AN EXAMINATION OF PRINCIPAL SHORTAGES IN FLORIDA SCHOOL DISTRICTS: IMPLICATIONS FOR SUCCESSION PLANNING FOR PRINCIPAL REPLACEMENT

By

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To aspiring principals and those who inspire them to become educational leaders.
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This study explored the shortage of well-qualified principals and succession planning policies developed by Florida School Districts. The sample consisted of 15 small districts (less than 10,000 students), 13 medium size districts (between 10,000 and 50,000 students), and 8 large districts (more than 50,000 students). Survey data were collected regarding shortages of well-qualified principals. Chi-square and independent t-tests were used to determine significance.

Findings include: (a) Florida school districts, regardless of size, are experiencing shortages of well-qualified principal candidates; (b) school districts with succession planning policies in place experienced fewer shortages of well-qualified principal candidates; and (c) districts that have comprehensive succession plans for recruiting, hiring and training new and aspiring principals experienced fewer shortages. Other conclusions indicated that finding well-qualified female applicants for vacant principal positions was not an issue, and succession planning policies do not assure adequate numbers of well-qualified minority applicants for vacant principal positions. Districts reported these barriers to employment of well-qualified principals: insufficient salary, stress, testing/accountability, increased time commitment, and lack of interest by teachers.
To determine the meaning of the term “well-qualified” as it applied to candidates for vacant principal positions, an interview survey protocol was administered to six selected school districts: two small, two medium and two large. Responses were compared to the 10 Florida Leadership Standards. The meaning of “well-qualified” varied from district to district; they desire principals whose qualifications exceed the 10 Florida Principal Leadership Standards.

A well-designed succession plan may assist school districts in recruiting, hiring, and training well-qualified principals. Eighteen (18) research based succession plan components were recommended.
CHAPTER 1
INTRODUCTION

In the field of public education, accountability for student achievement marks the beginning of the twenty-first century (Barker, 2003; Educational Research Service, 2003; Tucker & Codding, 2002). The impact of the No Child Left Behind Act of 2001 (NCLB) requires that “all children are educated to their full potential” (Educational Research Service, 2003). For that reason, school districts must insure that their students produce work that is of high quality. The principal is central in determining the quality of education that a student will receive at a school (Educational Research Service, 2003; Schlechty, 1997).

The No Child Left Behind Act has a huge impact on the principal as articulated in The K-12 Principals Guide to No Child Left Behind:

. . . the wording of NCLB makes it very clear that the legislation sees the role of the principal expanded in very specific ways. For example, NCLB adds substantially to the principal’s responsibilities and accountability for student achievement, staff quality, the quality and legitimacy of the school’s curriculum and instruction, and so forth. Moreover, the positive and negative consequences of this new accountability and these new responsibilities are most dramatically felt at the school level. Failure to show “adequate yearly progress” in student achievement can result in a school being reconstituted—essentially re-staffed. On a more positive note, those schools that succeed in showing this adequate yearly progress become eligible for “academic achievement awards.” (Educational Research Service, 2003, p. 2)

Marzano (2003) stated that leadership of the school principal is the most crucial aspect of effective school reform. Effective school research supports the correlation of effective schools with strong leadership (Brookover, Beamer, & Efthim, 1982; Daresh, 1986; Edmonds, 1981). Barth (2001) pointed out that a principal has an extraordinary influence on the quality of a school. In a 1998 study, Doud and Keller (1998) reported that 2 of every 3 principals questioned about the ability of public education to attract quality people to the principalship expressed concern that “education does not appear to be attracting such candidates . . . .” (p. 118).
Statement of the Problem

Anticipated Shortages of Well-Qualified Principals

It is imperative that districts desiring high quality student work hire quality leaders as school administrators. However, available statistics indicate a shortage of school principals throughout the first decade of the twenty-first century (Educational Research Service, 1999; Institute for Educational Leadership, 2000). Potter (2001) reported that 40% of our country’s 93,200 principals are nearing retirement age. He foresees that the number of eligible candidates will diminish. Snyder (2002) provided statistics from the U. S. Department of Education’s National Center for Education Statistics (NCES) which reflect responses of 10,000 public school principals in 1999-2000. Information gathered from the survey concluded that there are a large proportion of principals nearing retirement age. From 1988 to 1998 the principal turnover rate was 42%. Forecast for the next 10 years is at least a 40% turnover rate, with the mean age of retirement at 57 (Doud & Keller, 1998). Fenwick and Pierce (2001) believed that there would be an increase from 10-20% in the need for school principals through 2004.

Doud and Keller (1998) expressed concern about recruitment and selection challenges, nationwide. Throughout the United States shortages of well-qualified applicants for the position of school principals are common. School districts reporting impending shortages of quality applicants include: New York and Colorado (Education Writers Association, 2001); Albuquerque, NM (Weingartner, 2001); Nevada, Connecticut, Minnesota (Kennedy, 2001); California (Orozco & Oliver, 2001); and Orange County, FL (Orange County Public Schools, 2003).

School Principal Succession Planning

To insure the best possible candidates to lead schools, adequate recruiting, hiring, preparation and training must take place. In the business world such practices are found in formal
succession plans. William Rothwell (as cited in Eastman, 1995) defined succession planning as, “any effort designed to ensure the continued effective performance of an organization, division, department, or work group by making provision for the development and replacement of key people over time” (p. 1). Hirsh (2000) suggested that succession planning is a process for identifying people for key positions and career moves and includes development activities for successors.

Schein (1978) suggested that organizations have plans for replacement which may include a centralized data collection system listing career histories, skill areas and appraisals of employees and a system requiring managers to train their own replacements. Replacement planning overlaps with planning for staffing and depends on various kinds of information: human resource inventorying, replacement training, job/role planning and analysis; and a selection, development, or recruitment plan.

The organization must 1) set about to select the candidates who are seen to have the requisite skills 2) launch the right development plans to have candidates ready when the jobs open up and 3) plan to do whatever internal or external recruiting is necessary to generate qualified candidates. (p. 241)

Leadership succession planning is relatively new in the field of education research (Normore, 2001). Hart (1993) stated, “Managerial succession research originally was founded on the belief that leaders make a difference in organizations and that managers can exercise leadership” (p. 43). She also pointed out that research findings on succession are varied and limited in their results. Determining the importance of succession planning or succession management and its impact on leadership, change, and the culture of an organization over time has been inconclusive (Gordon & Rosen, 1981). These authors divided succession planning into three stages: presuccession, succession and postsuccession. They asserted that presuccession begins with the anticipation of a change in managers and ends in post succession, when the
organization has adjusted to the new manager. Miklos (1988) contended that members of educational organizations become administrators by passing through several processes: recruitment and selection; career patterns; succession; and socialization.

Barth (2001) identified four questions that have implications for succession planning:

1) How do you identify, from many candidates, those likely to become outstanding principals? 2) How do you get these individuals to choose to become principals? 3) Once the aspiring principals have been identified and recruited, how do you prepare them for the crucial—and overwhelming—job they will assume? 4) How do you sustain and extend their learning once they become practicing principals? (p. 119)

An awareness of the need to prepare for huge numbers of vacancies in school administrative positions has prompted educational researchers and practitioners to make a number of suggestions regarding succession planning and insure quality when replacing principals. Both short and long term solutions have been suggested by researchers.

Short term solutions suggested by Potter (2001) included: hire recently retired principals; hire assistant principals who aspire to be principals; keep good principals on the job; reconsider early retirement options to make longer service more attractive; provide monetary incentives for principals; recruit candidates from local universities; consider candidates outside of education.

Long term initiatives recommended by researchers include: programs within districts to recruit talented teachers to develop and utilize leadership skills; collaboration between local school districts and universities (Doud & Keller, 1998; Fenwick & Pierce, 2001); collaboration between and among local districts and state principals’ associations; state legislative support for district and university principal preparation (Doud & Keller, 1998); recruitment and hiring of minority faculty at the university level who in turn will attract minority graduate students into educational leadership programs; diversity and sensitivity training for personnel responsible for hiring and recruitment; and examination of shared leadership models (Fenwick & Pierce, 2001).
Successful school district succession planning components which exist throughout the United States include examples of “grow-your-own” models; initiatives designed to familiarize outstanding teachers, having leadership ability, with the principalship; and mentoring programs for aspiring and new principals. Extra Support for Principals (ESP) is a collaborative effort between the University of South Alabama and Mobile County Public School District (Potter, 2001), which strengthens training for aspiring school leaders.

Local school districts have initiated specific programs designed to familiarize educators with responsibilities of site-based administration. Such programs include AIM (Acquisition, Initiatives, Motivation) and Preparing New Principals Program (PNPP) in Orange County, Florida. Components of the PNPP are: leadership development, assistant principal pool, potential administrators training, and preparing new principals program (Orange County Public Schools, 2000). Another example is Teaching Assistant Principal (TAP) model, developed in Capistrano Unified School District, located in rapidly expanding Orange County, California (Lovely, 2004).

In 1994, a group of elementary through high school principals in Albuquerque, New Mexico formed a steering committee to address a lack of interested and qualified applicants for school principal vacancies. As a result Extra Support for Principals (ESP) was developed and proved to be a successful mentoring program and an incentive to nearly 110 principals to remain on the job (Weingartner, 2001).

Other innovative programs that emphasize leadership training include New Leaders for New Schools, the Knowledge is Power Program (KIPP), and the Broad Residency in Urban Education. These programs provide training for people from a variety of experiences and backgrounds to take on school leadership roles. (Thomas B. Fordham Institute, & The Broad Foundation, 2003).
Presuccession is considered the recruitment stage in which people have little knowledge about an organization they desire to join. They also have little information about what is expected of them, what they can expect to gain and what they need to offer a new organization (Wanous, 1976). Hart (1993) cautioned that interaction of factors in the stage framework plays an important part in how successful the manager is at effectively taking charge in an organization.

To provide a framework for recruitment, development and retention of school administrators, standards have been developed in some states. Florida’s 10 Principal Leadership Standards (Florida Department of Education, 2005b) are organized under three categories in the following manner:

- **Instructional Leadership**
  - Instructional Leadership
  - Managing the Learning Environment
  - Learning, Accountability, and Assessment
- **Operational Leadership**
  - Decision Making Strategies
  - Technology
  - Human Resource Development
  - Ethical Leadership
- **School Leadership**
  - Vision
  - Community and Stakeholder Partnerships
  - Diversity

**Purpose of the Study**

The purpose of this study was to explore the shortage of well-qualified principals and succession planning policies developed by Florida School Districts and to determine whether or not the presence of such plans had an impact on the number of available well-qualified candidates for vacant principal positions. Specifically, this study addressed the following research questions.
Research Questions

1. Is there a relationship between a shortage of well-qualified candidates for principal vacancies and the size of the school district?

2. Is there a relationship between the shortage of well-qualified candidates for principal vacancies and the presence of written succession planning policies?

3. Is there a relationship between the shortage of well-qualified female candidates for principal vacancies and the presence of written succession planning policies?

4. Is there a relationship between the shortage of well-qualified minority candidates for principal vacancies and the presence of written succession planning policies?

5. Do perceived barriers to having well-qualified candidates for principal vacancies differ between districts experiencing principal shortages and those districts which are not experiencing principal shortages?

6. Is there a relationship between the degree to which districts encourage the development of aspiring principals and the shortage of well-qualified principal candidates?

Significance of the Study

The No Child Left Behind Act of 2001 has increased the accountability of school principals, necessitating that only highly qualified people occupy the position of principal. Succession planning in school districts must be carefully designed to prepare aspiring principals to meet the tough demands of the principalship. Insights from this study may enable districts and universities to determine the components that are most critical to the recruitment, training and development of principal candidates.

Glossary of Terms

For the purpose of this study, the following definitions were used. These definitions may have differing meanings in other research studies and other situations.

Aspiring principal/principal candidate is a person who occupies a position of assistant principal or is in the assistant principal pool and is preparing for the role of principal of an elementary, middle, or high school.
**Induction programs** are professional socialization activities designed to provide new and aspiring principals with training by which they acquire the values, norms, attitudes, knowledge, skills and techniques needed to adequately perform their duties (Hart, 1993).

**Mentoring programs** are formal programs consisting of persons who act as guides or role models for new and aspiring principals, listening, offering guidance, advice and direction.

**Minority candidate** is an African-American or Hispanic aspiring principal candidate.

**Preparation programs** are formal professional learning activities in which an aspiring principal must participate to become a principal.

**Pre-succession** is the time period prior to an aspiring principal occupying a principal position.

**Principal** is the head of the school—elementary, middle, and high. “A person assigned responsibility for administrative direction and instructional leadership and supervision at an individual school…. This does not include persons assigned these responsibilities in the role of assistant, intern, or interim principal” (Administrative Rule: 6A-4.0081 Florida School Principal Certification, 1988).

**Recruitment** is the activity associated with successfully attracting people to apply for the assistant principal pool and for assistant principal and principal positions.

**Selection** is the process by which a person is chosen to occupy a position in the assistant principal pool. Selection is also the process by which a person in the pool is chosen for an assistant principal position and by which an assistant principal is chosen for a principal position.

**Socialization** is the active participation in professional learning by which the individual acquires the skills, attitudes and group norms and values to be successful in the role of a principal (Crow & Matthews, 1998).
**Succession planning policies** are put in place by a school district to find the best possible people to fill vacancies as school administrators. Succession planning includes recruitment, selection, preparation and socialization of aspiring principals.

**Support** includes emotional and physical support, providing appropriate staff development and other resources.

**Well-qualified principal candidates** are those having entry level characteristics found in 10 Florida Principal Leadership Standards: instructional leadership; managing the learning environment; learning, accountability and assessment; decision making strategies; technology; human resource development; ethical leadership; vision; community and stakeholder partnerships; and diversity (Florida Department of Education, 2005b).

**Delimitations**

This study focused on succession planning policies of a sample of 36 Florida school districts. Data were gathered from sources at the district level of each district to determine the extent of succession planning for that district. The study examined shortages of well-qualified principal candidates, including perceived reasons for principal shortages and shortages of well-qualified women and minority candidates. Characteristics of well-qualified principal candidates were explored. The study was conducted between June and September, 2006. The findings are not generalizable to school districts in other states.

**Limitations**

An assumption was made that Florida superintendents or other district level respondents accurately reported the information regarding the presence of principal shortages in their respective districts. Responses regarding perceived reasons for shortages in the principalship were subjective in nature. An assumption was made that respondents were honest in their responses.
Organization of the Study

This chapter detailed the purpose of the study, research questions, definitions, limitations and delimitations of the study. Chapter 2 presents a review of current succession planning literature including principal selection, recruitment, preparation and socialization, as well as business succession planning models. Chapter 2 also examines current research on principal shortages. A description of the methodology and procedures used by the researcher to respond to the research questions is explained in Chapter 3. Chapter 4 contains a description of selected districts’ succession planning policies and data related to shortages of well-qualified principal candidates, as well as characteristics of well-qualified principal candidates; results of data collection are analyzed and findings are summarized. Conclusions and recommendations for further research are provided in Chapter 5.
CHAPTER 2
REVIEW OF THE LITERATURE

Accountability

Reauthorization of Elementary and Secondary Education Act (ESEA) of 1994 as the No Child Left Behind Act (NCLB) of 2001 focuses on accountability aspects of student achievement. Principals play a crucial role to insure that students in their schools demonstrate improved performance on standardized tests (Barker, 2003). Intense scrutiny of test scores “by teacher, by grade level, by school, by district, by state and by nation” (Barth, 2001, p. 92) heightens the emphasis placed on accountability. Elmore and Burney (1999) pointed out that our present accountability movement indicates a shift from accountability for resources to accountability for student outcomes. Kelly (1999) cited recent evidence confirming that there are inadequate technologies, a lack in system capacity and tricky incentive structures in the current system of accountability. She stated,

In short, improving student achievement using accountability within the current context might be likened to trying to build a Stradivarius violin with a sledge hammer, a chisel, and a number of apprentice technicians who disagree on how to proceed. The desired outcome—significant improvement in student achievement—may be unattainable using available tools, resources, and system capacity. (p. 642)

Principals are being held accountable for providing effective leadership towards achieving the 90% reading goal on which that portion of the NCLB is based (Fielding, Kerr, & Rosier 1998). The Institute for Educational Leadership (2000) stated that leadership for student learning is the bottom line for everything a principal does, including “establishing a vision, setting goals, managing staff, rallying the community, creating effective learning environments, building support systems for students, guiding instruction . . . .” (p. 4). The Law Association of the Bar of the City of New York (2002) asserted that the School Governance Reform Act emphasizes the principal’s importance in bringing about school reform and higher standards. Principals are held
accountable for decision-making and meeting high performance standards. Tucker and Codding (2002) argued that while the public is insisting that academic performance improve, a principal must be given authority “commensurate with her responsibility and accountability” (p. 7). Further, they asserted, “It is absolutely unreasonable to hold the principal accountable for student performance when that person has little or none of the authority needed to get the job done” (p. 7). Gerald Tirozzi, executive director of the National Association of Secondary School Principals (NASSP) affirms the paradox at the high school level, where he states that principals face greater accountability but have been stripped of authority and autonomy (Stricherz, 2001).

Leithwood (2001) identified four approaches to accountability by school leaders: market, decentralization, professional and managerial. Market accountability relates to the increased competition for students which schools face. Decentralization adds the voices of teachers, parents and community members to those of administrators in making decisions regarding curriculum, facilities, budget and personnel. In this model parents often dominate school councils and have close working relationships with the principal. Professional accountability is the belief that professional practice, found in site-based decision making, as well as instructional practices of teachers and school leaders, directly impact student outcomes. Professional learning communities are the result of this approach to accountability. The managerial approach assumes that schools are basically doing a good job, but that strategic planning including a goals approach will improve the efficiency and effectiveness of schools.

Elmore (2000) contended that the work of administrative leaders should be to improve the skills and knowledge of those in the organization and to hold them accountable for the end result. Hallinger and Heck (1998) reviewed research from 1980 to 1995 on the principal’s role in school effectiveness. They found that principals had an indirect and measurable impact on school
effectiveness and student achievement, characterized by intervening variables such as teachers and the classroom.

Similarly, in an effort to foster high academic achievement, New Leaders for New Schools (2005) was founded to attract, prepare and support outstanding leaders for urban public schools. Their research found that after three or more years of principalship, New Leaders were responsible for impressive gains in reading and math achievement.

Another aspect of accountability affecting the principal is in regard to incentives for teachers (Duke, 1996). Managing proposed incentives, as well as designating which employees deserve rewards, will be the work of principals in the era of high-stakes standardized testing (Gerstner, 1994; Marshall & Tucker, 1992).

Duke (1996) stressed that implications of accountability for the principal are considerable. He cited the responsibilities of dealing with school mission, standards, goals and outcomes as time consuming, causing a principal to take time away from supervision and evaluation. Duke saw a shift in emphasis from instructional leadership to a focus on assessment leadership, with the principal zeroing in on student achievement.

Kelley and Peterson (2002) indicated that in states where high stakes testing has increased accountability of the school principal, instructional leadership of the principal is demanded. As an instructional leader, the principal must have the ability to analyze data, apply innovative instructional technologies, focus on school improvement, develop on-going programmatic reforms and follow through on the implementation of those reforms.

Additional tasks related to accountability include developing clearly stated mission and goals and responding to a diverse community of stakeholders. It is highly evident in evaluating these responsibilities that preparation programs must be devoted to addressing the skills,
knowledge and experiences needed by principals to meet the accountability standards demanded of them.

**Well-Qualified Principals**

Kelley and Peterson (2002) state,

Research on the role of principals in effective schools, school improvement, restructuring, instructional improvement, and standards-based reform all support a need for well-prepared leaders. Recent research on implementing reforms demonstrates the central role of principals and other leaders to successful change. Principals are key to initiating, implementing, and sustaining high-quality schools. (pp. 252-253)

There is a large body of work related to the role of the school principal in leading schools to become more effective and promoting reform and school improvement efforts, (Elmore & Burney, 1997; Ford & Bennett, 1994; Fullan, 1997; Hallinger & Heck, 1996; Kelley, 1998; Lezotte, 1997; Louis & Marks, 1998; Murphy & Louis, 1994). Kelley and Peterson (2002) pointed out that schools that are academically effective have effective principals.

It is important to understand the attributes that make up a well-qualified principal. A good principal knows that teaching and learning are the primary responsibilities of a school (Barth, 1990; Hill, 2002; Marsh, 2000; McLaughlin & Talbert, 2001); clearly communicates the school’s mission and goals to all stakeholders (DuFour & Eaker, 1998); promotes high standards that are attainable and monitors progress (Tucker & Coddington, 1998); is visible and a good listener (Murphy, 2000); promotes a climate of trust and cooperation (Kelley, 1980; Whitaker, Whitaker, & and Lumpa, 2000); fosters professional growth (Barth, 1990; Doud & Keller, 1998; McLaughlin & Talbert, 2001); promotes and monitors high standards for student achievement (Deal & Peterson, 1994; Doud & Keller, 1998; Fullan, 2001); promotes interpersonal cooperation, confronts problem employees (Doud & Keller, 1998; Dyer, 2001); manages change, exhibits strong leadership skills (Deal & Peterson, 1994; Dyer, 2001; Senge, 1990); identifies and solves problems (Hallinger, Leithwood, & Murphy, 1993); communicates a highly
developed set of values (Sergiovanni, 1991)); promotes the structural frameworks of the school and shapes school culture (Deal & Peterson, 1994; Fullan, 1993).

Newman, King and Youngs (2000) contended that school capacity is the key to success and they outlined five important characteristics including teachers’ abilities; professional communities; coherent programs; technical resources and principal leadership. Fullan (2001) suggested that quality leadership is the one characteristic of school capacity that is imperative for success to take place because it brings the other four qualities together into a cohesive whole. Elmore (2000) is in agreement:

The job of administrative leaders is primarily about enhancing the skills and knowledge of people in the organization, creating a common culture of expectations around the use of those skills and knowledge, holding the various pieces of the organization together in a productive relationship with each other, and holding individuals accountable for their contributions to the collective result (p. 15).

Defining six standards for what principals should know and be able to do, the National Association of Elementary School Principals (2002) maintains that quality leaders:

- Lead schools in a way that places student and adult learning at the center.
- Set high expectations and standards for the academic and social development of all students and the performance of adults.
- Demand content and instruction that ensure student achievement of agreed-upon academic standards.
- Create a culture of continuous learning for adults tied to student learning and other school goals.
- Use multiple sources of data as diagnostic tools to assess, identify and apply instructional improvement.
- Actively engage the community to create shared responsibility for student and school success. (p. 2)

The Interstate School Leaders Licensure Consortium (ISLLC) developed six standards for principals focused on student learning, that were adopted by 24 states during the 1990s (Council
of State School Officers, 1996). These standards formed the basis of preparation programs throughout the United States (Rallis & Goldring, 2000).

Standards for school principals have recently been developed in Florida to replace 19 principal competencies in place since 1985. Principals can be assessed on 10 key indicators in three categories:

**Instructional Leadership**

*Instructional Leadership*—High Performing Leaders promote a positive learning culture, provide an effective instructional program, and apply best practices to student learning, especially in the area of reading and other foundational skills.

*Managing the Learning Environment*—High Performing Leaders manage the organization, operations, facilities and resources in ways that maximize the use of resources in an instructional organization and promote a safe, efficient, legal and effective learning environment.

*Learning, Accountability, and Assessment*—High Performing Leaders monitor the success of all students in the learning environment, align the curriculum, instruction, and assessment processes to promote effective student performance, and use a variety of benchmarks, learning expectations, and feedback measures to ensure accountability for all participants engaged in the educational process.

**Operational Leadership**

*Decision Making Strategies*—High Performing Leaders plan effectively, use critical thinking and problem solving techniques, and collect and analyze data for continuous school improvement.

*Technology*—High Performing Leaders plan and implement the integration of technological and electronic tools in teaching, learning, management, research, and communication responsibilities.

*Human Resource Development*—High Performing Leaders recruit, select, nurture and, where appropriate, retain effective personnel, develop mentor and partnership programs, and design and implement comprehensive professional growth plans for all staff-paid and volunteer.

*Ethical Leadership*—High Performing Leaders act with integrity, fairness, and honesty in an ethical manner.

**School Leadership**

*Vision*—High Performing Leaders have a personal vision for their school and the knowledge, skills, and dispositions to develop, articulate and implement a shared vision that is supported by the larger organization and the school community.
**Community and Stakeholder Partnerships**-High Performing Leaders collaborate with families, business, and community members, respond to diverse community interests and needs, work effectively within the larger organization and mobilize community resources. **Diversity**-High Performing Leaders understand, respond to, and influence the personal, political, social, economic, legal, and cultural relationships in the classroom, the school and the local community (SBE Rule 6B-50012). (Florida Department of Education, 2005b, p. 1-2).

**Principal Shortages and Deterrents to the Principalship**

Available statistics indicate a shortage of school principals throughout the first decade of the twenty-first century (Educational Research Service, 1999; Institute of Educational Leadership, 2000). Forty percent (40%) of our country’s 93,200 principals are nearing retirement age (Potter, 2001; Snyder, 2002). Potter (2001) foresees that the number of eligible candidates will diminish. Snyder (2002) provided statistics from the U. S. Department of Education’s National Center for Education Statistics (NCES) which reflect responses of 10,000 public school principals in 1999-2000. The percentage of school principals 55 and older increased from 19% in 1993-94 to 22% in 1999-2000. The percentage of principals age 50-54 increased from 24% to 32% in the same time period. The number of principals in the age range of 40-49 dropped sharply. Doud and Keller (1998) reported the principal turnover rate was 42% from 1988 to 1998. They forecast at least a 40% turnover rate during the next 10 years, with the mean age of retirement being 57. Fenwick and Pierce (2001) believed that there would be an increase from 10-20% in the need for school principals through 2004.

Leithwood, Begley and Cousins (1992) reported that the most frequently chosen career path to the principalship includes in-school roles only. If that is the case, then a shortage of teachers would have an impact on the supply of principals. Reports of increasing teacher shortages are numerous (Ingersoll, 2001; North Carolina Department of Public Instruction, 2002; North Central Regional Educational Laboratory, 1999). Jimerson (2003) reported the following national trends that play a significant role in the lack of qualified teachers: high stakes federal
mandate of NCLB for “quality teachers;” federal, state and local policies that mandate class size reduction, resulting in a need for additional teachers; high attrition rates of new teachers; rapid student enrollment growth in some geographic regions; large number of teacher retirements expected within the next 10 years; legal demands for equitable compensation for teachers, which places pressure on poor district to offer competitive salaries.

Doud and Keller (1998) expressed concern about recruitment and selection challenges, nationwide. Throughout the United States the shortage of qualified applicants for the position of school principals is common. Weingartner (2001) reported that in the Albuquerque Public Schools, they often have to advertise two or three times to find qualified applicants for school leadership positions. Kennedy (2001) stated that Connecticut was facing a shortage of principals despite high salaries; and Nevada had a need for 500 administrators by 2004. In Minnesota the average age of newly hired principals was 49 and the average age of principals was 51. There were fewer applicants and many of those who did apply lacked preparation and qualifications to be successful. In July 2001, the Los Angeles Times reported that although California was producing 2,000 to 3,500 newly licensed administrators each year, only 38% actually were hired for school administrator positions in California. (Orozco & Oliver, 2001). Education Writers Association (2001) reported 163 New York schools began the 2000-01 school year without a permanent principal, and inexperienced principals—with less than two years experience—were common. They also noted that Colorado expected to have 740 principal vacancies through 2006. To address this problem many states are rehiring retired principals as interim replacements.

Retirement of school administrators and an impending principal shortage is of concern in Florida, as well. A study by Orange County Public Schools (2003) anticipated new and replacement school-based administrative positions through 2008. This study indicated that there
were 62 administrators in The Deferred Retirement Option Program (DROP) and 42 new positions to be added, resulting in the need for 104 positions by 2008. Additional data indicated that 21 administrators had 28 or more years of service, 24 administrators would reach age 62 within 5 years, and that 3 administrators would reach age 62 with 28+ years of service, resulting in a possibility of 48 additional school-based vacancies by 2008.

Available statistics report an under representation of African Americans, Hispanics, Native Americans and Asian/Pacific Islanders to the principalship (Doud & Keller, 1998; National Center for Education Statistics, 1997). Based on data collected by the National Center for Education Statistics in 1993-94, 84.2% of public school principals were White non-Hispanic, 10.1% were Black non-Hispanic, 4.1% were Hispanic, and 1.6% were other (National Center for Education Statistics, 1997). A 2002 study conducted by the North Carolina Department of Public Instruction determined that school administrators were more diverse than the population of teachers throughout the state, but not as diverse as the student population. Due to this fact, North Carolina made it a goal by 2010 to increase their pool of highly qualified school administrators to reflect the diversity of their state (North Carolina Department of Public Instruction, 2002). Although women make up about 42% of K-8 principals in the United States, 85% of teachers in K-8 schools are female (Doud & Keller, 1998). Based on the above statistics, it appears that female teachers are not being cultivated for leadership roles. In spite of the fact that more women and minorities currently complete aspiring principal training programs than their white male counterparts, males continue to outnumber females and minorities in occupying principal positions (Education Writers Association, 2001).

Studies conducted by RAND Corporation and State University of New York (SUNY) revealed significant data related to gender and race of public school administrators in New York,
North Carolina and Illinois (RAND Education, 2004). New York, North Carolina and Illinois were chosen for the study because several factors represented the broad spectrum of other states and Washington, DC: certification requirements; funding; and a variety of rural, suburban and urban districts. Administrative salaries in New York are high; in Illinois they are about average; and in North Carolina they are low.

The studies uncovered several trends:

- There are substantial differences in the promotion rates of men and women.
- A growing proportion of women are assistant principals, principals, administrators and superintendents.
- Although the percentage of female administrators is rising, the proportion of women administrators is below that of women teachers.
- Women teachers are less likely than male teachers to move into positions as assistant principals, principals and superintendents. The differences are more pronounced for elementary school teachers (RAND Education, 2004).

The RAND Education studies (2004) revealed that, at the point where an individual initially makes the decision to switch from a teaching position to that of an administrator, barriers seem to exist for women. However, once an individual was promoted to an assistant principal position, females in all three states were more likely than men to continually be promoted to higher administrative positions. Males were 30% more likely to gain principal certification; but once females were certified, they became principals at a rate equal to that of males.

Researchers found that females were less likely than males to become administrators. Data collected by RAND (2004) from North Carolina in 2000 revealed that, although 94% of elementary teachers were female, only 58% of elementary principals were female; 63% of high school teachers were female and only 24% of high school principals were female. Findings
suggest that “early career mentoring or support for female educators might be an effective policy lever for encouraging gender parity in the transition to school administration” (p. 2).

A study conducted by the National Center for Education Statistics (1997) found that nearly all principals have teaching experience and about a third of female principals have previous experience as curriculum resource teachers or curriculum specialists. This may explain why principals who are women have a tendency to place more emphasis on the instructional aspect of the job than do their male counterparts.

Although minority teachers in North Carolina and Illinois are more likely than white teachers to be promoted to assistant principals and principals, the RAND study (2004) and a study by Doud and Keller (1998) suggested that, to increase the supply of minority candidates for the principalship, more attention must be paid to recruiting and retaining minority teachers in public schools. They also suggested that greater attention be given to recruiting minorities from non traditional sources. These recommendations agree with those set forth in Better Leaders for America’s Schools: A Manifesto, prepared by dozens of educators and policy makers (Thomas B. Fordham Institute, & The Broad Foundation, 2003).

Furthering the case for increasing the number of minority principals, the RAND (2004) studies found that principal turnover was high in schools with larger proportions of minority students. However, it was also determined that principals whose race/ethnicity matched that of the largest racial/ethnic group were less likely to leave their schools. These results suggest that in order to improve leadership stability, schools with large minority populations should hire principals who are of the same race or ethnicity. This strategy may be difficult to implement because of the under representation of minority teachers.
Current literature suggests several factors that discourage qualified individuals from entering the principalship: time (Education Research Service, 2000; Lovely, 2004; Yerkes & Guaglianone, 1998); increasing responsibilities (Doud & Keller, 1998; Lovely, 2004); job-related stress (Alvy & Robbins, 1998; Doud & Keller, 1998; Lovely, 2004; Ruenzel, 1998); salary (Archer, 2002; Education Research Service, 2000; Lovely, 2004); institutional interference (Lovely, 2004; Johnson, 2002; New Teacher Center, 2002).

Succession Planning in Business

Best practice organizations use succession planning to develop and maintain strong leadership and to ensure that they address all the skills and competencies required for today’s business environment. Succession planning can also be an extremely powerful tool in motivating and retaining top leadership. (Butler & Roche-Tarry, 2002, p. 201)

Excellent examples of succession planning and succession management are found in business and in the military (Butler & Roche-Tarry, 2002; Tucker & Codding, 2002; Conger & Fulmer, 2003). Familiar corporations such as Coca-Cola, Sunoco, Mattel, Dow Chemical, Eli Lily and Bank of America have successful succession management plans in place (Conger & Fulmer, 2003).

Leibman, Bruer and Maki (1996) differentiated between succession planning and succession management. They pointed out that succession planning is focused on the individual, while succession management is focused on developing strong leadership teams. Conger and Fulmer (2003) argued that effective succession management includes identifying candidates with high potential, increasing their leadership skills by giving them, what they call “Lynchpin” assignments, coupled with team support, training, and mentoring; and systematically evaluating their performance. Winn (2000) states, “Of significant importance . . . is providing candidates with as many opportunities as possible to learn the business and demonstrate their abilities” (p. 100).
Succession Planning

Succession planning is used to develop and maintain strong leadership as the organization ages; to help prepare for an unexpected event; and to ensure that an organization has a cadre of personnel enabling it to function at a high level of efficiency (Butler & Roche-Tarry, 2002). Aligning business goals with human capital needs is another important aspect of succession planning that will lead to organizational excellence. Butler and Roche-Tarry assert that when an organizational hierarchy is created, gaps can be more easily identified, leading to more efficient management of change.

Liebman et al. (1996) found that succession planning assures that continuity exists to prepare leaders for key leadership positions and has evolved over the past 30 years from what was then called replacement planning. In the corporate world, succession planning has highly structured career paths with the corporation guiding people through their careers and providing them with needed experiences. Deliberation and planning are characteristics of succession planning. Succession planning is ongoing (Butler & Roche-Tarry, 2002; Baldwin, 2004; Center for Simplified Strategic Planning, 2004)) and is related to strategic planning (Baldwin, 2004). The Center for Simplified Strategic Planning (2004) suggested the following process: establish goals, select candidates, establish training and educational processes, initiate the process of selecting and training with each individual, and monitor developments.

Succession Management

Liebman et al. (1996) asserted that to be in tune with the dynamic global environment, succession planning must evolve into succession management along six dimensions: corporate orientation, organizational focus, outcome, assessment techniques, communication, and selection pools.
Corporate orientation (Leibman et al., 1996) in a succession planning model is characterized by deliberation and planning, which includes career paths that are highly structured. Individuals targeted for executive positions are guided through their careers and provided with the right experiences. On the other hand, a succession management model assumes that corporations undergo change and cannot guarantee anyone employment over a long period of time. To that end, corporations must recruit and develop leaders who are able to meet the demands of a dynamic and challenging workplace.

Organizational focus (Leibman et al., 1996), seen through the lens of succession planning, ensures fit between people and the positions that they will hold, but ignores future challenges and the need to round out a team. However, succession management for organizational focus is intent on an individual’s ability to meet the job requirements and the fit for an effective team. Performance standards, common purposes, norms, skills, competencies and communication skills are imperative when forming a dynamic team.

Outcomes for succession planning and succession management share a common characteristic—that of having prepared leadership (Leibman et al., 1996). Succession planning focuses on who will fill upcoming positions. Succession management looks at preparing people for future leadership positions through professional development opportunities. Solid experiences for high performing employees with high potential is demanded to align talent with the needs of the corporation.

Assessment techniques used for succession management include leadership templates and 360 degree feedback (Leibman et al., 1996). Although expertise is needed, other aspects of leadership must be demonstrated by the individual. Leadership templates emphasize the vision, values and competencies needed by the organization rather than the particular job function.
Using 360 degree feedback relies on the insights of others who work with an individual, rather than simply on the supervisor.

Communication revolving around succession planning is shrouded in secrecy, with those seeking promotions unaware, demotivated and disappointed regarding their place on the career ladder (Leibman et al., 1996). New succession management techniques include involving candidates in dialogue, mentoring, using the leadership template and integrating career plans into the process.

Selection pools allow corporations to reach beyond the corporation itself for valuable candidates (Leibman et al., 1996). Blending internal and external management often invigorates the corporate culture, bringing in new vision and implementing mandates without being hampered by past corporate history or personal involvement. Finding balance between the internally developed individuals and those entering from outside the company creates synergy and often causes a more dynamic and vital organization.

Tucker and Coddling (2002) pointed out that in business and in the military, basic well-developed infrastructures were put in place which affected organizational culture and training. They indicated that structures used by business and military include having a modern system to identify training and select managers and leaders. One such structure is a pool of candidates. They also suggested that a well defined order of positions, for those aspiring to rise higher in an organization, was necessary in order to foster the development of skills and knowledge, while simultaneously offering timely education, training and professional development. They made note of the importance of mentoring systems found in the military and in law firms.

The purpose of succession management is to be sure that the corporation has depth in its leadership capability (Leibman et al., 1996). However, it cannot guarantee anyone continuous
employment. Conger and Fulmer (2003) assert, “You build the strongest leadership bench when you practice succession management, combining succession planning and leadership development in a comprehensive process for finding and grooming future leaders at all levels of your organization” (p.1).

Conger and Fulmer (2003), in collaboration with the American Productivity and Quality Center (APQC) and 16 sponsoring companies, conducted a study of six organizations which had been successful in succession management: Dell, Dow Chemical, Eli Lilly, Pan Canadian Petroleum, Sonoco Products, and Bank of America. They compared their best practices with those of the sponsoring companies. Using detailed questionnaires to collect quantitative data and site visits, which included interviews, the researchers gathered information across the two samples. One purpose of their study was to understand how succession management differed among companies known for their best-practices. Four succession management rules found by Conger and Fulmer were: focus on development; identify linchpin positions; make it transparent; measure progress regularly; keep it flexible.

Research by Conger and Fulmer (2003) pointed to a focus on development—designated as rule one—that can be seen in action-learning programs, resulting in practical solutions to major strategic problems. Job rotations and placing people in specialized assignments provides potential leaders with opportunities for study and experimentation. Appointing mentors and monitoring progress of prospective leaders lessens the risk of failure and supports the company’s investment.

Linchpin positions, rule two for succession management, are defined by Conger and Fulmer (2003) as, “jobs that are essential to the long-term health of the organization” (p. 4). They are also referred to as middle management positions. Sonoco Products begins their
succession process by identifying lower-level employees such as plant managers, who exhibit leadership potential. Managers farther up the leadership chain meet to discuss each potential successor’s strengths and weaknesses. A matrix is used by some companies to identify the strengths and weaknesses of individuals in linchpin positions. This seems to be a more systematic approach for building what Conger and Fulmer refer to as pipeline positions. Once identified, high performers are provided opportunities to demonstrate their talent by being promoted to more challenging positions.

Make it transparent, the third rule proposed by Conger and Fulmer (2003), means that the succession planning system should be letting people know just what they should do to reach a certain rung on the succession ladder. They assert that this eliminates secrecy found in many succession planning systems. Thus, succession plans are based on contract and performance, eliminating the perceptions of promotions based on how loyal a person is or how many years they have been with the company. Keeping personnel files and resumes up to date and accurate is the responsibility of the employee in a few of the companies studied by Conger and Fulmer and is one attribute of a transparent planning system. Other avenues for transparency include web-based succession tools with personnel information and job information available using 1-click of an icon on the desktop. For example, human resource managers have instant access to an employee’s current level of employment, personnel history, potential level, training and development plans. The HR manager can then look at vacant positions, query skills needed for specific positions and ascertain skills that are needed before an individual can advance to a desired position. Another example of transparency can be found at Dow Chemical where employees can nominate themselves for vacant positions using an online system. A job sequence map is also readily available, enabling a candidate to visualize the sequence of jobs he or she
must expect in order to reach a particular function or line of business. Posting a salary schedule for each level of advancement is also the practice of some of the companies researched.

Measuring progress regularly is designated by Conger and Fulmer (2003) as the fourth rule of succession management. They asserted that a successful succession management plan is always moving forward, placing the right person into the right job at the right time. Companies who continually monitor their progress know which employees are being groomed for high level jobs. It is the responsibility of upper level management to keep them from becoming bored in their current placement. The researchers pointed out that a succession management plan is considered a success if a corporation’s internal hire rate is 75-80%. They state that, “An outside hire for a role that is critical at either the functional or corporate level is considered a failure in the internal development process” (p. 7). Using a matrix, managers for Eli Lilly are able to look at current positions and determine three potential successors; examine diversity; identify gaps to determine which training, development or recruitment activities might be needed; and scrutinize turnover rates. At Bank of America the CEO holds meetings each summer to review the well-being of the organization and the talent pipeline. Looking at potential leadership for his organization, he spends time examining the strengths and weaknesses of those in line for promotion with his top 24 executives and commitments are made to develop talents of potential leaders. Quarterly reviews are held to determine whether or not progress is being made toward fulfilling commitments.

Rule five of a succession management plan should be to keep it flexible (Conger & Fulmer, 2003). The organizations Conger and Fulmer studied followed . . . the Japanese notion of Kaizen, or continuous improvement in both processes and content. They refine and adjust their systems on the basis of feedback from line executives and participants, monitor developments in technology, and learn from other leading organizations. Indeed, despite their success, none of the best-practice companies in our
study expects its succession management system to operate without modification for more than a year. (p. 9)

These authors warned that continuous improvement efforts must be made to succession management systems to keep them up to date, reliable and able to respond to the organization’s needs. They stressed that leadership talent has a direct effect on the performance of any organization and, based on that belief, attracting and retaining talented employees is imperative. They believe that there is a strong, moral obligation on the part of managers at all levels of the corporation hierarchy to honestly assess performance and productivity of employees; to take action on low-performers, who may be blocking the path of those with high-potential; and to develop high-potential, talented people.

**Succession Planning for the Principalship**

One of the greatest gifts we can give back to our profession is to encourage those with promise to become school leaders. Securing effective candidates to take over when we’re gone will guarantee a successful future for students, schools, the nation, and the world. (Lovely, 2004, p. 18)

**Principal Preparation Programs**

In 1990, the National Governor’s Association criticized the preparation programs for principals and superintendents in the United States (Bredeson, 1996). Among serious flaws delineated regarding preparation programs, critics agreed that the manner in which school administrators are recruited and selected is flawed, suggesting that there is little understanding of the importance of high quality leadership to school districts (Stout, 1989; National Policy Board for Educational Administration, 1993; The National Commission on Excellence in Educational Administration, 1993; Murphy, 1992). In a survey of California school superintendents, conducted by Association of California School Administrators (2000), only 7% believed that principal preparation programs were excellent, while one-fourth of those surveyed felt that principal preparation programs were inadequate. Muse and Thomas (1991) reported that, in spite
of the research on the importance of effective principals, training and preparation programs for
the principalship are inadequate and irrelevant to the work required of a school principal. A
review of educational reform efforts conducted by Bredeson (1996) found that educational
leadership programs in the previous decade placed little attention on recruitment, selection and
standards.

A task important for school districts that wish to effect positive change in their
organizations is to promote professional development among their principals. Miklos (1988)
pointed out candidates for school administration programs enter through self-selection, which
limits the pool of qualified candidates and affects the demographic profile of potential school
administrators. To counteract such shifts in demographics, Milstein (1992) reported that local
school districts were becoming more involved in the sponsorship of administrative candidates
through the Danforth Program for the Preparation of School Principals.

In a study conducted by Daresh and Male (2000), principals in the United States and Great
Britain reported feeling unprepared for the complex work and major decisions they faced during
their first year in the position. Conclusions reached by Daresh and Male (2000) indicate that
aspiring principals are not adequately prepared either through training or previous experience.
However, data collected by The Schools and Staffing Survey indicate that 39% of principals took
part in a program specifically for aspiring principals (National Center for Education Statistics,
1997).

Recent programs in the United States formed to meet the need for adequate training and
preparation for school administrators include New Leaders for New Schools, the Knowledge Is
Power Program (KIPP), and the Broad Residency in Urban Education (Thomas B. Fordham
Institute & The Broad Foundation, 2003).
To meet the need for adequate training for effective school leadership, the Interstate School Leaders Licensure Consortium (ISLLC) was formed, bringing together universities, states and professional educational associations. As a result, a set of competency-based content standards for school administrators was developed based on a modern view of the role of principal. The goal of the ISLLC standards and indicators is to fortify educational leadership programs by: providing increased accountability for training programs, improving the quality of training programs, providing models to better prepare and assess candidates for certification and licensure (Caldwell, Calnin, & Cahill, 2002).

Senge (1990) wrote: “In essence, the leader’s task is designing the learning processes whereby people throughout the organization can deal productively with the critical issues they face, and develop their mastery in the learning disciplines” (p. 345). He further explained that today’s leaders may not be proficient in mentoring, coaching or helping others learn, having been chosen because of other skills.

Aspin (1996) based his suggestions for principal preparation competencies on those of Wollongong and Monash Universities in Australia. He advocated the following: “depth of analytical skills; ability to synthesize issues; well developed and clear powers of communication; breadth of knowledge; flexibility and adaptability; skillful, adept and sensitive in inter-personal relations” (p. 127). Additional requirements for effective principals outlined by Aspin included requirements that principals:

- Have coherent, extensive and deep learning in one or more areas of knowledge, intelligence and understanding
- Can reason logically, coherently and consequentially
- Can distinguish fact from opinion, objective from subjective argument, and base decisions on reasoning, appropriate data and information, and objectively justifiable judgments of value and policy to promote the public welfare rather than sectional interest
• Appreciate other cultures and customs and can understand at least one culture other than their own (and as fluently in their own language as possible)

• Can communicate clearly & fluently in writing

• Are orally articulate and confident

• Are computer literate

• Are statistically literate

• Are financially literate

• Have good people and people management skills

• Are committed to, value and expect truthfulness, accuracy, honesty and the highest possible ethical standards in all matters of professional and personal life

• Have learned to accept responsibilities & obligations as well as to assert rights

• Have a desire and the skills for continued intellectual, professional and personal development, and creativity and imagination in problem-solving.

• Are committed to collaboration rather than confrontation as a means of getting issues resolved, but know when to be firm and how to take a principled stand

• Are committed to open-ness, public accountability and to the sharing of knowledge and information.

• Are able to follow through and complete on policies, plans and programs.

• Are able to produce a budget and be a sound and prudent manager of finance.

• Know how to delegate authority and share power, putting a premium on teamwork and the building of teams.

• Are competent at monitoring, evaluation and assessment (both formative and summative).

• Know how to manage diversity in the workplace

• Are ready for and able to respond rapidly to change in both the external and the internal environment. (pp. 127-128)

Bredeson (1996) confirmed that state agencies set standards for aspiring and current school administrators. Guidelines developed by the Commission on Teacher Credentialing (1992) for
California suggested that assessment of knowledge, skills and competencies of school administrators should

1) include formative and summative measures;

2) be tied directly to a knowledge base defined for the preparation of school administrators;

3) use multiple and rigorous measures of performance;

4) provide assessments at multiple points during preparation and credentialing; and

5) include specialty assessments in such areas as curriculum and instruction, personnel management, business management, or pupil personnel. (p. 154)

Sparkman and Campbell (1994) maintained that improving leadership in schools requires changes at the state level in certification, standards and program requirements, linked to recruitment policies and professional development. Additional criticism regarding the existence of qualified and competent educational leaders is hypothesized by Bredeson (1996):

Limited empirical evidence exists to help employers, local school districts, differentiate between well prepared administrators versus marginally trained candidates. Additionally, the lack of resources and connections with university-based programs, often times unsystematic recruitment and selection processes, and the general bias toward local candidates, further hinder accomplishment of the state goal of placing the brightest and most capable educational leaders in schools. (p. 271)

**Principal Recruitment**

A definition of recruitment from the private sector was developed by Barber (1998):

“Recruitment includes those practices and activities carried on by the organization with the primary purpose of identifying and attracting potential employees” (p. 44). Murphy (1992) believed that most school administrators are self-selected because of a lack of principal recruitment programs. Goodlad (2004) stressed that school districts need to put forth continuous effort to “identify employees with leadership potential” (p. 306). The quality of the profession can be strengthened and maintained if incumbent principals encourage and promote prospective
principals through mentoring and by educating the school community about leadership and managerial demands placed on them (Education Research Service, 2000).

Although the majority of principals are white males, statistics from Educational Research Service (1998) indicated that the percentage of minority principals in public schools increased from 13% to 16% between 1987-88 and 1993-94 (10% Black/non-Hispanic; 4.1% Hispanic; 0.8% American Indian/Alaska Native; 0.8% Asian/Pacific Islander). Between 1987-88 and 1993-94, the percentage of female principals rose from 24.6% to 34.5% and the percentage of new female principals rose from 41.2% to 48.1% between 1987-88 and 1993-94 (National Center for Educational Statistics, 1997). A 1998 study by Doud and Keller found that women occupied about 42% of elementary principal positions, up 20% from the previous decade. To achieve greater diversity, it is imperative that districts develop systems to identify, groom and recruit potential leaders among women and minorities (Crow, Mecklowitz, & Weekes, 1992; Doud & Keller, 1998), instead of waiting for individuals to self-select (Crow, Mecklowitz, & Weekes, 1992).

Combinations of personnel, institutional and contextual issues were identified by Yerkes and Guaglianone (1998) as factors confounding the recruitment of high school principals. Personnel concerns included a large number of retirements, people leaving the principalship for other employment opportunities and the need for qualified, dedicated and intelligent professionals, who possess the needed technology expertise. Institutional concerns were related to changing demands placed on principals in the age of accountability. Contextual concerns included how the public views education.

There is little evidence regarding the selection and recruitment processes of becoming school administrators, either from researchers or employers (Miklos, 1988; Pounder & Young,
Pounder and Young asserted that there must be consistency between expectations for those in educational leadership positions and the recruitment and selection criteria, which will cause an increase in reliability and validity of the selection process. In an era of projected principal shortages, Pounder (1990, 1994) argued that recruiting procedures may be more crucial in securing quality administrators than selection procedures. Pounder and Young (1996) warned that a pool of applicants is necessary prior to processing and evaluating prospective administrators. They cautioned that the applicant pool must contain quality applicants as well as those meeting the ethnic and gender diversity needed. They stressed the importance of the recruitment process to attract as well as select administrators, cautioning public school districts to attend to the legal implications of having a diverse administrative workforce.

Potential sources of applicants must be identified prior to the search process (Pounder & Young, 1996). Sources suggested included referrals from district employees; promoting from within the organization; use of university placement offices, professional organizations, special interest groups and community organizations for referrals; use of firms which specialize in recruiting and screening for administrative positions.

Three approaches to applicant recruitment identified by Pounder and Young (1996) included economic incentives, psychological or social reinforcements found in various work climates, and rational perspectives. Recruitment efforts focused on economic incentives stress salary, vacation, retirement and insurance benefits. The psycho-social needs approach emphasized education philosophy, management style and school climate. The rational approach included actual work of a school administrator. This approach included personal contact throughout the process, providing the applicant with timely information regarding site-based management, fiscal responsibility, personnel functions, and supervisory capacity.
Lovely (2004) advocated that a district make administrative recruitment a priority with a structured career ladder in place. Having a grow-your-own program promoting internal applicants would be an advantage to a school district if applicants were identified and mentored by the best people in the district. She stated, “Once a district’s scouts have identified potential trainees with the relational know-how to survive the principalship, it’s imperative to properly court and groom these candidates” (p. 23). She advocated designing entry-level positions that teacher leaders could work in which would allow them to experience administrative roles “through scaffolded tasks and enculturation” (p. 23).

A model grow-your-own program was developed in Capistrano Unified School District, located in rapidly expanding Orange County, California (Lovely, 2004). The Teaching Assistant Principal (TAP) model program allows teacher leaders opportunities to examine and experience administrative responsibilities through specifically designed activities, which focus on the strengths and talents of each individual. Once teacher leaders have been recruited by principals for the TAP program, they are assigned for a year as full time classroom teachers, but also assume supplemental duties such as, “curriculum development, committee leadership, coordination of intervention programs, parent and community group liaison, maintaining schedules, textbook inventory and distribution, budget oversight, student discipline, and supervision of personnel” (p. 24).

There is a two-tiered structure to the TAP program (Lovely, 2004). TAP I is for those considering administrative careers or who have entered university educational leadership programs; they receive an annual stipend of $1,000 and remain part of the teaching faculty. TAP II is for those who have master’s degrees and administrative credentials; they receive $2,000 as an annual stipend beyond their teaching salary, are part of the district’s management team,
evaluate teaching staff and are eligible for assistant principal positions. TAPs receive continual feedback throughout the process from principals and district personnel.

The TAP program began in 1965 and is evidence of a historically successful program designed to meet the needs of a rapidly growing school district (Lovely, 2004). Of 50 principals in the district, half of them began their careers in the TAP program. Although searches for candidates resulted in hiring some principals from outside, Capistrano found that applicants hired from within were better able to meet the demands of school and district administration. TAPs were assigned to every elementary, middle and high school in the Capistrano school district.

Another entry level training program described by Lovely (2004) is Teachers on Special Assignment (TOSA). Different from teaching assistant principals, TOSAs oversee special programs but do not have regular classroom assignments, although they may teach part time. Assignments provided to TOSAs include: literacy coach, math and science specialist, department chair, curriculum leader, technology coordinator, intervention coordinator. Principals at the school site determined the specific responsibilities the TOSA should assume. These expanded roles allowed the perspective principal candidate to develop leadership skills and expertise in planning, scheduling, analyzing, budgeting and managing. Lovely suggested that districts be creative in funding TOSAs, exercising such options as part of the FTE staffing ratio, creative master scheduling, use of site funds, outside grants and endowments from business partners.

Lovely (2004) asserted that partnerships, aligning preparation programs between a university and a school district or consortium of districts, need to be established. New Leaders for New Schools is one such innovative program begun at Harvard University and now in place in New York and Chicago (Thomas B. Fordham Institute & The Broad Foundation, 2003; Education Writers Association, 2001), the District of Columbia, Memphis, Baltimore, and
Oakland (Gewertz, 2005). Modeled after Teach for America, aspiring principals complete a residency program in urban schools, where they work under the mentorship of experienced principals. Delta State University has a similar program to prepare principals for rural regions of the Mississippi Delta. Serving as interns, students earn salaries while working in a sponsoring school district under mentor principals (Education Writers Association, 2001).

Unlike New Leaders Projects previously established, the Baltimore arrangement is a partnership between a non-profit organization and the state of Maryland and is part of a $10 million grant between New Leaders and the Bill & Melinda Gates Foundation. It is designed to train 40 principals in the next three years in a district where one-half of principals are reaching retirement age (Education Writers Association, 2001).

Principal Selection

Schmitt and Schechtman (1990) found that there is a significant lack of research regarding selection of educational employees and an even larger dearth of studies on the selection of school administrators. Importance is placed on the selection interview as the most widely used method of selection in business, industry, organizational psychology and management. Ulrich and Trumbo (1965) found that career motivation and sociability of candidates were the only traits that could be measured with significant validity through the selection interview process; the predictive validity of such interviews was weak.

More recently, Arvey and Campion (1982) identified factors which influence selection of candidates. They include characteristics of candidates and interviewers, as well as situational factors. Age, gender, race, sex, verbal and non-verbal behavior, dress and psychological characteristics have an influence on both the candidate and the interviewer. How an interviewer perceives the interviewee and the amount of experience and training that the interviewer
possesses affect the outcome of the interview. The physical surroundings, as well as the political, legal and emotional climate are included in situational factors.

From a review of current literature Pounder and Young (1996) made some suggestions for selection interviews:

- Valid selection decisions are more likely if interviewers have a clear understanding of job descriptions.

- Raters and interviewers need a common understanding of job expectation to improve reliability and validity of selection decisions.

- Systematic training regarding job performance expectations, the selection system and perception bias is needed for interviewers to make valid decisions.

- Increasing the collection of job-relevant information reduces biases based on age, race, sex and attractiveness.

- Being consistent in the use of job-relevant application questions will enhance the reliability and validity of decisions.

- Standardized interview guides increase the reliability and validity of decisions.

- Asking candidates to describe how they would act in certain typical situations increases the predictive validity.

- Time must be given to screeners and interviewers to attain relevant information on all candidates.

- Individual bias on the part of interviewers can be reduced if there are multiple trained raters.

Empirical research on selection of school administrators is extremely scarce and absent a systematic process (Schmitt & Schechtman, 1990). Consequently typical administrator selection procedures are often followed: documentation of degrees, certification, academic transcripts, prior experience in leadership and service capacities within or outside of the realm of education, recommendations, internships or other relevant experience. Bryant (1978) concluded that reference letters from previous employers are the most important credential when hiring
experienced administrators. Bryant (1978), Baltzell and Dentler (1983) and Schmitt and Cohen (1990) agreed that the interview is the most highly regarded tool for screening administrators.

Improved principal selection procedures suggested by Pounder and Young (1996) include: observation of the candidate on the job using performance evaluation tools; video tapes and simulations activities; role plays; portfolios containing work samples, parent newsletters, performance appraisals and other documentation of work related activities. They advised that open discussions be held by selection committees to reach a common understanding of “characteristics, attitudes, and behaviors that are expected or needed for a particular position or organizational site, beyond those generic expectations” (p. 302). They stressed that it is “key” for members of the selection committee to reach consensus regarding the expectations of the position and the appropriate manner in which to evaluate the candidate. Selection techniques used must have predictive validity and be “uniformly and consistently used to assess all candidates” (p. 303). Pounder and Young contended that valid and reliable assessment of candidates could be reached using simulations and observations of real work as opposed to typical selection procedures such as paper and pencil screenings and interviews.

Although most final decisions regarding a principal candidate are made by the superintendent in conjunction with the personnel director or assistant superintendent (Baltzell & Dentler, 1983), parents, community members, school board members, teachers and staff members and human resource personnel may also have input on the final selection (Wise, Darling-Hammond, & Berry, 1987; Young & Ryerson, 1989). Culture, politics and economics often play an important role, symbolically, in the selection of principals by the superintendent, which may make the merits of a particular candidate less significant in the ultimate decision in the selection of a principal (Baltzell & Dentler, 1983).
Socialization Processes

A review of the literature indicates two types of socialization: organizational socialization and professional socialization. Crow and Matthews (1998) and Matthews and Crow (2003) further concluded that socialization is a reciprocal process of professional learning and takes place between the organization and the individual. Development of school based administrators is found in professional socialization studies. Noted studies on principal professional socialization were conducted by Duke, Isaacson, Sagor, and Schmuck (1984) and Greenfield (1985a, 1985b). These studies examined the first few years of a principal’s career. More recent studies were conducted by Leithwood, Begley, and Cousins (1992), who defined socialization as “. . . those processes by which an individual selectively acquires the knowledge, skills and dispositions needed to perform effectively the role of school-leader” (p. 148). The Leithwood et al. studies focused on the socialization experiences of pre-service and serving principals. Hart (1993) pointed out studies such as those by Leithwood and his colleagues “reveal means through which newcomers become functioning school administrators” (p. 20). She further indicated that there is a major gap in knowledge about the socialization process and the advantages provided by leader succession experiences. In contrast, McPherson (1984) asserted that little can be learned from studies of anticipatory, pre-service socialization because organizational and professional socialization happen in concert with one another. Features of professional socialization included duration of socialization, mechanics of socialization, relationship between realities and expectations of the principalship (Duke et al., 1984); formal and informal preparation (Duke et al., 1984; Leithwood et al., 1992); and perspective, content and context (Crow & Matthews, 1998). Included in socialization processes are formal education programs and less formal programs such as working with a mentor, as well as informal leadership experienced while on the job (Leithwood et al., 1992). Content also includes technical job skills, adjustment to the
work environment and learning and internalizing the values of the organization (Crow & Matthews, 1998). Crow and Matthews established that socialization takes place within certain contexts. They stressed that, in the case of school principals, socialization contexts include districts, schools, work groups and universities. They added that subcultures within schools also influence the socialization of the principal. These subcultures include parent, student and teacher subcultures. Paying attention to the influence of these contexts and subgroups is crucial for the novice administrator in developing political skills.

Studies conducted by Duke, et al. (1984) indicated that principals received little formal socialization from their district offices, in what the researchers nicknamed “sink or swim” socialization. Participants in the Duke study also reported that although they received written job descriptions they were of little assistance in defining districts’ expectations. Informal socialization processes provided the majority of information regarding district and school norms and expectations from a variety of sources, primarily other principals within the school district.

Three stages of socialization have been identified (Leithwood et al., 1992; Hart, 1993; Crow & Matthews, 1998). Stages in the socialization process that differ based on the needs of people include initiation, transition and incorporation. People at the initiation stage show concern about the perception of others regarding their adequacy; those at the transition stage have a sense of what is required for performing a job; those at the incorporation stage compare their previous performance to their current abilities as an effective school leader (Leithwood et al., 1992). Although terminology varies, Crow and Matthews (1998) label the three stages as anticipatory, encounter and adjustment. At the anticipatory stage the individual begins to assimilate the group’s values and becomes acquainted with responsibilities and role expectations in regard to the position and organization. The encounter stage takes place as the individual assumes the job
and reality sets in. Problems often occur at this stage as the newcomer tries to reconcile his or her perceptions of what the job would involve with what actually happens. It is at this point, Crow and Matthews assert, that mentors provide an extremely useful function in helping the new administrator make meaning, cognitively, of situations as they arise.

Studies conducted by Leithwood et al. (1992) confirmed differing patterns of socialization. Moderately helpful levels of socialization were reported by most aspiring and practicing school leaders; few experienced a negative level of socialization; and 19% reported high level of socialization. District support in socialization activities was perceived as very strong. This differs from the Duke (1984) study which found formal socialization experiences limited.

Some consideration has been given to the role gender plays in the socialization process. Crow and Matthews (1998) believed that consideration must be given to the masculine socialization process of competition and achievement. They also promote attention to the feminine model of socialization which includes relationship building and caring. Individuals take an active role in their own socialization due to their motivation and other factors such as experience, age, gender and personality characteristics. The Leithwood et al. (1992) study reported that, although males and females reported similar socialization patterns, men perceived having encouragement early on to consider their role as school leaders and females had the perception of having frequent leadership opportunities presented to them. Length of time in school leadership positions impacted the perceptions of school leaders regarding the helpfulness of socialization experiences. Those in earlier stages of socialization did not perceive the processes as helpful as those in the later stages. These researchers concluded that, “There is a predictable relationship between school-leaders’ images of their role and the patterns of socialization which they experience. Increasingly, helpful patterns are associated with a tendency
to adopt images of the role, consistent with effective forms of school-leader problem-solving” (p. 159).

Data from studies by Leithwood et al. (1992) suggested the following: in preparing for a role as school-leader, people indicate basing their decisions on the need for a challenge and a thirst for knowledge; socialization patterns most valued are embedded in school life and having broad-based on-the-job leadership experiences; preparation programs are perceived on a continuum of being extremely helpful to being extremely unhelpful, based on the quality of the program. Additionally, the researchers suggested that those entering school administration roles rarely leave for careers outside of education; in-school roles are the chosen career paths to the principalship; a noteworthy minority of principals and aspiring principals, who held either district positions or positions outside of education, reported experiencing socialization processes more helpful in preparing them for instructional leadership; and using career paths to prepare people for school leadership positions are viable selection criteria.

Improving socialization experiences of aspiring and practicing principals was considered in several studies. To improve the socialization experiences of aspiring and practicing principals, Leithwood et al. (1992) suggested that more time be devoted to training programs used to deliver technical knowledge and skills required by administrators. Principals in the Duke et al. (1984) study asserted that formal university course work played less importance in their preparation than did informal factors. The study conducted by Leithwood and his colleagues (1992) indicated that school-leaders lack confidence in managerial tasks. They stressed that programs delivered in a “form consistent with good principles of adult education” (p. 164) might improve socialization experiences. Papke (1989) contended that leadership activities which are part of on-the-job experiences are perceived as the most beneficial socialization activities. He proposed that
principals and vice-principals should negotiate job responsibilities to insure that aspiring
principals are subjected to an array of responsibilities beyond simple maintenance and routine
duties. Technical and cultural learning are major content areas necessary for socialization to be
successful. Crow and Matthews (1998) advocated the use of mentoring to facilitate professional
learning in these areas for aspiring administrators.

Greenfield (1985b) identified two primary objectives to professional socialization: moral
socialization and technical socialization. Hart (1993) differentiated between these: “Moral
socialization is concerned with values, norms, and attitudes attendant to the career group.
Technical socialization focuses on knowledge, skills and techniques needed to perform
adequately as a school administrator” (p. 19).

Leithwood et al. (1992) confirmed that formal evaluation criteria for principals should
include leadership-development of their assistant principals. They asserted that curriculum
consultant roles held by prospective principals provide for the development of curriculum-
management skills; reliance on expertise rather than position; refinement of interpersonal and
communication skills; development of collaboration and problem-solving processes; and
acquirement of a full understanding of district-school relationships. They suggest that districts
should systematically select people who have expressed an interest in becoming principals to
chair district level committees. A study conducted by Abernathy (2000) found that the school
principal played a significant role in the competency development of assistant principals.
Offering leadership opportunities to those who exhibit leadership capabilities, but have not yet
considered administrative positions might “. . . build confidence and enable them to make
judgments about their suitability for and interest in, administration” (Leithwood et al., 1992, p.
163). Hart (1993) suggested that socialization processes for new principals minimize negative
surprises and suggested that they should be taught observation skills and organizational analysis. She also concluded that peer interaction was necessary to allow the principal candidates to make sense of emerging frameworks.

Crow and Matthews (1998) argued that, although sources of socialization for aspiring administrators comes from teachers, district administrators and principals, the most significant source of socialization of assistant principals comes from other school administrators through their support, task assignments and role modeling. Veteran teachers help define an image of the assistant principal as one who maintains the discipline and order of the school. When carrying out instructional responsibilities, the assistant principal may more closely align with teachers. Additionally, assessments and expectations by district administrators influence the advancement of assistant principals.

**Studies of School District Succession Plans**

Numerous districts throughout the United States and other nations have begun programs to address the issue of principal shortages through succession planning. Such planning takes the form of programs to prepare, recruit and train aspiring principals. Goodlad (2004) recommended that the first priority of new superintendents should be selecting the most promising individuals for principals and developing leadership and management abilities in them. He further asserted, “There should be, waiting in the wings, a sufficient number of qualified persons to take over each principalship as it is vacated. The search for leadership in a district should be continuous” (p. 277). He cautioned that short-sighted policies usually limit prospective candidates to current district employees.

To determine the extent of the current principal shortage situation a preliminary study was conducted in 1998 by Educational Research Service (ERS). They developed a list of survey questions designed to address three issues: the difficulty that superintendents may have in filling
school-based administrator positions and what they perceive to be barriers to qualified people applying for vacancies; women and minority candidates for school administrator positions; and the existence of programs in school districts to develop aspiring principals and also provide new principals with formal induction experiences. Using a random sample of districts with enrollments of 300 or more pupils and at least one vacant principal position during the previous year purchased from Market Data Retrieval, interviews were conducted by Gordon S. Black Corporation telephone research center in Rochester, NY. The survey was presented as a Harris Poll in order to encourage cooperation among those called.

Interviews were conducted in January of 1998. The script was controlled by a Computer Assisted Telephone Interview script and a Computer Aided Sampling System was put in place to insure a random sample. Of those persons contacted, 50% completed the survey, 45% were not available at the time of the interview, and 5% refused the interview.

Four hundred and three (403) interviews took place with a sampling precision of +/-5% for those items presented to the whole sample. Sub-groupings included rural, suburban and urban as well as elementary, junior high/middle, and high school levels. Each group included fewer cases than the study group as a whole, which increased the confidence limits to +/-9% for each group. Educational Research Service (1998) cautioned that, “. . . differences in responses from the subgroups should be considered statistically significant only if these differences are 9 percentage points or greater” (p. 7). Stating that their approach took into account a sampling error possibility, they further caution that those making inferences about a population from the corresponding sample percentages should consider the possibility of bias between respondents and nonrespondents to the survey.
The study by Educational Research Service (1998) drew conclusions regarding principal shortages, the quality of principal preparation programs, barriers that discourage potential principal applicants, women and minorities in school management positions and formal training programs for principals. This survey found that while half the districts surveyed reported a shortage of qualified candidates for the principalship, there did not seem to be dissatisfaction in the candidates hired to fill vacancies. One third of the superintendents rated the educational preparation of candidates as excellent, while nearly all felt that candidates experienced adequate preparation.

Factors that discourage potential principals from seeking administrative positions included salaries compared to job responsibilities, job stress and time demands. The barrier ranked at the top by all groups surveyed was salary/compensation being not in line with job responsibilities, with 60% of those surveyed indicating that it was a problem. Most districts reported an increasing number of female applicants for management positions. However, attraction of minority applicants was reported to be a problem, especially among urban school districts. Formal training programs for new principals were in place in most districts, although aspiring principals programs existed in very few districts.

A study similar to that of Educational Research Service was conducted by Orange County Public Schools, Florida in 2003. Information was gathered from eight Florida school districts and Dallas Independent School District. The following questions were asked:

- What is your recruitment strategy for attracting school-based administrators?
- What solutions are you pursuing for upcoming school-based administrator shortages?
- How much does the district spend on school-based administrator recruitment?
- Does your district have a Foundation? Do you work with that Foundation in terms of recruitment for school-based administrators? What financial assistance do they provide for these efforts? How much?
• What is the budgetary amount that is spent annually on leadership development training?

• What is your “grow your own” district recruitment approach for school-based administrators? Approximately how many new school-based administrators do you hire each year?

• What alternative certification program is available for school-based administrators?

• Do you have a formal program for preparing new principals? If yes, what is the length of the program? How many individual complete the program annually? (pp. 63-72)

The survey found that local training programs for those interested in becoming school leaders exist in three districts; three districts use the internet to advertise positions; four districts work with local colleges and universities that offer educational leadership programs; and three districts indicated that they did nothing to recruit school-based administrators.

When asked what they were doing to prepare for upcoming school-based administrator shortages, 2 of 9 districts surveyed anticipated no impending shortages. Seven districts employed such strategies as a principal’s transition plan, stipends for teacher leaders to pay for masters/doctoral degrees for those seeking administrative certification, a Lead Teacher Program for potential leaders, informational sessions, career exploration day for those interested in pursuing school-based administrator positions and advertising options to encourage retired administrators to return to principal positions.

Recruitment budgets varied across the seven districts surveyed from as high as $15,000 in Dallas ISD to a low figure of $7000 in another district. Five districts claimed to spend little or no money on recruiting of school-based administrators. And although 6 of the 9 districts had educational foundations which contributed to teacher recruitment, none of the foundations supported administrative recruitment efforts.
When asked about the amount of money spent on leadership development training, Broward County had about $260,000 to spend, down from $400,000 the previous year. Dallas ISD spent approximately $168,000; and the remaining six districts were unable to provide data.

When questioned whether districts had a “grow your own” recruitment approach for school-based administrators, seven districts had some type of program to recruit from within the district; Manatee County had nothing in place and Polk County did not respond. Specific programs include the Teacher Leader Program in Broward County and a Teacher to AP Program in Palm Beach County. Dallas ISD provided the most comprehensive explanation of their recruitment approach. Current assistant principals and deans aspiring to become principals were invited to participate in the Principal Leadership Development Academy which provided workshops related to the operation and management of the district, instructional programs, and state and district policies and procedures. A Campus Leadership Academy offers workshops for teachers, counselors and central office personnel who aspired to be assistant principals or deans. Evening workshops were focused on school-based leadership. To participate in either program, candidates must go through a selection process involving interviews, writing assignments and written exams. Completion of the academy allowed personnel to join a “pool” for the next hiring period. Once they became principals, they participated in the Professional Growth Academy, which trained them to become more effective leaders, positively impacting student achievement. Mandated by the state, all first year administrators were required to participate in an induction program for a year, which provided training related to management and instructional leadership.

In response to the question, “Approximately how many new school-based administrators do you hire each year?” the responses were as follows: Brevard--175 in three years; Broward—since 2002-2003, 90 assistant principals and 42 principals; Hillsborough—85 in the past 3.5
years; Manatee—12 a year; Osceola—25 in 03-04; Palm Beach—289 school based since 2000; 2003-04—15 school-based; Polk—20; Seminole—11 per year over past 4 years. Dallas ISD—29 principals, 10 deans of instruction and 39 assistant principals.

Neither the Dallas ISD nor the eight Florida districts surveyed had alternative certification programs for school-based administrators. However, formal preparation programs for principals were in place in seven Florida Counties surveyed. Polk County did not respond to the survey. Dallas ISD had a one year state mandated induction program for first year administrators. Length of the preparation programs ranged from one to three years. Brevard County indicated that 13-18 individuals completed their program per year; Dallas ISD had 85-100 participants in the last two years; Hillsborough County had 100 assistant principals with principal certification ready to be hired as principals. Osceola County graduated approximately 10 individuals per year from their Preparing New Principals Program. Seminole County reported about 13-15 individuals in their principal preparation program each year.

**Summary of Related Research**

Review of literature related to school effectiveness and accountability underscores the importance of placing quality leaders in school principal positions (Kelly & Peterson, 2002). There is a wide body of literature outlining leadership standards for school principals (Doud & Keller, 1998; Deal & Peterson, 1994; Dyer, 2001; Hallinger, Leithwood & Murphy, 1993; National Association of Elementary School Principals, 2002; Rallis & Goldring, 2000; Florida Department of Education, 2005; Aspin, 1996; Council of Chief State School Officers, 1996).

shortage of teachers impacts the supply of principals (Leithwood, Bagley & Cousins, 1992; Ingersoll, 2001; North Carolina Department of Public Instruction, 2002; North Central Regional Educational Laboratory, 1999; Jimerson, 2003).

For decades the business world and military have understood the need of succession planning and management (Tucker & Codding, 2002). However, little recent literature outlining succession planning in educational institutions exists (Normore, 2001). Succession planning for principal replacement includes principal preparation programs, principal recruitment and selection. Also included are grow your own and entry level training programs, as well as socialization processes. School districts throughout the United States and Canada are placing emphasis on succession planning to meet the demands of an impending principal shortage and the need for qualified principals.

Chapter 3 explains the methodology used to investigate principal shortages. Methods used to investigate succession planning policies and implications for principal replacement in the 67 Florida school districts are described.
CHAPTER 3
METHODOLOGY

Introduction

The purpose of this study was to explore the shortage of well-qualified principals and succession planning policies developed by the 67 Florida school districts. This chapter presents the research hypotheses that guided this study, the research sample, the survey instrument that was utilized to collect the quantitative data, the statistical analyses applied, and finally a description of qualitative data collection through the use of a standardized open-ended interview protocol.

This was a mixed study using quantitative and qualitative research methods. Sogunro (2001) believed that mixing both methods in concert with one another play complementary roles in the research process and outcome. Quantitative research is defined by Creswell (1994) as “an inquiry into a social or human problem, based on testing a theory composed of variables, measured with numbers, and analyzed with statistical procedures, in order to determine whether the predictive generalizations of the theory hold true” (p. 1). He described qualitative research as “an inquiry process of understanding a social or human problem, based on building a complex, holistic picture, formed with words reporting detailed views of informants, and conducted in a natural setting” (p. 2). Quantitative research has also been described as empirical (Punch, 1998), using data in the form of numbers (Punch, 1998; Gay & Airasian, 2000) and collecting data to explain, predict and/ or control a particular event (Gay & Airasian, 2000). Qualitative research, on the other hand, is described as not using numbers (Punch, 1998; Gall, Gall & Borg, 1999), naturalistic (Gay & Airasian, 2000), verbal and subjective (Gall, Gall & Borg, 1999). Creswell (1994) concluded that combining methods provides advantages to the researcher by allowing
increased understanding of a concept being studied. Sogunro (2001) asserted that a combination of research methods results in stronger validity and reliability.

**Research Questions and General Research Hypotheses**

Question 1: Is there a relationship between a shortage of well-qualified candidates for principal vacancies and the size of the school district? To address this question the following hypothesis was generated:

Hypothesis 1: A relationship exists between a shortage of well-qualified candidates for principal vacancies and the size of the school district (i.e., when the size of the school district increases so does the shortage of well-qualified candidates for principal vacancies).

Question 2: Is there a relationship between the shortage of well-qualified candidates for principal vacancies and the presence of written succession planning policies? To address this question the following hypothesis was generated:

Hypothesis 2: A relationship exists between the shortage of well-qualified candidates for principal vacancies and the presence of written succession planning policies (i.e., when written succession planning policies are in place in a school district, the less likely the shortage of well-qualified candidates for principal vacancies).

Question 3: Is there a relationship between the shortage of well-qualified female candidates for principal vacancies and the presence of written succession planning policies? To address this question the following hypothesis was generated:

Hypothesis 3: A relationship exists between the shortage of well-qualified *female* candidates for principal vacancies and the presence of succession planning policies (i.e., when written succession planning policies are in place in a school district, the less likely the shortage of well-qualified *female* candidates for principal vacancies).
Question 4: Is there a relationship between the shortage of well-qualified minority candidates for principal vacancies and the presence of written succession planning policies? To address this question the following hypothesis was generated:

Hypothesis 4: A relationship exists between the shortage of well-qualified minority candidates for principal vacancies and the presence of written succession planning policies (i.e., when succession planning policies are in place in a school district, the less likely the shortage of well-qualified minority candidates for principal vacancies).

Question 5: Do perceived barriers to having well-qualified candidates for principal vacancies differ between districts experiencing principal shortages and those districts that are not experiencing principal shortages? To address this question the following hypothesis was generated:

Hypothesis 5: Perceived barriers to having well-qualified candidates for principal vacancies differ between districts experiencing principal shortages and those districts which are not experiencing principal shortages (i.e., the mean number of perceived barriers in districts experiencing principal shortages is greater than the mean number of perceived barriers in districts that are not experiencing principal shortages).

Question 6: Is there a relationship between the degree to which districts encourage the development of aspiring principals and the shortage of well-qualified principal candidates? To address this question the following hypothesis was generated:

Hypothesis 6: A relationship exists between the degree to which districts encourage the development of aspiring principals and the shortage of well-qualified principal candidates (i.e., when districts have succession planning policies in place to encourage the development of
aspiring principals increases, there will be a decrease in the shortage of well-qualified principal candidates).

**Research Participants**

The sample of 36 responding school districts was taken from a population of 67 Florida School districts. A list of the 67 Florida school districts and the superintendents of each district was obtained from the Florida Department of Education website. The total number of students for each district was also obtained from the Florida Department of Education website. The survey was mailed to superintendents of 14 large school districts (more than 50,000 students), 24 medium size districts (between 10,000 and 50,000 students), and 29 small school districts (less than 10,000 students). To determine the size of school districts, the designation used by the Florida Department of Education (March, 2003) was employed. The membership used to rank order the districts by size was generated from a 2005 Fall PK-12 FTE (full time equivalent) survey (Florida Department of Education, 2005a). It should be noted that Florida school districts encompass entire counties and thus may be larger than school districts found in other states.

The Florida Department of Education assigns district and school grades each year based on student achievement data. Of the 14 large school districts in the state, five (36%) of them were designated “A” districts and nine (64%) as “B” districts. Of the 24 medium size districts, 13 (54%) were designated “A” districts, nine (38%) as “B” districts and two (8%) as “C” districts. Of the 29 small school districts, six (21%) were designated “A” districts, 11 (38%) as “B” districts, and 12 (41%) were labeled “C” districts. (Florida Department of Education, 2006).

**Instrument**

A survey designed by Educational Research Service (Educational Research Service, 1998) for the National Association of Elementary School Principals and the National Association of
Secondary School Principals was modified for use in this study. Educational Research Service granted the researcher permission to use the copyrighted survey (see Appendix A).

The instrument, Is There a Shortage of Well-Qualified Candidates for Openings in the Principalship in Florida Public School Districts? (see Appendix B) consisted of 31 items. The survey contained three sections: demographic information; principal preparation; and principal recruitment, hiring and training. Definitions of the following words: induction, mentoring program, minority, and well-qualified were provided following the demographic section.

**Hypothesis 1: Survey Items 2, 15, 20, 25 and 27**

To test Hypothesis 1 (a relationship exists between a shortage of well-qualified candidates for principal vacancies and the size of the school district), items 2, 15, 20, 25 and 27 were used. Item 2 asked the respondent to indicate district size as either small (less than 10,000 students), medium (10,000-50,000 students), or large (more than 50,000 students). Using information from FDOE (Florida Department of Education), the researcher followed the rubric used by FDOE to determine trends in minority students and teachers (2003, March). For items 15, 20 and 25 respondents were asked whether there was a “surplus” (a), “shortage” (b), or “about the right number” (c), of well-qualified candidates for principal vacancies at the elementary, middle and high school levels, respectively. Respondents were asked in item 27 if they anticipated a principal shortage in the next 12 months by a simple “yes” or “no” answer.

**Hypothesis 2: Survey Items 15, 20, 25, 27 and 30**

To test Hypothesis 2 (a relationship exists between the shortage of well-qualified candidates for principal vacancies and the presence of written succession planning policies) items 15, 20, 25, 27 from Hypothesis 1, and item 30 were used. Item 30 provided an opportunity for respondents to indicate whether or not their district had a written succession plan, by choosing either a “yes” or “no” response.
Hypothesis 3: Survey Items 9, 13, 18, 23 and 30

To test Hypothesis 3 (a relationship exists between the shortage of well-qualified female candidates for principal vacancies and the presence of written succession planning policies) items 9, 13, 18, 23 and 30 were used. For item 9 respondents were asked to answer either “yes” or “no” to indicate if there was a need in their district to increase the number of women working in school-based administrative positions. A simple “yes” or “no” response was required for items 13, 18 and 23, which asked the respondent to indicate whether or not any well-qualified female candidates applied for principal vacancies at elementary, middle and high school levels, respectively. Responses for item 30 as used for Hypothesis 2 were also included.

Hypothesis 4: Survey Items 10, 14, 19, 24 and 30

To test Hypothesis 4 (a relationship exists between the shortage of well-qualified minority candidates for principal vacancies and the presence of written succession planning policies) items 10, 14, 19, 24 and 30 were used. For item 10 respondents were asked to answer either “yes” or “no” to indicate if there was a need in their district to increase the number of minorities working in school-based administrative positions. A simple “yes” or “no” response was required for items 14, 19 and 24, which asked the respondent to indicate whether or not any well-qualified minority candidates applied for principal vacancies at elementary, middle and high school levels, respectively. Responses for item 30, as used for Hypotheses 2 and 3, were also included.

Hypothesis 5: Survey Items 26 and 27

To test Hypothesis 5 (perceived barriers to having well-qualified candidates for principal vacancies differ between districts anticipating principal shortages and those districts which are not anticipating principal shortages) items 26 and 27 were used. Item 26 asked respondents who experienced principal shortages to respond by rank ordering the top five barriers they perceived that prevented well-qualified applicants from applying for principal vacancies, with “1” being
least important and “5” being most important. The 14 selected barriers presented in the survey were those identified in the literature review. “Other” was provided for respondents to write in any perceived barriers not addressed in the survey. An opportunity was provided for respondents to skip this question if they were not experiencing a shortage. Respondents were asked to respond to item 27 by a simple “yes” or “no” answer if they anticipated a principal shortage in the next 12 months.

**Hypothesis 6: Survey Items 15, 20, 25, 27, 28 and 29**

To test Hypothesis 6 (a relationship exists between the degree to which districts encourage the development of aspiring principals and the shortage of well-qualified principal candidates) items 28 and 29 were used. Additionally items 15, 20, 25 and 27 as used in Hypotheses 1 and 2 were included. Items 28 and 29, in checked response format, allowed respondents to indicate components in place for recruiting and hiring aspiring principal candidates (item 28) and training aspiring principal candidates (item 29). These components were identified in the literature review.

**Additional Items: Survey Items 1, 3-8, 11, 12, 16, 17, 21, 22 and 31**

Several questions not related to the hypotheses were included in the survey to provide the researcher with additional information. This information was helpful in drawing conclusions and making recommendations regarding succession planning for principal replacement. Item 1 asked for the title of the person completing the survey. Titles included: superintendent, assistant superintendent, associate superintendent, area superintendent, human resource officer, and personnel director. “Other” was added with space to include a title, should none of the titles supplied be applicable. Items 3-7 required simple “yes” or “no” answers. Respondents were asked to check either “yes” or “no” following the questions regarding the presence of aspiring principal programs (item 3), induction programs (items 4 and 6) and mentoring programs (items
5 and 7) for new assistant principals and new principals, respectively. Item 8 asked respondents to characterize the educational preparation of recent principal candidates. Response choices included the following options: “excellent” (a), “adequate” (b) and “not adequate” (c).

Items 11, 16 and 21 asked respondents to indicate the number of assistant principal vacancies filled in the last 12 months at the elementary, middle and high school levels, respectively. Items 12, 17, and 22 asked respondents to indicate the number of principal vacancies filled in the last 12 months at the elementary, middle and high school levels, respectively.

Item 31 was a clarifying question regarding written succession plans and enabled respondents to indicate whether or not the answers they checked in items 28 and 29 were components of their written succession plans. Item 31 required a simple “yes” or “no” response.

Pilot Test

The pilot survey instrument (see Appendix C) was tested by five administrators, who served as a panel of experts to provide evidence of content validity. The panel consisted of an Associate Superintendent, an Area Superintendent, a Human Resource Consultant, a Senior Executive Director for Human Resources, and a retired school administrator. One of the members of the panel suggested that the definition of “quality principal” be included to align with NCLB, and that “minority” be defined in the survey. Minority was clarified and redefined as African-American and Hispanic. Adjusting the wording and order of several questions took place as a result of responses and feedback.

Procedure

Prior to gathering information from school districts, permission to conduct this study was obtained from University of Florida Institutional Review Board (UFIRB) (see Appendix D). Surveys were distributed by mail to the offices of superintendents of the 67 Florida school
districts. Names and addresses were obtained from The Florida Department of Education online data source. The mailing included a cover letter requesting participation (see Appendix E); an Informed Consent Form (see Appendix F); the survey instrument, *Is There a Shortage of Well-Qualified Candidates for Openings in the Principalship in Florida Public School Districts?* (see Appendix B); a postage paid return envelope; and five education commemorative U.S. postage stamps, as tokens of appreciation. Each respondent who participated in this research completed an Informed Consent Form and mailed it to the researcher separate from the survey.

A follow-up postcard was sent out after two weeks as a reminder. A second mailing was employed three weeks after the first mailing to those not responding to the first mailing. The second mailing included copies of the instrument, Informed Consent Form, cover letter and postage paid return envelope.

Following the return of the surveys the researcher contacted two small, two medium and two large districts by phone and/or email to set up interviews for the qualitative aspect of the study. Telephone interviews were conducted using a standardized open-ended interview protocol (see Appendix G).

**Quantitative Data Analysis**

The present study aimed to investigate the presence of principal shortages in 67 school districts across the state of Florida. More specifically, the purpose of the study was to address the relationships between succession planning components and principal shortages. In order to determine if such relationships existed, a series of chi-square tests for independence and independent samples t-tests were conducted. An alpha level of $\alpha = .05$ was applied to control for the type 1 error rate. After data were collected and tabulated, SPSS 15.0 was used to run the chi-square and t-test analyses.
Qualitative Data Analysis

Following analysis of the statewide data, qualitative data was gathered and analyzed using the standardized open-ended interview approach (Patton, 2002). Using the respondents from the quantitative survey, two small, two medium and two large districts were randomly selected for interviews. Interviews were scheduled in advance and each respondent was interviewed separately by telephone. Six questions were asked that addressed district size, shortage of well-qualified candidates for principal vacancies, description of the term “well-qualified,” and comparison of descriptors based on whether the vacancies occurred in elementary, middle or high schools (see Appendix G).

The same set of questions was used for each interview. The researcher listened for comments during the interview, which supported and did not support the definition of “well-qualified” as related to the 10 Florida Leadership Standards. The researcher documented and recorded the comments, creating a verbatim transcript. Answers were analyzed based on similarities, differences and the use of common language. First, utterances of each interview transcript were treated as an observation. Second, key words and phrases were identified in each observation. Third, themes and patterns were determined by examining each observation. Fourth, interconnections among observations were determined. Fifth, themes and patterns were connected. These tasks were facilitated through the use of cross-classification matrices (Patton, 2002).

Chapter 4 describes data received from the survey and subsequent interviews. The findings and data analyses are presented for each of the research questions.
CHAPTER 4  
ANALYSIS OF THE DATA

Introduction

The purpose of this study was to explore the shortage of well-qualified principals and succession planning policies developed by the 67 Florida School Districts. This study addressed six research questions to guide the investigation. A population of 67 Florida school districts was mailed data collection survey packets. A total of 36 surveys were returned for a response rate of 54%. Respondent rates by district size were: 8 of 14 large districts (57%), 13 of 25 medium districts (52%), and 15 of 29 small districts (52%). Following return of the surveys, the researcher randomly selected and contacted officials from six Florida school districts who had returned the survey and had indicated a willingness to be interviewed: two from small districts, two from medium sized districts, and two from large districts. Interview questions in a structured interview protocol format focused on the meaning of “well-qualified” as it relates to applicants for vacant principal positions. This chapter is divided into three sections: Analyses of Survey Data Related to Research Questions, Analyses of Descriptive Data Related to Survey, and Analyses of Structured Interview Protocol.

Analyses of Survey Data Related to Research Questions

Research Question 1: Is there a relationship between a shortage of well-qualified candidates for principal vacancies and the size of the school district? Chi-square tests of independence were conducted using data from survey items 2, 15, 20, 25 and 27. Item 2 asked respondents to indicate the size of their district as small, medium or large. Items 15, 20 and 25 asked respondents if there was a shortage of principal candidates at the elementary, middle and high school levels, respectively. Data about anticipated principal shortages in the next 12 months were collected in Item 27.
Thirty-six (36) districts—15 small, 13 medium and 8 large—responded to item 2 indicating the size of their districts. Crosstabulations were run to compare district size with shortages at the elementary, middle and high school levels. Responses were grouped by: (a) surplus of well-qualified applicants, (b) shortage of well-qualified applicants, and (c) right number of well-qualified applicants.

Crosstabulation of district size with the variables surplus, shortage, and the right number of well-qualified principal candidates at the elementary school level was conducted. Table 4-1 reports a chi-square value of 8.65 with 4 degrees of freedom at a critical value of 9.49. The chi-square value of 8.65 is less than the critical value of 9.49 at an alpha level of .05. Thus it was determined that there is no relationship between district size and a shortage of well-qualified principal candidates—shortages were reported to exist in school districts at the elementary school level regardless of size.

Crosstabulation of district size with the variables surplus, shortage, and the right number of well-qualified principal candidates at the middle school level was conducted. Table 4-2 reports a chi-square value of 12.27 with 4 degrees of freedom at a critical value of 9.49. The chi-square value of 12.27 is greater than the critical value of 9.49 at an alpha level of .05. It was determined that, based on district size, there was a significant relationship between district size and a shortage of well-qualified middle school principal candidates. Shortages were reported to be greater at the middle school level in small school districts.

Crosstabulation of district size with the variables surplus, shortage, and the right number of well-qualified principal candidates at the high school level was conducted. Table 4-3 reports a chi-square value of 7.63 with 4 degrees of freedom at a critical value of 9.49. The chi-square value of 7.63 is less than the critical value of 9.49 at an alpha level of .05. It was determined that
there was no relationship between district size and a shortage of well-qualified principal candidates at the high school level--shortages appeared to exist in school districts at the high school level regardless of size.

Crosstabulation between district size and anticipated shortage of principal candidates in the next 12 months was conducted. Table 4-4 reports a chi-square value of .53 with 2 degrees of freedom at a critical value of 5.99. The chi-square value of .53 is less than the critical value of 5.99 at an alpha level of .05. Thus it was determined that there is no relationship between anticipated shortages of well-qualified candidates for principal vacancies and the size of school districts. Regardless of the size of the school district, about the same number of districts anticipated a shortage of well-qualified principals over the next 12 months as did not anticipate a shortage.

Research Question 2: Is there a relationship between the shortage of well-qualified candidates for principal vacancies and the presence of written succession planning policies? Collectively, survey items 15, 20, 25, 27 and 30 formed the basis of this research question. As used to answer research question 1, data were generated from items 15, 20 and 25 regarding a shortage of well-qualified principal candidates for elementary, middle and high schools. Item 27 addressed anticipated principal shortages. Item 30 asked respondents whether their districts had in place written succession plans. Chi-square tests of independence were conducted to determine significance.

Crosstabulation at the elementary school level of surplus, shortage or the right number of well-qualified candidates for principal vacancies and the presence of written succession plan policies was conducted. Table 4-5 reports a chi-square value of 7.64 with 2 degrees of freedom at a critical value of 5.99 and an alpha level of .05. The chi-square value of 7.64 is greater than the
critical value of 5.99. Thus it was determined that there is a significant relationship between the shortage of well-qualified principal candidates at the elementary level and the presence of written succession planning policies. Where written succession plans were in place, fewer shortages of well-qualified candidates for elementary school principal vacancies were experienced.

Crosstabulation at the middle school level of surplus, shortage or the right number of well-qualified candidates for principal vacancies and the presence of written succession plan policies was conducted. Table 4-6 reports a chi-square value of 6.48 with 2 degrees of freedom at a critical value of 5.99 and an alpha level of .05. The chi-square value of 6.48 is greater than the critical value of 5.99. Thus it was determined that a significant relationship exists between a shortage of well-qualified principal candidates at the middle school level and the presence of written succession planning policies. Where there were written succession plans in place, there appeared to be fewer shortages when seeking well-qualified candidates for middle school principal vacancies.

Crosstabulation of surplus, shortage and the right number of well-qualified candidates for high-school principal vacancies and the presence of written succession plan policies was conducted. Table 4-7 reports a chi-square value of 3.88 with 2 degrees of freedom at a critical value of 5.99 and an alpha level of .05. The chi-square value of 3.88 is less than the critical value of 5.99. Thus it was determined that no significant relationship existed between shortages of well-qualified principal candidates at the high school level and the presence of written succession planning policies. Shortages appeared to exist at the high school level regardless of whether a district had an administrative succession plan in place.
Crosstabulation between anticipated shortages of principal candidates in the next 12 months and the presence of written succession plan policies was conducted. Table 4-8 reports a chi-square value of .12 with 1 degree of freedom and a critical value of 3.84 at an alpha level of .05. The chi-square value of .12 is considerably less than the critical value of 3.84. Thus it was determined that no significant differences existed between shortages of well-qualified principals and the presence of written succession planning policies. Shortages of well-qualified principal candidates were anticipated in districts regardless of whether or not written succession planning policies were in place.

Research Question 3: Is there a relationship between the shortage of well-qualified female candidates for principal vacancies and the presence of written succession planning policies? Data were generated from items 9, 13, 18, 23 and 30, and chi-square tests of independence were conducted using these data. Item 9 asked respondents to indicate whether there was a need to increase the number of well-qualified women working in school-based administrative positions. Items 13, 18 and 23 addressed shortages of well-qualified female candidates for principal vacancies in elementary, middle and high school levels, respectively. Item 30 asked respondents whether their districts had written succession plans.

Table 4-9 indicates that 97% of responding districts reported that the need to increase the number of women working in school-based administrative positions was not an issue. Crosstabulation of shortages of well-qualified female candidates for vacant elementary principal positions and the presence of written succession plan policies was conducted. Table 4-10 reports a chi-square value of .49 with 1 degree of freedom and a critical value of 3.84 at an alpha level of .05. The chi-square value of .49 is considerably less than the critical value of 3.84. Thus it was determined that no significant differences existed between shortages of well-qualified female
candidates for elementary principal positions and the presence of written succession planning policies.

Crosstabulation of shortages of well-qualified female candidates for vacant middle school principal positions and the presence of written succession plan policies was conducted. Table 4-11 reports a chi-square value of 2.92 with 1 degree of freedom and a critical value of 3.84 at an alpha level of .05. The chi-square value of 2.92 is less than the critical value of 3.84. Thus it was determined that no significant differences existed between shortages of well-qualified candidates for middle school principal positions and the presence of written succession planning policies.

Crosstabulation of shortages of well-qualified female candidates for vacant high school principal positions and the presence of written succession plan policies was conducted. Table 4-12 reports a chi-square value of 1.99 with 1 degree of freedom and a critical value of 3.84 at an alpha level of .05. The chi-square value of 1.99 is less than the critical value of 3.84. Thus it was determined that no significant differences existed between shortages of well-qualified candidates for high school principal positions and the presence of written succession planning policies.

Crosstabulation of the need to increase the number of well-qualified women in vacant school level administrative positions and the presence of written succession plan policies was conducted. Table 4-13 reports a chi-square value of 2.15 with 1 degree of freedom and a critical value of 3.84 at an alpha level of .05. The chi-square value of 2.15 is less than the critical value of 3.84. Thus it was determined that no relationship existed between shortages of well-qualified female candidates for vacant principal positions and the presence of written succession planning policies. There appeared to be an adequate number of well-qualified females in school level administrative positions, regardless of whether written succession plans were in place in the school district.
Research Question 4: Is there a relationship between the shortage of well-qualified minority candidates for principal vacancies and the presence of written succession planning policies? To address this research question, data from survey items 10, 14, 19, 24 and 30 were used and chi-square tests of independence were generated. Item 10 asked that respondents indicate whether there was a need to increase the number of minorities working in school-based administrative positions. Items 14, 19 and 24 addressed the issue of shortages of well-qualified minority candidates for vacant principal positions at the elementary, middle and high school levels, respectively. As used in research questions 2 and 3, data generated from item 30 regarding the presence of written succession planning policies were also used.

Table 4-14 indicates that 22 (63%) of 35 responding districts reported that the need to increase the number of minorities working in school-based administrative positions was an issue. Seven (50%) of 14 small districts, 9 (69%) of 13 medium size districts and 6 (75%) of 8 large districts reported a need to increase minorities in school level administrative positions.

Crosstabulation of shortages of well-qualified minority candidates for vacant elementary principal positions and the presence of written succession plan policies was conducted. Table 4-15 reports a chi-square value of .71 with 1 degree of freedom and a critical value of 3.84 at an alpha level of .05. The chi-square value of .71 is considerably less than the critical value of 3.84. Thus it was determined that no significant differences existed between shortages of well-qualified minority candidates for vacant principal positions at the elementary level and the presence of written succession planning policies.

Crosstabulation of shortages of well-qualified minority candidates for vacant middle school principal positions and the presence of written succession plan policies was conducted. Table 4-16 reports a chi-square value of .66 with 1 degree of freedom and a critical value of 3.84
at an alpha level of .05. The chi-square value of .66 is considerably less than the critical value of 3.84. Thus it was determined that no significant differences existed between shortages of well-qualified minority candidates for vacant principal positions at the middle school level and the presence of written succession planning policies.

Crosstabulation of shortages of well-qualified minority candidates for vacant high school principal positions and the presence of written succession plan policies was conducted. Table 4-17 reports a chi-square value of 3.32 with 1 degree of freedom and a critical value of 3.84 at an alpha level of .05. The chi-square value of 3.32 is less than the critical value of 3.84. Thus it was determined that no significant differences existed between shortages of well-qualified minority candidates for vacant principal positions at the high school level and the presence of written succession planning policies.

Crosstabulation of the need to increase the number of well-qualified minorities in vacant school level administrative positions and the presence of written succession plan policies was conducted. Table 4-18 reports a chi-square value of .02 with 1 degree of freedom and a critical value of 3.84 at an alpha level of .05. The chi-square value of .02 is considerably less than the critical value of 3.84. No relationship existed between shortages of well-qualified minority candidates for vacant principal positions and the presences of written succession planning policies. Having a written succession plan does not assure an adequate number of well-qualified minority candidates for vacant principal positions.

Research Question 5: Do perceived barriers to having well-qualified candidates for principal vacancies differ between districts experiencing principal shortages and those districts which are not experiencing principal shortages? Twenty-five (25) of the 36 respondents completed survey question 25; however they did not follow directions to rank order the top five
perceived barriers that prevent well-qualified applicants from applying for vacant principal positions, making it impossible for the researcher to address this question as intended. It appears that most respondents merely checked barriers that they believed were present. Table 4-19 provides a description of their checked responses. The barriers selected most frequently by respondents were: insufficient salary, stress, testing/accountability pressures, time, and lack of interest by teachers.

Research Question 6: Is there a relationship between the degree to which districts encourage the development of aspiring principals and the shortage of well-qualified principal candidates? For differences between districts anticipating shortages of well-qualified principals in the next 12 months and those not anticipating shortages for each measure of survey data regarding the recruiting, hiring and training of aspiring principals, an independent samples t-test was performed with \( p \leq .05 \), 2-tailed (Table 4-20). Districts which did not anticipate shortages of well-qualified principals in the next 12 months had more policies in place for recruiting, hiring and training aspiring principals (\( M = 16.06, SD = 5.65 \)), than districts which did anticipate shortages of well-qualified principals (\( M = 12.21, SD = 4.93 \)). This difference was significant, \( t(34) = 2.18, p = .04 \) two tailed.

Analyses of Descriptive Statistics Related to Survey Data

Of those 36 districts responding to the survey, respondents included one superintendent, six assistant superintendents, one associate superintendent, 13 human resource officers, eight personnel directors, one recruiting officer, one director of the office of professional development and five designated as “other.”

Survey questions 3 through 7 asked respondents about their principal preparation programs (Table 4-21). Thirty-one (31) of 36 districts, (86%), responding to the survey, indicated that they had aspiring principal programs in place. Survey data indicated that there were relatively the
same number of districts offering induction and mentoring programs for assistant principals and new principals. Of the 36 districts surveyed 22 (61%) reported that they had induction programs in place for assistant principals and 21 (58%) had induction programs for new principals. Similarly, 22 (61%) had mentoring programs for assistant principals and 20 (56%) reported mentoring programs for new principals.

Survey question 8 asked participants to rate the quality of educational preparation programs of recent candidates for school principal positions in terms of leading and managing change and establishing a vision. Twelve (35%) of the 34 districts that responded to this question indicated that training was excellent, 20 (59%) indicated that training was adequate, and 2 (6%) indicated that they felt training was not adequate.

**Analyzes of Structured Interview Protocol**

Interview question 1: Do you consider your district to be a small, medium or large district? Respondents included two small districts, two medium size districts and two large districts. Table 4-22 indicates each respondent’s identification code and corresponding district size.

Interview question 2: Do you believe that your district is experiencing a shortage of well-qualified candidates for vacant principal positions? Both respondents from small districts indicated that there was a shortage of well-qualified candidates. One respondent from a medium size district indicated that there was a shortage of well-qualified candidates; the other indicated that although there was no shortage, there were limited numbers from which to choose. One respondent from a medium size district indicated that they were experiencing a shortage of assistant principal candidates, as well. One respondent from a large district identified the shortage specifically for secondary principals. Five of the six respondents (83%) from small, medium, and large districts reported that they were experiencing a shortage of well-qualified candidates for vacant principal positions. These comments supported the response to research
question 2 that found that shortages of well-qualified candidates appeared to occur regardless of the school district size.

Interview question 3: How would you describe a well-qualified candidate for a vacant principal position? Table 4-23 outlines responses to this question by district size. Two of six respondents identified leading with a vision as a characteristic of a highly qualified principal: one in a medium size district and one in a large district. Three respondents, one in a small and two in large districts, identified a specific characteristic of a highly qualified principal as an instructional leader, although they did not elaborate on the meaning of this characteristic. Two respondents, one in a large district and one in a medium size district, identified technology skills as important. Four respondents, one from a small district, two from medium districts and one from a large district, specifically identified appropriate certification or meeting job qualifications as important. One respondent from a large district stressed that “well-qualified” goes beyond certification and having the skills of the Florida Principal Leadership Standards. One respondent from a small district mentioned that because of a shortage of qualified candidates, her district was willing to accept a principal candidate who is willing to work on certification.

All six respondents identified leadership skills as important: being an instructional leader, collaborative leader and curriculum leader. Both respondents from large districts mentioned school culture: one ranked the ability to promote a positive learning culture as important; the other indicated the importance of creating a school culture where everyone feels part of something larger than him/herself. Both respondents from medium size districts ranked collaboration as important, as did a respondent from a large district. Understanding accountability and assessment measures was identified as important by two respondents from medium size districts.
Various aspects of human resource skills were noted by respondents: ability to recruit, hire and retain qualified teachers as well as the ability to handle personnel issues. A respondent from a large district mentioned the ability to build a team at the school and to build relationships as important characteristics. Being an ethical person was noted by one respondent, while another mentioned having good character and being a person of integrity as being characteristics of a well-qualified principal candidate. In addition, emotional stability—having a leader who could handle his/her emotion, was emotionally mature and could get along with others—was an important characteristic indicated by three respondents.

Only one respondent, from a medium size district, specifically identified management skills as important. One respondent from a large district emphasized the importance of believing that all kids can learn. This respondent also indicated the importance of building leadership in others. A respondent in a medium district stated eight important characteristics: five related to statements emphasizing personal values. In short, respondents generated responses that varied from district to district.

Table 4-24 provides a report correlating responses to question 3 to the Florida Principal Leadership Standards. Responses are categorized by respondent identification codes and by district size. For example, Respondent 2 from a medium size district and Respondent 1 from a large district both indicated that vision was an important characteristic of a well-qualified principal candidate. Only one respondent, Respondent 6, referred to all competencies as being important, in addition to mentioning instructional leadership, managing the learning environment and community and stakeholder partnerships. Combined responses from the six interviewees covered all 10 Florida Principal Leadership Standards.
Interview question 4: Do these descriptors differ based on whether the position is for elementary, middle, or high school?

Five of the six respondents identified no significant differences in descriptors among elementary, middle or high school principal applicants. Respondent 2 from a medium size district believed that differences exist.

Interview question 5: If yes, in what ways?

Respondents 1, 3, 4, 5 and 6 did not see a difference. Respondent 2, from a medium size district felt that descriptors of principals in high schools differ from those of elementary and middle school principals for various reasons: size of staff, the number of after-school activities to manage and large internal accounts. The respondent noted that basic standards must be the same but they may be more important at the high school level in the ability to manage a number of different projects. Respondent 2 also indicated that an elementary principal must have the understanding to deal with parents, who may be more involved; middle school principals must absolutely love middle school kids who are different and must be able to connect with them. Although not believing that significant differences exist, respondent 4 from a small district also mentioned the need to “love middle school aged children because they are different.”

Interview question 6: What skill do you believe aspiring principals lack that prevent them from being considered well-qualified? Table 4-25 outlines responses to this question by district size. Respondents touched on skill or ability areas lacking in aspiring principals that prevent them from being considered well-qualified for vacant principal positions. Three of the six respondents used the word, “experience” specifically, indicating a need for experiences as a teacher, mentor, member of state or local committees; and having leadership experiences that they can relate during an interview was noted by one respondent from a large district. A lack of
leadership was mentioned by three respondents, and one interviewee from a medium district mentioned situational leadership as important. Personnel issues were deemed important by three of the six respondents, including the ability to hire quality teachers, which was noted by a respondent from a large district. Working with personnel, with teachers and teacher groups were mentioned as important abilities by respondents in a small and in a medium district, while creating a positive work environment was mentioned by a respondent in a medium district. One respondent from a medium district mentioned budget knowledge as important. Seeing the big picture, having a vision and the ability to articulate it and putting all the pieces together were important attributes highlighted by two districts. A respondent from a small district emphasized organizational sensitivity as missing in some candidates and stressed that often candidates with little experience are not aware of how their actions impact the organization as a whole. No one skill or ability was mentioned by all six respondents, although basic overall experience could be concluded as highly important from several descriptions provided.

Table 4-26 provides a report correlating responses to question 6 to the Florida Principal Leadership Standards. Responses are categorized by respondent identification codes and by district size. For example, Respondents 1, 2, 5 and 6 believed that instructional leadership characteristics were lacking in aspiring principals who are not deemed well-qualified for the principalship. Only one respondent, Respondent 6, referred to all competencies as being important and often lacking in principal candidates, in addition to mentioning instructional leadership qualities.

Comparison of interview questions 3 and 6: It is the intent of this portion of the study to identify if there were commonalities among interviewees in identifying important characteristics
of well-qualified principal candidates relating to the 10 Florida Principal Leadership Standards. Questions 3 and 6 provide insight.

The researcher counted the number of statements made when respondents answered question three; that number was then compared with the number of statements by each respondent which referred directly to the Florida Principal Standards. The results were:

- Respondent 1 made 4 statements: 4 of 4 referred to the standards or 100%.
- Respondent 2 made 14 statements: 9 of 14 referred to the standards or 64%.
- Respondent 3 made 11 statements: 3 of 11 referred to the standards or 27%.
- Respondent 4 made 6 statements: 2 of 6 referred to the standards or 33%.
- Respondent 5 made 6 statements: 3 of 6 referred to the standards or 50%.
- Respondent 6 made 8 statements: 5 of 8 referred to the standards or 63%.

The researcher counted the number of statements made when respondents answered question six; that number was then compared with the number of statements by each respondent which referred directly to the Florida Principal Standards. The results were:

- Respondent 1 made 6 statements: 5 of 6 referred to the standards or 83%.
- Respondent 2 made 6 statements: 4 of 6 referred to the standards or 66%.
- Respondent 3 made 2 statements: 1 of 2 referred to the standards or 50%.
- Respondent 4 made 6 statements: 1 of 6 referred to the standards or 17%.
- Respondent 5 made 3 statements: 3 of 3 referred to the standards or 100%.
- Respondent 6 made 3 statements: 2 of 3 referred to the standards or 66%.

When the responses to questions 3 and 6 of the superintendents or their designees were compared (Table 4-27), concern for the Florida Principal Leadership Standards seemed most important to Respondent 1 from a large school district and least important to Respondent 4 from a small size district. Respondent 4 also mentioned that their district was willing to accept candidates into principal positions who were working on their principal certification, due to the inability to secure candidates who possessed certification.

References by respondents in questions 3 and 6 indicated some commonalities. The most consistent answers by the respondents to questions 3 and 6 described dispositions and are
outlined in Table 4-28. For example, Respondent 5 indicated a knowledge of curriculum as important characteristics of a well-qualified applicant for a vacant principal position (question 3); and Respondent 5 also noted that in his small district, knowledge of curriculum was lacking in some aspiring principals which kept them from being considered “well-qualified.” Being an instructional or curriculum leader was a significant attribute for Respondents 1, 5 and 6 and Respondent 5 also believed that quality was lacking in some aspiring principal candidates. Leadership abilities mentioned as important qualities of a “well-qualified” candidate included instructional and situational leadership, the ability to delegate and going beyond the skills of those that an assistant principal possessed. A variety of personal qualities outlined by those interviewed included being visionary, possessing a knowledge of human resource management, the ability to use technology, possession of collaborative skills and the ability to control emotion and having emotional maturity.

**Summary**

Chapter four presented quantitative and qualitative results of the study. Chapter five presents a discussion of the findings and implications for future study.
Table 4-1. District size elementary principal candidates crosstabulation

<table>
<thead>
<tr>
<th>District Size</th>
<th>Small</th>
<th>Count</th>
<th>% of Total</th>
<th>Surplus of well-qualified</th>
<th>Shortage of well-qualified</th>
<th>Right number of well-qualified</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>15</td>
</tr>
<tr>
<td>Small</td>
<td></td>
<td>1</td>
<td>2.9</td>
<td>11</td>
<td>8.6</td>
<td>42.9</td>
<td></td>
</tr>
<tr>
<td>Medium</td>
<td></td>
<td>2</td>
<td>5.7</td>
<td>2</td>
<td>8.6</td>
<td>22.9</td>
<td>12</td>
</tr>
<tr>
<td>Large</td>
<td></td>
<td>1</td>
<td>2.9</td>
<td>4</td>
<td>8.6</td>
<td>8</td>
<td>8</td>
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<tr>
<td>Total</td>
<td></td>
<td>4</td>
<td>11.4</td>
<td>17</td>
<td>40.0</td>
<td></td>
<td>35</td>
</tr>
</tbody>
</table>

Note. $\chi^2 (4, n = 35) = 8.65, p \geq .05$.

Table 4-2. District size middle school principal candidates crosstabulation

<table>
<thead>
<tr>
<th>District Size</th>
<th>Small</th>
<th>Count</th>
<th>% of Total</th>
<th>Surplus of well-qualified</th>
<th>Shortage of well-qualified</th>
<th>Right number of well-qualified</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12</td>
</tr>
<tr>
<td>Small</td>
<td></td>
<td>1</td>
<td>3.0</td>
<td>9</td>
<td>2</td>
<td>27.3</td>
<td>36.4</td>
</tr>
<tr>
<td>Medium</td>
<td></td>
<td>0</td>
<td>0.0</td>
<td>2</td>
<td>11</td>
<td>2.3</td>
<td>13</td>
</tr>
<tr>
<td>Large</td>
<td></td>
<td>0</td>
<td>0.0</td>
<td>4</td>
<td>4</td>
<td>12.1</td>
<td>8</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>1</td>
<td>3.0</td>
<td>15</td>
<td>17</td>
<td></td>
<td>33</td>
</tr>
</tbody>
</table>

Note. 33 respondents; 3 respondents had no vacancies at middle school level. $\chi^2 (4, n = 33) = 12.27, p \leq .05^*$.  

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Table 4-3. District size high school principal candidates crosstabulation

<table>
<thead>
<tr>
<th>District Size</th>
<th>Surplus of well-qualified</th>
<th>Shortage of well-qualified</th>
<th>Right number of well-qualified</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Small</td>
<td>Count</td>
<td>1</td>
<td>12</td>
<td>14</td>
</tr>
<tr>
<td></td>
<td>% of Total</td>
<td>3.0</td>
<td>36.4</td>
<td>42.4</td>
</tr>
<tr>
<td>Medium</td>
<td>Count</td>
<td>0</td>
<td>5</td>
<td>11</td>
</tr>
<tr>
<td></td>
<td>% of Total</td>
<td>0.0</td>
<td>15.2</td>
<td>33.4</td>
</tr>
<tr>
<td>Large</td>
<td>Count</td>
<td>0</td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>% of Total</td>
<td>0.0</td>
<td>15.2</td>
<td>24.2</td>
</tr>
<tr>
<td>Total</td>
<td>Count</td>
<td>1</td>
<td>22</td>
<td>33</td>
</tr>
<tr>
<td></td>
<td>% of Total</td>
<td>3.0</td>
<td>66.7</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Note. $\chi^2 (4, n = 33) = 7.63, p \geq .05.$

Table 4-4. District size anticipate shortage in next 12 months crosstabulation

<table>
<thead>
<tr>
<th>Anticipate shortage in next 12 months</th>
<th>No</th>
<th>Yes</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>District Size</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Small</td>
<td>7</td>
<td>8</td>
<td>15</td>
</tr>
<tr>
<td>Medium</td>
<td>7</td>
<td>6</td>
<td>13</td>
</tr>
<tr>
<td>Large</td>
<td>3</td>
<td>5</td>
<td>8</td>
</tr>
<tr>
<td>Total</td>
<td>17</td>
<td>19</td>
<td>36</td>
</tr>
</tbody>
</table>

Note. 36 respondents. $\chi^2 (2, n = 36) = .53, p \geq .05$
Table 4-5. Elementary principal candidates written succession plan crosstabulation

<table>
<thead>
<tr>
<th></th>
<th>Written Succession Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Elementary</td>
<td></td>
</tr>
<tr>
<td>Principal candidates</td>
<td></td>
</tr>
<tr>
<td>Surplus of well-qualified</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>2</td>
</tr>
<tr>
<td>% of Total</td>
<td>5.7</td>
</tr>
<tr>
<td>Shortage of well-qualified</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>9</td>
</tr>
<tr>
<td>% of Total</td>
<td>25.7</td>
</tr>
<tr>
<td>Right number of well-qualified</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>1</td>
</tr>
<tr>
<td>% of Total</td>
<td>2.9</td>
</tr>
<tr>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>12</td>
</tr>
<tr>
<td>% of Total</td>
<td>34.3</td>
</tr>
</tbody>
</table>

*Note. χ² (2, n=35) =7.64, p ≤.05*.

---

Table 4-6. Middle school principal candidates written succession plan crosstabulation

<table>
<thead>
<tr>
<th></th>
<th>Written Succession Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No</td>
</tr>
<tr>
<td>MS Principal candidates</td>
<td></td>
</tr>
<tr>
<td>Surplus of well-qualified</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>0</td>
</tr>
<tr>
<td>% of Total</td>
<td>0.0</td>
</tr>
<tr>
<td>Shortage of well-qualified</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>8</td>
</tr>
<tr>
<td>% of Total</td>
<td>25.0</td>
</tr>
<tr>
<td>Right number of well-qualified</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>2</td>
</tr>
<tr>
<td>% of Total</td>
<td>6.3</td>
</tr>
<tr>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>10</td>
</tr>
<tr>
<td>% of Total</td>
<td>31.3</td>
</tr>
</tbody>
</table>

*Note. χ² (2, n=35) =6.48, p ≤.05*.

---

Table 4-7. High school principal candidates written succession plan crosstabulation

<table>
<thead>
<tr>
<th></th>
<th>Written Succession Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No</td>
</tr>
<tr>
<td>HS Principal candidates</td>
<td></td>
</tr>
<tr>
<td>Surplus of well-qualified</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>0</td>
</tr>
<tr>
<td>% of Total</td>
<td>0.0</td>
</tr>
<tr>
<td>Shortage of well-qualified</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>10</td>
</tr>
<tr>
<td>% of Total</td>
<td>31.3</td>
</tr>
<tr>
<td>Right number of well-qualified</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>1</td>
</tr>
<tr>
<td>% of Total</td>
<td>3.1</td>
</tr>
<tr>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>Count</td>
<td>11</td>
</tr>
<tr>
<td>% of Total</td>
<td>34.4</td>
</tr>
</tbody>
</table>

*Note. χ² (2, n=32) =3.88, p ≥.05.*
### Table 4-8. Anticipate shortage in next 12 months written succession plan crosstabulation

<table>
<thead>
<tr>
<th></th>
<th>Written Succession Plan</th>
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<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>No</td>
<td>Yes</td>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>Anticipate shortage</td>
<td></td>
<td>Count</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>in next 12 months</td>
<td></td>
<td>5</td>
<td>11</td>
<td>16</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>% of Total</td>
<td>14.3</td>
<td>31.4</td>
<td>45.7</td>
</tr>
<tr>
<td>Anticipate shortage</td>
<td></td>
<td>Count</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>in next 12 months</td>
<td></td>
<td>7</td>
<td>12</td>
<td>19</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>% of Total</td>
<td>20.0</td>
<td>34.3</td>
<td>54.3</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>Count</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>12</td>
<td>23</td>
<td>35</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>% of Total</td>
<td>34.3</td>
<td>65.7</td>
<td>100.0</td>
</tr>
</tbody>
</table>

*Note.* $\chi^2 (1, n=35) = .12$, $p \geq .05$.  

### Table 4-9. Need to increase females in school level administrative positions compared by district size.

<table>
<thead>
<tr>
<th></th>
<th>Small</th>
<th></th>
<th></th>
<th>Medium</th>
<th></th>
<th></th>
<th>Large</th>
<th></th>
<th>Total</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>F</td>
<td>%</td>
<td>F</td>
<td>%</td>
<td>F</td>
<td>%</td>
<td>F</td>
<td>%</td>
<td></td>
<td></td>
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<tr>
<td>No</td>
<td>13</td>
<td>93</td>
<td>13</td>
<td>100</td>
<td>8</td>
<td>100</td>
<td>34</td>
<td>97</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>1</td>
<td>7</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<td>13</td>
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<td>8</td>
<td>100</td>
<td>35</td>
<td>100</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Table 4-10. Elementary female candidates written succession plan crosstabulation

<table>
<thead>
<tr>
<th></th>
<th>Written Succession Plan</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>No</td>
<td>Yes</td>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>Elementary female</td>
<td></td>
<td>Count</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>candidates</td>
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<td>0</td>
<td>1</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>% of Total</td>
<td>0.0</td>
<td>3.2</td>
<td>3.2</td>
</tr>
<tr>
<td>Yes</td>
<td></td>
<td>Count</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>10</td>
<td>20</td>
<td>30</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>% of Total</td>
<td>32.3</td>
<td>64.5</td>
<td>96.8</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>Count</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>10</td>
<td>21</td>
<td>31</td>
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<td></td>
<td></td>
<td>% of Total</td>
<td>32.3</td>
<td>67.7</td>
<td>100.0</td>
</tr>
</tbody>
</table>

*Note.* $\chi^2 (1, n=31) = .49$, $p \geq .05$.  

### Table 4-11. Middle school female candidates written succession plan crosstabulation

<table>
<thead>
<tr>
<th></th>
<th>Written Succession Plan</th>
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<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>No</td>
<td>Yes</td>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>MS female candidates</td>
<td></td>
<td>Count</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2</td>
<td>1</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>% of Total</td>
<td>7.4</td>
<td>3.7</td>
<td>11.1</td>
</tr>
<tr>
<td>Yes</td>
<td></td>
<td>Count</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>5</td>
<td>19</td>
<td>24</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>% of Total</td>
<td>18.5</td>
<td>70.4</td>
<td>88.9</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>Count</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>7</td>
<td>20</td>
<td>27</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>% of Total</td>
<td>25.9</td>
<td>74.1</td>
<td>100.0</td>
</tr>
</tbody>
</table>

*Note.* $\chi^2 (1, n=27) = 2.92$, $p \geq .05$.  

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Table 4-12. High school female candidates written succession plan crosstabulation

<table>
<thead>
<tr>
<th>Written Succession Plan</th>
<th>No</th>
<th>Yes</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>HS female candidates</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No</td>
<td>5</td>
<td>4</td>
<td>9</td>
</tr>
<tr>
<td>% of Total</td>
<td>18.5</td>
<td>14.8</td>
<td>33.3</td>
</tr>
<tr>
<td>Yes</td>
<td>5</td>
<td>13</td>
<td>18</td>
</tr>
<tr>
<td>% of Total</td>
<td>18.5</td>
<td>48.1</td>
<td>66.7</td>
</tr>
<tr>
<td>Total</td>
<td>10</td>
<td>17</td>
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</tr>
<tr>
<td>% of Total</td>
<td>37.0</td>
<td>63.0</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Note. $\chi^2 (1, n=27) = 1.99, p \geq .05.$

Table 4-13. Need to increase women written succession plan crosstabulation

<table>
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<tr>
<th>Written Succession Plan</th>
<th>No</th>
<th>Yes</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
<td></td>
</tr>
<tr>
<td>No</td>
<td>10</td>
<td>23</td>
<td>33</td>
</tr>
<tr>
<td>% of Total</td>
<td>29.4</td>
<td>67.6</td>
<td>97.1</td>
</tr>
<tr>
<td>Yes</td>
<td>1</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>% of Total</td>
<td>2.9</td>
<td>0.0</td>
<td>2.9</td>
</tr>
<tr>
<td>Total</td>
<td>11</td>
<td>23</td>
<td>34</td>
</tr>
<tr>
<td>% of Total</td>
<td>32.4</td>
<td>67.6</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Note. $\chi^2 (1, n =34) = 2.15, p \geq .05.$

Table 4-14. Need to increase minorities in school level administrative positions compared by district size.

<table>
<thead>
<tr>
<th></th>
<th>Small</th>
<th></th>
<th>Medium</th>
<th></th>
<th>Large</th>
<th></th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>F</td>
<td>%</td>
<td>F</td>
<td>%</td>
<td>F</td>
<td>%</td>
<td>F</td>
</tr>
<tr>
<td>No</td>
<td>7</td>
<td>50</td>
<td>4</td>
<td>31</td>
<td>2</td>
<td>25</td>
<td>13</td>
</tr>
<tr>
<td>Yes</td>
<td>7</td>
<td>50</td>
<td>9</td>
<td>69</td>
<td>6</td>
<td>75</td>
<td>22</td>
</tr>
<tr>
<td>Total</td>
<td>14</td>
<td>100</td>
<td>13</td>
<td>100</td>
<td>8</td>
<td>100</td>
<td>35</td>
</tr>
</tbody>
</table>

Table 4-15. Elementary minority candidates written succession plan crosstabulation

<table>
<thead>
<tr>
<th>Written Succession Plan</th>
<th>No</th>
<th>Yes</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Elementary minority candidates</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No</td>
<td>4</td>
<td>5</td>
<td>9</td>
</tr>
<tr>
<td>% of Total</td>
<td>13.3</td>
<td>16.7</td>
<td>30.0</td>
</tr>
<tr>
<td>Yes</td>
<td>6</td>
<td>15</td>
<td>21</td>
</tr>
<tr>
<td>% of Total</td>
<td>20.0</td>
<td>50.0</td>
<td>70.0</td>
</tr>
<tr>
<td>Total</td>
<td>10</td>
<td>20</td>
<td>30</td>
</tr>
<tr>
<td>% of Total</td>
<td>33.3</td>
<td>66.7</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Note. $\chi^2 (1, n =30) = .71, p \geq .05.$
Table 4-16. Middle school minority candidates written succession plan crosstabulation.

<table>
<thead>
<tr>
<th>Written Succession Plan</th>
<th>No</th>
<th>Yes</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>MS minority candidates</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No</td>
<td>3</td>
<td>5</td>
<td>8</td>
</tr>
<tr>
<td>% of Total</td>
<td>11.5</td>
<td>19.2</td>
<td>30.8</td>
</tr>
<tr>
<td>Yes</td>
<td>4</td>
<td>14</td>
<td>18</td>
</tr>
<tr>
<td>% of Total</td>
<td>15.4</td>
<td>53.8</td>
<td>69.2</td>
</tr>
<tr>
<td>Total</td>
<td>7</td>
<td>19</td>
<td>26</td>
</tr>
<tr>
<td>% of Total</td>
<td>26.9</td>
<td>73.1</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Note. $\chi^2 (1, n = 26) = .66, p \geq .05$.

Table 4-17. High school minority candidates written succession plan crosstabulation.

<table>
<thead>
<tr>
<th>Written Succession Plan</th>
<th>No</th>
<th>Yes</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>HS minority candidates</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No</td>
<td>8</td>
<td>8</td>
<td>16</td>
</tr>
<tr>
<td>% of Total</td>
<td>28.6</td>
<td>28.6</td>
<td>57.1</td>
</tr>
<tr>
<td>Yes</td>
<td>2</td>
<td>10</td>
<td>12</td>
</tr>
<tr>
<td>% of Total</td>
<td>7.1</td>
<td>35.7</td>
<td>42.9</td>
</tr>
<tr>
<td>Total</td>
<td>10</td>
<td>18</td>
<td>28</td>
</tr>
<tr>
<td>% of Total</td>
<td>35.7</td>
<td>64.3</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Note. $\chi^2 (1, n = 28) = 3.32, p \geq .05$.

Table 4-18. Need to increase minorities written succession plan crosstabulation.

<table>
<thead>
<tr>
<th>Written Succession Plan</th>
<th>No</th>
<th>Yes</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Need to increase minorities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No</td>
<td>4</td>
<td>9</td>
<td>13</td>
</tr>
<tr>
<td>% of Total</td>
<td>11.8</td>
<td>26.5</td>
<td>38.2</td>
</tr>
<tr>
<td>Yes</td>
<td>7</td>
<td>14</td>
<td>21</td>
</tr>
<tr>
<td>% of Total</td>
<td>20.6</td>
<td>41.2</td>
<td>61.8</td>
</tr>
<tr>
<td>Total</td>
<td>11</td>
<td>23</td>
<td>34</td>
</tr>
<tr>
<td>% of Total</td>
<td>32.4</td>
<td>67.6</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Note. $\chi^2 (1, n = 34) = .02, p \geq .05$. 

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Table 4-19. Descriptive statistics: Barriers that prevent well-qualified candidates from applying for vacant principal positions

<table>
<thead>
<tr>
<th>Barrier</th>
<th>Frequency No</th>
<th>Percent No</th>
<th>Frequency Yes</th>
<th>Percent Yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stress</td>
<td>6</td>
<td>24</td>
<td>19</td>
<td>76</td>
</tr>
<tr>
<td>Societal Problems</td>
<td>19</td>
<td>76</td>
<td>6</td>
<td>24</td>
</tr>
<tr>
<td>Time</td>
<td>9</td>
<td>36</td>
<td>16</td>
<td>64</td>
</tr>
<tr>
<td>Testing/Accountability And Community</td>
<td>7</td>
<td>18</td>
<td>18</td>
<td>72</td>
</tr>
<tr>
<td>Demands of Parents</td>
<td>15</td>
<td>60</td>
<td>10</td>
<td>40</td>
</tr>
<tr>
<td>Less Satisfying in Practice</td>
<td>17</td>
<td>68</td>
<td>8</td>
<td>32</td>
</tr>
<tr>
<td>Inadequate School Funding</td>
<td>21</td>
<td>84</td>
<td>4</td>
<td>16</td>
</tr>
<tr>
<td>Salary Not Sufficient</td>
<td>6</td>
<td>24</td>
<td>19</td>
<td>76</td>
</tr>
<tr>
<td>Teachers Not Interested</td>
<td>10</td>
<td>40</td>
<td>15</td>
<td>60</td>
</tr>
<tr>
<td>Bad Press/Media</td>
<td>22</td>
<td>88</td>
<td>3</td>
<td>12</td>
</tr>
<tr>
<td>Lack of Tenure</td>
<td>22</td>
<td>88</td>
<td>3</td>
<td>12</td>
</tr>
<tr>
<td>Loss of Teacher Tenure</td>
<td>21</td>
<td>84</td>
<td>4</td>
<td>16</td>
</tr>
<tr>
<td>Openings Not Well Publicized</td>
<td>23</td>
<td>92</td>
<td>2</td>
<td>8</td>
</tr>
<tr>
<td>Lack of Preparation</td>
<td>23</td>
<td>92</td>
<td>2</td>
<td>8</td>
</tr>
<tr>
<td>Other</td>
<td>21</td>
<td>84</td>
<td>4</td>
<td>16</td>
</tr>
</tbody>
</table>

*Note. N=25*

Table 4-20. Independent Samples t-test. Recruiting, hiring, training policies and anticipated shortage of principal candidates.

<table>
<thead>
<tr>
<th>Anticipate shortage in next 12 mo.</th>
<th>N</th>
<th>M</th>
<th>SD</th>
<th>t</th>
<th>df</th>
<th>p</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
<td>17</td>
<td>16.06</td>
<td>5.65</td>
<td>2.18</td>
<td>34</td>
<td>*0.04</td>
</tr>
<tr>
<td>Yes</td>
<td>19</td>
<td>12.21</td>
<td>4.93</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Note. p≤0.05*.
### Table 4-21. Survey questions 3-7: Principal preparation programs

<table>
<thead>
<tr>
<th>Program</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aspiring Principal’s Program</td>
<td>31</td>
<td>86</td>
</tr>
<tr>
<td>Induction for Assistant Principals</td>
<td>22</td>
<td>65</td>
</tr>
<tr>
<td>Mentoring for Assistant Principals</td>
<td>22</td>
<td>85</td>
</tr>
<tr>
<td>Induction for New Principals</td>
<td>21</td>
<td>58</td>
</tr>
<tr>
<td>Mentoring for New Principals</td>
<td>20</td>
<td>56</td>
</tr>
</tbody>
</table>

*Note: N=36*

### Table 4-22. Respondent identification code and district size

<table>
<thead>
<tr>
<th>Respondent Identification Code</th>
<th>District Size</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Large</td>
</tr>
<tr>
<td>2</td>
<td>Medium</td>
</tr>
<tr>
<td>3</td>
<td>Medium</td>
</tr>
<tr>
<td>4</td>
<td>Small</td>
</tr>
<tr>
<td>5</td>
<td>Small</td>
</tr>
<tr>
<td>6</td>
<td>Large</td>
</tr>
</tbody>
</table>

*Note. Numbers indicate respondent identification codes.*
<table>
<thead>
<tr>
<th>Small Districts</th>
<th>Medium Districts</th>
<th>Large Districts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leading with vision</td>
<td>Leading with vision</td>
<td>Leading with vision</td>
</tr>
<tr>
<td>Instructional leader</td>
<td>Instructional leader</td>
<td>Instructions leader</td>
</tr>
<tr>
<td></td>
<td>Possesses technology skills</td>
<td>Possesses technology skills</td>
</tr>
<tr>
<td>Meets job qualifications (has appropriate certification)</td>
<td>Meets job qualifications (has appropriate certification)</td>
<td>Meets job qualifications (has appropriate certification)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Goes beyond having certification and having skills of Florida Principal’s Competencies</td>
</tr>
<tr>
<td>Possesses leadership skills: instructional leader</td>
<td>Possesses leadership skills</td>
<td>Possesses leadership skill: instructional leader, curriculum leader</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Promotes a positive learning culture; creates a culture where everyone feels a part of something larger than themselves</td>
</tr>
<tr>
<td>Successful teacher</td>
<td>Successful teacher</td>
<td></td>
</tr>
<tr>
<td>Possesses appropriate background, training and experience</td>
<td>Possesses appropriate background, training and experience</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ability to manage</td>
<td>Collaborative skills: ability to build relationships; team builder</td>
</tr>
<tr>
<td></td>
<td>Collaborative skills; ability to build community and stakeholder partnerships</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Effective decision making strategies</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Values Diversity</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Knowledge of accountability and assessment measures</td>
<td></td>
</tr>
</tbody>
</table>
Table 4-23 Continued

<table>
<thead>
<tr>
<th>Small Districts</th>
<th>Medium Districts</th>
<th>Large Districts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human resource skills</td>
<td>Human resource skills: ability to recruit, hire and retain qualified teachers</td>
<td>Human resource skills</td>
</tr>
<tr>
<td>Ability to coach and mentor other educators</td>
<td>Ability to build leadership in others</td>
<td></td>
</tr>
<tr>
<td>Highly ethical; has integrity; has character; good personality; family oriented; multi-tasker</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ability to control emotions</td>
<td>Ability to control emotions</td>
<td>Ability to control emotions</td>
</tr>
<tr>
<td>Dynamic</td>
<td>Ability to control emotions</td>
<td>Believes all children can learn</td>
</tr>
</tbody>
</table>

Table 4-24. Question 3: Florida principal leadership standards by respondent

<table>
<thead>
<tr>
<th>Standard</th>
<th>Small</th>
<th>Medium</th>
<th>Large</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vision</td>
<td>2</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Instructional Leadership</td>
<td>5</td>
<td>1, 6</td>
<td></td>
</tr>
<tr>
<td>Managing the Learning Environment</td>
<td>2, 3</td>
<td>1, 6</td>
<td></td>
</tr>
<tr>
<td>Community and Stakeholder Partnerships</td>
<td>2</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>Decision Making Strategies</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Diversity</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technology</td>
<td>2, 3</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Learning, Accountability and Assessment</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Human Resource Development</td>
<td>5</td>
<td>2</td>
<td>6</td>
</tr>
<tr>
<td>Ethical Leadership</td>
<td>2, 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>All Competencies</td>
<td></td>
<td>6</td>
<td></td>
</tr>
</tbody>
</table>

_Note._ Numbers indicate respondent identification codes.
<table>
<thead>
<tr>
<th>Small Districts</th>
<th>Medium Districts</th>
<th>Large Districts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ability to delegate</td>
<td>Human resources</td>
<td>Human resource development: ability to hire and select good teachers that know technology, assessment, curriculum and have instructional ability.</td>
</tr>
<tr>
<td>Organizational sensitivity—may not understand how their actions affect others in the organization.</td>
<td>Teachers who are successful in the classroom lack the ability to look at the big picture.</td>
<td>Ability to put all the pieces together to select candidates that have all that is needed in today’s world.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Ability to articulate a vision.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Ability to create a positive working environment.</td>
</tr>
<tr>
<td>Organizational skills: complete things, meet deadlines, work overtime.</td>
<td>Management; managing a budget.</td>
<td>Locate resources</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Leadership component</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Experience on county or statewide committees; Leadership experiences beyond assistant principal; leadership on district-wide committees; school advisory committee chair.</td>
</tr>
<tr>
<td>Devotion to staff and kids—has an affinity for kids.</td>
<td>Knowledge of curriculum; instructional leadership</td>
<td></td>
</tr>
</tbody>
</table>
Table 4-26. Question 6: Florida principal leadership standards by respondent

<table>
<thead>
<tr>
<th>Standard</th>
<th>Small</th>
<th>Medium</th>
<th>Large</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vision</td>
<td></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td>Instructional Leadership</td>
<td>5</td>
<td>2</td>
<td>1, 6</td>
</tr>
<tr>
<td>Managing the Learning Environment</td>
<td>5</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Community and Stakeholder Partnerships</td>
<td></td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>Decision Making Strategies</td>
<td></td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>Diversity Technology</td>
<td></td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Learning, Accountability and Assessment</td>
<td></td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Human Resource Development</td>
<td>5</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Ethical Leadership</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>All Competencies</td>
<td></td>
<td></td>
<td>6</td>
</tr>
</tbody>
</table>

Note: Numbers indicate respondent identification codes.

Table 4-27. Questions 3 and 6: Reference to Florida principal leadership standards by percentage

<table>
<thead>
<tr>
<th>Respondent identification code</th>
<th>Question 3</th>
<th>Question 6</th>
<th>M</th>
<th>District size</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>100%</td>
<td>83%</td>
<td>91.5%</td>
<td>Large</td>
</tr>
<tr>
<td>2</td>
<td>64%</td>
<td>66%</td>
<td>65.0%</td>
<td>Medium</td>
</tr>
<tr>
<td>3</td>
<td>27%</td>
<td>50%</td>
<td>38.5%</td>
<td>Medium</td>
</tr>
<tr>
<td>4</td>
<td>33%</td>
<td>17%</td>
<td>25.0%</td>
<td>Small</td>
</tr>
<tr>
<td>5</td>
<td>50%</td>
<td>100%</td>
<td>75.0%</td>
<td>Small</td>
</tr>
<tr>
<td>6</td>
<td>63%</td>
<td>66%</td>
<td>64.5%</td>
<td>Large</td>
</tr>
</tbody>
</table>
Table 4-28. Dispositions by respondent for questions 3 and 6.

<table>
<thead>
<tr>
<th>Disposition</th>
<th>Respondent/Question 3 or 6</th>
</tr>
</thead>
<tbody>
<tr>
<td>Possesses knowledge of curriculum</td>
<td>5/3; 5/6</td>
</tr>
<tr>
<td>Has the ability to promote a positive learning culture</td>
<td>1/3</td>
</tr>
<tr>
<td>Is an instructional and/or curriculum leader</td>
<td>1/3; 5/3; 5/6; 6/3</td>
</tr>
<tr>
<td>Locates resources</td>
<td>5/6</td>
</tr>
<tr>
<td>Understands budgets &amp; money</td>
<td>2/6</td>
</tr>
<tr>
<td>Is experienced:</td>
<td></td>
</tr>
<tr>
<td>As a mentor</td>
<td>3/3; 6/6</td>
</tr>
<tr>
<td>As a teacher or assistant principal</td>
<td>2/3; 4/3</td>
</tr>
<tr>
<td>As a state and/or local committee member</td>
<td>3/6</td>
</tr>
<tr>
<td>As a leader</td>
<td>6/6</td>
</tr>
<tr>
<td>Possesses leadership ability</td>
<td></td>
</tr>
<tr>
<td>Is an instructional/curriculum leader</td>
<td>1/3; 5/3; 5/6; 6/3</td>
</tr>
<tr>
<td>Possesses situational leadership skills</td>
<td>3/3</td>
</tr>
<tr>
<td>Exhibits leadership beyond assistant principal</td>
<td>3/6</td>
</tr>
<tr>
<td>Has the ability to delegate</td>
<td>4/6</td>
</tr>
<tr>
<td>Is visionary</td>
<td>1/3; 2/3</td>
</tr>
<tr>
<td>Has the ability to articulate a vision</td>
<td>2/6</td>
</tr>
<tr>
<td>Creates a positive work environment</td>
<td>2/6</td>
</tr>
<tr>
<td>Creates a positive learning culture</td>
<td>1/3</td>
</tr>
<tr>
<td>Creates a school culture where everyone feels part of something larger than him/herself</td>
<td>6/3</td>
</tr>
<tr>
<td>Possesses knowledge of human resource management:</td>
<td></td>
</tr>
<tr>
<td>Coaches and mentors</td>
<td>2/3</td>
</tr>
<tr>
<td>Hires quality teachers that know curriculum, technology, assessment, etc.</td>
<td>1/6</td>
</tr>
<tr>
<td>Has the ability to work with personnel</td>
<td>5/6</td>
</tr>
<tr>
<td>Has the ability to work with teachers and teacher groups</td>
<td>2/6</td>
</tr>
<tr>
<td>Devotion to staff</td>
<td>4/6</td>
</tr>
<tr>
<td>Has the ability to use technology</td>
<td>1/3; 2/3</td>
</tr>
<tr>
<td>Exhibits personal qualities</td>
<td></td>
</tr>
<tr>
<td>Possesses collaborative skills</td>
<td>2/3; 3/3; 2/6</td>
</tr>
<tr>
<td>Possesses decision making ability</td>
<td>2/3</td>
</tr>
<tr>
<td>Values diversity</td>
<td>2/3</td>
</tr>
<tr>
<td>Is ethical</td>
<td>2/3</td>
</tr>
<tr>
<td>Exhibits a good personality</td>
<td>3/3</td>
</tr>
<tr>
<td>Is family oriented</td>
<td>3/3</td>
</tr>
<tr>
<td>Possesses integrity</td>
<td>3/3</td>
</tr>
<tr>
<td>Controls emotion; has emotional maturity</td>
<td>3/3; 6/3; 4/3</td>
</tr>
<tr>
<td>Gets along well with others</td>
<td>3/4</td>
</tr>
<tr>
<td>Takes initiative</td>
<td>4/3</td>
</tr>
<tr>
<td>Is dynamic</td>
<td>5/3</td>
</tr>
<tr>
<td>Believes that all kids can learn</td>
<td>6/3</td>
</tr>
<tr>
<td>Devotion to staff and kids</td>
<td>4/6</td>
</tr>
<tr>
<td>Possesses knowledge of research &amp; data analysis</td>
<td>2/3</td>
</tr>
<tr>
<td>Handles discipline</td>
<td>5/3</td>
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CHAPTER 5
SUMMARY, DISCUSSION AND RECOMMENDATIONS

Summary of Results

The purpose of this study was to explore the shortage of well-qualified principals and succession planning policies developed by Florida School Districts. Quantitative data were collected through the use of a survey instrument sent to all 67 Florida school districts. The response rate was 36 or 54%. The sample consisted of 15 small districts (less than 10,000 students), 13 medium size districts (between 10,000 and 50,000 students), and 8 large districts (more than 50,000 students). Qualitative data was gathered through telephone interviews with individual district office administrators from two small, two medium and two large districts in Florida to explore the meaning of “well-qualified” as it relates to candidates for vacant principal positions.

Information gathered from this research study adds to the current body of research on principal shortages and succession planning policies in school districts. The results will assist school districts in focusing their succession planning efforts where they may be most useful. Additionally, universities, national, state and local principal associations, as well as professional educational organizations may desire to utilize information from this research to further their own research and to design professional development and leadership training that will meet needs identified by this researcher.

Six research questions were formulated to produce quantitative data related to the relationship between the shortage of well-qualified principals, including female and minority candidates, and district size. Chi-square tests were used to determine whether relationships existed between district size and shortages of well-qualified principal candidates; relationships between district size and shortages of well-qualified female and minority candidates; and
relationships between shortages of well-qualified principal candidates and the presence of district succession policies. A t-test for independent samples was used to determine significance between the extent to which succession planning policies are in place and the shortage of well-qualified principal candidates. Descriptive data collected from the survey provided insight into the quality of educational leadership preparation programs and the types of district preparation programs currently in place for aspiring principals.

To explore the meaning of the term “well-qualified” as it relates to aspiring principals, an interview protocol was developed by the researcher. This information collected through telephone interviews was analyzed for commonalities among small, medium and large districts and compared to the 10 Florida Principal Leadership Standards (Florida Department of Education, 2005b).

**Analyses of Survey Data Related to Research Questions**

Research Question 1: Is there a relationship between a shortage of well-qualified candidates for principal vacancies and the size of the school district? No relationship was found to exist between district size and a shortage of well-qualified principal candidates—however shortages were reported to exist in school districts, regardless of their size, at the elementary school level. There was a relationship between district size and a shortage of well-qualified middle school principal candidates. Shortages were reported to be greater at the middle school level in small school districts. There was no relationship between district size and a shortage of well-qualified principal candidates at the high school level--shortages of principals at the high school level were reported to exist in school districts of all sizes. Regardless of the size of the school district, about the same number of districts anticipated a shortage of well-qualified principals over the next 12 months as did not anticipate a shortage.
Research Question 2: Is there a relationship between the shortage of well-qualified candidates for principal vacancies and the presence of written succession planning policies? Significance was found between the presence of written succession plans and well-qualified principal shortages. Where written succession plans were in place, fewer shortages of well-qualified candidates for elementary and middle school principal vacancies were experienced. No significance was found between anticipated shortages of well-qualified principal candidates and the presence of written succession plans. Districts having succession plans and those not having succession plans all anticipated principal shortages in the next 12 months.

Research Question 3: Is there a relationship between the shortage of well-qualified female candidates for principal vacancies and the presence of written succession planning policies? No relationship was found between the shortage of well-qualified female candidates for principal vacancies and the presence of written succession planning policies. There appeared to be a sufficient number of well-qualified female candidates for vacant principal positions regardless of whether written succession planning policies were in place.

Research Question 4: Is there a relationship between the shortage of well-qualified minority candidates for principal vacancies and the presence of written succession planning policies? No relationship was found between the shortage of well-qualified minority candidates for principal vacancies and the presence of written succession planning policies. There appeared to be an insufficient number of well-qualified minority candidates for vacant principal positions regardless of whether written succession planning policies were in place.

Research Question 5: Do perceived barriers to having well-qualified candidates for principal vacancies differ between districts experiencing principal shortages and those districts which are not experiencing principal shortages? Respondents incorrectly followed directions on
the survey, making it impossible to determine whether perceived barriers to having well-
qualified candidates for principal vacancies differed between districts experiencing principal 
shortages and those not experiencing shortages. The perceived barriers most frequently selected 
by respondents were insufficient salary, stress, testing/accountability pressures, time, and lack of 
interest by teachers.

Research Question 6: Is there a relationship between the degree to which districts 
encourage the development of aspiring principals and the shortage of well-qualified principal 
candidates? Significance was determined to exist between the degree to which districts 
encourage the development of aspiring principals and the shortage of well-qualified principal 
candidates. Districts which did not anticipate shortages of well-qualified principals in the next 12 
months had more succession plan components in place for recruiting, hiring and training new 
and aspiring principals than districts that did anticipate shortages.

Descriptive Statistics from Survey Data

Thirty-one (31) of the 36 districts, 91%, responding to the survey indicated that they had 
aspiring principal programs in place. Nearly 2/3 (63%) of these districts reported offering 
induction and mentoring programs for assistant principals and new principals.

When asked to rate the quality of educational preparation programs of recent candidates 
for school principal positions in terms of leading and managing change and establishing a vision, 
12 (33%) of the responding school districts indicated that training was excellent, 20 (56%) 
indicated that training was adequate, and only 2 (6%) indicated that they felt training was not 
adequate. Two (2) districts did not respond to this question.

Analysis of Structured Interview Protocol

A structured interview protocol was designed to gather information regarding the meaning 
of “well-qualified” as it relates to aspiring principals. Five of the six interviewees indicated a
shortage of well-qualified candidates for vacant principal positions. The sixth interviewee, while indicating no shortage of principal candidates, indicated a limited number of applicants from which to choose. The meaning of “well-qualified” as it related to principal candidates generated a variety of responses that differed from district to district. A total of 49 descriptors were provided by respondents, about half of which referred to the Florida Principal Leadership Standards. District leaders from small, medium and large districts agreed that “well-qualified” means meeting job qualifications with appropriate certification, although one small district indicated that, because of a shortage, they were willing to hire a person who was working on their principal certification. Other areas of agreement included possession of leadership skills, having human resource skills and being able to control emotions.

A discussion of the qualifications lacking in aspiring principals generated a total of 26 varied responses, 16 of which referred to the Florida Principal Leadership Standards. Lack of experience seemed to be the single theme agreed upon by all interviewees.

The researcher correlated responses pertaining to “well-qualified” principal candidates and qualities lacking in aspiring principals which prevent them from being considered for vacant principal positions. Few consistencies were found, although all 10 standards were addressed when answers from the six interviewees were combined. When districts select well-qualified people to fill vacant principal positions they are not satisfied with the status quo, but apparently desire principals to exceed the qualifications set forth in the standards.

**Discussion**

This study of 36 Florida School Districts found that shortages of well-qualified principal candidates exist in small, medium and large school districts. This finding agrees with previous studies on principal shortages (Educational Research Service [ERS], 1999; Institute for Educational Leadership, 2000; Potter, 2001; Snyder, 2002; Doud & Keller, 1998; Fenwick &
Pierce, 2001). My study found that shortages were significant at the middle school level in small school districts. Research into shortages of well-qualified principal candidates in small or rural districts could yield interesting and valuable information. It may be that the distance of teachers in small/rural districts from universities offering graduate programs in educational leadership or leadership certification programs makes it difficult for them to participate. The rising trend of university on-line courses may provide more opportunities in the future to attract candidates into such graduate programs and thus into the principalship.

This study determined that of the 36 Florida School Districts that responded to this survey, written succession planning policies existed in 23 (64%) of these districts. Although all surveyed districts anticipated shortages regardless of the presence of succession planning policies, districts having succession plans experienced fewer shortages. Research on the impact of succession planning in educational settings is fairly new (Normore, 2001), varied and limited (Hart, 1993). This research identified a total of 19 components for recruiting and hiring aspiring principals and 15 components for training aspiring principals. Districts with more components in place had fewer shortages. The current research suggests the importance of succession planning policies for recruiting, hiring and training aspiring principals. Succession literature supports this finding (Barth, 2001; Doud & Keller, 1998; Fenwick & Pierce, 2001; Hart, 1993; Lovely, 2004; Potter, 2001; Weingartner, 2001).

Thirty-one (31) of the 36 districts (91%) in this study indicated that they have aspiring principal programs in place. These results are somewhat different from the 1998 ERS survey which found that only 27% of districts surveyed had aspiring principal programs.

Of the 36 districts surveyed, 22 (62%) reported that they had induction programs in place for new principals and 21 (59%) reported mentoring programs for new principals. The 1998 ERS
survey found that 46% of their respondents had formal induction/mentoring programs for new principals. My study also determined that induction and mentoring programs for assistant principals existed in 22 (61%) of the districts surveyed. It appears that in the past nine years the popularity and importance of mentoring/induction programs has increased. This agrees with the research by Doud and Keller (1998), which determined that principal mentorship programs are gaining in popularity. Further research into the value of mentoring programs to new principals should be considered. Unless research proves otherwise, mentoring and induction programs for aspiring and new principals should be components of school district succession plans.

Of the 36 districts surveyed in this study, 34 (97%) reported that finding well-qualified females for vacant principal positions was not an issue. This supports research by Doud and Keller (1998) and ERS (1998). However, a study by RAND Education (2004) found that women teachers are less likely than male teachers to move into positions as assistant principals, principals and superintendents. The extent to which women are choosing to enter the principalship warrants further research.

Similar to previous research (Doud & Keller, 1998; ERS, 1998; RAND, 2004; Thomas B. Fordham Institute, & The Broad Foundation, 2003), I found that shortages of well-qualified minority principal candidates exist in small, medium and large districts regardless of the presence of succession planning policies. School districts, professional education organizations and universities should continue to investigate ways to attract minorities into education. They should work diligently to recruit and hire talented minority educators who demonstrate leadership potential and find ways to motivate them to enter school leadership programs. A strong succession plan should include recruiting, hiring and training programs specifically aimed at attracting and nurturing talented minority candidates for principal positions.
Like previous studies (Doud & Keller, 1998; ERS, 1998; Lovely, 2004) this researcher found that insufficient salary, stress, testing/accountability, time and lack of interest by teachers were noted most often. The ERS study did not find testing and accountability pressures in the top five in 1998, nor did Doud and Keller. However, the onset of NCLB in 2001 with its associated accountability measures could explain the reason for the current difference in 2006.

Research clearly points to a strong correlation between effective principals and student achievement (Hallinger & Heck, 1998; Kelly & Peterson, 2002; New Leaders for New Schools, 2005). Superintendents and local school boards, as well as legislators holding fiscal responsibility have the power and authority to adequately compensate principals in the current era of increased accountability. They should act responsibly to bring about needed change in local and state budgets. As pointed out in the ERS survey (1998), the responsibilities of the principalship call for increased compensation to encourage potential applicants. Without adequate compensation, the probability of a decline in well-qualified principal candidates is likely to continue, especially in rural districts (Lovely, 2004). A well thought out and adequate compensation component should be part of each district’s succession plan.

When asked to rate the quality of educational preparation programs of recent candidates for school principal positions in terms of leading and managing change and establishing a vision, 35% of responding school districts indicated that training was excellent, 56% indicated that training was adequate, and only 6% indicated that they felt training was not adequate. These findings are closely related to those reported in a 1998 Educational Research Service study. That study found one-third of those surveyed believed that the preparation of principal candidates was excellent, and nearly all believed their recent candidates to be adequately prepared.
In contrast to the survey results indicating that principal candidates had adequate preparation, the qualitative aspect of this study points out that aspiring principal candidates often lack experience. This lack of experience prevents many candidates from being hired for principal positions. Doud and Keller’s 1998 study pointed out that principals who they surveyed highly valued their experiences as teachers, as assistant principals and as participants in principal preparation programs which provided on-the-job training. Succession planning research also points to the importance of providing various leadership experiences (Conger & Fulmer, 2003; Daresh & Male, 2000; Leibman et al., 1996; Tucker & Colding, 2002). When considering alternative certification routes for principals or elimination of principal certification altogether, it is crucial that policy makers consider the value of experience in an educational setting for creating highly qualified principals. Internships should remain as components of educational leadership programs; teacher leaders should be nurtured in schools; and assistant principals should be provided with a vast array of experiences under the direction of their supervising principal. These components, as part of a school district succession plan, will maintain and strengthen the principalship.

The 10 Florida Principal Leadership Standards (Florida Department of Education, 2005b) were designed as a tool to sustain and reinforce the profession.

- Instructional leadership
- Managing the learning environment
- Learning, accountability and assessment
- Decision making strategies
- Technology
- Human resource development
- Ethical leadership
- Vision
- Community and stakeholder partnerships
- Diversity
Interviewees questioned about the meaning of “well-qualified” as it relates to candidates for vacant principal positions rarely mentioned these standards in specific terms, although they were inferred in more than half of the comments made. Clearly these standards should form the basis of succession planning in Florida’s school districts. Although the standards were designed with Florida principals in mind, their universality make them particularly useful throughout the nation and perhaps in other countries, as well.

This study points out that even though districts have succession plans in place, strong concerns remain about filling vacant principal positions with well-qualified candidates and the extent of principal shortages. There are reasons why well-qualified people are not entering the principalship and there are also reasons why they are leaving the profession, contributing to principal shortages. This study and previous research have identified important barriers that prevent potential candidates from entering the principalship: insufficient salary, stress, testing/accountability pressures and time. Compounding the issue is a lack of interest by teachers to choose school administration as a career path. School districts typically “grow their own” principals from among the teaching ranks. Strong succession plans typically produce an internal hire rate of 75-80% (Conger & Fulmer, 2003). Potential principals will not be attracted from the teaching ranks to invest in additional education for certification if school boards do not address the above mentioned barriers.

Unless school districts adequately compensate entry level school administrators, there are limited incentives for experienced teachers to choose school administration as a career path. District level administrators that I interviewed indicated that practical experience was needed by aspiring principals to make them well-qualified. Many districts have committed additional funds to provide stipends for teachers to take on leadership roles (Lovely, 2004). Districts with
effective succession plans have additional compensation in place for teachers who choose to work in quasi-administrative roles as they build their leadership expertise. It appears that teachers with experience may not be attracted into careers as school principals because of discrepancies in salary schedules. Becoming a school administrator in some school districts may result in a cut in pay for a tenured teacher to go from the high end of the teacher salary schedule to the low end of the administrator salary schedule. Until school districts provide an appealing salary and benefit package to attract experienced teachers, they will be limited by the number of teachers entering the principalship.

Testing and accountability, as well as increased time commitment, appear as primary stressors felt by principals and observed by those in the teaching profession. Teachers need to understand the commitment of time by observing and experiencing time-consuming administrative activities beyond the regular school day to determine their readiness for the role of principal. This could include, but is not limited to, community service, after-school functions such as PTA and School Advisory Council, district level committees, extra-curricular and athletic events. When aspiring principals are properly mentored and nurtured by experienced principals who love what they do, they may be more inclined to see the extra time commitments as an investment in the future of young people and not merely an added stress. Adequate financial compensation for the additional responsibilities and time commitment may heighten the appeal of the principalship.

Threats of negative consequences attached to school accountability by local, state and federal agencies tend to undermine the autonomy of the principal. Public and media attention to improve student performance standards, such as school letter grades in the state of Florida, place additional stress on the principal. Principals must respond to the stress felt by parents, students
and teachers regarding accountability for test results. This has the potential to negatively affect the desirability of careers in school administration. Teachers recognize the potential consequences that impact the principal’s role and are often unwilling to assume such responsibility. If school districts will make a commitment to address barriers that prevent experienced teachers from entering school administration they could diminish the negative perception of the role of the principal and help reduce principal shortages. When districts value principals enough to put in place well-thought out succession plans to attract well-qualified people into the principalship they are sending a strong message to seated principals that they are also valued. An investment in aspiring and new principals at the beginning of their careers could pay high dividends in reducing the number of principals leaving the profession.

Based on my research and current literature read as part of my study, I recommend that school districts desiring to attract and retain well-qualified principals give strong consideration to succession plans that contain the following components. In Florida attention should be given to aligning these components with the 10 Florida Principal Leadership Standards.

Succession Planning Components for Recruiting and Hiring New and Aspiring Principals

- Design programs to recruit talented and diverse teachers with promise for future leadership.
- Provide stipends for teachers who assume leadership roles beyond the regular school day
- Design initiatives to familiarize outstanding teachers having leadership ability with the principalship
- Provide formal and informal socialization opportunities for teachers to meet key district personnel and experienced principals
- Seek leadership development grants or endowments from the business community and philanthropic organizations to assist with funding.
- Provide mentor training and mentors for new principals and assistant principals.
- Train administrators in the use of a systematic recruitment and selection process that includes:
  - Standardized interview guides
  - Diversity and sensitivity training
  - Selection interview process
  - Selection based on observation and/or simulation
Paper, pencil screening
- Web-based personnel and job information systems

- Develop and train a pool of assistant principal and principal candidates regarding district practices and policies.
- Provide signing bonuses when hiring for high needs schools.
- Provide money to assist experienced school administrators with moving and relocation expenses.
- Document a competitive salary and benefit compensation program.

Succession Planning Components for Training New and Aspiring Principals
- Provide an induction and mentoring program for principals.
- Provide special compensation during a principal internship.
- Provide job shadowing opportunities in low, medium, and high SES schools.
- Collaborate in planning with local or area universities and neighboring school districts.
- Collaborate with local, state and/or national principals associations
- Provide leadership development seminars.
- Document the ability of aspiring principals to meet required competencies using performance based assessments and portfolios.

Until school districts and the public demonstrate that they value school principals for the work that they do, the ability to attract and retain well-qualified principals will continue in jeopardy. Succession plans are an important aspect of addressing this crisis facing our school districts.

**Recommendations for Further Study**

- The sample for this research study was relatively small—36 of 67 Florida school districts. Expanding this study to include a larger sample may provide additional information. Similar studies might include districts of similar size in various states or regions of the country. Collecting data from such sources as The Council of the Great City Schools might provide additional insight about succession planning in urban districts.

- Qualitative case studies of succession planning policies in districts not experiencing shortages of well-qualified principal candidates might provide insight into successful models of principal recruiting, hiring, training, and preparation policies. These models could serve as resources for districts in need of improving their own succession plans to reduce principal shortages.

- Trends in filling vacant principal positions with females and minority candidates could be explored to determine whether shortages are increasing or diminishing or whether such shortages are regional or localized phenomena.
• Research on how Florida universities and school districts align their principal preparation programs with the 10 Florida Principal Leadership Standards would provide insight related to the quality of principal preparation programs and the resulting effect of producing well-qualified principal candidates.

• Research into barriers that discourage teachers from entering the principalship would assist school districts in determining how to attract more teacher candidates for vacant principal positions. Such research could also assist universities in designing courses which would assist prospective principal candidates in overcoming perceived barriers. Professional organizations that support principals might be involved in such studies.

• The same barriers that discourage teachers from entering the principalship may also cause seated principals to leave the profession. Research to determine specific factors that lead principals to leave the profession would provide school districts, universities, and professional educational organizations with important information regarding principal retention and succession planning.

Summary

Through the use of quantitative and qualitative data this study explored principal shortages in 36 of the 67 Florida School districts and implications for succession planning policies—recruiting, hiring and training of aspiring principals. Conclusions formulated include the following: (a) school districts in Florida are experiencing shortages of well-qualified principal candidates regardless of size; (b) school districts with succession planning policies in place experienced fewer shortages of well-qualified principal candidates; and (c) districts with comprehensive succession plans for recruiting, hiring and training new and aspiring principals experienced fewer shortages. Other findings indicated that finding well-qualified female applicants for vacant principal positions was not an issue, and succession planning policies do not assure adequate numbers of well-qualified minority applicants for vacant principal positions. Districts reporting shortages for vacant principal positions listed insufficient salary, stress, testing/accountability, increased time commitments and lack of interest by teachers as barriers preventing well-qualified applicants from applying.
The qualitative aspect of this study found that the meaning of “well-qualified” as it relates to aspiring principals varies from district to district. When districts select well-qualified people to fill vacant principal positions they are not satisfied with the status quo, but desire principals to exceed the qualifications set forth in the 10 Florida Principal Leadership Standards.

Recommendations for components of district succession plans were provided to address recruiting, hiring and retaining well-qualified principals. Other recommendations addressed barriers preventing well-qualified candidates from entering the principalship. Recommendations for further study were also presented.
Kim:

What a great topic of research to pursue! I have spoken with our president, Dr. John Forsyth, and he said ERS would be happy to grant you permission to utilize the 1998 study. In kind, we would like to assist you in disseminating your doctoral study, particularly through our quarterly journal Spectrum.

As a formality, I will be faxing you a copyright permission form. Please complete this form and return to me. Please disregard the payment information on the form, as Dr. Forsyth has waived these charges for you. We would like to know your timeline for completion of your study, so we can better assist you in publishing your results in Spectrum.

Please let me know if you have any questions, or need any additional information. Also, Nancy Protheroe can be reached at nprotheroe@ers.org; I will forward your email to her. We look forward to working with you to publish your results.

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-----Original Message-----
From: Stutsman, Kim I. [mailto:stutsmk@ocps.k12.fl.us]
Sent: Wednesday, August 18, 2004 10:50 AM
To: ers@ers.org
Subject: Principal shortage study

Dear ERS,

I am a principal in Orange County Public Schools in Florida and I am also a doctoral student at University of Florida. My research is on succession planning for the principalship. I am very interested in using the study conducted by ERS in 1998, "Is There a Shortage of Qualified Candidates for Openings in the Principalship?" I would like to take your study and survey Florida School districts using many of the same questions. Would you give me permission to do so? Additionally, I would welcome an opportunity to talk with or email Nancy Protheroe in regard to her research in this area to take advantage of her expertise. If possible, please reply with her email address or perhaps you could forward a copy of my email to her. Thank you so much for your assistance. I look forward to hearing from you soon.

Sincerely,

Kim Stutsman

Kim I. Stutsman, Ed.S.
Principal, Lakeville Elementary School
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Apopka, FL 32703
Phone: 407-814-6110 ext. 222
Fax: 407-814-6120
email: <mailto:stutsmk@ocps.net> stutsmk@ocps.net
APPENDIX B
SURVEY INSTRUMENT

Is There A Shortage of Well-Qualified Candidates for Openings in the Principalship in Florida Public School Districts?

Demographic Information

1. Title of person completing this survey (Please check ✔ the appropriate response)

   ____ a. Superintendent
   ____ b. Assistant Superintendent
   ____ c. Associate Superintendent
   ____ d. Area Superintendent
   ____ e. Human Resource Officer
   ____ f. Personnel Director
   ____ g. Recruitment Office
   ____ h. Office of Professional Development
   ____ i. Other ________________________________

Please place a check (✔) next to your answer to the following questions.

2. Size of school district based on student membership/number of students

   ____ a. Small—less than 10,000
   ____ b. Medium—10,000-50,000
   ____ c. Large—More than 50,000
For the purpose of this study the following definitions apply:

**Induction:** professional socialization activities designed to provide new principals and assistant principals with training by which they acquire the values, norms, attitudes, knowledge, skills and techniques needed to adequately perform their duties.

**Mentoring Program:** a formal program consisting of persons who act as guides or role models for aspiring principals, listening, offering guidance, advice, and direction.

**Minority:** African-American or Hispanic.

**Well-qualified:** those having entry level characteristics found in the 10 Florida Principal Leadership Standards: vision; instructional leadership; managing the learning environment; community and stakeholder partnerships; decision making strategies; diversity; technology; learning, accountability and assessment; human resource development; and ethical leadership.

### Principal Preparation

3. Does your district have an **aspiring principals program** to recruit and prepare candidates for assistant principals and principals from among current district staff such as teachers?
   - a. Yes
   - b. No

4. Does your district have a formal **induction** program for new assistant principals?
   - a. Yes
   - b. No

5. Does your district have a formal **mentoring** program for new assistant principals?
   - a. Yes
   - b. No

6. Does your district have a formal **induction** program for new principals?
   - a. Yes
   - b. No

7. Does your district have a formal **mentoring** program for new principals?
   - a. Yes
   - b. No
8. How would you characterize the educational preparation of recent candidates for school principal positions (in terms of leading and managing change and establishing a vision)?
   _____ a. Excellent
   _____ b. Adequate
   _____ c. Not adequate

9. Has the need to increase the number of women working in school-based administrative positions been an issue in your district?
   _____ a. Yes
   _____ b. No

10. Has the need to increase the number of minorities working in school-based administrative positions been an issue in your district?
    _____ a. Yes
    _____ b. No

For the purpose of this survey, Elementary Schools include grades K-5; Middle Schools include grades 6-8; High Schools include grades 9-12.

The next five questions refer to elementary schools.

11. How many elementary assistant principal vacancies have you filled in the past 12 months?
    _____

12. How many elementary principal vacancies have you filled in the past 12 months?
    _____

13. Did any well-qualified female candidates apply for your elementary school principal positions in the past 12 months?
    _____ a. Yes
    _____ b. No

14. Did any well-qualified minority candidates apply for your elementary school principal positions in the past 12 months?
    _____ a. Yes
    _____ b. No
For the next question, please think about the principal vacancies you have filled in the elementary schools.

15. In your opinion was there
   _____ a. a surplus of well-qualified candidates?
   _____ b. a shortage of well-qualified candidates?
   _____ c. about the right number of well-qualified candidates?

The next five questions refer to middle schools.

16. How many middle school assistant principal vacancies have you filled in the past 12 months?
   _____

17. How many middle school principal vacancies have you filled in the past 12 months?
   _____

18. Did any well-qualified female candidates apply for your middle school principal positions in the past 12 months?
   _____ a. Yes
   _____ b. No

19. Did any well-qualified minority candidates apply for your middle school principal positions in the past 12 months?
   _____ a. Yes
   _____ b. No

For the next question, please think about the principal vacancies you have filled in the middle schools.

20. In your opinion was there
   _____ a. a surplus of well-qualified candidates?
   _____ b. a shortage of well-qualified candidates?
   _____ c. about the right number of well-qualified candidates?

The next five questions refer to high schools.

21. How many high school assistant principal vacancies have you filled in the past 12 months?
   _____

22. How many high school principal vacancies have you filled in the past 12 months?
   _____
23. Did any well-qualified female candidates apply for your high school principal positions in the past 12 months?
   _____ a. Yes
   _____ b. No

24. Did any well-qualified minority candidates apply for your high school principal positions in the past 12 months?
   _____ a. Yes
   _____ b. No

For the next question, please think about the principal vacancies you have filled in the high schools.

25. In your opinion was there
   _____ a. a surplus of well-qualified candidates?
   _____ b. a shortage of well-qualified candidates?
   _____ c. about the right number of well-qualified candidates?

26. If your school district has experienced a shortage of well-qualified candidates for school principal positions in the last 24 months, what do you perceive to be barriers that prevent well-qualified applicants from applying for your principal positions? (Rank order your top five reasons with 1 being least important and 5 being most important.) If there is no shortage in your district, you may go to question 27.
   _____ a. Job generally too stressful
   _____ b. Societal problems (poverty, lack of family support, etc.) make it difficult to focus on instruction
   _____ c. Too much time on the job is required
   _____ d. Testing/Accountability pressures
   _____ e. Difficult to satisfy demands of parents and/or community
   _____ f. Nature of the job viewed as less satisfying in practice than in theory
   _____ g. Inadequate funding for schools
   _____ h. Salary/Compensation not sufficient as compared to responsibilities
   _____ i. Fewer experienced teachers interested in becoming assistant principal/principal
   _____ j. Bad press and public relations problems for schools
   _____ k. No tenure
   _____ l. Loss of teacher tenure
   _____ m. Openings not well publicized
   _____ n. Not feeling sufficiently prepared
   _____ o. Other (please explain) ________________________
27. Do you anticipate that your school district will experience a shortage of well-qualified candidates for school principal positions in the next 12 months?

_____ a. Yes

_____ b. No

28. Which of the following components does your district have in place to aid in recruiting and hiring aspiring principals? (Check all that apply)

_____ a. Program to recruit talented teachers to develop and utilize their leadership skills

_____ b. Collaboration with a local university or universities

_____ c. Diversity and/or sensitivity training for hiring and recruitment

_____ d. Initiatives designed to familiarize outstanding teachers having leadership ability with the principalship

_____ e. Web-based personnel information system

_____ f. Web-based job information system

_____ g. Assistant principal pool of candidates

_____ h. Systematic recruitment and selection processes

_____ i. Stipends for teachers who assume leadership roles beyond the regular school day

_____ j. Use of grants or endowments from the business community

_____ k. Selection interview process

_____ l. Standardized interview guides

_____ m. Selection based on observation and/or simulation

_____ n. Paper, pencil screening

_____ o. Formal socialization opportunities for teachers to meet key district personnel and current principals

_____ p. Informal socialization opportunities

_____ q. Relocation money

_____ r. Signing bonus for high needs schools

_____ s. Mentors

_____ t. Other (please explain) ______________________________________
29. Which of the following components does your district have in place to train aspiring principals? (Check all that apply)
   ___ a. Collaboration with a local university or universities
   ___ b. Collaboration with other local districts
   ___ c. Collaboration with state and/or national principals associations
   ___ d. Mentoring program
   ___ e. Leadership development programs
   ___ f. Monthly seminars
   ___ g. Performance based assessments
   ___ h. Partnerships with local businesses focusing on leadership training
   ___ i. Job shadowing
   ___ j. Paid internships
   ___ k. Demonstration of required competencies
   ___ l. Portfolio
   ___ m. Formal socialization opportunities for prospective principals to meet with key district personnel and current principals and other prospective principals
   ___ n. Informal socialization opportunities for prospective principals to meet with key district personnel, current principals and other prospective principals
   ___ o. Use of retired principals for training and/or mentoring
   ___ p. Other (please explain) ____________________________

30. Does your district have a written succession plan for recruiting, hiring and training aspiring principals?
   ___ a. Yes
   ___ b. No

31. Are the components that you checked in items 28 and 29 part of your district’s written succession plan?
   ___ a. Yes
   ___ b. No
I am willing to be interviewed by the researcher regarding characteristics of well-qualified principals.

Name: _________________________________________________________________
Phone #: _____________________________________________________________
Email address: _________________________________________________________

Thank you for participating in this survey. If you would like a copy of the results of this research project, please check here.

____

Indicate the address to which you would like the results sent.

_______________________________________________________________________

(This survey is based on a 1998 Survey conducted by Educational Research Service. Used with permission.)
APPENDIX C
PILOT SURVEY

Is There A Shortage of Qualified Candidates for Openings in the Principalship in Florida Public School Districts?

Title of person completing this survey (Please check the appropriate response)

_____ a. Superintendent

_____ b. Assistant Superintendent

_____ c. Associate Superintendent

_____ d. Area Superintendent

_____ e. Human Resource Officer

_____ f. Personnel Director

_____ g. Other _______________________________

Please place a check √ next to your answer to the following questions.

Student membership/number of students

_____ a. Less than 5,000

_____ b. 5,000-9,999

_____ c. 10,000-29,999

_____ d. 30,000-49,999

_____ e. 50,000-99,999

_____ f. Over 100,000

Type of School District (choose one)

_____ a. Urban

_____ b. Suburban

_____ c. Rural
1. Have you filled at least one school principal vacancy in the last year?
   _____ a. Yes
   _____ b. No

2. Does your district have an aspiring principals program to recruit and prepare candidates for these positions from among current district staff such as teachers?
   _____ a. Yes
   _____ b. No

3. Does your district have a formal induction program for new assistant principals?
   _____ a. Yes
   _____ b. No

4. Does your district have a formal induction program for new principals?
   _____ a. Yes
   _____ b. No

5. Does your district have a formal mentoring program for new assistant principals?
   _____ a. Yes
   _____ b. No

6. Does your district have a formal mentoring program for new principals?
   _____ a. Yes
   _____ b. No

7. How would you characterize the educational preparation of recent candidates for school principal positions (in terms of leading and managing change and establishing a vision?
   _____ a. Excellent
   _____ b. Adequate
   _____ c. Not adequate

8. Has the need to increase the number of women working in management positions in schools been an issue in your district?
   _____ a. Yes
   _____ b. No

9. Has the need to increase the number of minorities working in management positions in schools been an issue in your district?
   _____ a. Yes
   _____ b. No

The next three questions refer to assistant principal vacancies.

10. How many elementary assistant principal vacancies have you filled in the past twelve months? _____
11. How many **middle school** assistant principal vacancies have you filled in the past twelve months? _____

12. How many **senior high** assistant principal vacancies have you filled in the past year? _____

The next three questions refer to **principal** vacancies.

13. How many **elementary** principal vacancies have you filled in the past twelve months? _____

14. How many **middle school** principal vacancies have you filled in the past twelve months? _____

15. How many **senior high** principal vacancies have you filled in the twelve months? _____

For the next question, please think about the principal vacancies you have filled in the **elementary** schools.

16. In your opinion was there _____ for the **elementary** positions you filled this school year?

   _____ a. a surplus of qualified candidates

   _____ b. a shortage of qualified candidates, or

   _____ c. about the right number of qualified candidates

For the next question, please think about the principal vacancies you have filled in the **middle schools**.

17. In your opinion was there _____ for the **middle school** positions you filled this school year?

   _____ a. a surplus of qualified candidates

   _____ b. a shortage of qualified candidates

   _____ c. about the right number of qualified candidates

For the next question, please think about the principal vacancies you have filled in the **senior high** schools.

18. In your opinion was there _____ for the **senior high** school positions you filled this school year?

   _____ a. a surplus of qualified candidates

   _____ b. a shortage of qualified candidates

   _____ c. about the right number of qualified candidates
19. What do you think discourages or prevents qualified applicants from applying for your elementary principal positions? Rank order your top five reasons with 1 being least important and 5 being most important.

____ Job generally too stressful
____ Societal problems (poverty, lack of family support, etc.) make it difficult to focus on instruction
____ Too much time required
____ Testing/Accountability pressures too great
____ Difficult to satisfy demands of parents and/or community
____ Nature of the job viewed as less satisfying than previously
____ Inadequate funding for schools
____ Salary/Compensation not sufficient as compared to responsibilities
____ Fewer experienced teachers interested in becoming assistant principal/principal
____ Continuing bad press/public relations problems for district in general place pressure on principals
____ No tenure associated with the positions
____ Lose tenure as a teacher if move to principal or assistant principal position
____ Openings not well publicized
____ Other (Please specify) ______________________

20. Did any qualified female candidates apply for your elementary school positions?
   ____ a. Yes
   ____ b. No

21. Did any qualified female candidates apply for your middle school positions?
   ____ a. Yes
   ____ b. No

22. Did any qualified female candidates apply for your senior high school positions?
   ____ a. Yes
   ____ b. No

23. Did any qualified minority candidates apply for your elementary school principal positions?
   ____ a. Yes
   ____ b. No

24. Did any qualified minority candidates apply for your middle school principal positions?
   ____ a. Yes
   ____ b. No

25. Did any qualified minority candidates apply for your senior high school principal positions?
   ____ a. Yes
   ____ b. No
26. If your district has a formal induction program for new assistant principals or new principals, please describe in the space below or attach a description of the program(s).

27. If your district has a formal mentoring program for new assistant principals or new principals, please describe it in the space below or attach a description of the program(s).

Thank you for participating in this survey. If you would like a copy of the results, please check here. __________

Indicate the address to which you would like the results sent.

________________________________________________________________________

(This survey is based on a 1998 Survey conducted by the Educational Research Service. Used with permission.)
DATE: June 9, 2006

TO: Kim K. Stutsman
1138 Brandy Lake View Circle
Winter Garden, FL 34787

FROM: Ira S. Fischler, Chair
University of Florida
Institutional Review Board

SUBJECT: Approval of Protocol #2006-U-0520

TITLE: An Examination of Principal Shortages in Florida School Districts: Implications for Succession Planning for Principal Replacement

SPONSOR: None

I am pleased to advise you that the University of Florida Institutional Review Board has recommended approval of this protocol. Based on its review, the UFIRB determined that this research presents no more than minimal risk to participants. Given your protocol, it is essential that you obtain signed documentation of informed consent from each participant. Enclosed is the dated, IRB-approved informed consent to be used when recruiting participants for the research.

It is essential that each of your participants sign a copy of your approved informed consent that bears the IRB approval stamp and expiration date.

If you wish to make any changes to this protocol, including the need to increase the number of participants authorized, you must disclose your plans before you implement them so that the Board can assess their impact on your protocol. In addition, you must report to the Board any unexpected complications that affect your participants.

If you have not completed this protocol by June 4, 2007, please telephone our office (392-0433), and we will discuss the renewal process with you. It is important that you keep your Department Chair informed about the status of this research protocol.

ISF:dl
Dear Educational Colleague,

We are all aware of the impact that the No Child Left Behind Act of 2001 (NCLB) has had on our educational system. School districts must ensure that their students demonstrate academic progress and produce work that is of high quality. Staffing schools with highly qualified teachers and principals is central in determining that our students receive the quality education they deserve.

As a University of Florida doctoral candidate, I am investigating principal shortages and written succession planning policies developed by the 67 Florida School Districts. Please respond to the enclosed survey, Is There a Shortage of Well-Qualified Candidates for Openings in the Principalship in Florida Public School Districts? The information gathered may be helpful in assisting districts and universities determine the components that are most critical to the recruitment, training, and development of principal candidates. There are no right or wrong answers. You do not have to answer any question you do not wish to answer. No reference will be made to any individual in the data analysis. This survey can be completed in about 30 minutes.

You will be assigned an identifying code number to assure your anonymity. The list connecting your name to this number will be kept in a locked file in my home and will be destroyed once the data has been analyzed and the research project completed. Your name will not be identified in this project in any way. All responses will be strictly confidential.

Please read and sign the enclosed Informed Consent Document and mail it separately in the stamped, pre-addressed envelope enclosed at the same time that you return the survey. Retain this cover letter, containing the informed consent information, for your records. For clarification or questions, feel free to contact: Kim Stutsman, 407-656-3965, or Dr. James Doud, University of Florida, 352-392-2391 ext. 275.

In addition to the information provided above, the University of Florida Institutional Review Board policy requires the researcher to provide participants with the following information:

1. This project does not involve any immediate or foreseen (a) benefits, (b) risks, or (c) compensation.
2. Questions or concerns about research participants’ rights can be directed to the UFIRB Office, Box 112250, University of Florida, Gainesville, FL 32611-2250.
3. Research participants are free to withdraw consent and discontinue participation in the project at any time without prejudice.

I have read the procedure described above.
I voluntarily agree to participate. I have received a copy of this description.

Please sign the enclosed Informed Consent Document to indicate that you have read the informed consent information contained in this cover letter and agree to participate in this study. Mail the pre-addressed, stamped letter separately, at the same time the survey is mailed, by June 1, 2006.

Thank you very much for your time and cooperation. Your valuable input is needed to complete this research study.

Sincerely,

Kim K. Stutsman, Ed. S.
University of Florida
APPENDIX F
INFORMED CONSENT FORM

Informed Consent

Protocol Title: An Examination of Principal Shortages in Florida School Districts: Implications for Succession Planning for Principal Replacement

Please read this consent document carefully before you decide to participate in this study.

Purpose of the research study:

The purpose of this investigation is to explore principal shortages and succession planning policies developed by the 67 Florida School Districts. The information gathered will be analyzed to determine six factors: if a relationship exists between the size of the school district and the shortage of well-qualified candidates for principal vacancies; if a relationship exists between the shortage of well-qualified candidates for principal vacancies and the presence of written succession planning policies; whether a relationship exists between the shortage of well-qualified female candidates for principal vacancies and the presence of succession planning policies; whether a relationship exists between the shortage of well-qualified minority candidates for principal vacancies and the presence of written succession planning policies; if perceived barriers to having well-qualified candidates for principal vacancies differ between districts experiencing principal shortages and those districts which are not experiencing principal shortages; and if a relationship exists between the degree to which districts encourage the development of aspiring principals and the shortage of well-qualified principal candidates.

Time required: 30 minutes

Risks and Benefits:

There are no known risks associated with this study. Benefits from this study include insights which may enable districts and universities to determine the components that are most critical to the recruitment, training and development of principal candidates.

Compensation:

Five commemorative education U.S. postage stamps are included with the survey as a token of appreciation for participating in this research. There is no other compensation.

Confidentiality:

Your identity will be kept confidential to the extent provided by law. Information you provide will be assigned a code number. The list connecting your name, should you volunteer to provide it, will be kept in a locked file in my home office. When the study is completed and the data have been analyzed, the list will be destroyed. Your name will not be used in any report.

Approved by
University of Florida
Institutional Review Board 02
Protocol # 2006-U-520
For Use Through 06/04/2007
Voluntary participation:

Your participation in this study is completely voluntary. You do not have to answer any question you do not wish to answer. There is no penalty for not participating.

Right to withdraw from the study:

You have the right to withdraw from the study at anytime without consequence.

Whom to contact if you have questions about the study:

Kim K. Stutsman, Ed. S., Graduate Student, University of Florida Department of Educational Administration & Policy, 1138 Brandy Lake View Cir., Winter Garden, FL 34787; Phone 407-656-3965 (h), 407-814-6110 ext. 222 (w), email catts5@ufl.edu.

James L. Doud, Ph. D., University of Florida Department of Educational Administration & Policy, 200 Norman Hall, PO Box 117049, University of Florida, Gainesville, FL 32611-7049; 352-392-2391 ext. 275; email: jldoud@coe.ufl.edu.

Whom to contact about your rights as a research participant in the study:

UFIRB Office, Box 112250, University of Florida, Gainesville, FL 32611-2250; phone: 352-392-0433.

Agreement:

I have read the procedure described above. I voluntarily agree to participate in the survey and I have received a copy of this description.

Participant: __________________________ Date: __________________________

Principal Investigator: __________________________ Date: __________________________

Approved by
University of Florida
Institutional Review Board 02
Protocol # 2006-U-520
For Use Through 06/04/2007
Thank you for agreeing to do a phone interview regarding the shortage of well-qualified candidates for principal vacancies in your school district.

1. Do you consider your school district to be a small, medium or large district?
2. Do you believe that your district is experiencing a shortage of well-qualified candidates for vacant principal positions?
3. How would you describe a well-qualified candidate for a vacant principal position?
4. Do these descriptors differ based on whether the position is for elementary, middle or high school?
5. If yes, in what ways?
6. What skills do you believe aspiring principals lack that prevent them from being considered well-qualified?
LIST OF REFERENCES


Milstein, N. M. (1992, October/November). *The Danforth Program for the Preparation of School Principals (DPPSP) six years later: What we have learned.* Paper presented at the annual meeting of the University Council for Educational Administration, Minneapolis, MN.


North Carolina Department of Public Instruction (2002, March). *Principal supply and demand study*. Raleigh, NC: Author


BIOGRAPHICAL SKETCH

Kim Kotila Stutsman was born in Detroit, Michigan in 1945. The eldest of two daughters of Ralph and Ruth Kotila, she spent the majority of her elementary and high school years growing up in a small rural community in western Michigan.

After graduating with honors from high school, she attended Michigan State University for two years, majoring in elementary education. Marriage and the birth of her three children, Tammy, Jill and Eric, interrupted her goal to become a teacher. Upon moving to Florida in 1976, she secured a position as a teacher’s aide in the elementary school that her children attended. Encouraged by teachers with whom she worked, she returned to college and subsequently obtained her Bachelor of Arts in Education degree from the University of Central Florida in 1981.

As a third grade teacher, Kim’s quest for professional growth led her to complete a Master of Education Administration degree in 1990 from the University of Central Florida and to participate in a summer seminar for teachers, sponsored by the National Endowment for the Humanities at Lake Forest College. In 1991 she was appointed as an assistant principal and in 1995 became principal of McCoy Elementary School. She relocated to Lakeville Elementary School as principal in 1999. Kim was awarded a Specialist of Education degree in Educational Leadership in 2002 and a Doctor of Education degree in 2007 from the University of Florida.

Kim resides in Winter Garden, Florida with her husband, Larry Stutsman. They have six grandchildren. Her future goals include mentoring aspiring principals and guiding children to reach their potential as life-long learners and contributing members of our global community.