. Configurations of the change can be identified.
2. Needed professional development opportunities for individuals involved in the change can be prescribed.
3. The relationship between the intended vision and the various configurations in use can be defined.
4. ICC can be useful when research is conducted regarding the innovation.
5. The ICC can be used to evaluate the degree to which the innovation has been implemented.

Levels of Use of the Innovation

Loucks et al. (1998) indicated that Levels of Use of the Innovation (LoU) is one dimension of the Concerns Based Adoption Model (CBAM). According to Hall and Hord

(2001), LoU examines behaviors of those involved in implementing change in order to describe “where people are in the change process and for diagnosing their progress in implementing a change project” (p. 81). LoU is conceptualized into 8 levels characteristic of behaviors demonstrated by users. Utilizing a structured interview guide for focusing the responses, the LoU is designed to identify the level of use at which the individual is performing. According to Hall and Hord (2001), LoU can determine whether the individual is a user or a non-user of the innovation.

The Stages of Concern Questionnaire

SoCQ is one major component of CBAM and is the instrument used in the present study. SoCQ is “the most rigorous technique for measuring concerns” (Hall & Hord, 2001, p. 68). The 35 item questionnaire has been shown to be reliable and valid. Graphic profiles produced from SoCQ data offer insight into the concerns of the participant regarding a specific innovation. The SoCQ will be described fully in chapter 3 of this study.

Summary

Chapter 2 presented theory and research findings from literature related to concerns of school principals regarding ELL instruction. A proven approach to implementing change in education was also described in chapter 2. Sections of the review included ELL instruction in a changing educational system, teachers and ELL instruction, the principal and ELL instruction, and concerns based approach to implementing change.

These serve as a background for this study of concerns of principals regarding ELL instruction.

CHAPTER 3

METHODOLOGY

The purpose of this study was to examine the concerns of school principals regarding ELL instruction in SCSS, Shelby County, Alabama. Quantitative and qualitative methods were used in the data collection and analysis process. The results of this study may be used as a source of information for implementation of effective instructional programs for ELLs, preservice programs for the preparation of school principals, and professional development opportunities regarding ELL instruction for school principals.

Researcher Positionality

As a former principal, I am keenly aware of the impact principals have on the education of all students. It is critical for school principals to be aware of effective ESL practices as they implement quality ELL instruction in schools. In addition, I realize the vital position held by school principals as they lead our schools in a changing environment. If they are to meet the needs of all students, teachers and school administrators must stay focused on their tasks, grounded by the vision and goals of their school. Through my work as a graduate assistant in the School of Education at The University of Alabama at Birmingham (UAB), I am aware of the concerns voiced by teachers and principals as they seek to implement effective instruction to serve a growing population of students whose native language is not English. I am aware that other school

leaders share my desire to understand issues related to effective implementation of ELL instruction. As a result, I am ardent about issues related to effective ELL instruction. This should characterize any biases that emerge during the course of the investigation. I do not present myself as an expert in language acquisition, nor do I attempt to inform the reader on the “best” approach to second language instruction. Furthermore, it is not my intention to evaluate the effectiveness of ELL instruction. It is my purpose to contribute to the knowledge base with respect to the concerns of principals regarding ELL instruction.

Research Design

A mixed method design was used in this descriptive study. The design describes participants and their concerns regarding ELL instruction at one given point in time. As Gall, Gall, and Borg (1999) suggested, the goal of descriptive research is to “develop a precise description of a sample’s behavior or personal characteristics” (p. 173).

In the quantitative component, concerns of SCSS principals regarding ELL instruction were examined. Demographic data regarding the participants were included as part of the questionnaire and used to describe the typical participant. In the qualitative component, a purposeful sample of principals who returned the completed questionnaire was selected for in-depth interviews. The criterion for selection of the qualitative sample were principals who responded with both highest Stage “0” concerns (awareness) and lowest Stage “4” concerns (consequences) on the SoCQ. The interviews focused on perceptions of principals regarding their experiences in ELL instruction. Thus, the quantitative component of the research design informed the qualitative component by identifying the participants to be interviewed.

A survey approach was used in the quantitative component. Gall et al. (1999) described this approach as “collecting information about research participants’ beliefs, attitudes, interests, or behavior through questionnaires, interviews, or paper and pencil tests” (p. 173). Because survey research relies on self-reporting, the researcher must take steps to demonstrate validity and reliability of the instrument. Those issues are described below in the section regarding data collection.

A phenomenological approach was used in the qualitative component. Patton (2001) described this approach as capturing the construction and essence of understanding of a particular phenomenon. Open-ended questions allowed for a free flow of conversation, resulting in the interviewer entering into the world of the participants. Patton suggested that design in qualitative inquiry is problematic. Qualitative inquiry should be flexible so that the researcher is free to explore aspects of the phenomenon as it emerges during the course of the investigation. Qualitative designs continue to emerge even as data collection begins. The degree of openness and flexibility vary greatly with the design.

Population and Study Sample

Rational for Choosing Shelby County

Shelby County is a large, predominately rural county adjacent to a major urban metropolitan center in central Alabama. According to the ALSDE web site (Alabama State Department of Education, n.d.) there are no city school systems within Shelby County, Alabama. Therefore, SCSS serves as the single public school entity within Shelby County, Alabama. SCSS has experienced exponential growth in the ELL student

population over the past 5 years. Records reveal that during the 1998-1999 school year, 157 ELLs were enrolled in SCSS. During the 2003-2004 school year, 913 ELLs were enrolled in the district. Consequently, SCSS witnessed a 581% increase in the ELL population during the past 6 years. According to SCSS records, 50 languages are currently spoken by ELLs in the county and every school in SCSS has at least one ELL enrolled. (Personal communication, Janet Smith, September 13, 2003). In 2002 SCSS was chosen to collaborate with the UAB School of Education and the Graduate School in an innovative 5-year project to assist the district in serving ELLs.

A Description of the Population Used in the Quantitative Component

The population used in the quantitative component included the 23 SCSS principals who returned the SoCQ. A total of 34 questionnaires were distributed, one to each SCSS principal. According to the analysis of demographic data from the 23 returned questionnaires, the typical participant in the quantitative component was female, held an Educational Specialist degree, averaged 29 ELLs in the school she leads, had more than 10 years experience in education with more than 4 years as principal, and was principal of a school with various combinations of grades from kindergarten through grade 12.

Sample Used in the Qualitative Component

Purposeful sampling technique was used to select potential participants to be interviewed from among the 23 respondents that returned the SoCQ. Patton (2001) stated that purposeful sampling results in selection of information rich cases that will elucidate the phenomenon studied. Patton also explained that one strategy for selection of

information rich cases is criterion sampling. The reasoning of criterion sampling stems from a need to select cases likely to expose areas for increased understanding of the phenomenon under investigation. Hall et al. (1998) recommend that one should “look at high and low stage scores” and “establish a holistic perspective” when interpreting the SoCQ (p.53). These researchers suggest that high Stage 0 is an indication that the participant is either “an experienced user who is more concerned about things not related to the innovation or a nonuser who is just becoming aware of the innovation” (p. 54). The authors also state that low Stage 4 indicates “minimal to no concerns about the relationship of students to use of the innovation” (p. 54). As to “establish a holistic perspective,” the authors explain that “the focus for interpretation should be on what stages are high and low, and what the person seems to be indicating about their concerns” (p. 53).

For the purposes of this study, the criterion for selection of the qualitative sample were principals who responded with both highest Stage 0 concerns (awareness) and lowest Stage 4 concerns (consequences) on the SoCQ. This criterion resulted in a sample of 10 potential participants. A review of the demographic data of the 10 revealed that the typical participant was male, held a Education Specialist degree, had more than 10 years experience in education, had been a principal over 10 years with 4 to 10 of those years as principal of ELLs, was principal of a school where an average of 19 ELLs were enrolled, and was principal of a school with various combination of grades from kindergarten to eighth.

According to Patton (2001), purposeful sampling does not allow for generalization outside of the sample under study. Nonetheless, purposeful sampling does increase credibility and reduces doubt about why certain cases were selected.

Data Collection Tools

Questionnaire Instrument

The SoCQ has been used many times to measure concerns regarding educational innovations (Cheung et al., 2001). Research on SoC during a 2½-year investigation resulted in the development of the present SoCQ (Hall, George, & Rutherford, 1998). The SoCQ contains 35 items measured on an 8-point Likert scale of 0 (*not true of me now*) to 7 (*very true of me now*). For the purposes of this study, a 36th item was added. However, this item was not included in the analysis or in the interpretation of the SoCQ. Demographic data were added in a separate section and used as variables in the analysis and interpretation of the instrument. The SoCQ is provided in Appendix A.

Development of the SoCQ resulted in the identification of 7 stages through which users or potential users of a given innovation progress. A more thorough discussion of the concerns theory is found in chapter 2. These stages are developmental in nature and may move along the developmental continuum as a result of individual experiences with the innovation. This continuum has been described as development from concerns unrelated to the innovation, to concerns associated with stages about self, to task related concerns, and then to impact-related concerns (Hall et al., 1998). SoC along with definitions are found in Appendix B.

Validity studies demonstrated that the SoCQ measures those SoC defined by Hall et al. (1998). SoC are numbered 0 to 6 and include awareness, information, personal, management, consequence, collaboration, and refocusing. In the initial validity study, analysis of data ($N = 359$) revealed that 83% of the 195-item pilot questionnaire correlated positively with the group of items to which they had been assigned. Based on the same initial data from the pilot study, a correlation matrix demonstrated test validity by graphically showing the stages were ordered as Hall et al. had hypothesized. Later, a factor analysis identified 150 of the original items with one of seven stages between 0 and 6. Subsequent validity tests demonstrated that the SoCQ is a valid measure of the SoC as hypothesized by Hall et al.

Reliability was demonstrated in a test-retest investigation of the SoCQ ($N = 830$). Results of the study revealed stage correlations from .65 to .86 and alpha coefficients of internal consistency ranging from .64 to .83.

Interview Guide

According to Patton (2001), an interview guide provides elements to be covered during the interview. The interviewer is free to “build a conversation” (p. 283) with the participant regarding issues relevant to the topic but within a specific predetermined framework. The interview guide approach allows for efficient and comprehensive interviewing of several participants regarding specific issues. Important data may be lost if some discretion is not allowed in probing critical avenues as they emerge. With the exception of one, interviews in this study began with the request to share his or her experiences with ELL instruction. This request was meant to elicit a general discussion

with the respondent regarding ELL instruction. The exception was not a traditional school. Therefore, the respondent was asked to describe the situation at the school before being asked to share experiences regarding ELL instruction. Subsequent questions built on the first to capture the uniqueness of the experience and concerns of the participant regarding ELL instruction. A copy of the interview guide is included in Appendix C.

Data Collection Procedures

Collection of Quantitative Data

During June 2003, SoCQ was administered to all 35 principals in the SCSS. A total of 23 questionnaires were returned. A return rate of over 50% was considered an acceptable level for the purposes of this study. Permission for the researcher to personally administer and collect the instrument during a regularly scheduled administrators meeting of the SCSS was sought and granted. Due to delays in finalizing the instrument and securing required Institutional Review Board approval, administration of the questionnaire as planned was not possible. Alternative distribution through the SCSS was suggested by the SCSS ESL Program Area Specialist. It was suggested that the SoCQ be distributed and collected utilizing the SCSS inter-office mail. Each principal was provided an envelope containing a copy of the SoCQ, a cover letter, and a sealable, self addressed envelope with which to return the SoCQ by a requested deadline date through the same inter-office mail. A copy of the cover letter and a copy of the SoCQ, as administered in the study, are provided in Appendix A.

Each principal was assigned a unique number for identification purposes, and the number was written on the SoCQ sent to that principal. No other identifying marks were included to protect confidentiality of the data.

Twenty-three of the 34 questionnaires were completed and returned. Twelve of the original 34 questionnaires were returned on or before the date requested, 3 were returned through the U.S. Postal Service, and 2 were returned a week later via SCSS inter-office mail during the week following the requested date. Questionnaires returned through the inter-office mail were collected at the office of the SCSS ESL program Area Specialist in Shelby County Instructional Services Center in Alabaster, Alabama. Those that were returned through the U.S. Postal Service were delivered to the Education Building at UAB. All returned questionnaires were enclosed in sealed envelopes.

Telephone calls to the school where the participant worked as principal were made in an effort to increase the return rate of the questionnaire. Those principals who could not be contacted via telephone were left messages and requests to return the call. Five of the principals that were contacted in this manner indicated that the original questionnaire had been lost and requested a second questionnaire be sent to them through the U.S. Postal Service, either to the school or to their home address. These were assigned a second identification number to prevent duplication and the questionnaires were mailed the next day. Three of these five were completed and returned through the U.S. Postal Service in a self-addressed envelope that had been provided. Three additional questionnaires were returned to the office of the SCSS ESL program Area Specialist, where they were picked up.

Data were entered into the Quick Scoring Device provided by Hall et al. (1998). A copy of the Quick Scoring Device for the SoCQ is provided in Appendix D. Data from the Quick Scoring Device were entered into SPSS version 11.5 to provide graphs transferable to Microsoft Word, 2003.

Collection of Qualitative Data

During August 2003, in-depth interviews were conducted using the interview guide. Attempts to contact each of the 10 potential participants were made by telephone at the school where each served as principal. Eight of the potential participants agreed to participate in the interview process. Two of the principals declined participation.

Permission was granted after requests for interviews at a time and place agreed upon by the researcher and the principals to be interviewed. Each participant was asked to sign the informed consent form approved by the UAB Institutional Review Board (IRB). A copy of the IRB approval and consent form is included in Appendix E. All interviews were recorded and transcribed verbatim using standard recording and transcription equipment. A sample interview is included in Appendix F.

Transcriptions of all interviews using Microsoft Word were recorded on computer diskette, on the hard drive of the researcher's home computer, and in hard copy form held by the researcher. Multiple copies of the transcriptions served to protect against accidental destruction of the data. All possible care was taken to assure confidentiality of records. For the purpose of confidentiality, gender references were made as if all participants were male. All tapes will be destroyed after completion of the study.

Methods to Ensure Rigor of Qualitative Data

Precautions were taken to assure that the study conform to accepted practices of scholarly research. Issues of qualitative methods involving credibility, member checking, peer debriefing, triangulation, and transferability were appropriately handled.

The issue of credibility. According to Patton (2001), credibility in qualitative inquiry is defined by thorough techniques of data gathering and data analysis including those related to validity, reliability, and triangulation; researcher trustworthiness; and views of the research audience regarding issues of objectivity, truth, generalizability, and theory. It is not within the scope of this investigation to enter into the debate of the “best” approach to inquiry but to use both qualitative and quantitative paradigms to answer the research question posed. In the quantitative component, instrumentation consisted of SoCQ administered to participants through appropriate means. Explanation of the purpose of SoCQ along with assurances of confidentiality was included in the administration of the instrument. Institutional Review Board approval was obtained through the proper channels before data collection began. Methods of data collection also included coding for confidentiality. In qualitative inquiry, the researcher is the instrument (Patton, 2001). From this viewpoint, biases that may influence this study are present and have been examined earlier in the Researcher Positionality statement.

Member checking. According to Lincoln and Guba (1985), member checking is “the most crucial technique for establishing credibility” in naturalistic inquiry (p. 314). Data are examined by participants and certified as true statements of their realities.

Without reason to doubt the integrity of the respondent, member checks establish meaningfulness in the study.

Interview transcripts were provided to the participants for them to accept, reject, or edit. A copy of the transcription along with a cover letter and a stamped, self addressed envelope was mailed to each participant. The cover letter included contact information and an offer to meet with the participant in person if needed to clarify misrepresentations. Corrections and clarifications to the transcripts by the participants were made.

Peer debriefing. The technique of peer debriefing serves to point out aspects of the investigation that may not be obvious to the researcher. During this process, questions are raised to probe and clarify all components of the research. Not only are thought processes and rationale exposed, but future direction is also established (Lincoln & Guba, 1985). Throughout this study, peer debriefing sessions were conducted with other doctoral students on reciprocating bases. Written records of the sessions were kept in the methodology log.

Triangulation. According to Gall, Gall, and Borg (1999), qualitative inquiry uses triangulation to address the accuracy of data. One proven strategy to triangulate data is the use of different methods of data collection (Lincoln & Guba, 1985). Another is the use of different sources for data (Denzin, 1978). Both surveys and interviews served as data collection methods in this study. The multiple sources strategy was evident in the individual interviews conducted involving selected SCSS principals.

Transferability. The intent of qualitative methods is not that of generalizing findings outside the time and place of the sample studied. Descriptions are provided so that the reader may draw his or her own conclusions (Lincoln & Guba, 1985). To this end, data from this study have been described in an effort to provide the users with sufficient information to make their own judgments about the transferability of the conclusions.

Dependability and Conformability of Qualitative Methods

According to Lincoln and Guba (1985), dependability and conformability are discussed together. In this way, “a single audit, properly managed, can be used to determine dependability and conformability simultaneously” (p. 318).

Audit trail. An audit trail is described as materials assembled for inspection (Lincoln & Guba, 1985). An audit trail was kept throughout this study. Records from the audit trail include documentation on all steps. A methodological log was kept as an ongoing document. All materials were presented for inspection at the completion of the study.

Qualifications of the researcher. I am a retired public school educator with 30 years of service as teacher, assistant principal, and principal in Alabama. Currently, I am a graduate assistant in the New Teachers for New Students (NTNS) program at UAB. NTNS is a federally funded Title VII certification for teachers and personnel grant project. As a career educator, I have an interest in the academic success of all students

including those whose native language is not English. Having witnessed the rapid growth of ELLs in Alabama's public schools, I believe that practicing educators have concerns that should be identified in order to effectively educate that growing segment of this population. I am committed to improving the quality of that education. As a result of this study, I hope to add to the knowledge base regarding instruction of ELLs in Alabama public education.

Method of Data Analysis of Quantitative Data

For the quantitative component, descriptive statistics were used. Data were entered into SPSS version 11.5. Using SPSS version 11.5, descriptive data and graphic representations of the data were obtained on the elements of the SoCQ. Using the Quick Scoring Device developed by Hall et al. (1998), individual stage profiles were constructed and interpreted following the three interpretation methods described by Hall et al. (1998). The three methods include peak stage score interpretation, second high stage score interpretation, and profile interpretation. These methods were used with both individual and group data. An example of the Quick Scoring Device is found in Appendix D.

Method of Data Analysis of Qualitative Data

Conventional methods were used to analyze qualitative data obtained from the study. The method described by Patton (2001) as phenomenological analysis was utilized. Step 1 involves self-reflection by the researcher. This serves to prevent personal bias of the researcher from influencing data analysis. Step 2 is the process of data

reduction. Data reduction involves examination and grouping of data into meaningful clusters. Step 3 involves identification of categories and then a description of each category. Step 4 is the development of the essence of the phenomenon through the use of thick description. Thick description seeks to allow the reader to enter the world of the participant and draw his or her own conclusions regarding the phenomenon. The following statements address each step.

There were no preconceived notions of what categories should or should not emerge from the data. Interviews were entered into a Microsoft Word file using Microsoft Word 2003, coded into units for analysis, and converted to table format. Patterns were identified within the coded units. These units resulted in emergent categories. Content analysis was conducted on individual interviews followed by a cross case analysis. A copy of a sample interview analysis is provided in Appendix G.

Summary

The research design for this study was a mix of both quantitative and qualitative methods. Quantitative data consisted of data obtained from SoCQ from 23 of the 34 principals in the SCSS. The SoCQ data captured the current concerns of principals regarding ELL instruction. The SoCQ also included demographic data utilized to describe the typical participant.

Qualitative data consisted of data obtained from in-depth interviews conducted with a purposeful sample of the SCSS principals who responded to the SoCQ. Issues related to credibility, peer debriefing, member checks, and triangulation were dealt with appropriately to assure the rigor of qualitative data in this study. An audit trail was used

to demonstrate dependability and conformability of qualitative data. Conventional strategies for analyzing the qualitative data included a category system with emergent categories, content analysis, and cross case analysis.

CHAPTER 4

ANALYSIS OF THE DATA

Introduction

The purpose of this study was to examine the concerns of principals regarding ELL instruction in the SCSS. A research design using both quantitative and qualitative methods addressed this purpose. This chapter contains relevant data from the quantitative and qualitative components.

Quantitative Analysis

The single research question examined in the present study asked about school principals' concerns regarding ELL instruction as measured by the SoCQ. Quantitative data analysis and interpretation was conducted according to the guidelines provided by Hall et al. (1998). The authors recommend SoCQ data be interpreted in the following ways:

1. Peak Stage Score interpretation (PSS) identifies and interprets the highest stage score for the individual.
2. First and Second High Stage Score interpretation (FSHSS) is more detailed than PSS interpretation and identifies and interprets the two highest stage scores.
3. Profile interpretation (PI) is the most detailed and looks at each stage score within the profile in relation to each other.

All of these interpretations were made regarding individual and group data analyzed in this study.

The intensity of concern is represented in percentiles taken from the scoring matrix provided by Hall et al. (1998). Values were interpreted in comparison to other Stage Scores for the individual and thus were not necessarily related to values representing corresponding Stage Scores of other individuals. A copy of the scoring matrix is provided in Appendix H.

Users and Nonusers of the Innovation

The terms user and nonuser were adopted from the work of Hall et al. (1998) to describe individuals in this study. In this instance, a nonuser has little knowledge nor involvement with ELL instruction and may or may not desire to learn more. The term is not necessarily associated with an individual who is resistive of ELL instruction. A user is one who is familiar with and employs ELL instruction in the course of his or her work. The nonuser becomes a user when there is indication of interaction between the individual and his or her colleagues regarding ELL instruction in the school.

Individual PSS and FSHSS

In the identification of PSS and FSHSS, Stage Scores were ordered and the highest and second highest values for Stages 0 through 6 for each participant were identified. If two or more PSS or FSHSS values were identical, each was identified. In order to identify FSHSS, the second highest Stage Score for the individual is reported

along with the PSS. Individual Stage Scores are provided for each participant in Appendix I.

Interpretation of PSS and FSHSS was developed using definitions for each of the Stage Scores provided by Hall et al. (1998). Other than Stage Score 0 (awareness), interpretation is made directly from these definitions. PSS at Stage 0 requires additional information regarding the participant demographic profile and comparison with the other Stage Scores. In this study, a high PSS at 0 for a nonuser was interpreted as awareness of and concern for ELL instruction, whereas a high PSS at 0 for a user was interpreted as a lack of concern for ELL instruction. Additionally, high Stage Scores at 0, 1, and 2 often indicate a nonuser. High PSS at 0 with low Stage 1 and 2 scores often indicate a user. SoC definitions are provided in Appendix B.

According to Hall et al., (1998) there is a general pattern of the second high stage score appearing adjacent to the high peak stage score. This is often the case due to the developmental nature of the SoC (Hall et al., 1998; Hall & Hord, 2001). An examination of the stage scores for the 23 participants reveal that 12 second high stage scores were adjacent to the high stage score. Data for the group showed a like configuration with 18 of the 23 respondents' high stage score at either Stage 0 (awareness) or Stage 1 (informational) and second high stage score adjacent in 10 of these cases. This general pattern of peak stage score and second high stage scores at Stage 0 (awareness), 1 (informational), and 2 (personal) is consistent with the hypothesis posed by Hall et al. that individuals faced with change within an organization begin as typical nonusers with concerns about self and task then progress over time toward impact concern at Stage 4 (consequences), Stage 5 (collaboration), and Stage 6 (refocusing). These participants

demonstrate an awareness of ELL instruction, are not deeply involved with ELL instruction but show interest in learning more, and are not sure of their role in meeting the demands of ELL instruction.

SoC Profile Construction and Interpretation

Hall et al. (1998) have prescribed that interpretation of the SoC profile yields the greatest insight into the concerns of the individual and the group regarding an innovation. Hall and Hord (2001) indicated that the SoC profile is a graphic representation of raw score data converted from a scoring matrix. Percentage scores are transferred from the scoring matrix and plotted onto a line graph.

In interpretation of the SoC profile, one must look at the highs and the lows. Stage Score percentiles are compared to other Stage Score percentiles within the profile. Thus the overall shape of the profile is more important than the mean percentile for the SoC (Hall & Hord, 2001).

Individual Interpretation

Principal 01059. This principal indicates a relatively high Stage 3 score of 80% as compared to the next high Stage 0 and Stage 1 scores at 66%. This principal's concerns are focused on how to manage ELL instruction with existing resources. This is consistent with this principal's responses to the additional questions on the SoCQ. When asked to list the top five needs in rank order, this participant indicated concern providing adequate ELL instruction with the existing numbers and quality of certified staff.

Stage 0 and 1 were identified as second highest Stage Score at 66%. This suggests little involvement with ELL instruction, a general understanding of ELL instruction, and a desire to know more. Interpretation of FSHSS describes an individual that has strong concerns about how ELL instruction will be managed and also has concerns related to substantive features of the change.

Interpretation of the PI includes the concerns described above along with little concern about how ELL instruction will impact the students in the school, some concern related to collaboration, and little concern about altering the present program of ELL instruction. The relatively low, 45% score at Stage 2 as compared to Stages 0 and Stage 1 indicates the respondent is comparatively less concerned about how the change will affect him/her personally than about how the change will be managed. This profile suggests that Principal 01059 is a user with a desire to know more about ELL instruction, and high concern about managing ELL instruction. Figure 1 graphically presents the concerns profile of Principal 01059.

Principal 02059. PSS interpretation of this profile indicated intense concerns at Stage 0 with a Stage Score of 89%. The general shape of this SoC profile showed a nonuser (highest Stage Scores at 0, 1, and 2). This is consistent with demographic data that report this principal as having over 25 years in education but only 4 to 10 years associated with ELL instruction. Therefore, the PSS may be interpreted as someone who is aware of ELL instruction and is generally concerned about the innovation. FSHSS interpretation indicated that the principal is aware of ELL instruction and wants to know more about the innovation in a positive, practical way (Stage 1 is slightly higher than

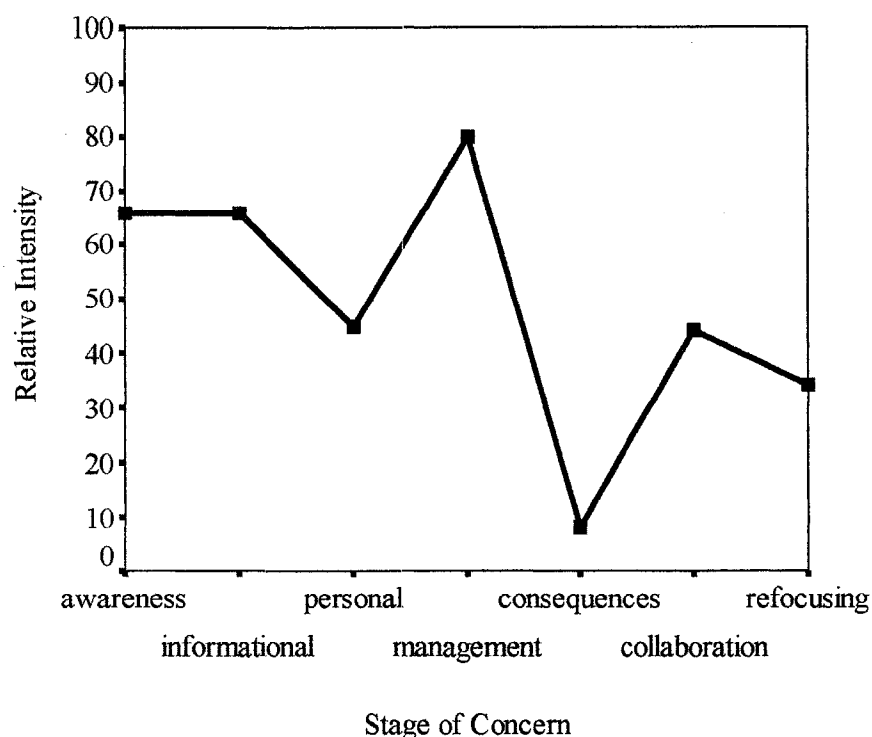


Figure 1. SoCQ profile for Principal 01059 with intensity compared to stages of concern.

Stage 2). PI does not reveal a single or multiple peak profile. There is evidence that there are some concerns about management (Stage Score 3 is 65%) but relatively little concern about how the innovation will impact the students (Stage Score 4 is 33%). The profile for this principal is presented in Figure 2.

Principal 07059. PSS interpretation is problematic in this case. This participant scored 89% at Stage 0 with the next highest score of 43% at Stage 1. This 46% difference between a high Stage 0 and second high Stage 1 score may indicate that Stages 1 through 6 do not account for significant concerns of the respondent.

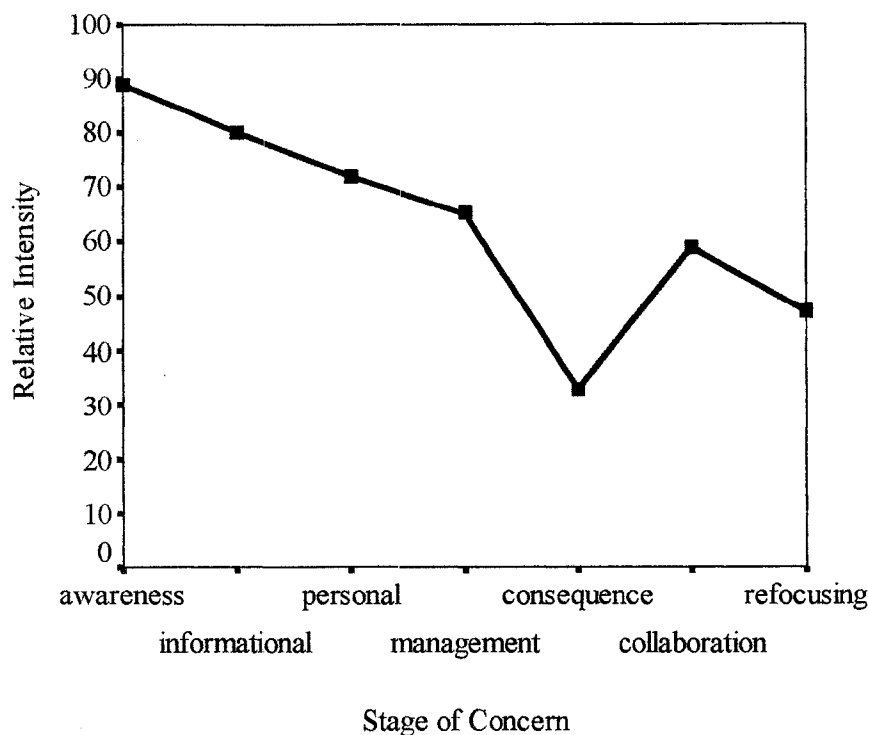


Figure 2. SoCQ profile for Principal 02059 with intensity compared to stages of concern.

It is not clear whether this participant is a user or nonuser of ELL instruction. The lack of a peak at Stages 4, 5, or 6 is consistent with a nonuser. However, the high Stage 0 score with a relatively low Stages 1 and 2 suggest a user with little concern for the innovation. The interpretation for the latter indicates an experienced user with more pressing concerns related to other innovations.

PI indicates little concern or involvement with ELL instruction and little concern for the impact of ELL instruction on students (Stage 4 at 7%). The participant also has few ideas about how to improve or replace the existing program. Figure 3 presents the graphic representation of this participant's concerns profile.

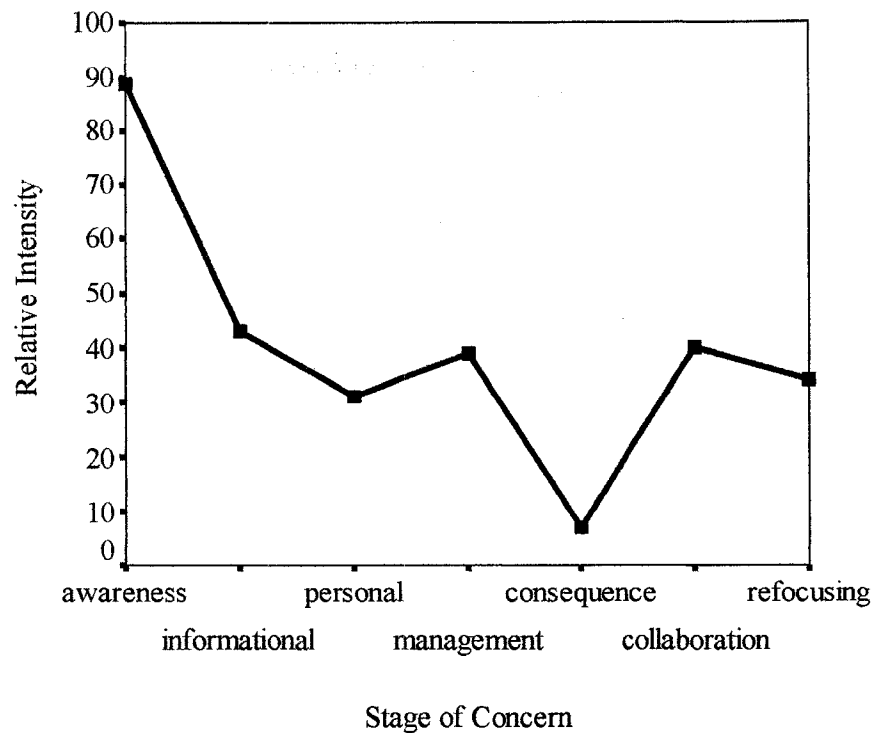


Figure 3. SoCQ profile for Principal 07059 with intensity compared to stages of concern.

At this point, it becomes necessary to look at individual item responses from the SoCQ for this participant. Inspection of the item responses from each stage reveals that there is inconsistency in the sorting of raw scores. This lack of sorting may indicate general confusion about the innovation, that the respondent did not fully understand the SoCQ, or that the participant did not focus on his or her responses to the SoCQ. Whatever the case, there is little confidence that these data reflect the concerns of this participant. Raw scores for this participant are presented in Table 3.

Table 3

Raw Scores for Principal 07059

| Stages | 0 | 1 | 2 | 3 | 4 | 5 | 6 |
|-----------------|----|----|----|----|----|----|----|
| Raw scores | 1 | 5 | 1 | 1 | 0 | 7 | 4 |
| | 1 | 1 | 1 | 1 | 2 | 6 | 1 |
| | 6 | 1 | 1 | 1 | 0 | 1 | 2 |
| | 3 | 2 | 2 | 2 | 5 | 2 | 4 |
| | 2 | 1 | 2 | 6 | 3 | 2 | 2 |
| Raw score total | 13 | 10 | 7 | 11 | 10 | 18 | 13 |
| Percentile | 89 | 43 | 31 | 39 | 7 | 40 | 34 |

Principal 08059. A Stage Score of 95% at Stage 5 indicates intense concerns related to collaboration. This person is interested in collaborating with colleagues regarding ELL instruction. He is focused on coordinating use of ELL instructional programs in his school.

FSHSS interpretation includes the 76% Stage Score at Stage 2. The individual who describes himself as Stage Score 5 high with Stage Score 2 second high indicates intense concerns about working with others regarding ELL instruction and uncertainty about how ELL instruction will impact them. Another alternative interpretation involves intense Stage 5 concerns with all other Stage Scores being relatively low. In the above instance, the participant scored 95% at Stage 5 and 76% at second high Stage 2. This represents a difference of 19%. This is very close to the rule of 20% meaning that a Stage Score 20% lower is considered significantly low enough to define a single peak. Thus, there is some indication that this person perceives themselves as being in a leadership role regarding ELL instruction.

Profile interpretation includes the interpretations above along with the indication of an individual with little concern for management of ELL instruction. The individual

also reports concerns related to awareness of the innovation and some concern for information and has little focus on ways to improve or replace the innovation. The profile for Principal 08059 is presented in Figure 4.

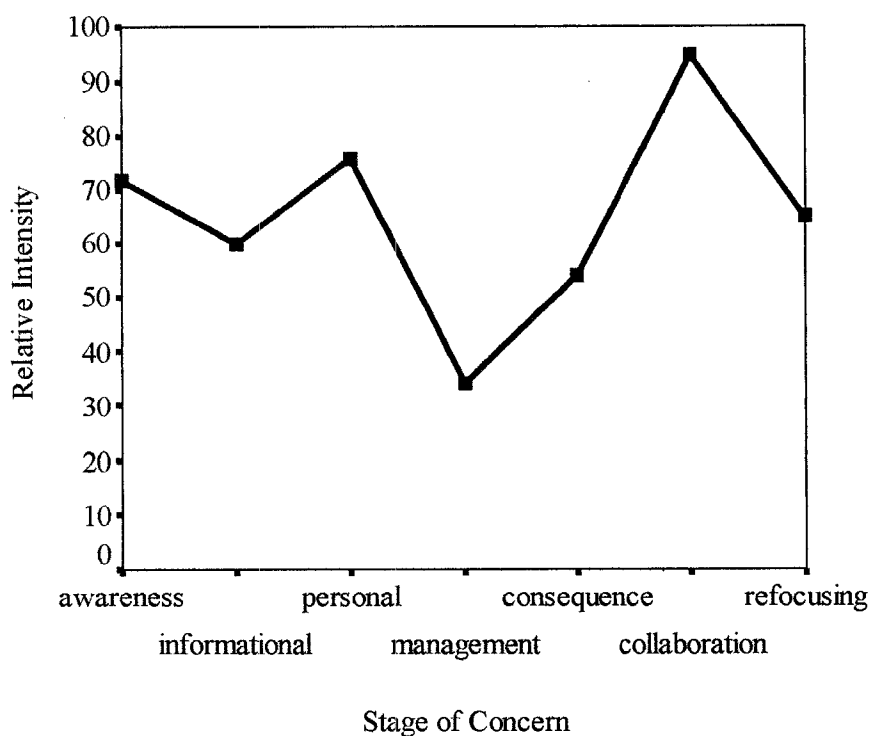


Figure 4. SoCQ profile for Principal 08059 with intensity compared to stages of concern.

Principal 09059. PSS interpretation reveals a high score at Stage 0 of 91%. This indicates that the individual has low concerns for the innovation. A review of raw scores reveals that this individual reported a 5 on the statement that he was totally involved with other things and a 7 on the statement that he was not concerned about the innovation. A high Stage 0 with Stages 1 and 2 low indicates a user of the innovation. There is a difference of 54% between Stage 0 and Stage 1 scores.

FSHSS interpretation describes an individual who is not concerned or involved with the innovation and feels like he knows all he needs to know about the innovation.

PI interpretation indicates an experienced user with little or no concern for ELL instruction. The individual has low concern for management issues related to ELL instruction as well as low concern for how the innovation will impact the student. An alternative interpretation is that this individual is an experienced user with many other things to be concerned with outside of ELL instruction. However, this is not likely due to the fact that the second high Stage Score is 37% at Stage 1 and Stages 4 through 6 are also low. The profile for Principal 09059 is presented in Figure 5.

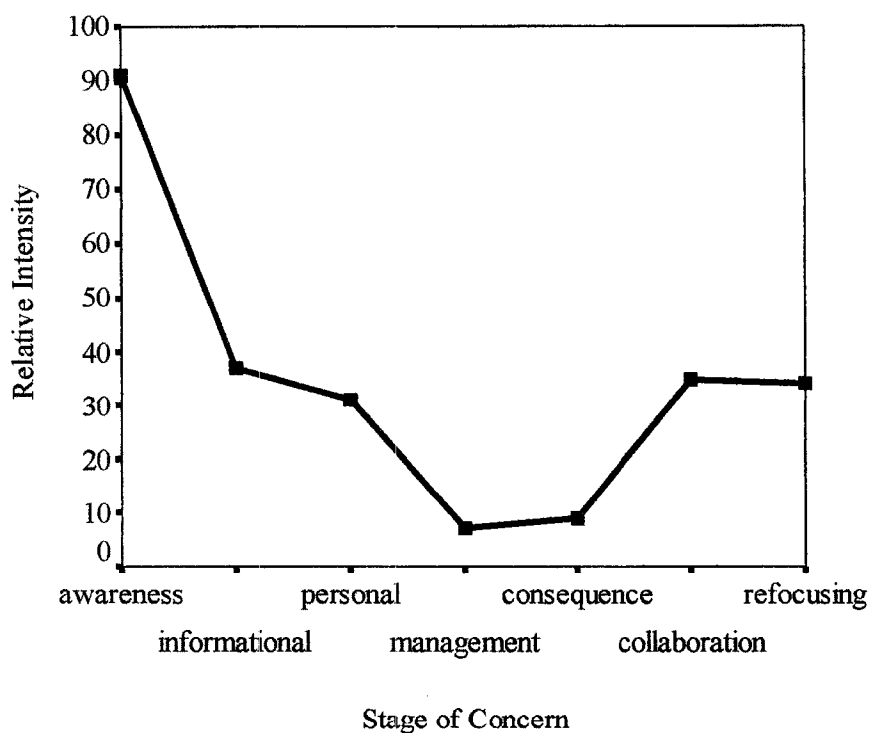


Figure 5. SoCQ profile for Principal 09059 with intensity compared to stages of concern.

Principal 11059. Due to the closeness of scores, PSS and FSHSS interpretation for this individual must include Stages 0 through 3. Stages 1 and 3 are identical at 97%. Stages 0 and 2 are identical at 95%. An examination of the raw scores for items on the SoCQ reveal a raw score of 7 on item 21 which indicates the individual is totally involved with things unrelated to the innovation. A raw score of 7 on item 23 indicates the individual admits to knowing little about ELL instruction and wants to learn more about ELL instruction. The individual recorded a 7 on item 16 which indicates intense concern for the ability to manage requirements of ELL instruction. Also related to management was a raw score of 7 on item 34 which indicates concern with the ability to coordinate tasks and people in comparison to the amount of time available. These raw scores provide insight into the concerns of this individual.

High Stage Scores at 0, 1, and 2 compared to Stages Scores at 4, 5, and 6 indicate a nonuser. This principal is somewhat aware of ELL instruction and would like to know more. The principal exhibits high concerns about how ELL instruction will affect him or her personally and how ELL will be managed relative to the existing resources. Concerns are not intense compared to how ELL instruction will impact students and the principal does not have many ideas about how the existing program can be improved or replaced. The profile for this individual is displayed in Figure 6.

Principal 12059. PSS interpretation reveals intense concerns at Stage 1 with a Stage Score of 99%. This along with low Stage Scores at Stages 1 and 2 are consistent with a user with many other things that occupy his life. This is not necessarily an indication of low concern for ELL instruction. There is strong concern for management

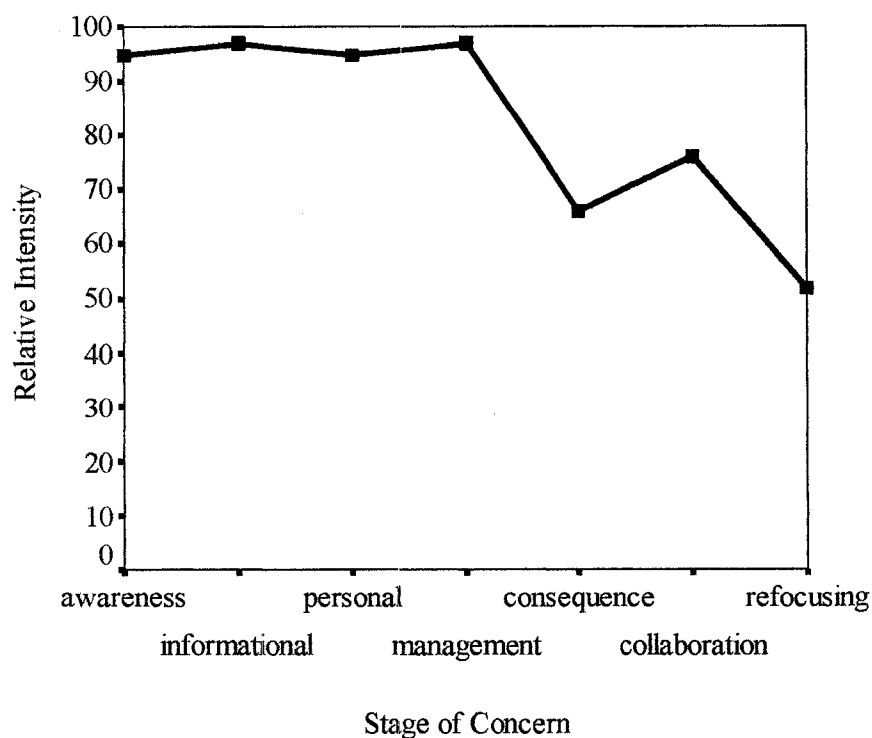


Figure 6. SoCQ profile for Principal 11059 with intensity compared to stages of concern.

issues related to ELL instruction and very little concern for how ELL instruction will affect him personally. The principal reports low concern for information about ELL instruction as well as low concerns for how the innovation will affect him or her personally. The principal reports intense management concerns coupled with few ideas about how to improve the innovation. Figure 7 graphically displays the profile for this individual.

Principal 14059. A Stage Score of 91% at Stage 1 indicates a PSS interpretation of high concerns related to information. HSHSS includes interpretation of Stages 1 high and 0 as well as 5, second high (77% and 76%, respectively). This suggests the

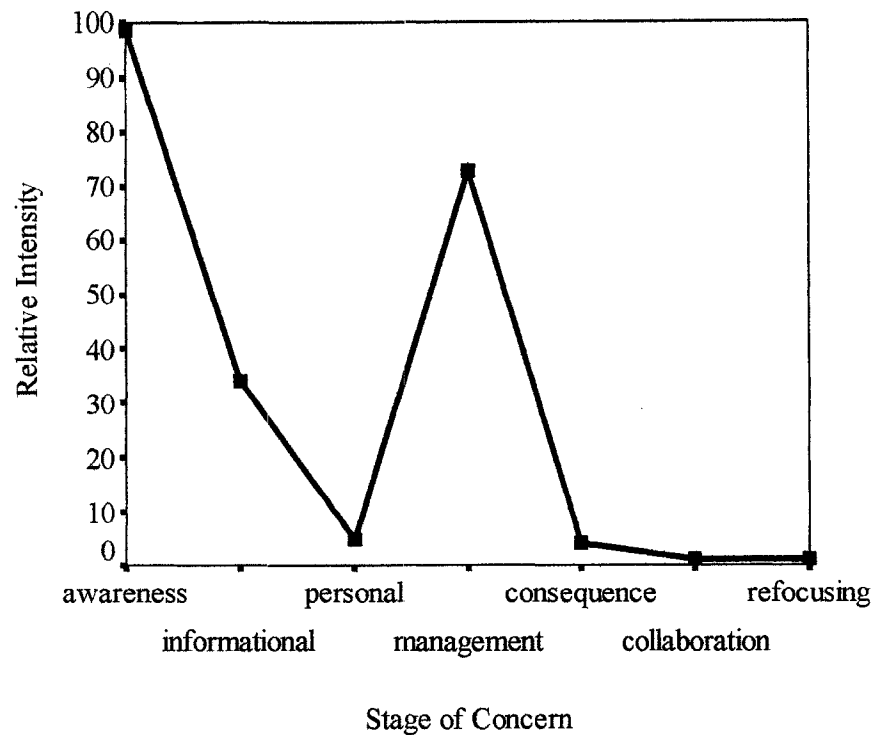


Figure 7. SoCQ profile for Principal 12059 with intensity compared to stages of concern.

participant is somewhat aware of the innovation with an intense need to know substantive elements of the innovation. Collaboration with colleagues on matters related to ELL instruction is also a priority. High concerns at Stages 0, 1, and 2 indicate a nonuser. Low Stage Scores at Stage 4 (30%) and Stage 6 (38%) suggest low concern for how the innovation will impact students and few ideas about how to replace or change the present program. The profile for this individual is presented in Figure 8.

Principal 16059. This participant presents a classic example of a nonuser. A high Stage Score at Stage 0 (84%) is followed by Stage Scores at Stages 1 and 2 higher compared to scores at Stages 4, 5, and 6. The PSS at 0 indicates that the participant is

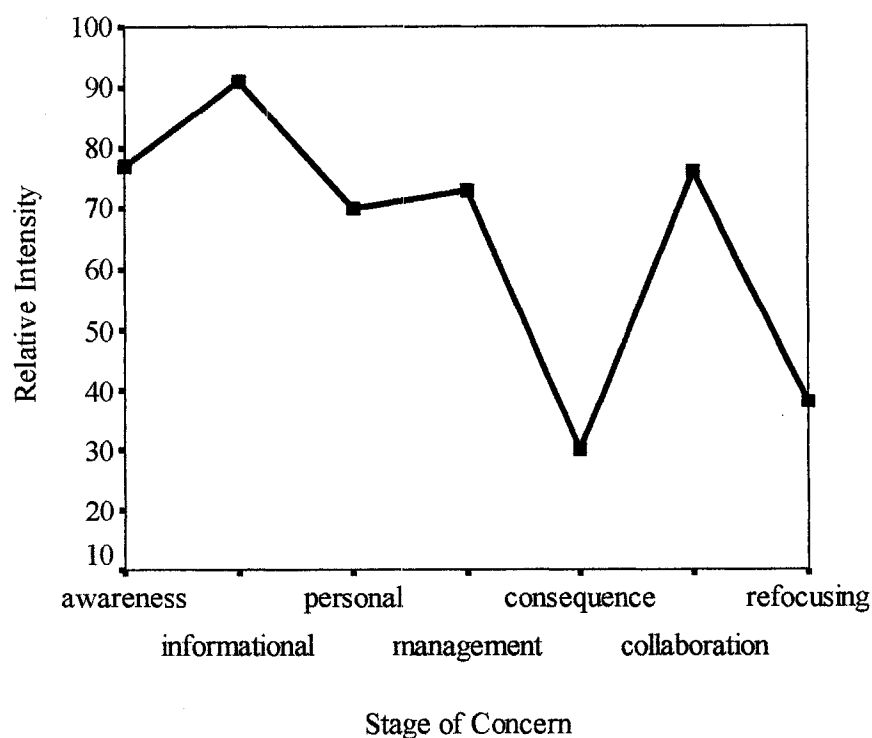


Figure 8. SoCQ profile for Principal 14059 with intensity compared to stages of concern.

aware of ELL instruction and is concerned about ELL instruction. FSHSS of Stage 0 and 1 demonstrates a desire to know sustentative elements of the innovation as well as a general awareness and concern for ELL instruction. PI includes the elements stated above along with a low concern for management of the innovation, low concern for impact of ELL instruction on the students, some concern for collaboration with colleagues, and few ideas to modify or replace the innovation. In summary, this individual is a classic nonuser of ELL instruction with some awareness of and concern for ELL instruction, a desire to learn more, and some concern regarding sharing with others. The profile for Principal 16059 is presented in Figure 9.

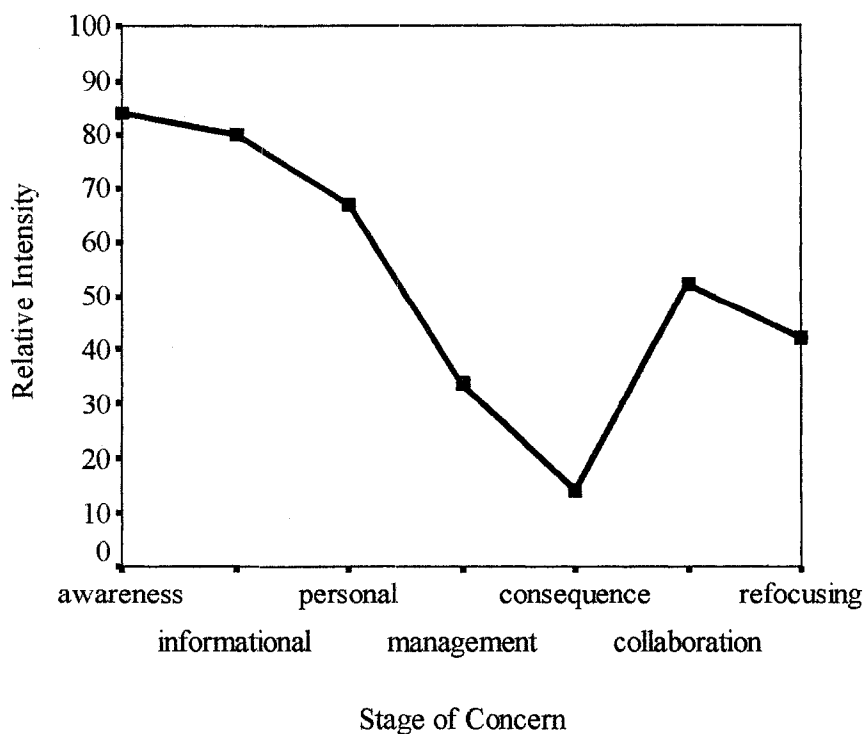


Figure 9. SoCQ profile for Principal 16059 with intensity compared to stages of concern.

Principal 18059. The profile for this individual is not often found early in the change process. This individual presents a profile associated with an experienced user (Stages 0 and 2 lower than Stages 5 and 6) with some need for more information about ELL instruction and many ideas about improving the innovation. Management concerns are low (Stage 3 at 38%) and there are some concerns evident regarding collaboration with others. This individual is not resistive to the innovation as evidenced by a Stage 3 score of 47% low compared to Stage 6 of 84%. This profile is indicative of a leader such as a facilitator of the innovation, a district level coordinator, or lead teacher. Figure 10 graphically represents this profile.

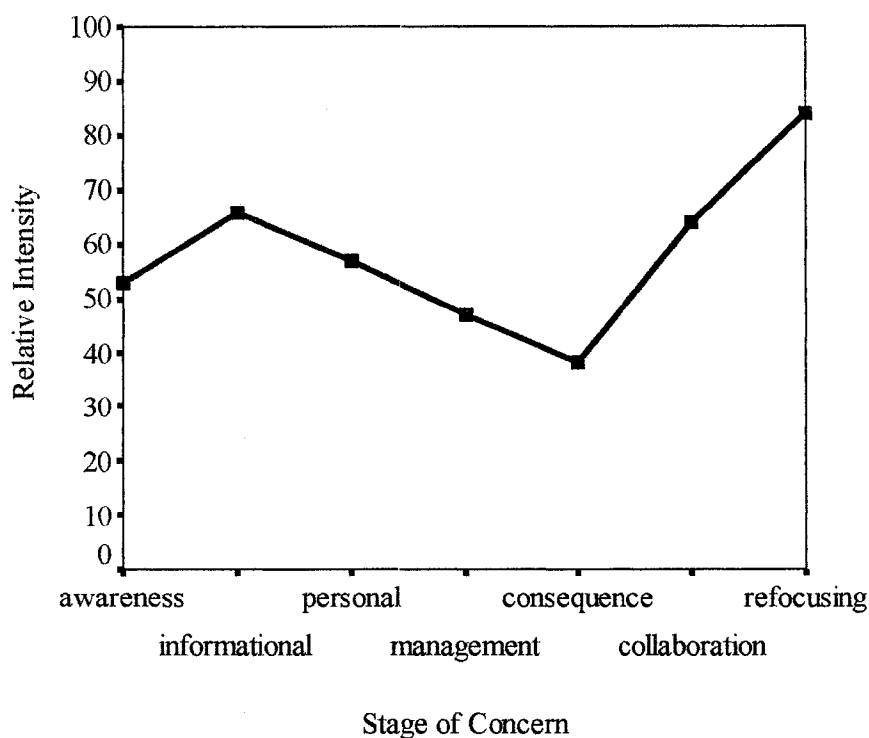


Figure 10. SoCQ profile for Principal 18059 with intensity compared to stages of concern.

Principal 19059. PSS interpretation for this profile focuses on Stages 0 (89%) and 2 (85%). The individual is somewhat aware of the innovation. He is somewhat concerned about the innovation. However, a close look suggests that concerns are strong regarding how the innovation will affect the participant. Informational concerns are not as strong as personal concerns. This presents what has been referred to as a negative 1-2 split. The significance here is that personal concerns stronger than informational concerns are often associated with resistance to the innovation in a nonuser. The negative 1-2 split would be more impressive if there were a rise in Stage Scores from Stage 5, 76% to Stage 6. In this profile, there is a slight decrease in Stage 6 related to Stage 5. Therefore, it can be

interpreted that this participant does have ideas related to changing the innovation which may be associated with how the respondent believes the innovation will affect him or her personally. Acknowledging that this is not the appropriate chapter to discuss recommendations, it is important to note that this person needs appropriate interventions to lower personal concerns. Interventions that focus on the importance of the innovation and why the innovation is preferred over what was being done before are inappropriate and could result in increases in the intensity of concerns related to how the innovation will affect the principal in a personal way.

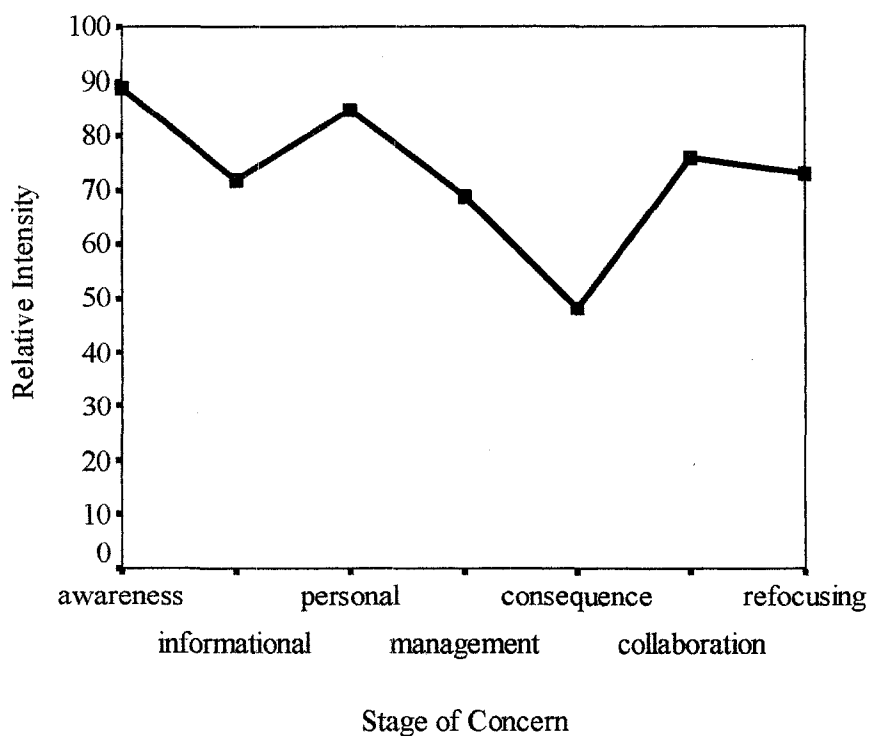


Figure 11. SoCQ profile for Principal 19059 with intensity compared to stages of concern.

Principal 20059. A PSS of 91% at Stage 5 points to intense concerns regarding collaboration. This individual may perceive himself or herself as being in a leadership position as evidenced that all other Stage Scores are low in relation to Stage 5. An alternative interpretation might be that because Stage 4 (76%) is not more than 20% lower than Stage 5, the person may have concerns related to consequence. In any case, the profile is that of a user with intense concerns related to sharing elements of ELL instruction with others in the school. Figure 12 presents this profile.

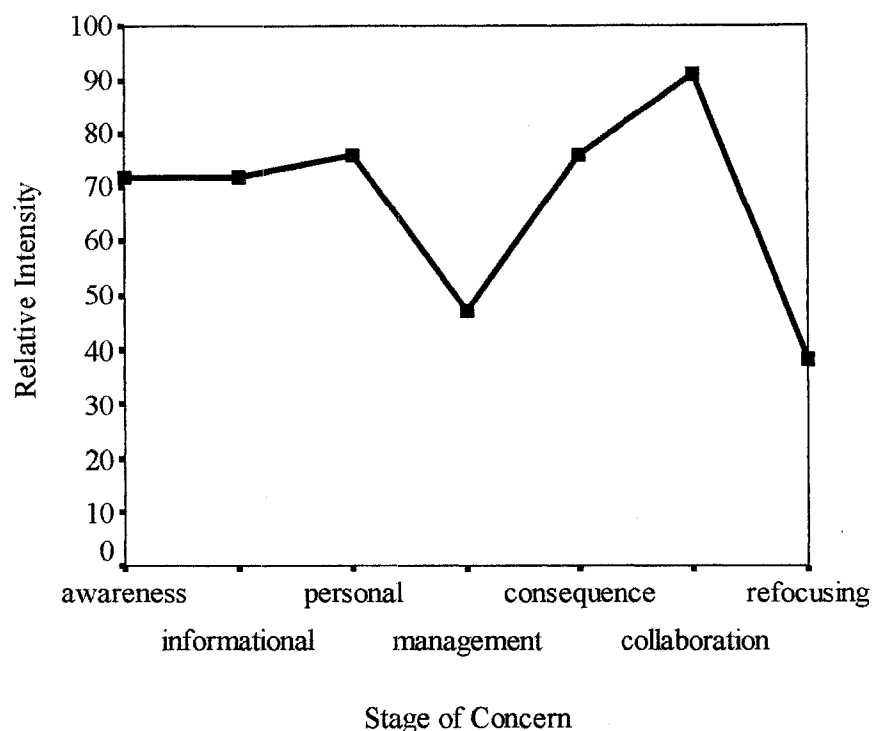


Figure 12. SoCQ profile for Principal 20059 with intensity compared to stages of concern.

Principal 21059. PSS interpretation indicates an individual with intense concerns related to information. A 95% score at Stage 1 suggests that the individual has intense concerns for information about the elements of ELL instruction. The tailing up of Stage 6 (90%) points to resistance regarding the innovation. The individual has low concern about how the innovation will impact him or her personally compared to concerns regarding information and awareness. With high Stage 0 and Stage 1 scores, the profile is that of a nonuser with intense concerns about wanting to know more about ELL instruction. There is some concern about managing the innovation with relatively low concern about how the innovation will impact students and collaboration with others.

Figure 13 presents the profile for this individual.

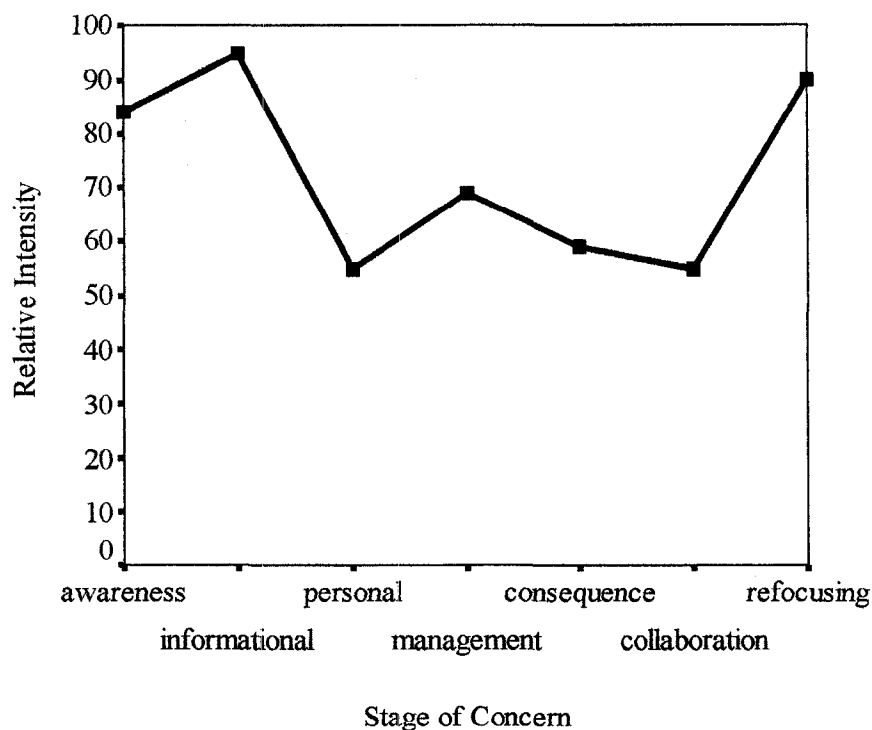


Figure 13. SoCQ profile for Principal 21059 with intensity compared to stages of concern.

Principal 22059. PSS interpretation reveals a Stage 0 score of 86%. This profile suggests a nonuser as evidenced by the high Stage Scores at Stage 0, 1, and 2 compared to Stages 4, 5, and 6. Therefore, the interpretation indicates that this individual is somewhat aware of and concerned about ELL instruction.

The FSHSS interpretation indicates some concern for managing the innovation as indicated by a Stage 3 score of 71%. This suggests that the individual has concerns related to the logistics and time related to the innovation within available resources. PI interpretation suggests some concern for information and how the innovation will affect them personally as well as strong concerns about awareness and management of the innovation. The low Stage Scores for Stages 4, 5, and 6 compared to Stages 0, 1, and 2 indicate less concern for how the innovation will impact the student, collaboration with others regarding the innovation, and refocusing. Stage 4 score of 30% suggests little concern for what consequences the use of ELL instruction will have on the students. Stage 5 score of 36% reflect low concern for sharing elements of ELL instruction with other staff. A tailing off of Stage 6 with a score of 26% suggests that the individual has few ideas related to improving or replacing the innovation. Figure 14 presents the profile this individual.

Principal 23059. Other than the high Stage 5 score of 93%, this profile presents a pattern consistent with a nonuser with high concern for information and how the innovation will affect him or her. PSS and FSHSS interpretation is therefore problematic. Stages 1, 2, and 5 are close compared to each other. Thus the PSS interpretation includes that the individual reports strong concern for collaboration as well as information and

personal. The individual presents little concern for managing the innovation and concern for impact of the innovation on students compared to concerns in the other areas of the profile. The profile for this individual is presented in Figure 15.

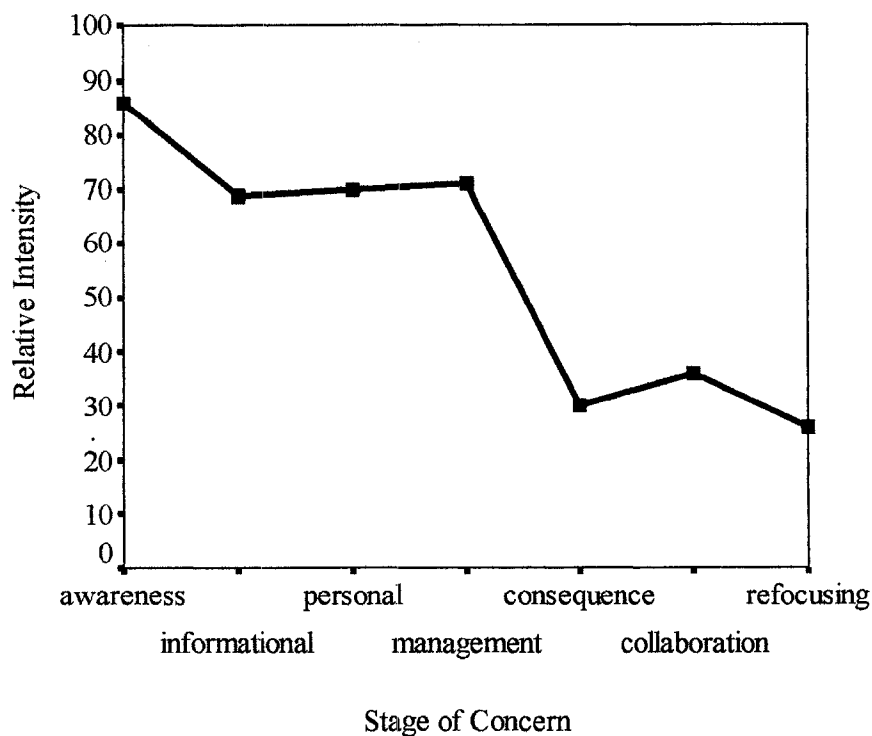


Figure 14. SoCQ profile for Principal 22059 with intensity compared to stages of concern.

Principal 25059. This profile is of a nonuser who may be resistive to the innovation. An indication that this profile represents a nonuser is the high Stage 0, 1, and 2 scores compared to the lower scores for Stages 4 and 5. Indications of potential resistance to the innovation are that the score for Stage 2 is higher than the Stage 1 score

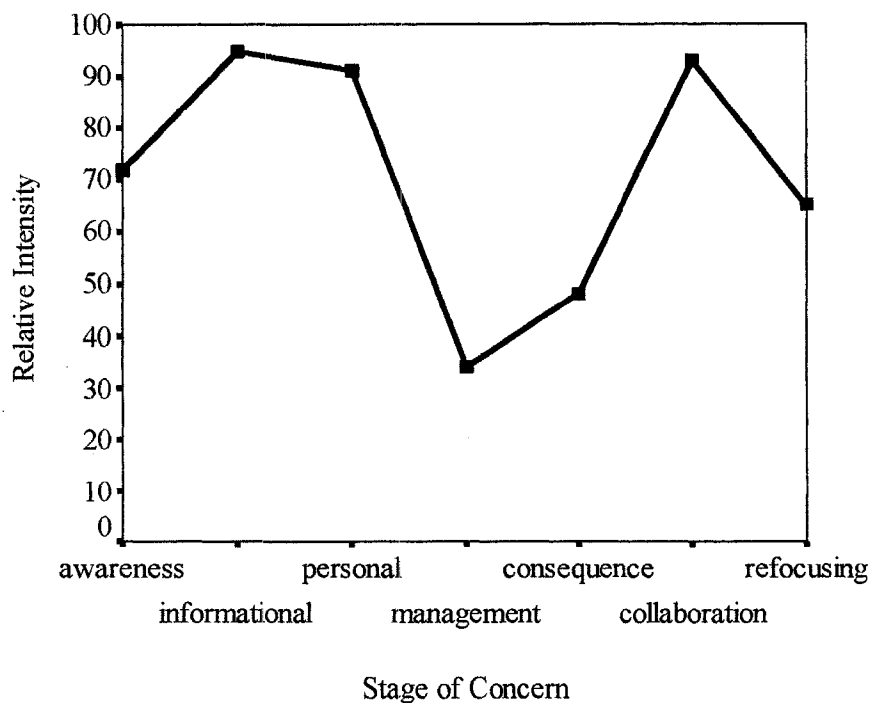


Figure 15. SoCQ profile for Principal 23059 with intensity compared to stages of concern.

and that there is a tailing up of Stage 6 along with strong concerns at Stage 3. The negative split at Stages 1 and 2 indicates that the individual is more concerned about personal interests compared to the innovation than about acquiring information regarding the innovation. The tailing up at Stage 6 with strong concerns at Stage 3 suggests an individual that has difficulty with the requirements of the innovation and ideas about how to improve the innovation. The individual may see the improvements as returning to the previous ways. Without proper intervention, this individual may return to old ways of doing things. Figure 16 graphically presents this individual profile.

Principal 26059. This profile is similar to the profile for Principal 25059 in that there are indications of a nonuser who may be resistive to the innovation. The negative split and the tailing-up at Stage 6 are present as they are in the profile for Principal 25059.

There are some differences between the two profiles. PSS interpretation indicates that the individual is aware of and concerned about the innovation. Management concerns are low compared to awareness and concern. Figure 17 presents the profile for this individual.

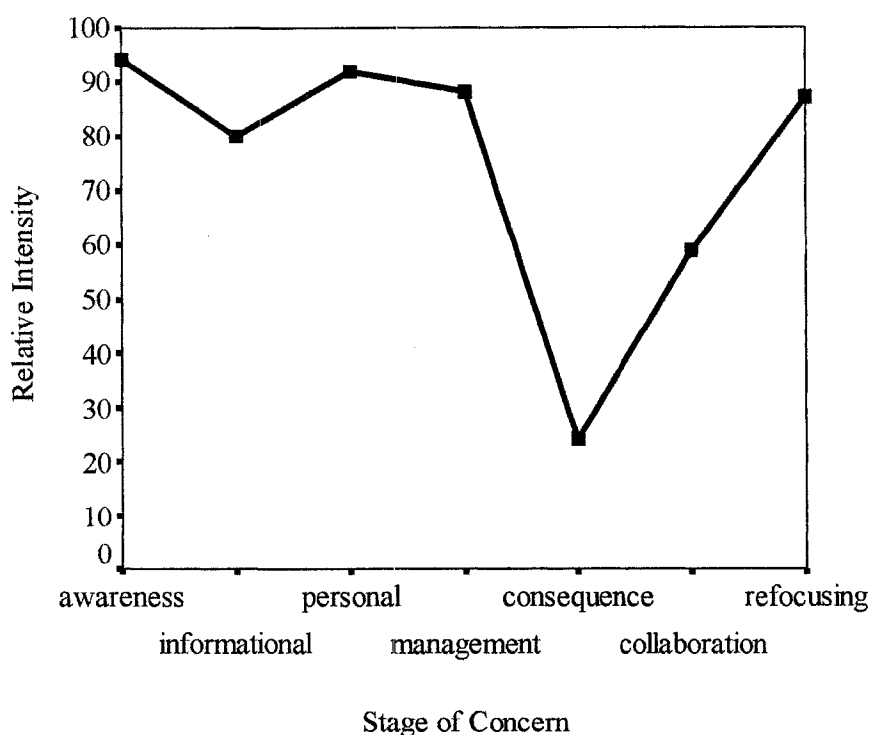


Figure 16. SoCQ profile for Principal 25059 with intensity compared to stages of concern.

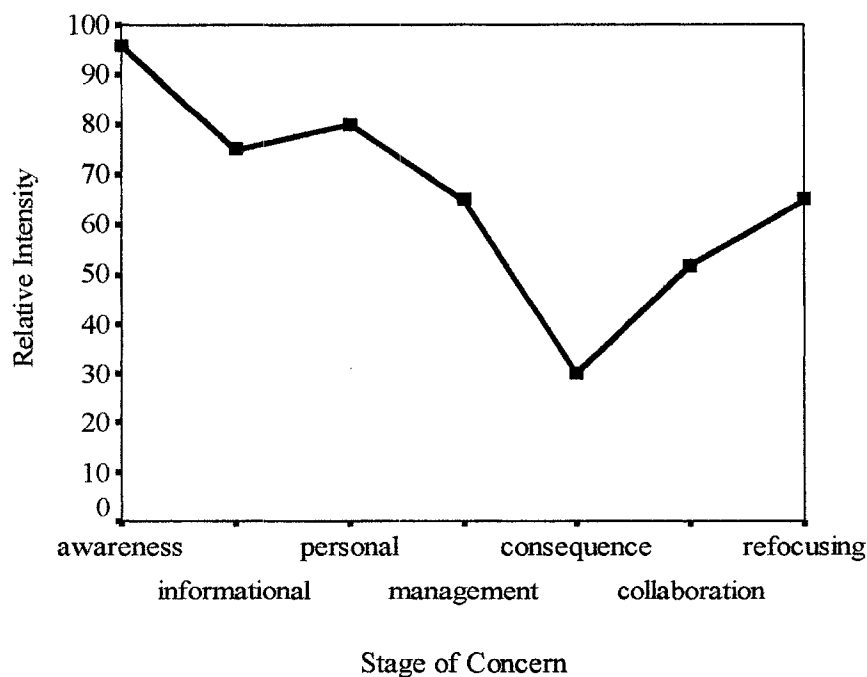


Figure 17. SoCQ profile for Principal 26059 with intensity compared to stages of concern.

Principal 27059. Stage Scores for Stages 0, 1, 2, and 3 are relatively higher than for Stages 4, 5, and 6. There is a moderate amount of concern for managing the innovation. These indicators reflect a nonuser with some concerns regarding logistics, time, and management of the innovation. PSS and FSHSS interpretation indicate the individual is aware of and concerned about ELL instruction and wants to know more. PI interpretation adds that the individual reports low concern for how ELL instruction will affect the students and has few ideas about ways to improve the innovation. Concern for collaboration with colleagues on the aspects of ELL instruction appears to be low compared to concerns for information and management of ELL instruction. Figure 18 presents the profile for this individual.

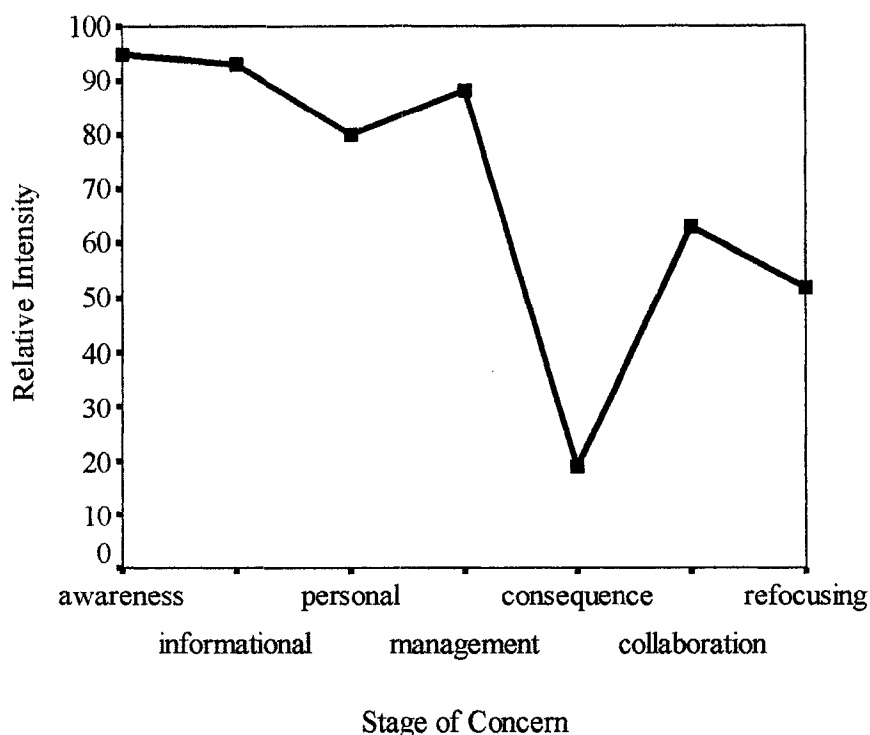


Figure 18. SoCQ profile for Principal 27059 with intensity compared to stages of concern.

Principal 30059. This profile is a profile of a nonuser who is somewhat aware of and concerned about ELL instruction and has few ideas on how to improve the innovation. PSS interpretation suggests that the individual is just becoming aware of ELL instruction. FSHSS adds that the individual is concerned about knowing more about ELL instruction and somewhat concerned about how the innovation will affect him or her personally. PI suggests that there is little concern about management issues and collaboration. There is less concern regarding how the innovation will impact the students than concerns for collaboration. Figure 19059 presents the profile for Principal 30059.

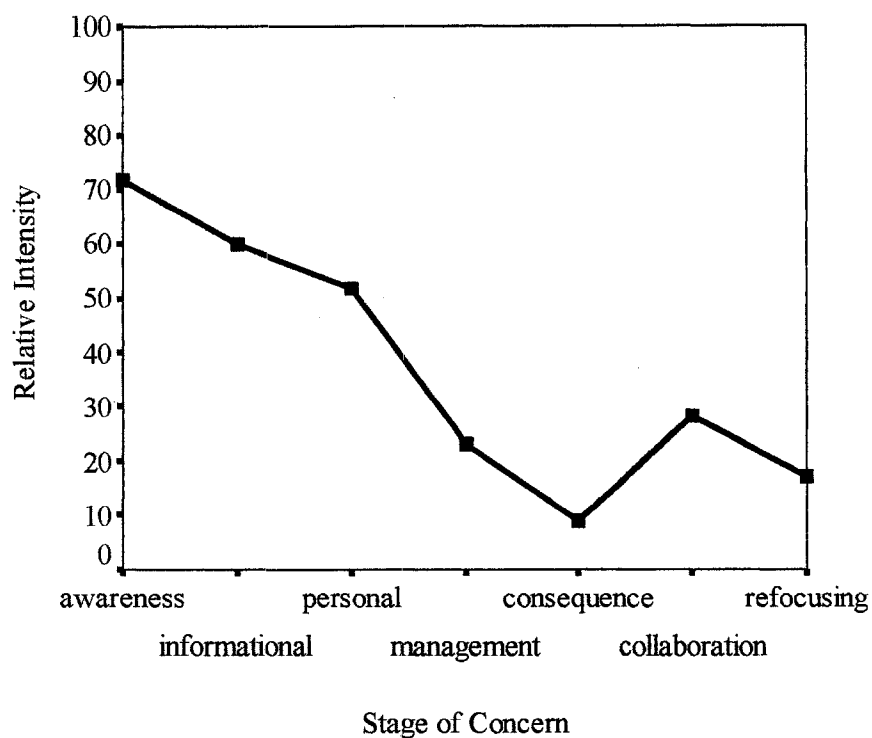


Figure 19. SoCQ profile for Principal 30059 with intensity compared to stages of concern.

Principal 32059. The profile for this individual represents multiple peaks at Stages 0, 3, and 5. On first inspection, the individual reports high concerns regarding awareness, management, and collaboration. It appears that the individual is aware of and concerned for ELL instruction as well as concerned about how he or she will be able to manage the innovation within the available resources. The participant also appears to be concerned about sharing elements of ELL instruction with colleagues.

It is not clear if the respondent is a user or nonuser of the innovation. High Stage Scores at Stages 3, 5, and 6 suggest that the individual is a user. High Stage Scores at Stage 0 and 1 imply that the individual is a nonuser.

Closer inspection of the individual item scores reported in the SOCQ reveals that this individual did not consistently sort the items. Items for Stages 0, 1, and 2 are scored from 0 to 7. One would expect a more consistent score at these stages. Thus, the alternative interpretation is that the individual was not fully able to distinguish the different stages of the SoCQ and the profile is not as creditable as it could be. Raw scores for this participant are presented in Table 4.

Table 4

Raw Scores for Principal 32059

| Stages | 0 | 1 | 2 | 3 | 4 | 5 | 6 |
|-----------------|----|----|----|----|----|----|----|
| Raw scores | 5 | 4 | 0 | 6 | 1 | 5 | 1 |
| | 1 | 6 | 7 | 0 | 7 | 6 | 5 |
| | 0 | 7 | 6 | 7 | 6 | 6 | 6 |
| | 6 | 6 | 7 | 5 | 7 | 7 | 7 |
| | 1 | 0 | 6 | 5 | 6 | 7 | 7 |
| Raw Score Total | 13 | 23 | 26 | 23 | 27 | 31 | 26 |
| Percentile | 89 | 84 | 67 | 85 | 63 | 91 | 87 |

Responses from the additional questions section of the SoCQ reveal that the individual is concerned about funding for ELL programs, lack of collaboration between policy makers and teachers, support programs for ELLs and their families, and resources such as additional ESL teachers. These concerns are somewhat consistent with the SoCQ profile. Thus it can be concluded that the individual reported high concerns related to management and collaboration. Figure 20 presents the profile for this individual.

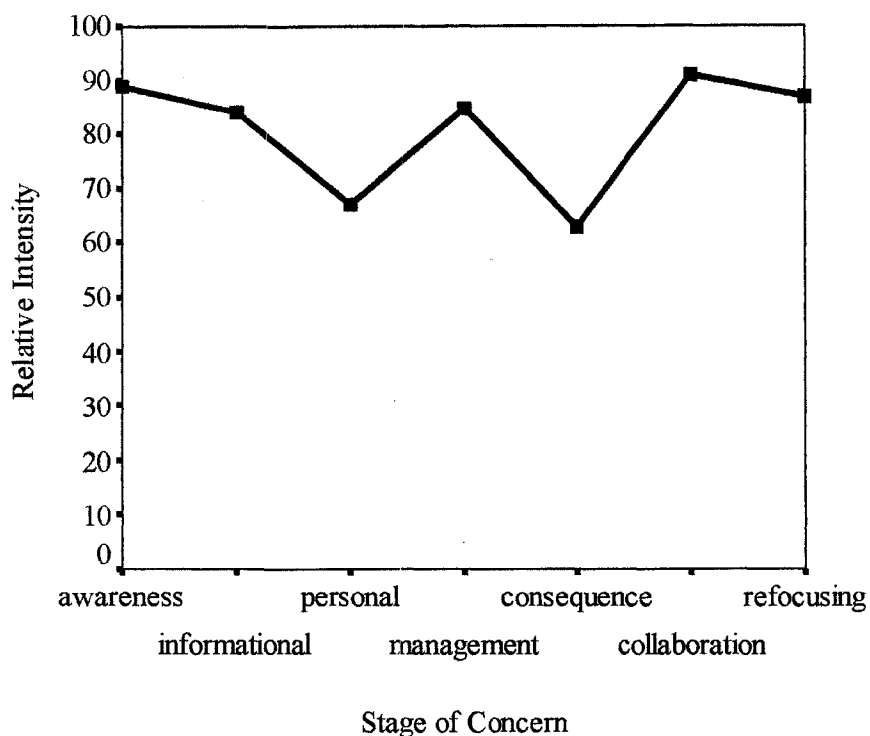


Figure 20. SoCQ profile for Principal 32059 with intensity compared to stages of concern.

Principal 33059. The general shape of the profile suggests a nonuser as evidenced by the fact that Stage Scores at Stages 0, 1, and 2 are higher than Stage Scores at Stages 3, 4, 5, and 6. A Stage Score of 89% at Stage 0 indicates that the individual is somewhat aware of and concerned about ELL instruction. The FSHSS includes a Stage Score of 84% at Stage 1. This suggests that the individual wants to know more about the innovation.

PI interpretation goes further to report Stage Scores for Stage 2 at 76%, Stage 3 at 47%, Stage 4 at 33%, Stage 5 at 68%, and Stage 6 at 47%. These scores suggest low concerns for issues related to how the innovation will affect him or her personally,

management of the innovation, and for the impact that ELL instruction has on students compared to awareness and information. Concerns related to sharing aspects of ELL instruction are somewhat higher than concerns related to management and consequence. A tailing off of Stage 6 suggests that the individual has few concerns related to changing or replacing the innovation. Figure 21 presents the profile for this individual.

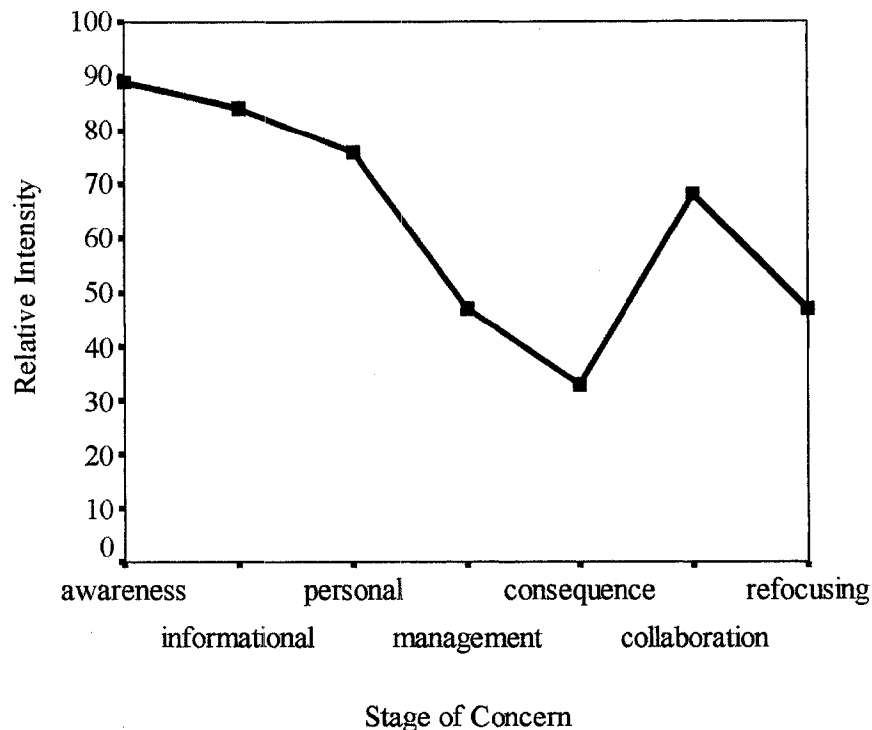


Figure 21. SoCQ profile for Principal 33059 with intensity compared to stages of concern.

Principal 34059. This profile suggests that the individual is a nonuser with some concern about the logistics of managing resources related to ELL instruction. This is concluded due to the low Stage Scores associated with Stages 4, 5, and 6 compared to Stages 0, 1, and 2. PSS interpretation indicates that the individual is somewhat aware of and concerned for ELL instruction as evidenced by a Stage Score of 93% at Stage 0.

Stage 3 reports a score of 71%. Normally, the second high Stage Score is found adjacent to the PSS. In this instance, the FSHSS interpretation concludes that the individual is also concerned about how the innovation is managed. Concerns related to information and how the innovation will affect the individual are somewhat strong as evidenced by Stage 1 and Stage 2 scores of 63% and 57%, respectively. There is a tailing up at Stage 6 (47%) from Stage 5 (22%) that indicated that the individual is somewhat resistive to the innovation. This, along with a high Stage 3 score (71%) often means that the ideas for changing the innovation that the individual has include a return to the old program. Unless the principal is provided with appropriate and immediate interventions, the individual may move away from the innovation and return to the old ways. Figure 22 presents the profile for this individual.

Principal 35059. The profile presented for this individual indicates an experienced user with some concern for the innovation as evidenced by the high scores at Stages 5 and 6 compared to Stages 0, 1, and 2. This individual presents a profile consistent with a principal or other instructional leader as evidenced by the high Stage 5 (68%) compared to the all other Stage Scores. All other stages are at least 20% lower than Stage 5. This individual has few ideas on ways to replace or improve the innovation evidenced by the tailing down at Stage 6. This along with a Stage 3 score of 2% suggests

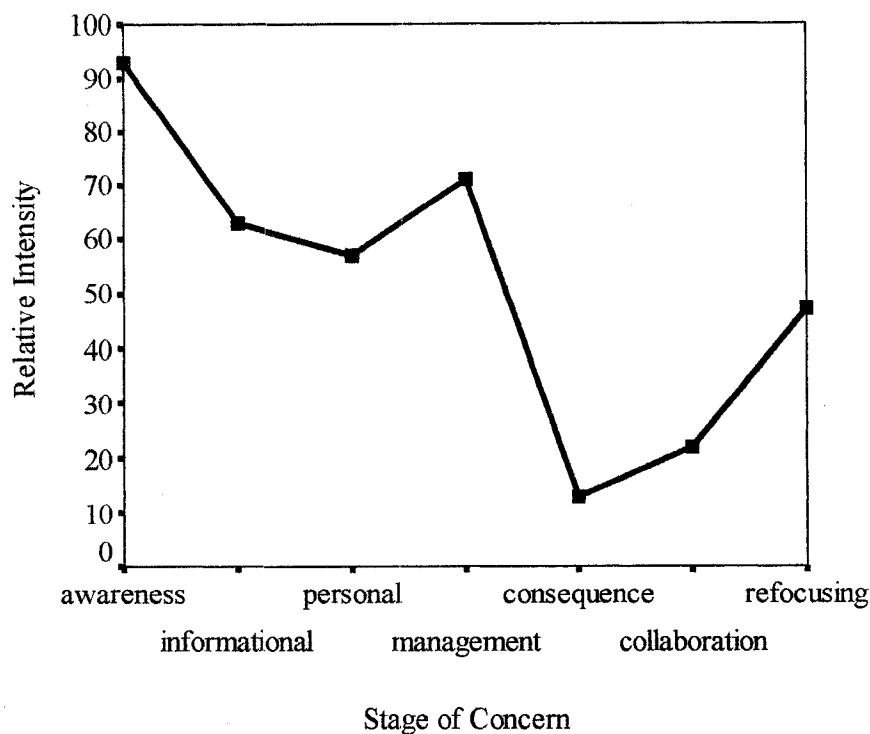


Figure 22. SoCQ profile for Principal 34059 with intensity compared to stages of concern.

the individual is comfortable with the program as it is. The 46% score at Stage 0 indicates moderate concern for ELL instruction but the individual presents no evidence of resistance toward the innovation. Figure 23 graphically presents the profile for Principal 35059.

Group Interpretation

Group Peak Stage Scores reflect the frequency of Stage Scores within the group. Group Peak Stage scores can be compared to individual Peak Stage Scores to determine how the individual participant relates to the composite of the group. Hall et al. (1998)

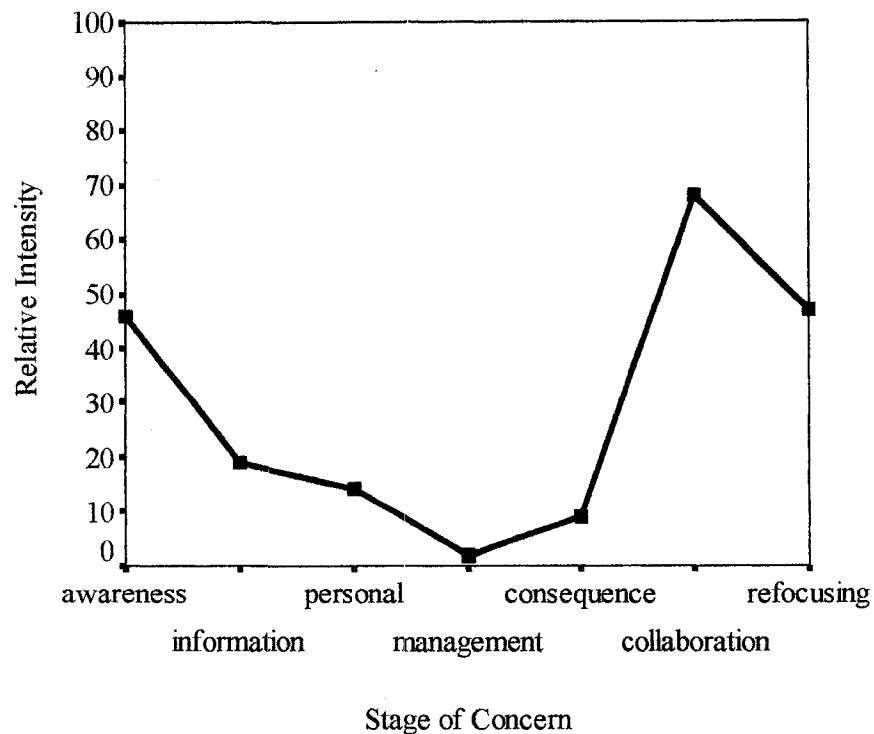


Figure 23. SoCQ profile for Principal 35059 with intensity compared to stages of concern.

suggest two approaches to identification of Peak Stage Scores for group data. One is to construct a frequency table of Peak Stage Scores. The second is to construct a profile of mean stage scores. The problems associated with the latter include the possibility of obscuring PSS trends and that the mean of aggregated scores for large groups may not be representative of the group. With the present data, there were no apparent problems associated with either method. Both methods revealed the same PSS at Stage 0. Thirteen of the 23 participants or 56% scored highest at Stage 0. Table 5 presents frequencies for the stage scores of the group

Table 5

Group Stage Scores Frequency

| | Highest Stage of Concern | | | | | | |
|--------------------------|--------------------------|----|---|----|---|---|---|
| | 0 | 1 | 2 | 3 | 4 | 5 | 6 |
| Number of Individuals | 13 | 4* | 0 | 2* | 0 | 4 | 1 |

*Principal 11059 scored identical at Stage 1 and 3

The general shape of the group profile describes the group as generally being nonusers of the innovation. This interpretation is evidenced by group mean scores at Stages 0, 1, and 2 being greater than Stages 4, 5, and 6. Figure 24 presents the group mean scores profile.

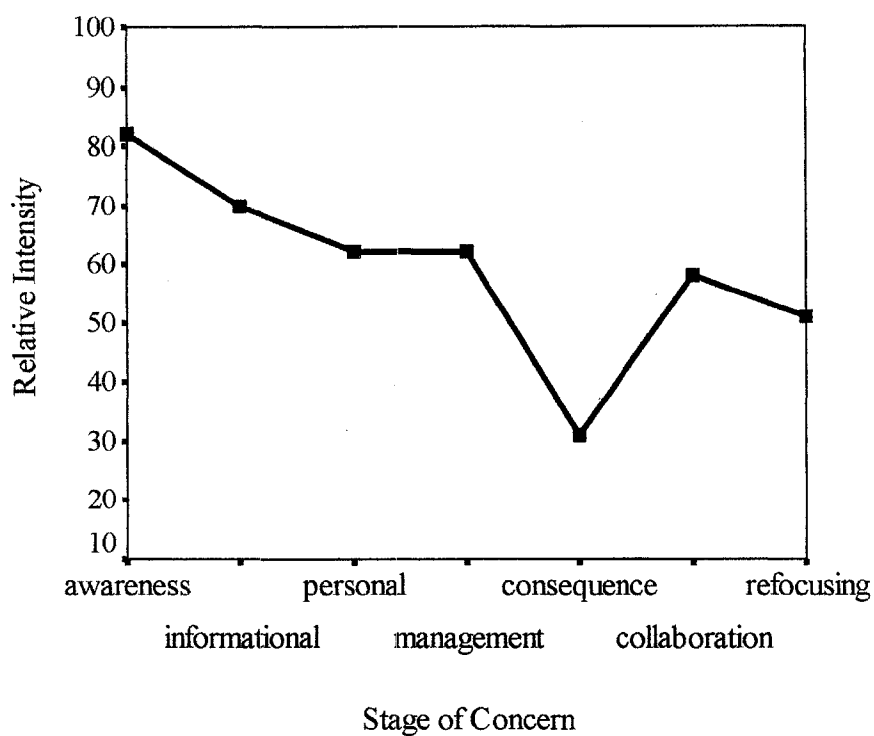


Figure 24. SoCQ profile for mean group scores with intensity compared to stages of concern.

The group profile indicates that the group is aware of and concerned about ELL instruction. The group wants to know more as evidenced by the Stage 1 score of 70%. This is consistent with the research finding that second high stage scores generally are adjacent to the PSS. Group stage scores at Stage 2 and Stage 3 moderate concern for how the innovation will impact the individual and how management of the innovation will be conducted within the existing resources. The low stage score at Stage 4 of 32% indicates little concern for how the innovation will impact students. Concerns related to collaboration are moderate as evidenced by the 58% stage score at Stage 5. Overall, the group is comfortable with the innovation and has few ideas about how to improve or replace ELL instruction.

Qualitative Analysis

In August 2003, in-depth interviews were conducted with a purposeful sample of 8 principals from the SCSS. The interviews were approximately 40 min to 1 hr in length. The questions asked during the interviews were intended to add insight into the concerns of principals regarding ELL instruction. The one question that framed the interview process was the single research question asked in this study. What are school principal concerns regarding ELL instruction as measured by the SoCQ and supported by qualitative input? The intent was to collect useful data while remaining sensitive to the element of time involved in conducting the interviews. For that reason, not all principals were asked all questions included in the guide. The following questions were used to guide the interviews.

1. Tell me about your experiences with ELL instruction in this district or in other districts.
2. In your view, what is the principal's role in ELL instruction?
3. In your view, what is the principal's role in assuring that federal and state mandates are adhered to regarding ELL instruction?
4. Please describe your view of changes in ELL instruction in this school or other schools?
5. What has prepared you to be the instructional leader in the area of ELL instruction?
6. What do you consider as the five most difficult obstacles to administrators in the area of ELL instruction?

Analysis of qualitative data was accomplished utilizing methods proposed by Patton (2001). Elements of the methods are summarized.

Open-ended questions allowed insight into the reality of the participant. Probing questions allowed the interviews to go in directions that were of interest to the topic. Careful consideration was given to avoid presenting questions that might have influenced participant responses. Follow up questions were used to verify the accuracy of the statements made by the participants. Throughout much of the interview process, principals were willing to answer the questions posed in an honest and forthright manner.

Data reduction was conducted utilizing Microsoft Word 2002. After a thorough examination of each interview or "case," data were organized into meaningful chunks. Following several revisions, data "chunks" were organized into categories.

Categories that emerged were experiences with ELL instruction, resources on site, support from district, impact on the school, personal role in professional development, and preparation. An additional category of miscellaneous was used to include data that did not appear to relate to the other emergent categories but were considered of importance to the study.

The category of experiences with ELL instruction relates to Stages of Concern 0, 1, and 2 proposed by Hall et al. (1998). The categories of resources on site and support from district relate to Stage 3, management. Impact on the school relates to Stage 4 consequence. The category, personal role in professional development, relates to Stage 5, collaboration. The category of preparation relates to Stage 0, awareness. No category emerged that related to Stage 6, refocusing.

Content Analysis

What are the concerns regarding ELL instruction of this sample? Principals in the study reported limited experience in ELL instruction. Experience in ELL instruction was framed in the context of numbers of students rather than good experience or bad experience. Participants reported that they receive appropriate support from the district, especially the SCSS ESL Program Area Specialist. No formal coursework to prepare them to be instructional leaders in ELL instruction was reported by the principals. What they know about ELL instruction comes from district professional development opportunities and experience on the job. All of the principals indicated that ELL instruction impacts their school to varying degrees. The impact of high stakes testing and inclusion were specifically indicated. On-site resources were reported as appropriate for

the unique needs of each school. Principals in the study reported their role in ELL instruction as being the instructional leader that takes an active role in professional development.

How do these concerns resonate with the analysis from the SoCQ? Limited experiences with ELL instruction, no formal coursework to prepare to be the instructional leader, and some degree of professional development opportunities regarding ELL instruction echo Stages 0, and 1. A limited experience framed by numbers of ELLs is consistent with a general awareness of ELL instruction revealed in the SoCQ. An apparent lack of formal coursework in ELL instruction along with an apparent need for more professional development in the area of ELL instruction suggests a concern about information about the innovation. Support from the SCSS seems to resonate with the low concerns for management of ELL instruction. The personal role of the principal in ELL instruction seems to reflect the personal concerns reported in the SoCQ.

Following are descriptions from each interview. These descriptions are presented to allow the reader to experience the interviews in the words of the participants. For the purpose of confidentiality, gender references are made as if all participants were male.

Principal 16059. As I entered the school, the principal met me at the door. After exchanging introductions, it was decided that the principal's office would be the place to conduct the interview. Everything about the person resonated with confidence, experience and poise. I could not help but believe that this was not only a principal but a leader and role model to the school and community. Years of service to the school and

community made this principal an excellent choice to share perceptions on topics related to this school.

This school does not have many ELLs. According to the principal, less than 10 ELLs attend. Through the years, all ELLs attending this school have been Hispanic and all could speak English to some degree. Although the numbers of ELLs has remained essentially the same, instruction for ELLs in this school has changed dramatically over the years. A discussion of the principal's experiences with ELL instruction focused on this change. "When I enrolled my first ELL, nobody paid much attention . . . as the population has grown; we now have a county-wide ESL program." Without Spanish speaking resources at the school, assistance for ELLs was limited. Increases in ELLs within the district have resulted in improvements in ELL instruction. "In the past, there was not a lot we could do . . . we are now making a lot of accommodations."

According to the principal, the SCSS has implemented a strong ESL program. Support in the areas of providing interpreters, increasing the number of ESL teachers and teacher aides, providing professional development for various groups of personnel, and offering advice and guidance to district principals. When there are communication issues, parents enrolling an ELL are often accompanied by an interpreter. "The county has an interpreter . . . most of the time the parent has contacted someone and the interpreter comes over with them." Much of the success of the program is credited to the SCSS ESL program Area Specialist. As the principal stated, "In the past couple of years, we have had a strong person in Janet Smith. Janet Smith is the first sincere effort Shelby County has had to have a strong ESL program." This gives the principal reason to say, "The

biggest problem to me has been trying to teach those students skills who don't know how to speak our language."

Principal 16059 does not see a problem with communication in this school. According to him, students at this school speak English better than might apparently be the case. The reason for this, according to the principal, is that "They (ELLs) find some shelter in not speaking English. Most of them know enough to communicate. It's the parents that have the (communication) problem." With Spanish-speaking faculty and students serving as informal interpreters, campus resources minimize communication concerns.

Cooperation among faculty members is not a concern for the principal. The reason may be revealed in the fact that the principal taught many of the teachers. "I've been a principal for 18 years and have worked here for 38 years so I taught many of my teachers. There is not much resentment to what we collectively agree." There is however, a sense of frustration with the combination of instructional requirements placed on teachers. Teachers face increasing challenges at this school by being responsible for providing effective educational experiences to special education students, ELLs with varied degrees of readiness, and regular education students. "Can you imagine what it's like for a regular Ed teacher with several students who don't speak English, and the teacher can not speak Spanish?" Teachers must learn ways to teach all students while managing a diverse group of learners.

He sees his role as the person "to provide the motivation. It's not my job to complain but to motivate my teachers on 'I can do' and try to be as realistic as I can." When presented with new challenges such as ELL instruction, he takes an active role in

professional development. Successful experiences with other innovations have given this principal the point of view that the principal is the key to successful implementation of innovation. The task for him is to “sell” the program. Preparation is important. “I have to provide the inservice and prepare the teachers.” To be successful, “I need to be prepared.”

Preparation in ELL instruction was not a part of this principal’s formal education. He credits professional development opportunities provided by SCSS in recent years with providing training in ELL instruction. Support from central office leadership has been a key in receiving needed preparation. “I don’t have the knowledge to deal with ELL instruction except what I have learned from workshops in recent years.” He gives credit to what he does know through experience on the job and through the efforts of the SCSS Program Area Specialist.

The discussion turned to concerns about the several mandates that schools and their leadership must manage. Taken individually, each single mandate may seem manageable. Taken collectively, they may seem counterproductive to effective instruction for all students. ELL instruction is affected by all of the following: the state mandated graduation exam, more stringent state curriculum requirements, federal NCLB legislation, and inclusion. This principal believes that many of these mandates are politically motivated and may not serve all students.

I feel that some things are politically motivated and might not last It sounds good, ‘No Child Left Behind’, but in reality, a lot of children are going to be left behind. No one talks about the students that drop out of school because they cannot pass the exit exam or they cannot meet the demands of this new curriculum. We seem to feel that if we mandate it or legislate it, it will happen.

These mandates contribute to the frustration that this and other principals feel when faced with the paradox between policy and reality. He is not alone in these feelings.

The interview concluded, I thanked the principal for his time and input, gathered up the equipment, and exited the building. The drive home seemed short compared to the vast distance between my world and the world of Principal 16059.

Principal 27059. According to the principal, many teachers who work at this school come from the suburban areas around Birmingham. They often drive many miles to work. This adds to the problem of attracting highly qualified teachers and teacher aides to the low socioeconomic school. Test scores in reading have not improved nor have Stanford Achievement Test (SAT) scores, although the principal says that much effort has gone into improvement efforts. Once parked, I saw a modern, attractive, and well-equipped facility. Although there were no children in the building, I could sense the caring and learning that go on here when school is in session.

Principal 27059 has little experience with ELL instruction. In 16 years of teaching, he had no ELLs and only one ELL is presently enrolled in the school. Anticipation of three non-English speaking kindergarten students in the fall has created some apprehension among the faculty and on the part of the principal. Last school year, a first grade ELL enrolled at mid-year. The child was afraid because she spoke no English and the mother had left her with strangers. The principal was able to calm the child after finding words in Spanish using a translation dictionary referred to as "the book." As is typical of many ELLs, the child did not return for the coming school year. Having a

teacher that spoke some Spanish was a settling influence on the child. None of the ELLs expected in the fall will have a teacher that speaks Spanish.

Few onsite resources exist at this school. Principal 27059 reports a tutor one day per week, one teacher that speaks some Spanish, and “the book.” In contrast, the school receives support from the district in the form of professional development opportunities, translation services, a 1 day-per-week Spanish teacher, and the SCSS ESL Program Area Specialist, Janet Smith. Janet is “the person we call. [She] tells us what to do.” Perhaps the greatest resource that the principal has is the faculty. “I feel confident in my teachers.” Regardless of the amount of confidence in his teachers, there is a sense of apprehension. “The teachers are a little nervous. I had one come into my office yesterday and she said, ‘I’ve got this child in my room and I speak no Spanish, what are we going to do the first day?’” The principal responded the only way he could by assuring the teacher that the central office would help her with the child and “let her know what she can do.”

The limited numbers of ELLs in this school, the low socioeconomic status of the students, and the apparent lack of on-site resources for dealing with ELL issues beg to ask what this school can add to the knowledge base of concerns of principals regarding ELL instruction. Because of the many initiatives being implemented at this school, the entire staff is feeling pressured to improve test scores while at the same time attend to the needs of every child. According to the principal, it is difficult to be extremely concerned about the instruction of 1 or 2 students when the school is facing many difficult challenges. The school has a high number of students identified as special education. There are concerns that the school may lose the hard earned status as an Alabama

Reading Initiative school. There is a strong mandate to raise reading and SAT scores or face public exposure. Suggestion to that effect brought the following statement. “Right now, my main concern is if I don’t bring my SAT scores up this year, we loose our ARI [Alabama Reading Initiative] status that we have worked so hard to achieve.” Asked if he felt personal concern if mandates were not met, he responded “Yes, my name will be in the headlines.” It is not difficult to understand that in some situations, principals may demonstrate low concerns regarding the impact of innovations that involve a very small percentage of the student population.

When asked what was needed in order for this school to improve, more frustration and concern surfaced. “That’s what we are asking ourselves. What do we need to change? I really don’t know what we need.”

Principal 27059 has little formal preparation in the area of ELL instruction. One course on working with “ESL students and basic conversational Spanish” comprises the two courses taken. These along with district-sponsored professional development opportunities offer little to build confidence in his abilities in the area of ELL instruction. “I don’t feel confident that I could go in [to a class] and say, ‘yes she’s doing an excellent job’ [of teaching ELLs].” Principal 27059 relies on his teachers to deliver appropriate ELL instruction. “I feel confident in my teachers. I feel confident that they will do the best that they can do for these students. If they can’t, they will look for resources to help them.”

There is a great deal of apprehension and frustration in the words of this principal. However, there is a sense of determination to find a way to make this a place where students are offered as effective an educational opportunity as possible. Apprehension

exists in that the principal and the staff are “in the learning process.” Apprehension further exists in that the numbers of ELLs are increasing. Frustration also exists in that, despite determined efforts to improve, the school continues to exhibit low standardized test scores. Principal 27059 seems determined to continue working to improve instruction regardless of the obstacles.

Principal 19059. Of the schools in Shelby County that I have had the pleasure of visiting, this one stands out for me as the symbol of rapid change that has occurred in the district. This is a new, modern school with a student population comprised of many who are new to the county. Across the rural county road from the school is a hay field. Not many years ago, the majority of residents in this part of the county had lived here all of their lives. Cows outnumbered people. Now, many current residents originally came from other states and some from other countries.

With this rapid growth have come new challenges to the school district. One challenge has been the increase in ELLs. This school has seen that increase more than many other SCSS schools. The school is faced with the challenge of providing effective instruction for a diverse group. According to the principal, the opening of an automotive plant in an adjacent county has resulted in the increase of Japanese-speaking students. This has resulted in more Japanese than Hispanic students enrolled in the school.

According to Principal 19059, other than an occasional foreign exchange student, an SCSS school might not have had ELLs 5-years ago. He sees ELL instruction as “just another facet of what you do [as principal].” He says that the changes in educational

administration are “unbelievable because of the accountability.” Time consuming accountability measures make up a big part of his day.

This principal has several resources on site to assist when working with ELLs. Guidance counselors provide orientation to incoming ELLs and their families. A full-time ESL teacher will be assigned to the school in the fall. A full-time aide is fluent in Japanese. The Spanish teacher is fluent in Spanish. Many schools do not have such on-site resources.

District support is also available. The district provides professional development opportunities for faculty and staff including administrators. “Janet Smith is the top director in the state of Alabama.” Her collaboration with administrators and teachers has resulted in the implementation of a program for ELL instruction before the state plan was put into place. Interpreters are provided as needed through the district office. Regular on site visits from central office staff provides communication and support. Central office staff participates in parent meetings.

The impact of increases in ELLs has been “a very large issue.” Principal 19059 sees this impact as similar to the impact of special education. He expects the area of ELL instruction to be addressed “the same way as we did special education 20-years ago.”

ELL instruction has had little impact on the other students in the school. “They are focused on what they have to do.” Any negative effect is in classes where the teacher has a large number of ELLs “and it causes the class to be behind.”

According to this principal, mandates that seem to be driving educational change are helpful and are not a negative. “I don’t think without federal mandates we would be

where we are.” Because of recent increases in ELLs, the state is new to ELL instruction. The impact of ELL instruction is a recent concern.

Principal 19059 is confident that he and his assistants can identify effective ELL instruction through regular observations. Individual teachers are identified as needing additional professional development. He sees an “active focus on developing our teachers” to teach ELLs. Practical instructional strategies are needed that can be used in the teacher’s daily classes. Outside speakers should be invited to address the faculty about ELL instruction.

This principal recommends implementing a specific intervention plan. Among other innovations, he feels that additional days should be incorporated to plan ELL instruction. This would include a half day of intensive professional development focusing on classroom strategies for teachers in “specific subject areas.” Time to plan and learn is the biggest obstacle to improved ELL instruction. “I think that the biggest obstacle we face as administrators is just the time to improve.”

Principal 26059. This is not a typical community school that one might find in a school system. The student population is transient, often being enrolled for only a few months. There is little contact with ELLs. Instruction is intense in that all students in this school work in small group settings with specialized instruction guided by individual needs.

Principal 26059 has been the instructional leader at this school for the past 5 years. He admits to little experience with ELLs but even this limited contact has been

positive. All of the ELLs with whom he has worked could communicate in English. Most of the parents could speak some English.

The ELLs at this school have been a positive experience. Remembering one student in particular, the principal remarked, “[he was] the nicest young man you have ever seen.”

Although it is not a typical community school, community groups have been involved with the school. A group of community police officers took advantage of Spanish classes that were offered at the school to help them work with the expanding Hispanic population.

This principal says that his school’s ELL parents are more actively involved in the education of their children than many other parents. “You will find that those parents [of ELLs] are more active than many of the other parents that have been around the school system for years. They are much more active in their kids’ lives.”

This principal says that the school receives much support regarding ELLs from the school district. SCSS provides ESL teachers several days per week to work with the ELLs. Central office personnel conduct conferences with parents. The district provides training for teachers and administrators. “They [district office] provided training making us understand what these students have to deal with.” Specific reference is given to the positive assistance provided by Janet Smith, the SCSS ESL Program Area Specialist. “I think Janet and [her staff] have got them going in the right direction because they are providing the resources that teachers in the schools need.”

ELLs have made a positive impact on the school. “In none of the cases did we have those students get in trouble here. They were all model students, never gave us a

single [problem] across the board.” Increases in ELLs have forced the school “to look at a wide variety of things we never considered 10-years ago.”

Principal 26059 considers the greatest obstacle to effective ELL instruction to be “the stigmatism that they [ELLs] cannot learn in the classroom the same as everybody else.” One concern is that because of a lack of language skills, the ELL might be mistakenly placed in special education classes. “I think that sometimes there is an emphasis that we need to place these kids in special education but that’s wrong. They are not special education students. They have a second language.”

Another concern involves high stakes tests mandated by the state. State-required graduation exams are given without accommodations in the student’s native language. To this principal, there seems to be a contradiction between state and federal guidelines on accommodations.

One thing that has always bothered me about the state graduation test is that we are not allowed to let them have that in their native language to be able to read. I think that that is odd not to do that when we have to do all this on the federal level.

Small class size is seen by this principal as important to effective ELL instruction. He relates one ELL that came from a large school where the student was having difficulties and “I think he was lost.” After enrolling in the smaller school where Principal 26059 was principal, the student was successful. “The problem is that he is getting lost in the numbers up there and they are sort of passing him off as he can’t do it.” “I found that about the only time he has done well was when he was here. I think what we found out was that he needed the one-on-one instruction.”

Nothing in the formal education of this principal prepared him in the area of ELL instruction. Throughout his undergraduate and graduate work, “nothing was mentioned.”

Issues related to Special Education were addressed through formal course work but knowledge of ELL instruction has come “through inservice in this county and then hands on work within the classroom.” His view is that school administrators should be required to complete professional development addressing ELL instruction and other current issues. “I think it [state required professional development in ELL instruction] will be one of those things that will come about.”

This principal does feel confident that he could evaluate teachers that deliver ELL instruction. His experience with local evaluation instruments as well as the state mandated evaluation instrument has prepared him to assess teacher competencies.

Principal 26059 is an experienced administrator with little experience regarding ELL instruction. His limited involvement with ELLs has been positive. He sees small group settings for ELLs beneficial to their success and would advocate professional development for principals in the area of ELL instruction. He demonstrates concern for ELLs that are required to take high stakes tests in English without accommodation.

Principal 25059. This school does not seem to fit the portrait of other schools in this county. As I turned into the parking area, I could not help but think how different this school seemed as compared with others in SCSS. Changes in demographics have been slow to come to this community. There is little in the way of change to attract new residents looking for work in service or retail jobs. There is a stark contrast between this school and others in the same district.

The school is well-kept, with an obvious sense of pride that comes with community schools. The building is older with signs of many attempts to provide new

life. One can only imagine how this school might differ had it not been for the rapid growth in other parts of the district and the resulting resources that accompanied such growth.

Although he has over 25-years experience in education, Principal 25059 has little experience as a principal and little experience with ELL instruction. Only five ELLs are enrolled in the school. Ironically, there were no ELLs and a different principal less than 5-years ago. Demographics and lack of job opportunities in the service industry may be the key to a small ELL population in this school. According to the principal, the timber industry is the largest industry in this part of Shelby County. This is in stark contrast to other schools in the district. As this principal notes, “Some of our schools have two or three hundred ELLs and it impacts the whole school, it’s a major part of their day.”

According to the principal, the school has not experienced much impact from the numbers of ELLs. In this school, ELLs traditionally are taught by select teachers in the school, “we usually have a person from the district office that gets programs started and it deals with just a certain group of our teachers, the teachers that are in charge of those students during the day participate.” The implication is that, in the past, the ELL in this school has had little contact with the content-area teacher. “We’ve had workshops that give us some experience. But with the two [teachers] that have been involved” In the coming year, ELLs that are in Special Education will be included into the regular classroom. Principal 25059 does not see this as a problem. “Right now, our kids [special education classified as ELL] are going into their classes and we do have support for these kids. Our ELL people will be in place to support them.” Perhaps there is a “nervous anticipation” on the part of the teacher but the principal says that this is a result of the

process of change and not because of resentment of inclusion “I think that with any of the new programs that that’s the first emotion or feeling that teachers have because they’ve seen so many programs going in and out, they’ve seen changes.”

ELLs in this school are accepted by the school community. According to this principal, ELLs are involved with the school more than some English-speaking students. As the principal remarked, “They’re really involved in what they are doing and they are happy kids.” Teachers accept ELLs in this school. “The teachers have really connected with them. They would do anything for them.” ELLs are participating in extracurricular activities. One ELL is a place kicker on the football team. Acceptance may be due in part to the low numbers of ELLs in the school. “It’s [ELL instruction] had such a small impact on our programs here because of low numbers” The principal believes that “We have made it a positive place to be” Overall, the ELLs in this school are, “well behaved, they are eager to learn. I think connecting in their English classes is the biggest struggle, getting the language down and those connecting words to be more proficient in what they’re doing.”

Any difficulties experienced in the area of ELL instruction at this school are addressed by strong support from the district office. Should a need for assistance arise, “it wouldn’t take one second to e-mail or phone Janet Smith and she would come over here, or one of her representatives, and step in and help.” Professional development is a large part of the support received from the central office. “As far as the training, the Shelby County Board of Education treats this school as if we had 200 students that could qualify or participate in it [ELL instruction].” The principal sees SCSS as being proactive in the handling of issues regarding ELL instruction. “Shelby County would have probably

identified this problem and needs since our population has grown so large so quickly.”

One reason for the perception of being proactive may be in the leadership from the central office level. “Janet Smith is in charge of our ESL program and I think this county will go forward.”

On-site resources include the Spanish teacher that acts as the “coordinator.”

Should that person not be available, the principal can call on another teacher. “My ROTC instructor is from southern Texas and his parents are both Hispanic. He speaks fluent Spanish and several dialects of it.” The principal feels that on-site resources are adequate to meet the needs of the school. “We have two or three people on faculty who can communicate with anyone. We are prepared when they walk through the door.”

His own preparation in the area of ELL instruction is limited. “There was no preparation [regarding ELL instruction] as far as on a graduate level. I finished my graduate work in 1988. So I’ve learned through workshops.” He sees a need at the preservice level to provide training in the area of ELL instruction. “Colleges and universities do need to address ELL programs. That needs to be a strong part of the curriculum.” Learning more about ELL instruction is important to this principal. Ongoing professional development provided by the district has given him some knowledge of ELL instruction.

Principal 25059 believes that personal involvement in professional development programs is important. He sees his role in this area as being that of providing guidance, vision, and leadership. He feels that those outside the school are better prepared to present professional development programs. “The principal needs to be the leader.

Outside presenters are a lot more helpful.” Future professional development opportunities are guided by a leadership team and based on the school improvement plan.

Future changes in demographics of this community may result in increased numbers of ELLs in the school. This will no doubt result in increased intensity of concerns regarding ELL instruction. For the present time, this school remains essentially untouched by the changes being experienced in other schools.

Principal 02059. Like many of the SCSS schools, this school has experienced a rapid increase in the ELL population in recent years. The principal has over 25-years experience in education, of which more than 10 were as principal. However, his experience as a principal with ELLs is relatively new. “In the last 5 years, I’ve had more dealings with limited language proficient students than I have had in the past.” He relates back to the time in this district when ELLs “had to survive by immersion to be honest with you. They seemed to do OK.” Most of the ELL increase in this school has occurred over the past five years. He admits that in his early days as a teacher, ELL instruction “was something that I didn’t foresee. I never would have thought. . . that I would be dealing with it. It hasn’t been bad.”

One concern this principal has is that communication with ELL parents is often difficult. “I’m finding out that most of the children can speak English but the parent can’t. So enrollment is the worst problem that we have.”

Many of this principal’s concerns have been reduced by the support received from the district. Decisions regarding enrollment, assessment, and placement of ELLs are handled with the assistance of the district coordinator and her staff. Providing

interpreters, hiring teacher aides, answering questions, and being available when needed are important to this principal. "If I have some kind of problem, I have someone I can call. They can either answer the question for me or they can talk to the person, or they can send an interpreter out."

When new ELLs enroll, the school often receives records from the sending school that require interpretation. The district provides assistance as needed. The principal reports that "Shelby County has been great in these situations."

Like other SCSS principals that I have spoken with, this principal has had no formal training in the area of ELL instruction. During his undergraduate and graduate work, ELL instruction was not an issue. All professional development opportunities he has had were initiated from the district level. "When I did my undergraduate and graduate work, there were no Hispanic students coming into the system so we didn't worry about it. It wasn't an issue, it wasn't something that you needed training on."

This principal, like many in the district, has a clear picture of his role regarding ELL instruction. "My role as I see it is that they [ELLs] are students. We have always had students with differences, students who did not care whether they survive in school or not. I don't really see it that much different." He is aware of ELL instruction and favors personal involvement regarding professional development for the teachers at this school.

There is a sense of apprehension about mandates from the state and federal level. This principal feels that all of his teachers "are used to change because this year we do this and two years from now we do that. It's a changing process all the time. This is just a different type of change." Also, Principal 02059 perceives that some teachers at this

school may demonstrate some resistance to any change. He sees that some teachers may not accept change because the change may be different from what has been accepted practice. As he remarked, "that's not the way they were raised and that's not the way they're going to do it." According to Principal 02059, teachers will experience the greatest change in that under NCLB, they may have another teacher in the classroom with them. "Where it used to be that the classroom was your domain, now you have to share that and work out a lot of other things."

Principal 02059 indicates concern for students who are asked to achieve at a higher level. According to this principal, NCLB is going to affect students because it has "raised the bar" and ELLs are going to be expected to do a lot more than before. He contends that teachers in his school will have the same expectations as before and this will raise expectations for special education students and ELLs.

In summary, this is a school experiencing rapid changes. The leadership sees ELL instruction as a challenge but a challenge not unlike others that have come and gone over the years. As he pointedly said, "We live in a changing world. I remember when we got our first real computer in this school; a TSR80 from Tandy. We thought it was the greatest thing. And now we have computers everywhere."

Principal 30059. As I entered the office and asked the receptionist where I could find the principal, he rose from his work and introduced himself with a strong handshake. I was invited to a workroom where we could conduct the interview in private. The participant was relaxed and seemed willing to allow me this time out of his busy workday.

Principal 30059 brings several decades of understanding to the interview. His experiences include several teaching and administrative positions in this district as well as other districts in the area. He has been the instructional leader for grades kindergarten to 8th. Total enrollment in these schools varied from 300 to 1,500. He has witnessed the beginning and development of ELL instruction in SCSS. Many years ago he taught two first-grade ELLs. "My first year of teaching, I was a first-grade teacher. I had a child from Yugoslavia and a child from Japan." In his present position as principal, he has several primarily Spanish-speaking ELLs. "I guess I've had as much exposure as any principal in this area."

Times have changed, and so has the role of the principal over the years. Several years ago the principal knew many of the students and their families. Recent changes have resulted in a more distant relationship with the students and their families. Now the principal knows those students who "give me reason to know them." This includes ELLs as well as English-speaking students.

When he began his teaching career, ELL instruction was a "kind of shot in the dark thing." During his first position as principal, "Shelby County had one [ESL] teacher for 32 schools." As a witness to improvements in the district he says, "It's not a shot in the dark in Shelby County now. We have a program well staffed."

Much of the credit for improvement is given to the SCSS ESL Program Area Specialist, "Shelby County . . . hired Janet Smith as ESL supervisor and she has built a much more effective program." Along with the district coordinator, dedicated teachers, and resources to provide a quality program, SCSS has a vision for ELL instruction.

District support for ELL instruction has continued to improve. Funds from the district go well beyond what the state provides. "I don't know the numbers. I wouldn't even attempt to quote. You could go to our central office and find that Shelby County goes way above and beyond what is mandated." Quality ESL-certified teacher, resources to help them teach, and computer programs for instruction and remediation are among the items mentioned by the principal as support from the district.

Local resources have varied according to the school. "I try to surround myself with people that can benefit the program." One school had available resources sufficient to hire a Spanish-speaking aide. "When I went to Xxxxxx School, there was enough funding in the local program that I was able to hire that person. We were able to do things that other schools couldn't afford to do." At another, a Title I school, the socioeconomic level of the students qualified the school for federal funding. "Sometimes even poor schools, because they are poor, get the funds that can be used for the resources. We did it [a computer program] for remediation and found out that it was good for ELLs." Drawing assistance from local resources also included interpreters to help during parent conferences and registration.

Principal 30059 has had no formal training in ELL instruction. He did relate that his formal education included problem solving. This has served him well in dealing with the challenges of ELL instruction. "I don't see this [ELL instruction] as different from solving any other problem." This principal has a gift for making the complicated appear simple.

This principal does not perceive content-area teachers as being resentful toward ELL instruction. He does believe that there might be more resentment toward the amount

of resources allocated to special education than resentment toward ELL instruction. He says that most new programs result in some resentment. This principal believes that the rapid increases in ELLs enrolled in SCSS have contributed to a small amount of resentment. However, he adds that a small amount of resentment is to be expected when changes occur. "I live with a teacher and I know that every now and then they're going to throw their hands up and say, how much more do they think that I can take?"

Our conversation began to point in a different direction when the topic of the role of the principal in ELL instruction came up. He stated that his role was to provide needed support within the available resources. He added that it was difficult to find the time to interact with individual children. "I didn't have the ability to get out and interact with them the way I wanted to." Personal concerns related to health and family life created a hardship. There were no suggestions that ELL instruction created this position. "ELL is just one of the many factors. ELL didn't push it over the edge but a combination of those things." Perhaps this statement captured the essence of his view. "We're so busy measuring and judging and being accountable, we don't have time to teach anymore."

Principal 33059. Having driven past this school several times, I could not help but be impressed by the attractive campus. Where there was once farm land along a rural highway, there is now a new school, modern and accessible. The principal had been kind enough to interview during an especially busy time. After introducing himself, I immediately felt relaxed. I felt this was going to be a good experience, and I was not disappointed.

The principal began the interview with an unexpected response. He said, "We have been unfortunate, the way I see it, in not having a lot of ELL children." With 5 last year and 3 this year, he would like to have more ELLs enrolled in the school. His sincerity was evident in his voice and in his body language. This led me to believe the words were genuine and not meant only for the tape recorder. He also made it clear that in his school, "We have the philosophy here that no matter who you are, no matter where you come from, we take you where you are and try to move you forward. We were thrilled to get those children."

Principal 33059 says that the school is in an area that is predominately low socioeconomic status based on the fact that 65% of the students qualify for free and reduced lunch. He adds, "Our children don't have opportunities to go to other countries and hear other languages unless we provide them here, so I think that's a great opportunity for them." Almost in a disappointed voice he says, "I think we probably have the lowest percentage in the county of ELLs. I really don't know why that is."

Communication has been a challenge. In one family "the father speaks English pretty well and the mother doesn't speak any English." In one ELL family, the parents speak English, but often a telephone call home will be answered by the grandparents. In this case "we have an issue there. Usually we just tell them 'school' and they get a message to the son or daughter-in-law and they will call the school."

The school is working on the communication issue. Parents of ELLs are invited to visit the classroom and learn English along with their child. Isolation and a lack of Spanish-speaking neighbors have made living in the community difficult for the parents

that cannot communicate effectively in their native language. The principal reports that the school has made efforts to include the parents in school activities.

Viewing the ELL as a positive experience in the school may have its challenges with the teachers in the school who are unable to communicate with the child or the child's parents. The prospect of not being able to communicate with the child or the parents can be a concern for the teacher and the principal. "I think that is frightening to some classroom teachers that have these children in their classroom. They want to do the best for that child but there is a communication problem." This is where the principal becomes the instructional leader to prepare the teacher to meet the challenge. "I think once they get past that and they learn things that they can do" they are better able to meet the challenge. In addition, the principal will "give them [the teacher] some training." The principal takes into consideration the ability of the teacher when recommending employment. "I really try to select teachers who have had experience with that in the past or can speak at least some of that language."

On-site resources include translated forms and teachers who speak Spanish. Necessary forms are translated into Spanish because "that seems to be the highest group in Shelby County." The forms are given to ELL parents, and Spanish-speaking teachers are called on to assist with communication between the school and the Spanish-speaking parents.

Support from the central office is evident in the voice of this principal. He speaks of the district coordinator as the one that "has done some things in this county that have put us in the forefront with ELLs." Summer programs, parent meetings, school visits, interpretation, and translation of necessary forms are mentioned by the principal as areas

that the ESL Program Area Specialist supports ELL instruction. “I definitely think that support contributed to us doing what we have done. I would give credit to our coordinator.” Asked what he would do if he had an issue involving ELLs and he responded, “I’d call Janet Smith.”

There is concern regarding the amount of paperwork required by the district. “They [SCSS] could streamline some of this paperwork. It’s too much.” He recommends that SCSS prevent “having to send things over and over again to different groups of people.”

Principal 33059 has little formal preparation in ELL instruction. He attributes what he has learned to observing the SCSS ESL Program Area Specialist, the tutors provided by SCSS for ELLs, and the Spanish teacher. Spanish is offered twice weekly for all students in kindergarten through second grade. “I have been observing them and learning from the things that they have done”

He is not uncomfortable with the language barriers but would be uncomfortable leading the faculty in a professional development program regarding ELL instruction. He would prefer to be one of the participants. “I would not feel comfortable doing that [leading the faculty] at all.” Showing his tendency to be proactive, he would recommend professional development “for all the teachers in case they ever had an ELL student.” Demonstrating his understanding of statistics regarding content-area teachers and ELLs he adds, “They will eventually.”

Because the school serves a number of hearing-impaired students, the principal would expand professional development to include hearing impaired. He recommended including classes in sign-language and showed interest in participating personally.

In summary, this principal has little experience with ELL instruction because of low numbers of ELLs in the school and in the community. He demonstrates unusual sensitivity toward the needs of ELLs and other special populations in the school. According to this principal, ELLs are an opportunity to expose all students in the school to diversity and sees ELLs as an asset and not a liability. The district provides support that exceeds expectations and resources on site are significant compared to the number of ELLs in the school. Principal 33059 favors professional development for all teachers in the areas of ELL instruction and other special populations.

Cross Case Analysis

The purpose of this study was to describe the concerns of principals regarding ELL instruction. Although concerns are highly individualized, it is important to seek patterns in the perceptions of participants to fully understand the essence of the phenomena under study. The content analysis of interviews with eight principals has been presented. The challenge now is to describe patterns that emerge across cases.

According to Gall et al. (1999), the purpose of a cross case analysis is to “help readers determine whether there was generalizability of findings among the cases” that were studied (p. 308). This provides some evidence that findings are applicable to other situations.

Categories that emerged across cases include experience with ELL instruction, support from district, preparation, impact on the school, on site resources, and personal role in ELL instruction. The analysis is presented within the context of these categories.

Experience with ELL instruction. The statement “Tell me about your experiences with ELL instruction.” was included in the interviews of all participants for the purpose of initiating conversation regarding ELL instruction. Remarkably, all participants responded to this statement by offering numbers of ELLs that were in the school or numbers of ELLs they had encountered in other schools. All eight principals prefaced their experience with ELL instruction as limited by the numbers of ELLs they serve. One participant seemed to capture the essence of the category with the following statement.

My experiences have been limited. Fifteen years ago we had about 15 Vietnamese boat people. That was my first encounter with students that English was not their first language. Those students had to survive by immersion to be perfectly honest with you. They seemed to do OK. Then about 5-years ago in Shelby County, we started to get more Hispanics. We’ve students here from Guatemala and Mexico and wherever else. In the last 5 years, I’ve had a lot more dealings with limited language proficient students than I have had in the past.

One principal reported that the opening of a foreign automotive assembly plant contributed to the increases in the past 2 years. Four of the eight principals reported significant changes in the number of ELLs in the district during the past 5 years. Five mentioned Hispanic populations as being most prevalent, and one said native-Japanese-speakers were greatest in number in his particular school.

Three principals demonstrated concern in their situation with communication involving parents. This was seen as particularly difficult when students were enrolled in the school. One principal seemed to capture the essence of this concern when he stated the following:

I’m finding out now that most of the children can speak English but the parent can’t. So enrollment is the worst problem that we have. Once the students get here, most of them are able to speak English. The parents, most of them, are very limited.

Seven principals interviewed report that communication with students was not a concern. Students are seen as having communication skills but not necessarily having skills needed to be successful in academic classes.

Support from district. Another area that resonated with all principals in the interview process was the support received from the district office. All eight principals reported support that was above expectations. There were no negative statements regarding district support for ELL instruction. When specifically asked what the district could do to help make his job easier, one principal responded that the district could help reduce the amount of reporting required, a recommendation that is unlikely during the present time of increasingly more accountability. Remarkably, all participants specifically gave the credit for improvements in ELL instruction to the SCSS ESL Program Area Specialist, referring to her by name during the interview. One principal reported the following:

In the past couple of years we have had a strong person in Janet Smith. Janet Smith is the first sincere effort Shelby County has had to have a strong ESL program. For years it was left up to each individual school to make decisions for these students.

Specific types of support provided by the district ranged from being available when needed to professional development opportunities for all staff. Perhaps one principal captured the essence of what the district support for ELL instruction meant when he stated the following:

We've always had resources in Shelby County but we haven't always had a defined mission, a well defined program for ELL. That changed a few years ago and it's been refined and gets better all the time.

Providing support for ELL instruction in SCSS is defined by the leadership at the district level. Principals appreciate the support provided by the SCSS ESL Program Area Specialist.

Preparation. This category emerged as one that cut across all respondents' experiences in ELL instruction. No principal reported formal preparation specifically in the area of ELL instruction. Three said that ELL instruction was not an issue at the time of their formal education. As one participant said, "I finished in '95- '96 and throughout the period that I worked on the master's nothing was mentioned regarding ELL instruction. Preparation dealt with special education issues."

Among the methods of acquiring knowledge about ELL instruction reported were experience, observation, and professional development opportunities. One principal reported learning "from our coordinator, the tutors, and our Spanish teacher that come out here. I have been observing them and learning from the things that they have done. I do feel more comfortable." One reported that, "experience more than anything else" had been the source of knowledge in ELL instruction.

Impact on the school. All participants acknowledged impact of ELL instruction on the school in varying intensities. Seven of the eight respondents reported a positive impact on their school. Positives included no major discipline problems and English-speaking students "picking up Spanish from the Spanish-speaking kids," One respondent remarked that "We have been unfortunate, the way I see it, in not having a lot of ELL children." Children often do not have opportunities to go to other countries and hear other

languages unless provided at the school, so “I think that’s a great opportunity for them.”

The negative expressed was teacher apprehension about students expected to enroll with little communication skills in English. This reported exchange between a teacher and her principal demonstrates the expression of concerns felt by one apprehensive teacher.

The teacher said, I’ve got this child in my room and I speak no Spanish, what are we going to do the first day? I said that they [district office] were supposed to be sending someone out to work with her and let her know what she can do.

Little was reported regarding the existence of teacher resistance to ELL instruction. Five said that they had seen no resistance to ELL instruction. One principal perceives some resistance to any change as a natural response. “I don’t think there is any more resentment than teachers naturally feel when you tell them one more thing that they have to do, one more piece of paper.”

Three principals showed concern for students who were required to take high stakes tests such as the Alabama Graduation Exam, the Alabama Direct Assessment of Writing, and the SAT. Ramifications of these high stakes tests were felt to be inconsistent with recent NCLB legislation. As one principal suggested,

Another thing that concerns me is the Exit Exam. I don’t mind testing, but no one talks about the students that drop out of school because they cannot pass the exit exam or they cannot meet the demands of this new curriculum. It sounds good, No Child Left Behind, but in reality, a lot of children are going to be left behind.

Another expressed concern about high stakes tests in these words,

One more thing this year with the testing the SAT 10 we’ve included children that have never been included before and we’re supposed to bring our scores up when we’re throwing children in there. When the papers report this, they don’t necessarily say, ‘Just for your understanding here are the children. Here are some of the exceptionalities that have taken this test that will bring the scores down in any given area.’ It’s just another one of those things. We’re killing our teachers. ELL is no bigger or smaller than anything else to me.

On-site resources. Responses regarding available resources at the individual school varied with two notable exceptions. Six said that they had an interpreter on site. No principal reported inadequate resources at the school. Spanish teachers and others, including students, were reported as enlisted to serve as interpreters on site. Computer programs were available as reported by two respondents. Other on site resources includes counselors, librarians, tutors, and forms translated into Spanish. The one statement that seemed to speak to this was, "I try to surround myself with those who can benefit the program."

Personal role in ELL instruction. The category of personal role in ELL instruction revealed that five principals believe that it is important for them to be involved in professional development. They believe that professional development is most effective when endorsed by the principal. One principal summed up this when he said, "I think the principal is the person who needs to be the 'point man' and then bring in other people to help train (teachers)." Three see themselves as the instructional leader in the area of ELL instruction "I think that the principal is supposed to be among all the other things, the instructional leader." Two said that their role was to motivate teachers. One saw his role as problem solver.

In summary, principals in the study report limited experience in ELL instruction framed in the context of numbers rather than good or bad. They are receiving appropriate support from the district, especially the SCSS ESL Program Area Specialist. Participants have no formal course work in ELL instruction. What they know about ELL instruction comes from district professional development opportunities and experience on the job.

All indicated impact of ELL instruction on the school to varying degrees. The impact of high stakes testing was indicated. On site resources are reported as appropriate for the unique needs of each school. They see their role in ELL instruction as being the instructional leader that takes an active role in professional development.

CHAPTER 5

FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

Introduction

Current concerns of principals regarding ELL instruction were described in this study. Both quantitative and qualitative methods were used in this descriptive design. Twenty-three principals participated in the quantitative component by completing and returning the SoCQ. Data from the SoCQ were used to describe the concerns of principals regarding ELL instruction utilizing methods prescribed by Hall et al. (1998). Results from the SoCQ were also used to inform the qualitative component by identifying a purposeful sample. Eight principals participated in the qualitative component by sharing their perceptions and concerns regarding ELL instruction during in-depth interviews using methods specified by Patton (2001).

In chapter 4, data from the SoCQ and data from in-depth interviews were analyzed by describing concerns of principals in this study regarding ELL instruction. Findings, conclusions, and recommendations are presented in this chapter.

As postulated by Hall et al. (1998) concerns of individuals are important to the success of any innovation. Unless the individual's concerns are addressed and appropriate interventions are implemented, the success of the innovation is in doubt. The challenge is to identify those concerns so that appropriate interventions may be implemented. The goal of the intervention is to lessen the concerns about how the innovation will affect an

individual personally and move an individual toward concerns for how the innovation will affect others.

Review of Findings

Users, Nonusers, and Potential Resistance to Change

According to Hall et al. (1998), a nonuser reports higher concerns at Stages 0, 1, and 2 compared to Stages 4, 5, and 6. Fifteen of the 23 principals in this study presented profiles consistent with nonusers of the innovation. Seven profiles were described as consistent with users of the innovation. One individual did not clearly sort the item responses. Therefore, identification of this individual as a user or nonuser of the innovation was not clear.

Eighteen of the 23 respondents reported their peak stage score at either Stage 0 (awareness) or Stage 1 (information). Second high stage scores were reported adjacent to peak stage scores in 10 of the 18 cases. The resulting profile suggests that, in general, principals in this study are not involved with ELL instruction or are just beginning to use the innovation. They are somewhat aware of and are concerned for ELL instruction. These data suggest they want substantive information about the innovation and are concerned about how the innovation will affect them personally. These findings are consistent with those of Hall and Hord (2001). They argued that self concerns are more intense at the beginning of a change process.

According to Hall and Hord (2001), some resistance to the innovation is a natural part of the change process. Often what is perceived as resistance is related to Stage 2 (personal) concerns. Concerns about how the change will affect the individual personally are often found in the beginning of the change process. The individual may be

experiencing self-doubt or personal apprehension about change. A lack of information about the innovation will increase personal concerns. However, large amounts of information at one time during the beginning of the change process may increase personal concerns.

One indicator of potential resistance to the change is described as a negative one/two split. This occurs when concerns at Stage 2 (personal) are higher than concerns at Stage 1 (information). Higher Stage 2 scores compared to Stage 1 scores indicate the individual is more concerned about how the innovation will affect them personally than they are about learning more about the innovation (Hord et al., 1998). Four of the 23 participants in this study had higher scores at Stage 2 (personal) compared to Stage 1 (information). Thus, these four have some potential for resistance to the changes regarding ELL instruction.

Another indicator of resistance to change is high Stage 6 (refocusing) scores compared to Stage 5 (collaboration) scores. This tailing-up at Stage 6 indicates the individual has ideas about how the innovation can be modified or replaced. In a nonuser, tailing-up at Stage 6 along with high Stage 2 (personal) and/or Stage 3 (management) concerns indicate what is referred to as a potential hostile nonuser (Hall & Hord, 2001). Two of the four participants presenting a negative one/two split also had higher Stage 6 scores than Stage 5 scores. One of the 2 had high Stage 3 (management) concerns along with high Stage 2 concerns.

Limited Experience with ELL Instruction

All 23 principals in this study reported that they had what appears to be significant experience in education. Eleven principals reported that they had more than 25 years of experience in education and all principals reported at least 10 years of experience in education. Sixteen participants reported at least 4 years of experience as a principal, and 14 reported at least 4 years of experience as a principal of a school where ELLs were enrolled.

According to Hall et al. (1998), there is not a positive relationship between the concerns of individuals regarding an innovation and variables such as experience in education. Interviews conducted with a purposeful sample of 8 participants revealed that experience with ELL instruction was perceived by the principals in terms of the number of ELLs enrolled in schools where they presently work or worked in the past. When asked to describe their experience with ELL instruction, all 8 reported that they had limited experience with ELL instruction based on the number of ELLs enrolled in the school. The 23 principals responding to the SoCQ reported a range of 0 to 90 with an average of 23 ELLs in the school where they work. Principals participating in the interviews reported a range of 0 to 90 with an average of 19 ELLs in the school where they work. Although ELL instruction is not new in the district, most of the increases in ELL enrollment have occurred in the past 5 years. These statistics suggest that experienced principals will exhibit intense concerns at Stages 0, 1, and 2 given limited experience in ELL instruction. This hypothesis has been demonstrated by Hall et al. (1998) in studies conducted over the past 25 years.

Support from the District

One area that was not identified as a high concern for principals in this study was the degree of the support for ELL instruction provided by the SCSS. According to Hall et al. (1998), Stage 6 of the SoC relates to refocusing. A Stage 6 score that is lower than the Stage 5 score indicates that the individual does not have ideas about how to modify or replace the existing innovation. A Stage 6 score higher than the Stage 5 score indicates that the individual does have ideas about changing the existing program. Eighteen of the 23 principals in this study reported a Stage 6 score lower than the Stage 5 score. This suggests that principals in the study were generally comfortable with the existing program for ELLs. It can also be interpreted that principals in the study are generally satisfied with the existing leadership that provides support for ELL instruction.

All principals that participated in the interview process reported that the support they received from SCSS was adequate and appropriate for the students. Those principals reported that the SCSS provided translators, certified teachers, professional development opportunities for all school staff, assistance with parents of ELLs, assistance in testing and placement of ELLs, and resource materials. There were no negative comments regarding SCSS support for ELL instruction.

There is a high level of confidence in the leadership provided by the district, especially from Janet Smith, SCSS ESL Program Area Specialist. This was evidenced by the fact that all principals referred to the SCSS ESL Program Area Specialist by name and in a positive manner.

According to Hall et al. (1998), Stage 0 (awareness) and Stage 1 (information) concerns that are higher than Stage 4 (collaboration) and Stage 6 (refocusing) concerns suggest that the individual is aware of the innovation and concerned about the innovation. They also suggest that this indicates the individual wants to know more about the innovation. Eleven of the 23 principals in this study presented higher Stages 0 and 1 scores than Stage 5 and 6 scores. This suggests principals in this study perceive a need for preparation in the area of ELL instruction.

All principals that participated in the interviews reported that they were not required to take classes related to ELL instruction during their undergraduate or graduate programs. Three principals stated that on-the-job experience was the source of most of what they know about ELL instruction. One principal reported that observing and modeling ESL teachers and the SCSS ESL Program Area Specialist had been the source of his knowledge about issues related to ELL instruction. One participant recommended that courses in the area of ELL instruction be required for those in preservice programs for principals.

Impact on the school

According to Hall et al. (1998), high Stage 4 (consequence) scores compared to other stage scores indicate the individual is more concerned about how the innovation impacts students than he or she is concerned about other aspects of the innovation. However, a low Stage 4 score may not imply a lack of concern for student success. A principal may perceive that the innovation works and is comfortable with the impact it will have on the student or he or she may not have the knowledge of the innovation

necessary to develop strong concerns about how the innovation will impact the student. A low Stage 4 score may also indicate a nonuser of the innovation if stage scores for Stages 0, 1, and 2 are generally higher than Stages 4, 5, and 6 scores.

Sixteen of the 23 principals responded to the SoCQ with Stage 4 scores lower than all other stage scores. No principal responded to the SoCQ with Stage 4 scores higher than the other stage scores. This is an indication that principals in this study do not have strong concerns about the impact of ELL instruction on students. However, this does not suggest that principals do not care about the impact of ELL instruction on the students. Principals may feel comfortable that the existing program has a positive impact on the students.

The qualitative component of the study supported the quantitative component of the study. When asked what the impact of ELL instruction was on the school, seven of the eight principals reported that ELL instruction had a positive impact on the school. Three principals reported that ELLs had low discipline referrals compared to the native English-speaking students in their school. Four stated that ELLs enhanced the educational experience of native English-speaking students by providing cultural enrichment. Two reported that they were accepted by students and staff as evidenced by participation in school activities such as athletics. One negative impact reported that teachers were apprehensive about having ELLs in their classroom for the first time. One principals also reported that there was the potential for ELLs to negatively impact the results of high stakes tests such as the Stanford Achievement Test. This suggests that the principals in this study care about the impact of ELL instruction on the school but do not have strong concerns related to negative impact of ELL instruction on the students.

Conclusions

Principals in this study generally reported high concerns regarding awareness, information, and personal aspects of ELL instruction compared to concerns regarding management, consequence, collaboration, and refocusing aspects of ELL instruction. The group profile of SoCQ data indicated that principals in this study are nonusers of ELL instruction in that they are generally not involved with ELL instruction. They reported that they are aware of ELL instruction and are somewhat concerned about ELL instruction. In addition, principals in this study presented greater concerns about how ELL instruction will affect them personally than they did about how they will manage ELL instruction within the available resources. They demonstrated an interest to know more about the substantive characteristics of ELL instruction. Concerns about the impact of ELL instruction on students were reported as less than all other concerns regarding ELL instruction. Concerns about collaboration with their colleagues regarding aspects of ELL instruction were reported as greater than concerns regarding ideas related to changes to or replacement of ELL instruction. Interviews conducted as part of the qualitative component of the study support data from the SoCQ.

Recommendations

According to Hord et al. (1998), concerns must first be identified and then appropriate interventions delivered that address the concern. Concerns of principals regarding ELL instruction have been identified. Principals in this study generally reported strong concerns in the areas of awareness, information, and self; moderate concerns about management, collaboration, and refocusing; and low concerns for consequence. The goal

of intervention should be to reduce high concerns for awareness, information, and self and increase concerns for consequence, collaboration, and refocusing (Hall et al., 1998).

Stage 0 interventions should include ways to draw the principal into the discussion of ELL instruction in positive ways. Principals should be involved in the decisions regarding ELL instruction and engaged in meaningful discussions regarding aspects of ELL instruction. Meaningful discussions include, but are not limited to, implementation procedures, best practices, cultural awareness, approaches to ELL instruction, and recognizable teaching strategies such as word walls and graphic organizers. Information should be provided in amounts that arouse interest in ELL instruction but not so great as to overwhelm the principal. Too much information too quickly may result in personal concerns being raised.

Principals with high Stage 0 concerns should be assured that concerns are natural and a lack of awareness does not mean a lack of concern. Principals may be reluctant to discuss concerns that they perceive as potentially harmful to their position.

Principals with high Stage 0 concerns should also be encouraged to talk with other members in the group that are comfortable with the changes. All principals should be cautioned about problems of inaccurate information. Internet sites that can be a source for accurate information about ELL instruction could be shared with the group.

Stage 1 concerns should be addressed through interventions that provide comprehensible and precise information about ELL instruction in meaningful ways. Principals with high Stage 1 concerns often want to know about substantive aspects of the innovation (Hord et al., 1998). Thus, information that touts the importance and theory of

ELL instruction may not be as effective in reducing Stage 1 concerns as information that provides methods to evaluate teachers instructing ELLs.

Meaningful group configurations should be used to address the individual learning styles represented. Informal conversations with the individual regarding ELL instruction can be as effective as planned group meetings to discuss ELL instruction. Principals may be more receptive in groups that they feel comfortable with. Large groups may be the most efficient way to disseminate large amounts of information in a short time. However, some principals may prefer small groups.

Visits to schools where ELL instruction is used effectively can be especially helpful. Visits with experienced users of ELL instruction can provide information in a setting where the principal can see ELL instruction in use.

Information should relate ELL instruction to existing programs. Relating ELL instruction to current programs can create a link to understanding.

Principals with high Stage 2 concerns should be assured that personal concerns are natural and that they are not alone. High Stage 2 concerns are often associated with resistance to change (Hord et al., 1998). These principals may be hesitant to discuss Stage 2 concerns because they do not want to appear negative about ELL instruction.

For principals with high stage 2 concerns, ELL instruction should be implemented in small manageable units that do not overwhelm the individual. The principal should be provided with attainable goals in an unthreatening manner. Informal opportunities to discuss personal concerns can be very effective.

It is important not to overwhelm the principal experiencing high Stage 2 concerns with information about ELL instruction. According to Hord et al. (1998) too much

information forced on individuals with high Stage 2 concerns may result in an increase in personal concerns. High Stage 2 concerns must be attended to immediately as these concerns are not likely to disappear on their own.

Stage 3 interventions include finding ways to solve immediate concerns related to management and not to what could occur. Principals with high Stage 3 concerns should be provided with strategies to address issues such as personnel. A file of applicants for ESL teachers and ESL teacher aides should be kept. Principals should be involved in the decisions related to ELL instruction but not overly burdened with unnecessary tasks.

Solutions should be provided to management concerns through clear and concise steps to improvement. Incremental tasks are more manageable than tasks requiring huge efforts all at once. Tasks should be prioritized and timelines set for completion.

Principals in the sample did not report high Stage 4 concerns. Principals should experience higher Stage 4 concerns as they move through the developmental continuum prescribed by Hall et al. (1998). As principals experience higher Stage 4 concerns, it should be recognized that Stage 4 concerns are easy to overlook. Stage 4 concerns should be addressed by providing access to schools with successful ELL programs. These individuals can share their desire to develop ways to improve the impact of ELL instruction on the students.

Principals with high Stage 5 concerns should be provided with opportunities to share ideas about ELL instruction. Discussions should be encouraged between these principals and others in the group that desire to collaborate. Take care not to force collaboration on those in the group who are not ready to participate.

According to Hord et al. (1998), individuals with high Stage 6 concerns have ideas about how to change or to replace the existing program. It is important to identify these principals because they may be a source for resistance. Other stage scores should be identified to determine potential resistance. Educational leaders should accept that individuals with high Stage 6 concerns will try to change the program. The energy of principals with high Stage 6 concerns should be channeled in positive proactive ways.

These interventions should provide a starting point to assist individuals to resolve their concerns. However, there is not a “best” intervention that will work.

Future Studies

The following recommendations are provided as a basis for further study:

1. A longitudinal study of these principals should be conducted to determine changes over time and to determine appropriate interventions for the purpose of attending to concerns of principals.
2. Future studies should examine the relationship of principal leadership style and concerns of content area teachers regarding ELL instruction.
3. Future studies should examine the relationship of principal leadership style and concerns of ESL-certified teachers regarding ELL instruction.
4. Future studies should examine the relationship of principal leadership style and ELL educational achievement.

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APPENDIX A
STAGES OF CONCERN QUESTIONNAIRE

School Number: _____

Stages of Concern Questionnaire

The purpose of this questionnaire is to determine what people who are using or thinking about using various programs are concerned about at various times during the innovation adoption process. The items were developed from typical responses of school and college teachers, who ranged from no knowledge at all about various programs to many years experience using them. Therefore, *a good part of the items on this questionnaire may appear to be of little relevance or irrelevant to you at this time.* For the completely irrelevant items, please circle "0" on the scale. Other items will represent those concerns you *do* have, in varying degrees of intensity, and should be marked higher on the scale, according to the explanation at the top of each of the following pages.

For example:

| | |
|---|-------------------|
| This statement is very true of me at this time. | 0 1 2 3 4 5 6 (7) |
| This statement is somewhat true of me now. | 0 1 2 3(4) 5 6 7 |
| This statement is not at all true of me at this time. | 0(1) 2 3 4 5 6 7 |
| This statement is irrelevant to me. | (0)1 2 3 4 5 6 7 |

Please respond to the items in terms of *your present concerns*, or how you feel about your involvement or potential involvement with English language learner (ELL) instruction. ELL is defined by the Alabama State Department of Education as a student whose primary language is not English. We do not hold to any one definition of ELL instruction, so please think of it in terms of your own perceptions of what it involves. Since this questionnaire is used for a variety of innovations, the name ELL instruction never appears. However, phrases such as "the innovation," "this approach," and "the new system" all refer to ELL instruction. Remember to respond to each item in terms of *your present concerns* about your involvement or potential involvement with ELL instruction.

Thank you for taking time to complete this task.

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|--|---------------------------|---|--------------------------------|---|----------------------------|---|-----|
| <u>Irrelevant</u> | <u>Not true of me now</u> | | <u>Somewhat true of me now</u> | | <u>Very true of me now</u> | | |
| 1. I am concerned about negative students' attitudes toward this innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 2. I now know of some other approaches that might work better. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 3. I don't even know what the innovation is. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 4. I am concerned about not having enough time to organize myself each day. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 5. I want to help other faculty in their use of the innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 6. I have a very limited knowledge about the innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 7. I would like to know the effects of this reorganization on my professional status. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 8. I am concerned about conflict between my interests and my responsibilities. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 9. I am concerned about revising my use of the innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 10. I would like to develop working relationships with both our faculty and outside faculty using this innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 11. I am concerned about how the innovation affects students. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 12. I am not concerned about this innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 13. I would like to know who will make the decisions in the new system. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 14. I would like to discuss the possibility of using the innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 15. I want to know what resources are available if we decide to adopt this innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 16. I am concerned about my inability to manage all the innovation requires. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 17. I would like to know how my teaching or administration is supposed to change. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|--|---------------------------|---|--------------------------------|---|----------------------------|---|-----|
| <u>Irrelevant</u> | <u>Not true of me now</u> | | <u>Somewhat true of me now</u> | | <u>Very true of me now</u> | | |
| 18. I would like to familiarize other departments or persons with the progress of this new approach. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 19. I am concerned about evaluating my impact on students. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 20. I want to revise the innovation's instructional approach. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 21. I am completely occupied with other things. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 22. I would like to modify our use of the innovation based on the experiences of our students. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 23. Although I don't know about this innovation, I am concerned about other things in the area. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 24. I want to excite my students about their part in this approach. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 25. I am concerned about my time spent working with nonacademic matters related to this innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 26. I would like to know what the use of the innovation will require in the immediate future. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 27. I want to coordinate my efforts with others to maximize the innovation's effect. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 28. I would like to have more information about time and energy commitments required by this innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 29. I would like to know how other faculty are doing in this area. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 30. At this time, I am not interested in learning about the innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 31. I would like to determine how to supplement, enhance or replace the innovation. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 32. I would like to use feedback from students to change the program. | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |
| 33. I would like to know how my role will change when I am using the innovation | 0 | 1 | 2 | 3 | 4 | 5 | 6 7 |

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|---|---------------------------|--------------------------------|---|---|----------------------------|---|-------------|
| <u>Irrelevant</u> | <u>Not true of me now</u> | <u>Somewhat true of me now</u> | | | <u>Very true of me now</u> | | |
| 34. Coordination of tasks and people is taking too much of my time. | | | | | 0 | 1 | 2 3 4 5 6 7 |
| 35. I would like to know how this innovation is better than what we have now. | | | | | 0 | 1 | 2 3 4 5 6 7 |
| 36. I want to know how to meet all No Child Left Behind (NCLB) requirements regarding the innovation. | | | | | 0 | 1 | 2 3 4 5 6 7 |

Additional questions:

What other concerns if any do you have at this time? (Please describe them using complete sentences.

Briefly describe your job function.

In rank order with 1 being the greatest, what do you feel are the top five needs that you presently have regarding instruction for ELLs?

- 1.
- 2.
- 3.
- 4.
- 5.

How many ELLs are presently enrolled in the school that you are principal of? _____

How have trends in ELL instruction changed since you have been in education? (Please use the back of this page if necessary)

Demographic data: Please indicate the response that best describes you.

Years of Experience in education:

1-3 _____ 4-10 _____ 10-24 _____ More than 25 _____

Years of experience as a principal:

1-3 _____ 4-10 _____ 10-24 _____ More than 25 _____

Years of experience as a principal in schools where ELLs were enrolled:

0 _____ 1-3 _____ 4-10 _____ 10-24 _____ More than 25 _____

Highest Degree Held:

Bachelors _____ Masters _____ Specialist _____ Doctorate _____ Other (specify) _____

Presently principal of a school consisting of the following grades:

Grades K-5 _____ Grades 6-8 _____ Grades 7-12 _____ Other (specify) _____

My gender is:

Male _____ Female _____

Experiences with cultures other than my own:

Studied more than one language Yes _____ No _____

Traveled outside the US Yes _____ No _____

Attended school in another country Yes _____ No _____ Number of years _____

Lived outside the US Yes _____ No _____ Number of years _____

Additional experiences with cultures other than my own:

Please specify

Cover Letter for SoCQ

June 23, 2003

Principal
Chelsea Middle School
2321 Highway 39
Chelsea, AL 35043-060

Dear Principal,

Thank you for your willingness to assist us in our efforts to study the concerns of principals regarding English language learner (ELL) instruction. Because your school district continues to experience an exponential growth in ELLs, we feel that you are one of the best sources of information for us as we seek to learn more about instruction for these students.

Attached you will find a questionnaire that is being distributed to all principals in the Shelby County school district. Called the Stages of Concern Questionnaire (SoCQ), the questionnaire assesses your present concerns regarding ELL instruction.

As a retired principal, I understand and respect the demands on your time. Therefore, the questionnaire should not take more than 20 minutes to complete. Due to time restraints of our own, we are asking that you return the completed questionnaire by Friday June 27, 2003. Please place the completed questionnaire in the stamped self addressed envelope provided and return it by Friday June 27, 2003.

All information gathered in the study will be held in confidence. Neither you nor your school will be identified by name. All questionnaires have been assigned a number for data collection purposes.

Thank you in advance for your willingness to participate. Without your input, the study could not be completed.

Sincerely,

Richard Littleton, Project Researcher

APPENDIX B

STAGES OF CONCERN DEFINITIONS

Stages of Concern Definitions

Stage 0 (awareness): There is little suggestion that the participant is involved with or concerned with ELL instruction.

Stage 1 (information): There are indications that the participant has a general awareness of ELL instruction. Also, there are suggestions that more information regarding ELL instruction is desired without high concern for self.

Stage 2 (personal): Participant concerns about ELL instruction regarding self are indicated. Concerns about demands of ELL instruction, inability to meet the demands, and how ELL instruction will impact their real or perceived role within the organizational structure are pointed out.

Stage 3 (management): Emphasis is on the effective use of ELL instruction within the available resources. Concerns are evident regarding time management, fiscal and material resources, and existing organizational structure.

Stage 4 (consequence): Attention is with the impact of ELL instruction on the students in the school. Issues of relevancy and changes needed to improve student success are evident.

Stage 5 (collaboration): Interest is on collaborating with colleagues regarding ELL instruction.

Stage 6 (refocusing): There are interests in identifying ways ELL instruction might benefit unrelated aspects of the school.

APPENDIX C
INTERVIEW GUIDE

Interview Guide

1. Tell me about your experiences with ELL instruction in this district or in other districts.
2. In your view, what is the principal's role in ELL instruction?
3. In your view, what is the principal's role in assuring that federal and state mandates are adhered to regarding ELL instruction?
4. Please describe your view of changes in ELL instruction in this school or other schools?
5. What has prepared you to be the instructional leader in the area of ELL instruction?
6. What do you consider as the five most difficult obstacles to administrators in the area of ELL instruction?

APPENDIX D
QUICK SCORING DEVICE

Participant Number

SoCQ Quick Scoring Device

| Raw score | Stage 0 | Stage 1 | Stage 2 | Stage 3 | Stage 4 | Stage 5 | Stage 6 |
|-----------|---------|---------|---------|---------|---------|---------|---------|
| 0 | 10 | 5 | 5 | 3 | 1 | 1 | 1 |
| 1 | 23 | 12 | 12 | 5 | 1 | 2 | 2 |
| 2 | 29 | 16 | 14 | 7 | 1 | 3 | 3 |
| 3 | 37 | 19 | 17 | 9 | 2 | 3 | 5 |
| 4 | 46 | 23 | 21 | 11 | 3 | 4 | 6 |
| 5 | 53 | 27 | 25 | 15 | 3 | 5 | 9 |
| 6 | 60 | 30 | 28 | 10 | 3 | 7 | 11 |
| 7 | 66 | 34 | 31 | 23 | 4 | 9 | 14 |
| 8 | 72 | 37 | 35 | 27 | 5 | 10 | 17 |
| 9 | 77 | 40 | 39 | 30 | 5 | 12 | 20 |
| 10 | 81 | 43 | 41 | 34 | 7 | 14 | 22 |
| 11 | 84 | 45 | 45 | 39 | 8 | 16 | 26 |
| 12 | 86 | 48 | 48 | 43 | 9 | 19 | 30 |
| 13 | 89 | 51 | 52 | 47 | 11 | 22 | 34 |
| 14 | 91 | 54 | 55 | 52 | 13 | 25 | 38 |
| 15 | 93 | 57 | 57 | 56 | 16 | 28 | 42 |
| 16 | 94 | 60 | 59 | 60 | 19 | 31 | 47 |
| 17 | 95 | 63 | 63 | 65 | 21 | 36 | 52 |
| 18 | 96 | 66 | 67 | 69 | 24 | 40 | 57 |
| 19 | 97 | 69 | 70 | 73 | 27 | 44 | 60 |
| 20 | 98 | 72 | 73 | 77 | 30 | 48 | 65 |
| 21 | 98 | 75 | 76 | 80 | 33 | 52 | 69 |
| 22 | 99 | 80 | 78 | 83 | 38 | 55 | 73 |
| 23 | 99 | 84 | 80 | 85 | 43 | 59 | 77 |
| 24 | 99 | 88 | 83 | 86 | 48 | 64 | 81 |
| 25 | 99 | 90 | 85 | 90 | 54 | 68 | 84 |
| 26 | 99 | 91 | 87 | 92 | 59 | 73 | 87 |
| 27 | 99 | 93 | 89 | 94 | 63 | 76 | 90 |
| 28 | 99 | 95 | 91 | 95 | 64 | 80 | 92 |
| 29 | 99 | 96 | 92 | 97 | 71 | 84 | 94 |
| 30 | 99 | 97 | 94 | 97 | 76 | 88 | 94 |
| 31 | 99 | 98 | 95 | 98 | 82 | 91 | 97 |
| 32 | 99 | 99 | 94 | 90 | 86 | 93 | 98 |
| 33 | 99 | 99 | 96 | 99 | 90 | 95 | 99 |
| 34 | 99 | 99 | 97 | 99 | 92 | 97 | 99 |
| 35 | 99 | 99 | 99 | 99 | 96 | 98 | 99 |

| 0 | 1 | 2 | 3 | 4 | 5 | 6 |
|----|----|----|----|----|----|----|
| 3 | 6 | 7 | 4 | 1 | 5 | 2 |
| 12 | 14 | 13 | 8 | 11 | 10 | 9 |
| 21 | 15 | 17 | 16 | 19 | 18 | 20 |
| 23 | 26 | 28 | 25 | 24 | 27 | 22 |
| 30 | 35 | 33 | 34 | 32 | 29 | 31 |

| 0 | 1 | 2 | 3 | 4 | 5 | 6 |
|---|---|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 | 5 | 6 |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 |

100%

90%

80%

70%

60%

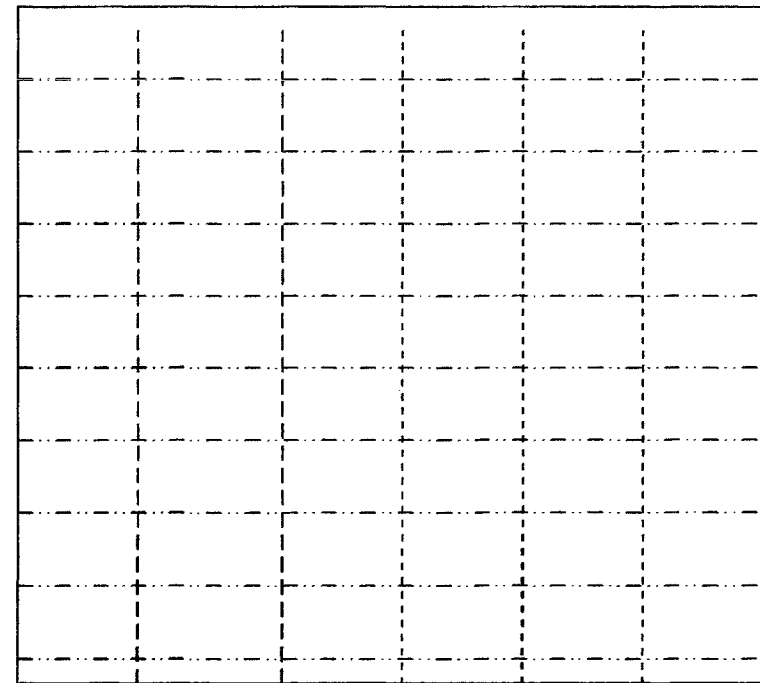
50%

40%

30%

20%

10%



0 1 2 3 4 5 6

Stage of Concern

APPENDIX E
INSTITUTIONAL REVIEW BOARD APPROVAL AND CONSENT FORM

Form 4: IRB Approval Form
Identification and Certification of Research
Projects Involving Human Subjects

The Institutional Review Board for Human Use (IRB) has an approved Multiple Project Assurance with the Department of Health and Human Services and is in compliance with 21 CFR Parts 50 and 56 and ICH GCP Guidelines. The Assurance became effective on January 1, 1999 and the approval period is for five years. The Assurance number is M-1149.

Principal Investigator: LITTLETON, RICHARD H

Co-Investigator(s):

Protocol Number: **X030505003**

Protocol Title: *Concerns of Principals Regarding English Language Learner Instruction*

The IRB reviewed and approved the above named project on 05/19/03. The review was conducted in accordance with UAB's Assurance of Compliance approved by the Department of Health and Human Services. This Project will be subject to Annual continuing review as provided in that Assurance.

This project received EXPEDITED review.

IRB Approval Date: 05/19/03

Date IRB Approval Issued: 05/19/03



Ferdinand Urthaler, M.D.
Chairman of the Institutional Review
Board for Human Use (IRB)

Investigators please note:

The IRB approved consent form used in the study must contain the IRB approval date and expiration date.

IRB approval is given for one year unless otherwise noted. For projects subject to annual review research activities may not continue past the one year anniversary of the IRB approval date.

Any modifications in the study methodology, protocol and/or consent form must be submitted for review and approval to the IRB prior to implementation.

Adverse Events and/or unanticipated risks to subjects or others at UAB or other participating institutions must be reported promptly to the IRB.

470 Administration Building
701 20th Street South
205.934.3789
Fax 205.934.1301
irb@uab.edu

The University of
Alabama at Birmingham
Mailing Address:
AB 470
1530 3RD AVE S
BIRMINGHAM AL 35294-0104

CONSENT FORM

Title of research: Concerns of principals regarding English language instruction

Investigator: Richard Littleton

Advisor: Dr. Boyd Rogan

Sponsor: None

Explanation of Procedures

You are being asked to participate in a research study to investigate concerns of principals regarding English language learner (ELL) instruction. For the purposes of the study, ELL is defined as a student whose primary language is not English. The study is being conducted in conjunction with the dissertation of the researcher pursuing a Doctor of Education degree from the University of Alabama at Birmingham.

If you decide to participate, you will be asked to complete a survey administered by the researcher, Richard Littleton. The survey contains statements regarding ELL Instruction. You will also be asked to provide demographic information useful to the study. Completion of the survey and the demographic section will require approximately 20 minutes. In addition, a minimum of six principals will be asked to participate in an in-depth one-on-one interview with the researcher, Richard Littleton, which will require approximately one-hour to complete. The interviews will be recorded on audio tape by the investigator, Richard Littleton. During the interview, you will be asked to discuss various issues pertinent to your experiences and viewpoints in administering ELL instruction. This recorded interview will be transcribed or summarized and you will be given the opportunity to review and edit the transcript or summary prior to publication. All recordings will be destroyed after the completion of the study.

**Page 1 of 3
4/26/03**

Participant Initials _____

Risks and Discomforts

If you agree to have your words quoted in the research, there is a risk that people reading this research may ascertain your identity. Every effort will be made to protect your confidentiality. There is no risk of loss of employment with the Shelby County School District because of your choice to participate or to not participate in this research.

Benefits

You will derive no direct benefit from participation in this study. However, your participation may yield valuable information and useful insight into ELL instruction.

Confidentiality

Surveys and interviews will be administered and data analyzed by the researcher, Richard Littleton. Completed surveys, interview transcriptions, and computer files will be stored in a secure location and access to the stored data will be limited on a need to know bases. A minimum of six principals will be interviewed for this study, and the resulting data used for a report, which if you agree, may include extensive use of quotations. Reporting of data will be kept confidential to the extent permitted by law. Your name will be changed in the transcription and no information that will identify you personally will be published. However, if you agree below to have your words in quotations used it may be possible that people reading the results of this research may be able to ascertain your identity. You will be given the opportunity to review and edit a transcript or summary of the interview before it is used in the report. For audit purposes, UAB's Institutional Review Board for Human Use (IRB) may review the data.

Do you give permission for direct quotations to be used? Please initial:
Yes ____ No ____

Withdrawal without Prejudice

You are free to withdraw your consent and to discontinue participation in this project at any time without prejudice. You may withdraw from this project by informing me in person, by telephone, or in writing.

Significant new findings

Any significant new findings that develop during the course of this study that may affect your willingness to continue in the research will be provided by Richard Littleton or his staff.

Cost for participation

There is no monetary cost for your participation in this project.

Payment for Participation in Research

There will be no monetary payment for your participation in this project.

Payment for Research Related Injuries

UAB has made no provision for monetary compensation in the event of injury resulting from the research. In the event of such injury, treatment will be provided but is not provided free of charge.

Questions

If you have questions about this research study, you may contact the investigator, Richard Littleton at (256) 245-1271 or the faculty advisor, Dr. Boyd Rogan at (205) 934-4892. If you have questions about your

APPENDIX F
SAMPLE INTERVIEW

Sample Interview

r- Tell me about your experiences in ELL instruction.

s- Generally speaking, I did not much experience in it until I became principal at XXXXXXXXX. We had some migrant students come in there. That was 7 or 8 years ago. At that time, Shelby County had a very weak ESL program. We did the best we could. When I went to XXXXXXXXXX, and experienced the growing Hispanic population in the XXXXXXXXX area, I hired a Spanish speaking aide who had an interest in ESL. She was already well known in the Hispanic community because she would help them with Christmas and she would help them with medical needs, filling out papers, whatever they needed. I hired her. At that time, Shelby County had one teacher for 32 schools. I was able to hire her because we had the funding to take those steps. Then when I left there and came to XXXXXXXXXX, Shelby County had hired Janet Smith as ESL supervisor. She has built a much more effective program. Now we have a classroom with computers and appropriate technology to help the children develop. I have been fortunate to have a Spanish-speaking staff member. During my career, the population that we dealt with has been the Hispanic population. We have not had much to deal with. My first year of teaching, 25 years ago, I was a first grade teacher. I had a child from Yugoslavia. I taught at XXXXXXXXX and I had a child from Yugoslavia and a child from Japan in my first class. Not much support up there in XXXXXXXXXX at the time. You did the best you could. A kind of shot in the dark thing. It's not a shot in the dark in Shelby County now. We have a program well staffed.

r- Would you say that your experiences have given you a good education in dealing with issues involving ESL?

s- I guess I've had as much exposure as any principal in this area. In some areas they have a very heavy and growing population. Around Lincoln, I imagine the Japanese speaking children are their concern. Here, it's the Hispanic. In some areas it might be Chinese or some other nationality. Basically my job was to make sure that we provided whatever support we could provide. When I went to XXXXXXXX, there was enough funding in the local program that I was able to hire that person. We were able to do things that other schools couldn't afford to do. When I was at XXXXXXXX, 51% free and reduced lunch, we didn't have additional monies for ELL. When I went to XXXXXXXX there was better funding. I try to surround myself [with those] who could benefit the program. Personal experience- I don't see this as different as solving any other problem. Children in need of Math remediation or children in need of reading remediation, the difference would be in knowing the law. When I was at a title I school, we had to know those laws too. I guess I've had maybe a little more experience than many principals have.

r- Would you say that anything you did in your undergraduate school or graduate work prepared you ...?

s- Absolutely not.

r- ... so basically, it's been experience with a few workshops thrown in?

s- Well, unless you could say that I was prepared in my undergraduate work or my graduate work in problem solving specifically directed toward ESL or ELL, no.

r- You mentioned a while ago that there are a lot of programs you have to be concerned about. Principals can't just be concerned about ELL instruction; they've got to be concerned about NCLB which is part of that, they've got to be concerned if the busses are getting out on time. There are so many things that are coming at a principal, so many things they have to do. Do you feel like those things are an impingement upon your ability to take care of the needs of ELLs?

s- I think that the demands being placed on principals today, and not only principals but teachers and staff, are great. This Fair Labor Standards Act and NCLB. In lot of this stuff, it seems to me that we have legislators instead of educators making these decisions. The paper work goes with it and the PEPE evaluation system. Frankly, I think that children today get in the way of principals doing their job as it is now defined and designed. Absolutely, not only is it an infringement on your ability to give proper attention and time to ELL but to any program within your school. It's just gotten where the time (is limited) for interaction with the individual child, whether it's black, white, Hispanic, the individual child. I didn't have the ability to get out and interact with them the way I wanted to. Of course I went from an xxxxxxxx school to a xxxxxxxx school my last assignment. Also, I went from a school that was about to be 600 children I went well my

first principalship was 350 kids. My second one was 1,050. Then that school split and it was going to be six hundred but before it split I was reassigned to XXXXXXXXXX School and went to a 1,010 and now it's about 1,140. Three years later, Shelby County is growing so fast. You just don't have time when our schools are growing this fast. It becomes more of a business. When I was at XXXXXXXX, I knew the kids, I knew their brothers, sisters. I knew their mommas, their daddies, their aunts, their uncles. I knew the connections between them. Now I have 1,040. I know those who give me reason to know them unless they fade into oblivion and that includes the ELL kids. Most of those were not discipline problems. Some were, but most of them were not. I didn't get to know that many of them on a personal level.

r- The next direction that I want to go in involves personnel. Do you feel that principals today are or should be concerned more about themselves and how the innovation, ELL instruction for instance, might affect them personally? Not necessarily just on the job, but with their family life, their social life, their health. Are these things that are coming at us in rapid fire likely to affect personnel?

s- Sure. Another reason was the time factor. I have a kid going into the ninth grade and I've spent more with other people's children than I have with my own child. Seven to seven shifts were pretty common. When you add in the choirs, and the bands, and the cheerleaders, and the fifteen sports programs that we were supporting at XXXXXXXXXX School, it got to where I was concerned about my health. I was concerned about my relationship with my son, my relationship with my wife, who is also a teacher. ELL is

just one of the many factors here. ELL didn't push it over the edge but a combination of those things. I hired the ELL teacher for this year back on July 3rd and she called Monday and said that that they wouldn't let her out of her contract in XXXXXXXXXX. It is almost a month later and they tell us that. That's a staffing concern. That's not really just ELL. That's just one of the many things. So do I think ELL has an effect in that it's one of the contributors, yes? Is it any more of a contributor than anything else? Absolutely not. As a matter of fact, it's a much smaller contributor than many of the things I have to deal with.

r- You've obviously had experience in several different schools. Did you sense with your faculty any sort of resentment? We're serving five percent of our student body with a great deal of resources and we're neglecting this 95% of our student body

s- I don't think that there was resentment as far as a draining of the resources. I think that sometimes there's more of a resentment toward the resources and the amount of time, money, and effort that goes into special education than there is in ESL. Up until just a couple of years ago, Shelby County didn't really have ESL. Any time you throw something new on the woodpile there'll be some resentment. I live with a teacher and I know that every now and then they're going to throw their hands up and say how much more do they think- that I can take it. I've got this kid who has a behavioral disorder. I've got this kid in a wheelchair. I've got this kid who has academic concerns and disabilities in the area of math, and this one in the area of reading, this one in all areas, and I have this one from the housing project who's a crack baby, and then all your regular kids get

lost. These are the 7 to 10% of your population that takes 70 to 80% of your time and your effort. An ELL is just a student who can't speak English. They're going to put him in my room. What am I supposed to do now? Your really dedicated teachers, which most of our teachers are, have worked hard since Janet Smith has provided resources to help them to learn a little Spanish. We've had Spanish for teachers so that we can connect with those children like that and most of them just look at them as children. They just happen to be from a different culture and speak a different language. I don't think there's any more resentment than there is in other areas for teachers. That's my opinion of the issue. If you go up to Xxxxxx Elementary, the population up there is huge, there may be more feeling up there than there has been down on this end of the county although the population is growing. I don't think there is any more resentment than teachers naturally feel when you tell them one more thing that they have to do, one more piece of paper. One more thing this year with the testing the SAT ten, we've included children that have never been included before and we're supposed to bring our scores up when we're throwing children in there. A child on a feeding tube. If he can he hold a pencil, he's going to take the test. When the papers report this, they don't necessarily say, "Just for your understanding here are the children. Here are some of the exceptionalities that have taken this test that will bring the scores down in any given area." It's just another one of those things. We're killing our teachers. ELL is no bigger or smaller than anything else to me

r- I have a couple more follow up questions. You've answered almost every thing. What drives the unfunded mandates like no child left behind, like full inclusion, like PEPE. Is it

some law that says that if you don't do it this is going to happen? Is it pressure from outside groups such as parents? What drives these mandates?

s- Legislators drive some of them. They're going to dangle these funding carrots in front of you and say alright here's what we've been giving you. Failure to comply with some of these mandates could also result in the loss of money. Well funding really stinks right now. Anyway, when you tie the funding to the economy how stupid are we? We're going to educate our kids if the economy does well. If it doesn't, then we're going to reduce the services we're going to give our children which in my opinion reduce the ability of future generations to keep the economy healthy. If they're not well trained, if they can't read, if they can't do math. What are we thinking? I think that's the biggest issue. It's funding and failure to comply that will result in withdrawal of some of that funding especially at the federal level.

r- Would Shelby County be where they are with ESL programs were it not for mandates? Would they have done it anyhow? Are they that progressive?

s- Yes. In Shelby County we do a lot of things. If you were to go over and interview Xxxx Xxxxx and see how much Shelby County funds locally for our students you'd be amazed. Education is not free and it's not cheap. So I don't know the numbers. I wouldn't even attempt to quote. You could go to our central and find that Shelby County goes way above and beyond what is mandated

r- You have some resources there obviously a lot of schools may not have. The schools that you were in, did you have resources on campus that you could draw from? For instance, if an ELL student, whose parents came in to your school to enroll, and neither the child nor the parents spoke English, did you have what you needed?

s- Well one, you would need someone to help you communicate with the parents.

r- Where would you get that?

s- You'd draw from local resources.

r- Did you have those?

s- Parents or other local resources, people within the community would help us. They would come in and sit in on registration and such. Shelby County did supply use of the Rosetta stone. I don't know if you are familiar with that computer program but there are several computer programs that can be used for remediation. What's good for remediation for one child may be good for enrichment for another child depending on age levels. At XXXXXXXXXXXX, being a title one school, we got funds. If you're poor enough it can be a benefit so we got these title funds. We were able to buy computers with them and the county bought the computers and gave them to us through title one grant money. We had a program called- I forget what the program was called right now but we would check it out to ELLs. Parents had to come in for a training session and we would give

them the training and check them out for two week periods and send them home.

Sometimes even poor schools, because they are poor, get the funds that can be used for the resources. We did it for remediation and found out that it was good for ELLs. We've always had resources in Shelby County but we haven't always had a defined mission, a well defined program for ELL. That changed a few years ago and it's been refined and gets better all the time. Our central administration is always been real very responsive to whatever challenge and this is just another challenge

r- We have two more. One, did you feel confident going into a teacher's classroom and being able to say, "I recognize that this teachers is providing effective English Language learning for this child?"

s- I've been in classrooms where teachers would have the Spanish name for the pencil sharpener, and for bookshelf, and for the garbage can. These things would be labeled so you were doing two things. When you're in elementary, you're not sure when you get these kids. It's a misconception for us to believe that because they come here from Mexico they can read their own language. That was not always a given but you show them in print and certainly you're going to immerse learners in print, in visuals, so you go into a classroom and all this stuff would be labeled in Spanish terms and below it would be the English terms. I tried to pick up some. It's hard to teach an old dog. I'm still working on English myself. You would run across teachers who could speak some Spanish and there would be the interaction but they weren't just dealing with ELL children. The English speaking children were picking up the Spanish which I think we

should be teaching Spanish in Elementary schools anyway. I don't why in our infinite wisdom- who are the most sponge like learners in our whole system? The little ones.

When I taught at XXXXXXXX, we had children who were hearing impaired. Three days a week, all the first grade teachers would get together. There were three units in first grade. We'd get together and do sign language to popular music of the time. We used the music to teach sign language so that our children could communicate with those children. I mean in essence they suffered from the same problems that our Hispanic children do, so it goes both ways, if you can turn the opportunity to help the Hispanic learner into something to help the English learner at the same time, that's great. There shouldn't really be if there are a lot of methods and things that we can do that are what's good for the goose is good for the gander too so to speak. Yea I saw it and it was recognizable and in middle school I go into classes now where I last time I had that stuff I was in the 9th grade so I don't really understand all that math the algebra you know how much I use algebra in my daily life so go into this class and I'm sitting there and I'm watching a teacher teach a subject that I don't really understand but you know what good teaching is good teaching it doesn't matter what the heck you're teaching so as far as the ELL children go, good teaching is good teaching. It doesn't matter what the native language of the child is if you can find some way to connect and some understanding.

r- Final question- what do principals need the most to be able to manage in today's academic environment?

s- Resources. Sometimes resources come in the shape of another person to help you through the program. An ELL teacher so that these kids can be pulled out of their language classes every day and they do language more appropriate to someone who is an emerging learner as far as the English language. I think it would be good in my opinion if educators got more control over the decisions that were made. I feel that a lot of our decisions and mandates are coming from legislators not educators and some of this no child left behind stuff is absurd. I'm a 25 year educator. I've been an assistant principal. I've been a principal. If I wanted to go back to the classroom tomorrow I'm not sure that I would even be considered highly qualified. I'm qualified to judge whether teachers are doing their job but I'm not qualified to teach myself. Once again, how stupid are we that we decide and make our system such that the absurdities are not just there but they're glaring, it doesn't make sense. We're so busy measuring and judging and being accountable we don't have time to teach anymore.

r- That concludes my questions. Do you have any questions that you'd like to ask me?

s- I don't have any questions.

END OF INTERVIEW

APPENDIX G
SAMPLE INTERVIEW ANALYSIS

Principal XXXXXX

This principal has limited experience with ELL instruction but many years in education. There is a feeling that his experience is more than most. The impact on the school is stressing resources especially in personnel but is no more an impact on the school as are the other mandates from the local, state, and federal levels. The respondent reports more than adequate support for ELL instruction from the central office and attributes most of the improvement to ESL central office person (mentions by name). Resources on site have been obtained through grants and are adequate. Preparation has been primarily through experience and workshops provided by the district. The principal also feels that many things a principal does get in the way of being the instructional leader and interacting with students as he would like.

A= Experiences with ELL instruction

B= Impact on the school

C= Support from District

D= Preparation

E= Resources on Site

F= personal role in ELL instruction

G= Miscellaneous

| A | B | C | D | E | F | G | Comment |
|---|---|---|---|---|---|---|---|
| x | | | | | | | Generally speaking, I never had much experience in it until I became principal at XXXXXXXX school. We had some migrant students come in there. That was 7-8 years ago. |
| x | | | | | | | At that time, Shelby County had a very weak ESL program. We did the best we could. |
| x | | | | | | | When I went to XXXXXXXX, and experienced the growing Hispanic population in the XXXXXXXX area, I hired a Spanish speaking aide who had a interest in this. She was already well known in the Hispanic community because she would help them with Christmas and she would help them with medical needs, filling out papers, whatever they needed. I hired her. |
| x | | | | | | | At that time, Shelby County had one teacher for 32 schools. I was able to because we had the funding to take those steps. |
| x | | | | | | | During my career, the population that we dealt with has been the Hispanic population. |
| x | | | | | | | We have not had much to deal with. My first year of teaching, 25 years ago, I was a first grade teacher. I had a child from XXXXXXXX. I taught at XXXXXX School and I had a child from XXXXXXXX and a child from XXXXXXXX in my first class. |
| x | | | | | | | I guess I've had as much exposure as any principal in this area. |
| x | | | | | | | Of course I went from an elementary school to a middle school my last assignment. Also, I went from a school that was about to be six hundred children I went well my first principalship was three hundred and fifty kids. My second one |

| | | | | | | | |
|---|---|--|--|--|--|--|--|
| | | | | | | | was a thousand and fifty. Then that school split and it was going to be six hundred but before it split I was reassigned to XXXXXXXXXX School and went to a thousand ten and now it's about eleven hundred and forty. |
| x | | | | | | | When I was at XXXXXXX, I knew the kids, I knew their brothers, sisters. I knew their mommas, their daddies, their aunts, their uncles. I knew the connections between them. Now I have eleven hundred forty kids. I know those who give me reason to know them unless they fade into oblivion and that includes the ELL kids. |
| x | | | | | | | Most of those were not discipline problems. Some were, but most of them were not. I didn't get to know that many of them on a personal level. |
| x | | | | | | | You would run across teachers who could speak some Spanish and there would be the interaction but they weren't just dealing with ELL children. |
| x | | | | | | | It doesn't matter what the native language of the child is if you can find some way to connect and some understanding. |
| x | | | | | | | Personal experience- I don't see this as different as solving any other problem. Children in need of Math remediation, children in need of reading remediation. The difference would be in knowing the law. When I was at a title I school, we had to know those laws to. I guess I've had maybe a little more experience than many principals have. |
| | x | | | | | | In some areas they have a very heavy and growing population. Around XXXXXXX, I imagine the Japanese speaking children are their concern. Here, it's the Hispanic. In some areas it might be Chinese or some other nationality. |
| | x | | | | | | Absolutely, not only is it an infringement on your ability to give proper attention and time to ELL but to any program within your school. |
| | x | | | | | | Three years later, Shelby County is growing so fast. You just don't have time when our schools are growing this fast. It becomes more of a business. |
| | x | | | | | | I hired the ELL teacher for this year back on July the third and she called Monday and said that that they wouldn't let her out of her contract in XXXXXXX. It is almost a month later and they tell us that. That's a staffing concern. That's not really just ELL. That's just one of the many things. |
| | x | | | | | | So do I think ELL has an effect in that it's one of the contributors, yes? Is it any more of a contributor than anything else? Absolutely not. As a matter of fact, it's a much smaller contributor than many of the things I have to deal with. |
| | x | | | | | | I don't think that there was resentment as far as a draining of the resources. I think that sometimes there's more of |

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| | | | | | | | resentment toward the resources and the amount of time and money and effort that goes into special education than there is in ESL. |
| | x | | | | | | Up until just a couple of years ago Shelby County didn't really have ESL. Any time you throw something new on the woodpile there'll be some resentment. I live with a teacher and I know that every now and then they're going to throw their hands up and say how much more do they think- that I can take it. |
| | x | | | | | | I've got this kid who has a behavioral disorder. I've got this kid in a wheelchair. I've got this kid who has academic concerns and disabilities in the area of math, and this one in the area of reading, this one in all areas, and I have this one from the housing project who's a crack baby, and then all your regular kids get lost. |
| | x | | | | | | These are the seven to ten percent of your population that takes seventy to eighty percent of your time and your effort. |
| | x | | | | | | An ELL is just a student who can't speak English. They're going to put him in my room. What am I supposed to do now? |
| | x | | | | | | I don't think there is any more resentment than teachers naturally feel when you tell them one more thing that they have to do, one more piece of paper. |
| | x | | | | | | One more thing this year with the testing the SAT ten we've included children that have never been included before and we're supposed to bring our scores up when we're throwing children in there. A child on a feeding tube. If he can he hold a pencil, he's going to take the test. When the papers report this, they don't necessarily say, "Just for your understanding here are the children. Here are some of the exceptionalities that have taken this test that will bring the scores down in any given area." It's just another one of those things. |
| | x | | | | | | We're killing our teachers. ELL is no bigger or smaller than anything else to me |
| | x | | | | | | The English speaking children were picking up the Spanish which I think we should be teaching Spanish in Elementary schools anyway. I don't why in our infinite wisdom- who are the most sponge like learners in our whole system? The little ones. |
| | x | | | | | | Failure to comply with some of these mandates could also result in the loss of money. Well funding really stinks right now. Anyway, when you tie the funding to the economy how stupid are we? We're going to educate our kids if the economy does well. If it doesn't, then we're going to reduce the services we're going to give our children which in my opinion reduce the ability of future generations to keep the economy healthy. If they're not well trained, if they can't |

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| | | | | | | read, if they can't do math. What are we thinking? I think that's the biggest issue. |
| | x | | | | | It's funding and failure to comply will result in withdrawal of some of that funding especially at the federal level. |
| | | x | | | | Then when I left there and came to Xxxxxx, Shelby County had hired Janet Smith as ESL supervisor and she has built a much more effective program. |
| | | x | | | | Your really dedicated teachers, which most of our teachers are, have worked hard since Janet Smith has provided resources to help them to learn a little Spanish. |
| | | x | | | | We've had Spanish for teachers so that we can connect with those children like that and most of them just look at them as children. They just happen to be from a different culture and speak a different language. |
| | | x | | | | Yes. In Shelby County we do a lot of things. If you were to go over and interview Jim Davis and see how much Shelby County funds locally for our students you'd be amazed. Education is not free and it's not cheap. |
| | | x | | | | So I don't know the numbers. I wouldn't even attempt to quote. You could go to our central and find that Shelby County goes way above and beyond what is mandated |
| | | x | | | | Shelby County did supply use of the Rosetta stone. I don't know if you are familiar with that computer program but there's several computer programs that can be used for remediation. What's good for remediation for one child may be good for enrichment for another child depending on age levels. |
| | | x | | | | We've always had resources in Shelby County but we haven't always had a defined mission, a well defined program for ELL. That changed a few years ago and it's been refined and gets better all the time. |
| | | x | | | | Our central administration is always been real very responsive to whatever challenge and this is just another challenge |
| | | | x | | | When I taught at Xxxxxx school, we had children who were hearing impaired. Three days a week, all the first grade teachers would get together. There were three units in first grade We'd get together and do sign language to popular music of the time. We used the music to teach sign language so that our children could communicate with those children. I mean in essence they suffered from the same problems that our Hispanic children do, so it goes both ways, if you can turn the opportunity to help the Hispanic learner into something to help the English learner at the same time, that's great. |
| | | | x | | | I'm qualified to judge whether teachers are doing their job but I'm not qualified to teach myself. Once again, how stupid are we that we decide and make our system such that the |

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| | | | | | | absurdities are not just there but they're glaring, it doesn't make sense. |
| | | | x | | | Not much support up there in Xxxxxxxx at the time. You did the best you could. A kind of shot in the dark thing. It's not a shot in the dark in Shelby County now. We have a program well staffed. |
| | | | x | | | Well, unless you could say that I was prepared in my undergraduate work or my graduate work in problem solving specifically directed toward ESL or ELL, no. |
| | | | | x | | Now we have a classroom with computers, appropriate technology to help the children develop. |
| | | | | x | | I have been fortunate there to have a Spanish speaking staff. |
| | | | | x | | When I went to Xxxxxxx, there was enough funding in the local program that I was able to hire that person. We were able to do things that other schools couldn't afford to do. |
| | | | | x | | When I was at Xxxxxxx, 51% free and reduced lunch, we didn't have additional monies for ELL. |
| | | | | x | | When I went to Xxxxxxxx there was better funding. |
| | | | | x | | I try to surround myself with people who could benefit the program. |
| | | | | x | | Well one, you would need someone to help you communicate with the parents. |
| | | | | x | | You'd draw from local resources. |
| | | | | x | | Parents or other local resources, people within the community, would help us. They would come in and sit in on registration and such. |
| | | | | x | | At Xxxxxxx School, being a title one school, we got funds. If you're poor enough it can be a benefit so we got these title funds. We were able to buy computers with them and the county bought the computers and gave them to us through title one grant money. We had a program called- I forget what the program was called right now but we would check it out to ELL students. Parents had to come in for a training session and we would give them the training and check them out for two week periods and send them home. |
| | | | | x | | Sometimes even poor schools, because they are poor, get the funds that can be used for the resources. We did it for remediation and found out that it was good for ELLs. |
| | | | | x | | [needs] Resources. Sometimes resources come in the shape of another person to help you through the program. An ELL teacher so that these kids can be pulled out of their language classes every day and they do language more appropriate to someone who is an emerging learner as far as the English language. |
| | | | | | x | I've been in classrooms where teachers would have the Spanish name for the pencil sharpener, and for bookshelf, and |

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| | | | | | | | for the garbage can. These things would be labeled so you were doing two things. |
| | | | | | x | | When you're in elementary, you're not sure when you get these kids. It's a misconception for us to believe that because they come here from Mexico they can read their own language. |
| | | | | | x | | That was not always a given but you show them in print and certainly you're going to immerse learners in print, in visuals, so you go into a classroom and all this stuff would be labeled in Spanish terms and below it would be the English terms. I tried to pick up some. It's hard to teach an old dog. I'm still working on English myself. |
| | | | | | x | | Yea I saw it and it was recognizable and in middle school I go into classes now where I last time I had that stuff I was in the ninth grade so I don't really understand all that math the algebra you know how much I use algebra in my daily life so go into this class and I'm sitting there and I'm watching a teacher teach a subject that I don't really understand but you know what good teaching is good teaching it doesn't matter what the heck you're teaching so as far as the ELL children go, good teaching is good teaching. |
| | | | | | x | | Basically my job was- I never taught an ELL class- my job was to make sure that whatever support we could provide. |
| | | | | | x | | Frankly, I think that children today get in the way of principals doing their job as it is now defined and designed. |
| | | | | | x | | It's just gotten where you know the interaction the time for interaction with the individual child whether it's black, white, Hispanic the individual child I didn't have the ability to get out and interact with them the way I wanted to. |
| | | | | | x | | When you add in the choirs, and the bands, and the cheerleaders, and the fifteen sports programs that we were supporting at XXXXXX School, it got to where I was concerned about my health. |
| | | | | | x | | I was concerned about my relationship with my son, my relationship with my wife, who is also a teacher. |
| | | | | | x | | ELL is just one of the many factors here. ELL didn't push it over the edge but a combination of those things. |
| | | | | | x | | I think it would be good in my opinion if educators got more control over the decisions that were made. |
| | | | | | x | | I think that the demands being placed on principals today and not only principals but teachers and staff, this Fair Labor Standards Act, NCLB. A lot of this stuff, it seems to me that we have legislators instead of educators making these decisions. |
| | | | | | x | | The paper work goes with it and the PEPE evaluation system. |
| | | | | | x | | Another reason was the time factor. I have a kid going into |

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| | | | | | | | the ninth grade and I've spent more with other people's children than I have with my own child. Seven to seven shifts were pretty common. |
| | | | | | | x | I don't think there's any more resentment than there is in other areas for teachers. That's my opinion of the issue. |
| | | | | | | x | If you go up to XXXXXX School, the population up there is huge, there may be more feeling up there than there has been down on this end of the county although the population is growing. |
| | | | | | | x | Legislators drive some of them [unfunded mandates]. They're going to dangle these funding carrots in front of you and say alright here's what we've been giving you. |
| | | | | | | x | There shouldn't really be if there are a lot of methods and things that we can do that are what's good for the goose is good for the gander too so to speak |
| | | | | | | x | I feel that a lot of our decisions and mandates are coming from legislators not educators and some of this no child left behind stuff is absurd. I'm a twenty five year educator. I've been an assistant principal. I've been a principal. If I wanted to go back to the classroom tomorrow I'm not sure that I would even be considered highly qualified. |
| | | | | | | x | We're so busy measuring and judging and being accountable we don't have time to teach anymore. |

APPENDIX H
STAGES OF CONCERN QUESTIONNAIRE SCORING MATRIX

SoCQ Scoring Matrix

| Raw score | Stage 0 | Stage 1 | Stage 2 | Stage 3 | Stage 4 | Stage 5 | Stage 6 |
|-----------|---------|---------|---------|---------|---------|---------|---------|
| 0 | 10 | 5 | 5 | 3 | 1 | 1 | 1 |
| 1 | 23 | 12 | 12 | 5 | 1 | 2 | 2 |
| 2 | 29 | 16 | 14 | 7 | 1 | 3 | 3 |
| 3 | 37 | 19 | 17 | 9 | 2 | 3 | 5 |
| 4 | 46 | 23 | 21 | 11 | 3 | 4 | 6 |
| 5 | 53 | 27 | 25 | 15 | 3 | 5 | 9 |
| 6 | 60 | 30 | 28 | 10 | 3 | 7 | 11 |
| 7 | 66 | 34 | 31 | 23 | 4 | 9 | 14 |
| 8 | 72 | 37 | 35 | 27 | 5 | 10 | 17 |
| 9 | 77 | 40 | 39 | 30 | 5 | 12 | 20 |
| 10 | 81 | 43 | 41 | 34 | 7 | 14 | 22 |
| 11 | 84 | 45 | 45 | 39 | 8 | 16 | 26 |
| 12 | 86 | 48 | 48 | 43 | 9 | 19 | 30 |
| 13 | 89 | 51 | 52 | 47 | 11 | 22 | 34 |
| 14 | 91 | 54 | 55 | 52 | 13 | 25 | 38 |
| 15 | 93 | 57 | 57 | 56 | 16 | 28 | 42 |
| 16 | 94 | 60 | 59 | 60 | 19 | 31 | 47 |
| 17 | 95 | 63 | 63 | 65 | 21 | 36 | 52 |
| 18 | 96 | 66 | 67 | 69 | 24 | 40 | 57 |
| 19 | 97 | 69 | 70 | 73 | 27 | 44 | 60 |
| 20 | 98 | 72 | 73 | 77 | 30 | 48 | 65 |
| 21 | 98 | 75 | 76 | 80 | 33 | 52 | 69 |
| 22 | 99 | 80 | 78 | 83 | 38 | 55 | 73 |
| 23 | 99 | 84 | 80 | 85 | 43 | 59 | 77 |
| 24 | 99 | 88 | 83 | 86 | 48 | 64 | 81 |
| 25 | 99 | 90 | 85 | 90 | 54 | 68 | 84 |
| 26 | 99 | 91 | 87 | 92 | 59 | 73 | 87 |
| 27 | 99 | 93 | 89 | 94 | 63 | 76 | 90 |
| 28 | 99 | 95 | 91 | 95 | 64 | 80 | 92 |
| 29 | 99 | 96 | 92 | 97 | 71 | 84 | 94 |
| 30 | 99 | 97 | 94 | 97 | 76 | 88 | 94 |
| 31 | 99 | 98 | 95 | 98 | 82 | 91 | 97 |
| 32 | 99 | 99 | 94 | 90 | 86 | 93 | 98 |
| 33 | 99 | 99 | 96 | 99 | 90 | 95 | 99 |
| 34 | 99 | 99 | 97 | 99 | 92 | 97 | 99 |
| 35 | 99 | 99 | 99 | 99 | 96 | 98 | 99 |

APPENDIX I
LIST OF INDIVIDUAL STAGE PERCENTILE SCORES

List of Individual stage percentile scores.

| Stage of Concern Percentile Scores | | | | | | | | |
|------------------------------------|----|----|----|----|----|----|----|-----------|
| Participant Number | 0 | 1 | 2 | 3 | 4 | 5 | 6 | Mean |
| 01059 | 66 | 66 | 45 | 80 | 8 | 44 | 34 | 49 |
| 02059 | 89 | 80 | 72 | 65 | 33 | 59 | 47 | 64 |
| 07059 | 89 | 43 | 31 | 39 | 7 | 40 | 34 | 40 |
| 08059 | 72 | 60 | 76 | 34 | 54 | 95 | 65 | 65 |
| 09059 | 91 | 37 | 31 | 7 | 9 | 35 | 34 | 35 |
| 11059 | 95 | 97 | 95 | 97 | 66 | 76 | 52 | 83 |
| 12059 | 99 | 34 | 5 | 73 | 4 | 1 | 1 | 31 |
| 14059 | 77 | 91 | 70 | 73 | 30 | 76 | 38 | 65 |
| 16059 | 84 | 80 | 67 | 34 | 14 | 52 | 42 | 53 |
| 18059 | 53 | 66 | 57 | 47 | 38 | 64 | 84 | 58 |
| 19059 | 89 | 72 | 85 | 69 | 48 | 76 | 73 | 73 |
| 20059 | 72 | 72 | 76 | 47 | 76 | 91 | 38 | 67 |
| 21059 | 84 | 95 | 55 | 69 | 59 | 55 | 90 | 72 |
| 22059 | 86 | 69 | 70 | 71 | 30 | 36 | 26 | 55 |
| 23059 | 72 | 95 | 91 | 34 | 48 | 93 | 65 | 71 |
| 25059 | 94 | 80 | 92 | 88 | 24 | 59 | 87 | 75 |
| 26059 | 96 | 75 | 80 | 65 | 30 | 52 | 65 | 66 |
| 27059 | 95 | 93 | 80 | 88 | 19 | 63 | 52 | 70 |
| 30059 | 72 | 60 | 52 | 23 | 9 | 28 | 17 | 37 |
| 32059 | 89 | 84 | 67 | 85 | 63 | 91 | 87 | 81 |
| 33059 | 89 | 84 | 76 | 47 | 33 | 68 | 47 | 63 |
| 34059 | 93 | 63 | 57 | 71 | 13 | 22 | 47 | 52 |
| 35059 | 46 | 19 | 14 | 2 | 9 | 68 | 47 | 29 |
| Mean | 82 | 70 | 63 | 57 | 32 | 58 | 51 | 59 |
| Number of individuals | 13 | 4 | 0 | 2 | 0 | 4 | 1 | Total 24* |

*Participant 11059 scored identical at stage 1 and stage 3

**GRADUATE SCHOOL
UNIVERSITY OF ALABAMA AT BIRMINGHAM
DISSERTATION APPROVAL FORM
DOCTOR OF EDUCATION**

Name of Candidate Richard Herman Littleton

Graduate Program Educational Leadership

Title of Dissertation Concerns of Principals Regarding English Language

Learner Instruction

I certify that I have read this document and examined the student regarding its content. In my opinion, this dissertation conforms to acceptable standards of scholarly presentation and is adequate in scope and quality, and the attainments of this student are such that he may be recommended for the degree of Doctor of Education.

Dissertation Committee:

| Name | Signature |
|--------------------------------------|------------------------|
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Date 2/17/04