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by

Edward Craig Gutiérrez

May 2016

EXPLORING THE ROLE OF DEAN OF STUDENTS AND COMPARING THE  
EFFECTIVENESS OF THE TRADITIONAL MODEL VERSUS THE DEAN  
MODEL FOR URBAN HIGH SCHOOL ADMINISTRATION BASED ON  
STUDENT ACHIEVEMENT, ATTENDANCE AND GRADUATION RATES

A Doctoral Thesis Presented to the  
Faculty of the College of Education  
University of Houston

In Partial Fulfillment  
of the Requirements for the Degree

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May 2016

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#### Abstract

The role of Dean of Students in the field of education has been given very little attention specifically at the high school level. The study for this thesis sought to fill that void through an exploration and analyses of the role of dean of students at high schools in a major urban setting in southeast Texas, using descriptive statistics. The initial purposes of the study were to develop an understanding of the role of dean of students as described by administrators in the selected school district and to analyze their responses to a theoretical construct created to study the implementation of the dean of students' role. The exploration data were collected using a survey-questionnaire that was sent to 899 employees of the independent school district, each of whom held the title of principal, assistant principal, counselor, dean of students, or dean of instruction. A total of 217 individuals elected to participate in the study. The analysis only included those who had served for at least one full year as a dean of students (40), school counselor (20), or assistant principal (43) at the high school level. The results of the exploration study indicated that the dean of students' role is a hybrid between that of an assistant principal and of a school counselor. The ultimate goal of the study was to determine if one model of administration demonstrates itself to be more effective based on three key performance indicators: student achievement, graduation, and attendance rates. The effectiveness data were taken from Public Education Information Management System (PEIMS) data published by the Texas Education Agency. The analyses indicated that high schools that

employed deans of students as their administrators collectively outperformed the campuses that used the traditional model that uses assistant principals and school counselors separately.

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## **Chapter I**

### **Topic Introduction**

In the current age of American education, a school's principal is charged with a myriad of responsibilities that attempt to simultaneously meet the expectations of the students, parents, faculty, staff, and community organizations. To meet some of those demands, principals and district leaders alike acknowledge and often cite teacher selection as one of their most important charges because research shows that teacher quality is the top school-based factor that impacts student performance (Goldhaber, 2006; Hanushek, Kain, & Rivkin, 1998). While direct teaching has the greatest impact, the leadership—championed and coordinated by the principal—has the next largest impact and also has the largest effects in challenging environments where the learning needs of students are highest (Leithwood, Seashore-Louis, Anderson, & Wahlstrom, 2004). This doctoral thesis will focus on the role of the dean of students and the relative effectiveness of two different structural models of leadership in high school administration—the traditional model and the dean model—and will purposefully not concentrate on different styles of leadership.

### **Problem Background**

To provide some context to the study's setting, it occurred in a large, urban school district in southeast Texas. The district is referred to as XISD for the entirety of this thesis; the ISD part makes references to the fact that all but one Texas school districts are “independent school districts.” The definition comes from Title 2, Subtitle C, Chapter 11, Subchapter C of the Texas Education Code and explains that independent school

districts are operated independently and are separate from the control and boundaries of any municipality, county, or the state (Education Code, 1995).

With approximately two dozen comprehensive high schools, XISD employs two leadership models in its secondary schools: the traditional model and the dean model. The traditional model utilizes certified professionals in separate roles of assistant principals and counselors whereas the dean model combines these two roles into that of deans of students. Two notable exceptions exist. One is if a campus has someone in a counselor position control number to serve as the master scheduler and/or testing coordinator. The other is if the campus is large enough (typically with 10 or more administrators) and the principal elects to utilize an associate principal who ranks higher in the organization than the deans of students and the dean of instruction. Associate principals tend not to have a caseload of students. (It is due to the emergence of this role—for which XISD does not have a separate title, but instead classifies them as assistant principals—that the researcher does *not* use the abbreviation AP to mean assistant principal in this thesis.)

The researcher engaged in numerous, personal conversations with administrators across XISD in the span of a few years and found two schools of thought: One stated that the dean model is better because the dean addresses the “whole” student, and the other claimed the traditional model is better because of role specialization so that a student’s counselor would be a different person than the student’s disciplinarian.

The researcher came to understand, upon accepting a position as a dean of students in one of XISD’s comprehensive high schools, that several schools within the district had changed their leadership structure from one model to the other. The

researcher's informal process resembled cognitive interviews as described by Willis (2004) and revealed that, according to multiple sources, certain schools had reverted to their original model within three to four years. Some administrators reported a "switch every couple of years." Although determining the reasons for change was outside the scope of this study, some hypotheses for the changes included (a) a change in a school's principal, (b) a method to justify a Reduction In Force to realize lower total salaries, or (c) a preference of the executive leadership such as the chiefs of schools, school officers or the superintendent. While individuals were willing to conjecture the reasons during the conversations, no one expressed certainty about the primary or underlying reasons for the frequent changes (T. Davis, A. Mayfield, and M. Williams, personal communication, September 2013). However, it was clear that principals are readily able to make these changes to their campus's leadership model, and they continued to do so at the time this study began (A. Schur, personal communication, April 30, 2014).

### **Problem Statement**

The primary problem is that principals suffer from a gap in knowledge due to a lack of relevant, local information to inform their decisions about changing their school's administration structure. Secondary problems are that (a) education professionals are displaced from their employment when the decision is made to switch administration models, and (b) students are the ones who suffer the most in the long run when their schools experience too much change in leadership (Leithwood et al., 2004). Of course, one could argue that the students' loss is the primary problem caused by this gap in knowledge. Teachers and the school's community are also affected by the leadership changes which has been shown to impact teacher retention (Mohapatra, 2005; Sifuentes,

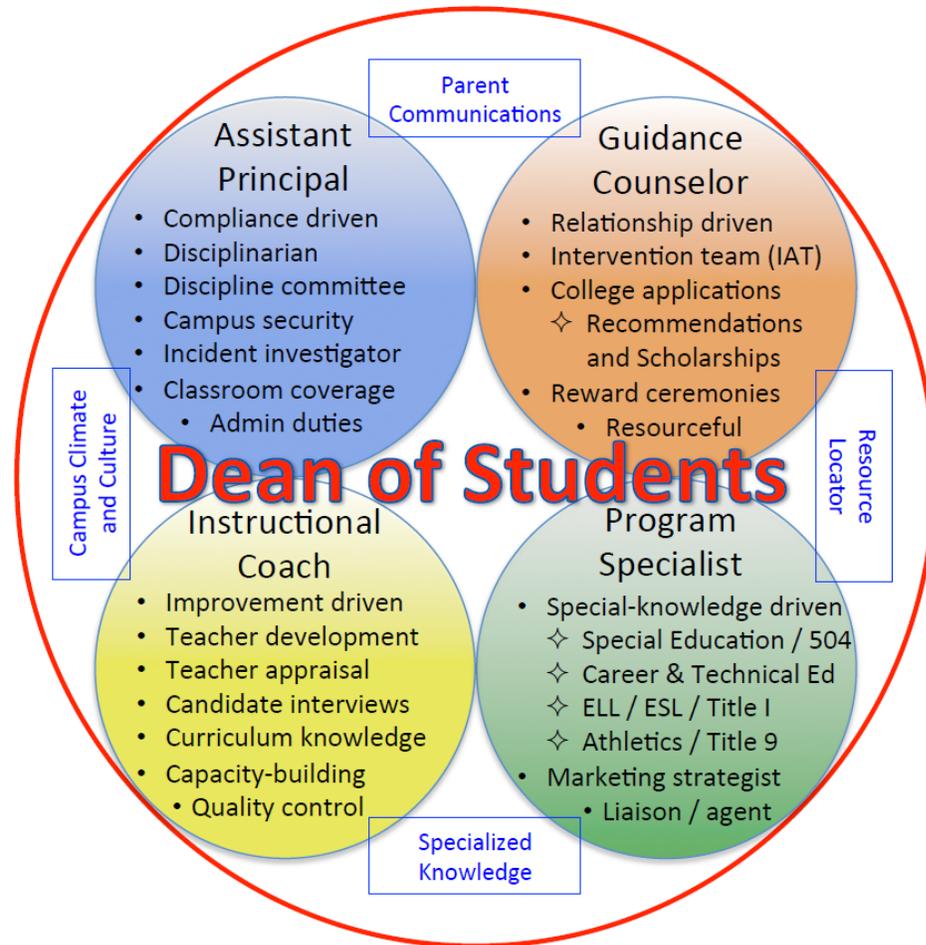
2005; J. A. Stevens, 2013), which, in turn, has a direct correlation with student academic performance (K. L. Stevens, 2009).

### **Research Questions**

Three specific questions were addressed through this research. In order of increasing specificity (or decreasing range), they are the following:

- Which model of administration—the traditional model or dean model—is more effective in urban, high school education?
- Based on responses of individuals who have had at least one of the researched roles, how does the role of high school dean of students compare in the theoretical construct (see Figure 1) to assistant principals and school counselors in terms of time allocation of four activities related to school leadership?
- Of the three roles—assistant principal, school counselor, and dean of students—which one experiences the greatest job satisfaction and which one experiences the least job satisfaction?

While these questions may seem limited in scope, their answers should prove useful in a variety of contexts.



*Figure 1.* Theoretical Construct of the Dean of Students as a High School Administrator

### **Definition of Terms**

The following list contains the definitions of the primary terms used throughout this thesis.

Achievement – something that has been done or achieved through effort; a result of hard work (“Achievement,” n.d.)

AEIS – Academic Excellence Indicator System, former accountability system of TEA; name of report produced annually by TEA that contains several descriptive statistics regarding campus performance and contains additional statistics not included on the school’s report card

Assistant Principal – school administrator who generally reports to the school’s principal and takes care of any administrative duties delegated by the principal, e.g., student discipline and appraising a set of teachers; equivalent to vice principal or deputy headmaster/headmistress or deputy principal duties in most schools in Europe and Australia

Attendance Rate – reported by TEA as Weighted Average Daily Attendance (WADA); one of the key performance indicators for this study

Construct – an idea or theory containing various conceptual elements, typically one considered to be subjective and not based on empirical evidence (“Construct,” n.d.); see Figure 1 for the construct of this study

Counselor – person who is specifically trained to provide advice, or a person you turn to for advice, often in a specialty such as careers, education or health (“Counselor,” n.d.)

CTE – Career and Technical Education, formerly Career and Technology Education (CATE) or Vocational Education

Dean of Instruction – school administrator who is generally a key instructional leader who reports to the school’s principal; it is a distinctly different role than dean of students

Dean of Students – school administrator who generally reports to the school’s principal and is charged with assistant principal duties as well as school counselor duties

Effectiveness – the power to produce a desired result (“Effectiveness,” n.d.)

**Graduation Rate** – refers to the longitudinal graduation rate defined as “the percentage of students from a class of beginning ninth graders who graduate;” one of the key performance indicators for this study; it is calculated as  $\text{graduates} / (\text{graduates} + \text{continuers} + \text{GED recipients} + \text{dropouts})$  (Texas Education Agency, 2012, p. 3).

**Guidance Counselor** – person who is employed, usually by a school, to offer advice on problems, help troubled students and assist students in making career or college plans (“Guidance Counselor,” n.d.)

**KPI** – Key Performance Indicators; student outcomes that will be used to evaluate “effectiveness” of different administration models; i.e., graduation rate, attendance rate, and student achievement

**School Counselor** – currently the preferred term for Guidance Counselor per the American School Counselor Association (American Association of School Counselors, 2005)

**SRC** – School Report Card; document published annually by TEA that includes each of the key performance indicators for individual campuses

**TAPR** – Texas Academic Performance Report; the latest edition of TEA’s reports produced annually by TEA that contains several descriptive statistics regarding campus performance

**TEA** – Texas Education Agency, state education agency in Texas

**Traditional Model** – administration model that utilizes campus-based personnel in separate positions of assistant principals (administrators) and school counselors

**Purpose of the Study**

The purpose of this study was twofold. The initial purpose of the study was to develop an understanding of the role of dean of students itself as described by administrators who, at the time of distributing the survey-questionnaire tool (SQT), had held and performed the responsibilities of a dean of students for at least one year. The essential data gathered were the range of the number of students served, job satisfaction, and relative time allocation on a few leadership activities. These key pieces of information painted a broad-brush picture of the collective or average model of how the dean of students' role is utilized in high schools within XISD.

The ultimate goal of the study was to find out if one model of administration demonstrates itself be to more effective than the other—according to analyses of existing quantitative data in the form of descriptive statistics of key performance indicators (KPIs). Those KPIs will be elaborated upon in Chapter Three and were deemed reliable to compare outcomes of the two leadership models.

This study, as a minimum, was intended to extend knowledge about both the role of dean of students and the acknowledgement of two differing models of administration at the high school level. The study, on a larger scale, has the possibility of making an impact beyond the reaches of XISD as other practitioners gain access to the results of the completed study.

**Significance of the Study**

The immediate significance of this study is the availability and utility of the data analysis and interpretations for school and district leaders when faced with the decision of changing a school's leadership structure. The results of this investigation could cause

a shift in the preferences of executive leadership within XISD or possibly within other districts. This shift might be towards one particular model or it might be away from both existing models in favor of creating a new, third option.

Prior to beginning the proposal for the study, the researcher contacted the district's High Schools Office, specifically the Director of High Schools and the Chief High Schools Officer, to determine if the questions proposed would be of any interest to their roles. Both district leaders agreed that they would be interested in the findings and implications of the proposed topic of this research (M. Shenker and M. Cardona, personal communication, April 7, 2014).

The questions posed in this thesis are relevant to XISD personnel but also to various stakeholders and the field of education as a whole. The research is relevant to the field of education because the dean of students' role at the *secondary* level is not well represented in the body of knowledge. The vast majority of the results pertain to the role by the same name at the post-secondary level when performing an online query. The completed research contributes to the academic body of knowledge in the field of education for the benefit of other practitioners.

### **Research Design**

This action research was conducted in two phases that happened concurrently after approval from the Institutional Review Board of the University of Houston as well as from the Research and Accountability department of XISD. The researcher mined and analyzed historical data in the first phase, and in the second phase, he generated and analyzed new data. Both phases utilized descriptive statistics—a common practice for education practitioners—to provide quantitative evidence for various stakeholders.

**Exploration of the role of dean of students.** This component of the study used a descriptive design—specifically a cross-sectional design—that required the creation, distribution, and data analysis of a survey-questionnaire tool (SQT) with skip logic and looping capabilities. This approach allowed a single participant the ability to answer the questions for multiple target roles that they had held within XISD.

The first step was to identify the sample participants by using the district’s Microsoft Exchange Global Address Book (EGAB) to perform a query based on employees’ title. The first decision was whether to search “dean” or “dean of students.” The rationales are different for selecting each title. In performing the query on “dean of students,” only four titles would result—Dean of Students High and Dean of Students Middle, each having either an 11-month (11M) or 12-month (12M) indication. This approach would effectively eliminate all individuals with the title of “Dean of Instruction,” which admittedly is a significantly different role than that of a dean of students. However, a former 11-month high school dean of students may have moved to become a 12-month dean of instruction. All deans of instruction will be included in the participant population for that reason.

The second choice was whether to do a query on “principal” or some other variation. To complicate matters, assistant principals can be coded as “Principal, Asst” or “Principal Asst” (without the comma). The researcher also included all principals in the sample population because school principals are often promoted from the ranks of assistant principal or dean of students roles. As such, the query was done on “principal” because that resulted in the largest number of participants.

The last choice to make was how to locate the different school counselors. Separate queries needed to be done using “Counselor” and “CATE, Counselor” to include individuals with that current job title in order for all counselors to be included in the study. All of these individuals were included in the sample to maximize the number of participants in order to develop the most accurate utilization of each of the roles.

The next step was to create the online survey-questionnaire tool (SQT). All participants received an invitation via email to take the SQT. The SQT began with a cover letter that will serve as a consent form (see Appendix A) followed by evidence that the researcher has acquired IRB approval as well as approval from the district’s Research and Accountability Department (see Appendix B). By continuing with the SQT and submitting his or her responses, a participant acknowledged and agreed to be part of the doctoral thesis study. The first two questions determined that the participant was eligible, based on sufficient experience in one of the three roles specifically at the high school level. The third question asked which role they had held most recently, and based on the response, the SQT skipped to the page with the questions related to that role. All of the questions were parallel in wording except that the name of the role (assistant principal, dean of students or school counselor) was specifically mentioned in order to maximize clarity. The common information requested was the following, specifically in this order:

1. years served in the role of [AP/dean of students/school counselor] at the high school level in XISD;
2. indication of the smallest number of students ever in participant’s caseload while in the role;

3. indication of the largest number of students ever in participant's caseload while in the role;
4. rating of two aspects of their role—assisting with campus climate and culture versus locating resources for students and parents—depending on the relative percent of their time and effort they spend on those two aspects;
5. rating of two aspects of their role—communicating with parents versus employing or sharing specialized knowledge (including examples)—depending on the relative percent of their time and effort they spend on those two aspects;
6. rating of their job satisfaction in four specific areas and overall job satisfaction using a seven-point Likert scale;
7. name of their school (optional); and
8. knowledge of that campus having ever changed its model of administration, i.e., switched from the “dean model” to the “traditional model” (using APs and counselors) or vice versa.

Participants were then asked if they had ever officially held either of the other two titles being studied. Based on the response, the survey skipped either to the final questions regarding demographics or to the questions pertaining to that role. After completing the questions about role(s) and answering three demographic questions, all participants were thanked for their time and cooperation. The rationale for placing the demographic questions at the end of the SQT was based on reducing influence on the respondents' answers due to “order effect” as described in an article focusing on American survey research (“Questionnaire design,” n.d.).

The SQT directed any individuals who had not served in any of the three target roles at the high school level immediately to the thank you page. The survey data indicated that those participants skipped almost all the questions, and for this reason, the researcher anticipated particularly low participation percentages for several questions, regardless of the SQT's response rate.

**Comparing the two models for relative effectiveness.** Regarding the comparison of the two administration models, public data was to be mined from sources such as Texas Education Agency (TEA) as well as some data that might be supplied from departments from XISD's central administration, e.g., High Schools Office, Federal and State Compliance, and/or Research and Accountability. The first step was to determine which high schools switched from one model to the other, and when those switches occurred. After determining schools and dates, the next step was to mine the historical "effectiveness" data. The primary measures of effectiveness for this study were campus graduation rates, attendance rates, and student achievement data. Higher percentages meant greater effectiveness in each case. These data are submitted via TEA's Public Education Information Management System for individual schools. The data are public and are published annually online in documents known as School Report Cards (SRCs), Texas Academic Performance Reports (TAPRs), and Academic Excellence Indicator System (AEIS) reports (Texas Education Agency, n.d.-a). Common knowledge to practitioners in the state of Texas, the AEIS reports were stopped and replaced with TAPRs when the state agency switched its standardized, accountability tests changed from Texas Assessment of Knowledge and Skills (TAKS) to State of Texas Assessment of Academic Readiness (STAAR) in 2011-2012.

## **Scope and Delimitations**

The timeline of this study spanned about 24 months, divided approximately into thirds. The first third was used to pinpoint the research question, conduct the literature review, decide on the methodology, and write the first two chapters. The middle third was used to write the methodology and survey-questionnaire tool, gain approval from the university's Institutional Review Board (IRB), and go through XISD's review and approval process. The final third was used to collect the various data, analyze and interpret them, and write the final two chapters of this thesis. All aspects of the research were conducted within the geographical limits of XISD boundaries with an expected completion date in the spring of 2016.

The anticipated generalizability of the study was that it would be reliable for schools of similar size to the schools where participants were administrators—generally from schools as small as 800 students up to about 3,000 students. Those statements on the generalizability would need to wait until after the data had been collected, analyzed, and converted into conclusions in Chapter Five.

Based on a preliminary data dive to investigate feasibility based on sample size from the spring semester 2014, XISD had 108 individuals with a title of dean: 74 deans of students and 34 deans of instruction. Table 1 contains the breakdown of the number of individuals of each title and the education-level environment in which they work.

Table 2 contains the school counts in which those 108 individuals worked. Twenty total high schools operated with some form of dean on the campus's administrative team, and six campuses—all comprehensive campuses—utilize both forms of a dean. Twenty-four individuals were found at the middle- and high-school levels

with the title dean of instruction, which prompted the researcher to identify the first delimitation of this study: participant schools for the primary question were limited to comprehensive high schools. The rationale to limit to comprehensive high schools was because the TEA reported student achievement data for combined 6-12 schools in such a way that the student achievement data could not be disaggregated to only include grades 9-12, which would be needed in order to be consistent with the comprehensive high schools.

Table 1

*Preliminary Number of Deans by Campus Level*

Title	High School		Middle School	Combined: 6-12	Combined: PK-8	Elementary School
	Comprehensive	Specialty				
Deans of Students	38	5	23	6	2	0
Deans of Instruction	11	5	8	2	0	8
<b>Total</b>	<b>49</b>	<b>10</b>	<b>31</b>	<b>14</b>	<b>2</b>	<b>8</b>

*Note.* This preliminary data was obtained from XISD's Microsoft Exchange Global Address Book during mid-semester of spring 2014.

Table 2

*Preliminary Data on Number of Schools in XISD Employing Deans, by Type*

Title	High School Type		Middle School	Combined: 6-12	Combined: PK-8	Elementary School
	Comprehensive	Specialty				
Deans of Students only	2	3	10	1	1	0
Deans of Instruction only	5	4	5	2	0	7
Both types of deans	6	0	3	0	0	0
<b>Total Schools</b>	<b>13</b>	<b>7</b>	<b>18</b>	<b>3</b>	<b>1</b>	<b>7</b>

*Note.* This preliminary data was obtained from XISD's Microsoft Exchange Global Address Book during mid-semester of spring 2014.

The second delimitation was that researcher excluded himself from participating in the study. The primary reason for that decision was to avoid any conflict of interest or causing any direct influence on the data collected for the secondary research questions focused on the exploration portion of this study.

### **Limitations and Assumptions**

An anticipated limitation for the primary research question revolved around the small number of campuses that would qualify for inclusion in the study. An imposed limitation to qualify for the study was that at least two years of key performance indicator data would need to be available for the campus after a switch in administration models. The researcher's rationale for including the two-year minimum was to minimize the effects of an assumption: the first year after the switch of models, the school's key indicators would drop which will look like the new model is less effective. The two-year minimum, combined with the third data point necessarily being the origin to show each campus started from zero, eliminated the possibility of a perfect fit to a linear model (i.e., two points make a line). A more detailed description of this is found in the "Analysis – Primary Question" section of Chapter Three. An important, embedded assumption was that the campuses studied would not have any other major changes happening simultaneously, e.g., change in principal or inclusion in a specialized program that could drastically change the campus's funding.

Another limitation comes from using the Exchange Global Address Book to identify potential participants. The data would contain many inaccuracies such as individuals performing the duties of a dean of students but having a different title (e.g., instructional specialist) in the Global Address Book. Individuals in that situation were

not invited to participate in the study because the researcher had no reliable way of determining if individual instructional specialists were functioning as a dean of student, instructional coach, or in some other capacity on his or her campus.

The researcher acknowledged three assumptions before seeking approval from the IRB. The first assumption was that the participants would respond honestly on the online survey-questionnaire tool, including that they limit their reported service to the targeted level (i.e., high school) and that they limit their responses to years served within XISD. The second assumption was that the data exist and the researcher could reliably identify when a school's administration switched models. The final assumption was that TEA reported numbers consistently from the years that AEIS reports were published for campuses to the current accountability system, including 2011-2012 (the year that all Texas schools retained their accountability rating from 2010-2011 due to the switch to a new state-sanctioned assessment).

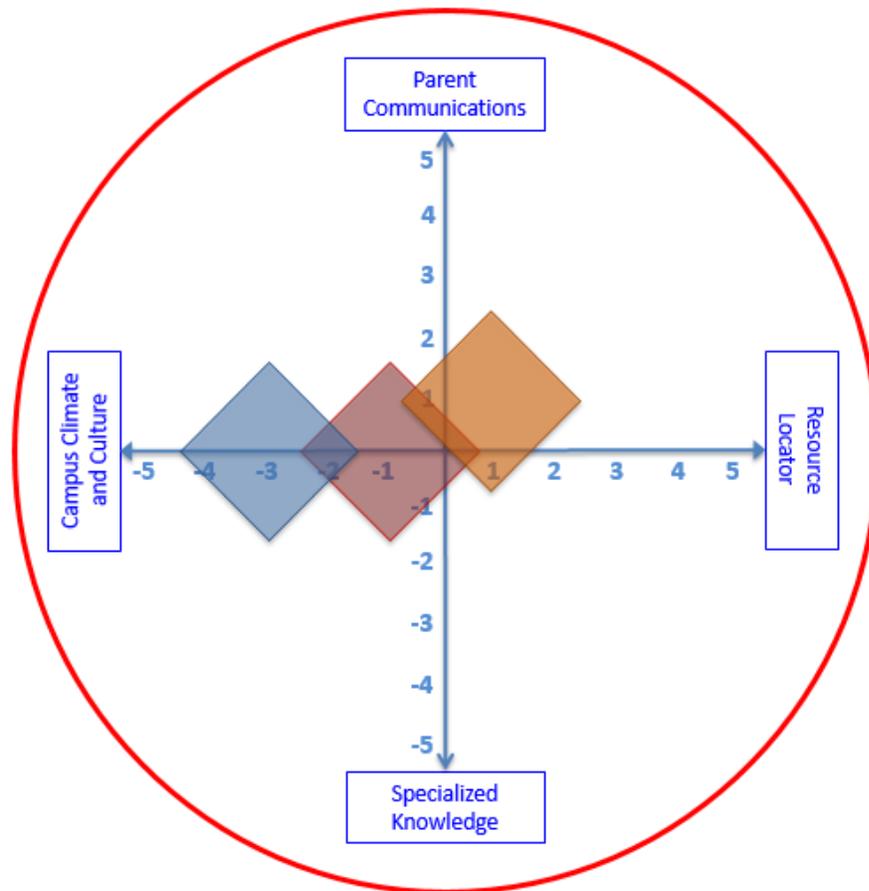
### **Hypotheses**

Before beginning the investigation, the researcher had a few hypotheses about what the results would reveal.

**Some identified campuses would appear in multiple categories.** The first hypothesis was that some schools would switch models, keep it for the minimum number of years (3) or more, and later switch models again. That situation would qualify the same campus to be included in multiple data sets. The researcher recognized that he might encounter some schools not operating on a pure dean or pure traditional model, and he would need to make an inclusion/exclusion judgment based on the personnel data presented for those campuses, or create a third category for them.

**Dean model more effective over time.** For any schools that kept the dean model for a fifth year or longer, the researcher's hypothesis is that dean model would have higher effectiveness ratings than the traditional model. (The definition of "effective" will be discussed in Chapter Three.) Part of that increased effectiveness could stem from the administration team's collectively higher job satisfaction or smaller caseload of students (see below), but that correlation is beyond the scope of this study.

**Highest frequency of ladder responses.** Using the graphical representation in Figure 1, the researcher predicted that the mean (mathematically averaged) responses from the participants who completed the SQT would occur in the respective color regions of Figure 2, based on role. The mean responses of all roles were expected to be shifted down toward the x-axis because the parent-school relationship weakens as students age (Epstein, 2010). The expectation was that, on average, individuals who served as a dean of students would view their role most similarly as assistant principals see theirs (see Figure 1).



*Figure 2.* Prediction of Where Assistant Principals (blue), Deans of Students (red), and School Counselors (orange) View Their Own Role

**Relative caseloads of students.** The researcher included a question on the survey-questionnaire tool to gather information on the smallest and largest numbers of students that participants had served in their role as an assistant principal, deans of students, or school counselor. The literature review in Chapter Two will reveal that the common practice in Texas is that assistant principals have higher caseloads than school counselors. Given that deans of students serve both of these functions for their students, the researcher hypothesized that the average caseload for a dean of students would be approximately half that of their professional counterparts. The average student caseload

predictions, each with a 10% margin, were  $280 \pm 28$  for a dean of students,  $500 \pm 50$  for a school counselor, and  $550 \pm 55$  for an assistant principal.

**Three distinct levels of satisfaction.** The researcher anticipated three clear levels of satisfaction amongst the three roles explored. The predicted results were that deans would have the highest job satisfaction, followed by counselors, and assistant principals would report being the least satisfied. This hypothesis (not including the counselor component) came from speaking with an individual who returned to the dean of students role after progressing through the roles of dean of students, principal, assistant principal, and back to dean of students (T. Davis, personal communication, September 2013). A larger pool of participants would determine if his sentiments reflect the general consensus in terms of job satisfaction.

### **Theoretical Framework**

The theoretical framework for this study, appropriately aligned to the eventual doctorate in executive leadership, is educational leadership. Based on an initial search for literature, there is a considerable lack of literature that directly addresses the role of the dean of students at the secondary level when it is an administrative role. The most common references are those such as Toliver-Roberts (2008), that refer to the dean of students role in higher education (post-secondary level). Govey-Allen (2011), however, provides a great example of the dean of students role when it is not an administrator position; she delineates the responsibilities and provides a professional development plan—designed for administrators interested in changing a school's structure to implement or reestablish the role of dean of students role—to help teachers prepare for the position.

**Establishing the disciplinary culture.** Compared to the role of dean of students, the role of the assistant principal has become increasingly well documented following the 1970 publication by the National Association of Secondary School Principals (NASSP). Over forty years after that report, a particularly succinct description of discipline management comes from Smith and Haines (2012, p. 552): “Responsibilities surrounding student–teacher conflict and student misbehavior are often delegated to the assistant principal, who manages student discipline throughout the school and sets the disciplinary culture (Berlin, 2009).” This quote guided the researcher to begin creating a theoretical construct (see Figure 1) that has the title “assistant principal” in the top-left quadrant with the domains of student discipline, campus security and incident investigator that are traditionally associated with duties of an assistant principal.

The mention of culture was one that stood out to the researcher, and that was the reason that it became one of the ends of the horizontal axis for the theoretical construct for the dean of students’ role (see Figures 1 and 2). Parker (2006) defined deans as “[non-administration] school disciplinarians who are responsible for monitoring the attendance and discipline of students and issuing students consequences for violating school rules” (p. 6). Discipline represents a large portion of what both an assistant principal and a dean does; for that reason it represents one of the four quadrants in Figure 1 that illustrates the theoretical construct developed by the researcher to illustrate the four main domains that a dean of students in administration usually experiences.

**Establishing a culture of trust.** The other main domain for a dean of students is the one that is relationship-driven (see Figure 1). Due to the nature of the position, students need to have trust in someone they are going to for advice. Haywood (2011)

wrote on the importance of having relational trust—also called social capacity—in order to be able to positively impact urban youth in the Detroit, MI, metropolitan area. On the topic of relational trust, Stephen M.R. Covey (2006) wrote *The Speed of Trust: The One Thing That Changes Everything*, and Susan Scott (2009) wrote *Fierce Conversations: Achieving Success at Work & in Life, One Conversation at a Time*. Both books have been on the best-sellers list and should be included in any theoretical framework that touches on relationships or social capacity as does the current study.

**Role of the school counselor.** Rice (2005) wrote specifically about high schools with TEA's Recognized and Exemplary rating and their administration's implementation of the four components of the Texas Guidance Model that “defines the counselor's primary focus [as] one that facilitates instruction by removing impediments to student learning” (p. 74). He found that there is no statistical difference between how principals and counselors view the role of the school counselor. More information will be provided in Chapter Two about the role of school counselor because it is a considerable part of the theoretical framework for the dean model of high school administration.

**Restructuring the organization.** Leithwood, Seashore-Louis, Anderson and Wahlstrom (2004) performed a review of research on educational leadership in several countries including Canada, China (Hong Kong), The Netherlands, and the United States. They found that “three sets of practices make up this basic core of successful leadership practices: setting directions, developing people and redesigning the organization” (p. 8). Clearly, one option that a principal has is changing the administration model on his or her campus. This research study will be designed with the intent to provide data and analyses

that may or may not support that decision. But is there more to the picture that should be taken into consideration before making the change?

### **Summary**

The first chapter of the doctoral thesis laid the foundation for this doctoral study. The focus of the study was on the role of the dean of students as an administrator, and how that model of administration compares with the traditional model that utilizes both assistant principals and school counselors. The study has particular relevance for principals and district-level leaders in XISD, the studied district from where the data will be drawn. The study also has significance to the field of education in that the role of dean of students has been in schools for quite some time; however, the role is not particularly well understood by individuals who have not seen the role in action. To this point, the doctoral thesis will help fill in the gap of knowledge—within limits—around the high school administration role of dean of students.

## **Chapter II**

### **Related Literature Review**

With the assumption that most of the readers of this thesis will be experienced educators, this literature review will start with a brief, accelerated history of American public school education to gain focus into the four domains of most relevance to the role of the dean of student followed by general leadership theory. The first domain will be the emergence of the roles of principal and superintendent, including the development of specialists who are typically an extension of the superintendent's office. The next sections will focus on the historical development of the roles of assistant principal and instructional coach. The next two sections will include the historical progression of the school counselor role and the limited amount of literature on the dean of students at the high school level. Finally a general review of modern leadership theory, role theory, and organizational development theory will round out the last component of the current chapter. When combined, the four domains—assistant principal, school counselor, instructional coach, and program specialist—essentially create the foundation of contemporary public schools' formal leadership team.

### **History of American Public Education**

This subsection of Chapter Three sets the backdrop for what was happening nationally in terms of education, industry, and sweeping movements from the time of colonial America (1600s to 1700s) until the turn of the last century (2000). This historical background will mention most of the major milestones in education. As mentioned above and illustrated in Figure 1, the domains of interest are—in order of

chronological appearance—the assistant principal, specialists of the superintendent’s office, school counselor and the instructional coach.

Before recreating that historical journey, it should be mentioned that all recounts of history have some degree of bias. With that said, and despite criticism by Bailyn and Cremin to broaden the view that was referred to as the “Massachusetts myopia syndrome” by Urban and Wagoner (2014), for the purpose of this scholarly writing, the term “education” will refer to the more formal pedagogy that generally aligns with the educational historian Ellwood P. Cubberley (1868-1941). According to Steffes (2014), Cubberley served as a superintendent of San Diego, California, public schools, helped education become a university-level field of study, and was the first dean of the School of Education at Stanford University. Lewis (1967) clarifies that what Cubberley documented in historical accounts would be better termed “schooling” instead of “education.” To be clear, as this scholarly writing has an intended audience of professional educators in the modern age, the terms “public education” and “schooling” will be synonymous.

**Colonial America.** Given this more narrow definition, and remaining consistent with Cubberley’s perspective, education in the United States of America is generally traced back to the historical roots in Massachusetts. The first school in colonial America was the Boston Latin School, founded on April 23, 1635, by the Town of Boston. “From the earliest years the town assigned public funds to the support of the school. It was eventually voted ‘to allow forever fifty pounds to the Master, and a house, and thirty pounds to an usher’ (assistant teacher)” (“BLS History,” n.d., para. 2). So even the earliest school in America was publicly funded and had a headmaster and an assistant.

The first known law pertaining to public education in colonial American was passed by the General Court of the Massachusetts Bay Colony in 1642. The Massachusetts Bay School Law required parents to ensure that their children could read English, knew the capital laws of the commonwealth, and could answer basic questions regarding orthodox (Puritan) religion. (“Massachusetts Bay,” 2012, “Race Forward,” 2006; Sass, 2015). In 1647, the same court passed a law that required every town of 50 families to have an elementary school (“Race Forward,” 2006; Sass, 2015) and every town of 100 families to have a Latin grammar schoolmaster to prepare students for Harvard College, which had opened in 1636 (Sass, 2015). Prior to that time, education had been primarily handled by private or church organizations, as it was in much of Europe in the same time frame (Campbell, Cunningham, Nystrand, & Usdan, 1990; Jones-Nerzic, n.d.). This approach would not be surprising given that the colonists generally modeled their schooling on English practices, and even brought most textbooks across the Atlantic.

Of particular interest for the written work that he left behind is a Mennonite schoolmaster name Christopher Dock who began teaching students in Montgomery County, Pennsylvania, in 1718. Except for a period of time devoted to farming from 1728 to 1738, he taught until his death in 1771. Circa 1750 he documented his own personal teaching philosophy and methods as well as authored a children’s book called *A Hundred Rules of Conduct for Children*. Despite an alleged intention for posthumous publication, Dock’s manuscript titled *Schulordnung* (“School management”) was published in 1770 (“Christopher Dock,” 2014; Sass, 2015). In his text, that was printed for almost 200 years in English, he “advocated gentleness and encouragement in the

teacher-student relationship. He counseled that discipline should grow from love, and he encouraged teachers to be simple, direct, and understanding, rather than harsh and overbearing” (“Christopher Dock,” 2014, para. 4).

Soon after Dock went back into the classroom in Montgomery County (about 40 miles northwest of Philadelphia), Benjamin Franklin made a public call in 1739 in Philadelphia to start a society of “Virtuosi or ingenious men” (“American Philosophical Society,” 2003). The society’s membership began meeting in 1743 but fell dormant by 1746. In 1766, a group of younger Philadelphians formed the American Society for Promoting Useful Knowledge. Spurred by this group, some of the surviving members of the original group became active again. Three years later, in 1769, the rival societies merged to form the American Philosophical Society that, with Franklin as its first president, helped bring many ideas of the European Enlightenment to the land that would soon declare itself politically independent (“American Philosophical Society,” 2003; Sass, 2015).

**Emerging Nation.** In 1776, Thomas Jefferson authored the Declaration of Independence to proclaim, among other things, that the American colonies were free from English rule. Jefferson’s writings are evidence that he was a proponent of education reform during his time, and in 1778 and 1780, he attempted to pass his *Bill for the More General Diffusion of Knowledge* through Congress. It failed both times. James Madison also presented the bill multiple times while Jefferson was serving as the Minister to France, but those attempts failed as well (Berkes, 2009; Brackemyre, 2012).

Moving past the Revolutionary War that ended in 1783, the U.S. Constitution was signed in 1787, setting the foundation for America’s domestic policies. Jefferson had

been in France during the drafting and ratification of the Constitution, and his support for the constitution was contingent upon having a bill of rights. Some experts go so far as to say that the American Bill of Rights was inspired by Jefferson, and in 1791, the U.S. Constitution's first ten amendments became law ("Bill of Rights," 2002).

As the last of the amendments in the ratified Bill of Rights, the Tenth Amendment still serves as a catchall to preserve balance between federal and state governments. It reads, "The powers not delegated to the United States by the Constitution, nor prohibited by it to the States, are reserved to the States, respectively, or to the people" ("Tenth Amendment," n.d.). With no mention of education or school anywhere in the U.S. Constitution or the first nine amendments of the Bill of Rights (Boyчук, 2010), the result is that education is consigned to the authority of the individual states. And even as President George Washington was leaving office and giving his farewell address in 1796, he was advocating for a public education system "to create a well-informed populace to participate in America's newly founded democracy" (Brackemyre, 2012, para. 1). Later that year, an edited version of Jefferson's *Bill for the More General Diffusion of Knowledge* passed through Congress as the Act to Establish Public Schools (Berkes, 2009; Brackemyre, 2012)

**Industrial Revolution.** By the turn of the nineteenth century, there was a distinct, rising demand for expansion of public education from the populace and also from the industry that was growing rapidly due to urbanization and new manufacturing technologies (Campbell et al., 1990; Carl, 2009; Glanz, 1994a; Jones-Nerzic, n.d.; Urban & Wagoner, 2014). However, the archetypical one-room school house was still the norm in this country ("19th Century Education," n.d.). Some changes had already happened,

like the Pennsylvania Constitution calling for free public education for children in families who could not afford it (Elizabeth, n.d.; “Race Forward,” 2006). Many more changes were on the horizon, inspired in part by “the division of labor in the factory, the punctuality of the railroad, the chain of command and coordination in modern businesses ... seeking to systematize the schools” (Tyack, 1974, p. 28).

In 1812, New York was the first state to pass a permanent law for the organization of public schools and used a “statewide system of common school districts and authorized distribution of interest from the Common School Fund” (“School District Organization,” 2008, para. 2). By 1820 thirteen of twenty-three states had constitutional provisions for public education (Campbell et al., 1990), including New Jersey providing education for very poor children that was paid for by the wealthier, and the country saw the opening of the first public high school in Boston, MA (Elizabeth, n.d.; “Race Forward,” 2006). The following year, the states of Ohio and Delaware authorized taxation to financially support public education, and Illinois did the same in 1825 (Campbell et al., 1990). By 1827, the Massachusetts legislature had established the first school boards as separate governmental entities (Campbell et al., 1990), had made all grades of public school free (Elizabeth, n.d.), and had required towns of more than 500 families to have a public high school (Sass, 2015).

Ten years later, 1837, was a busy year in the United States for the field of education. Massachusetts was also the first to create a state board of education, and its first Secretary was Horace Mann. Mann is credited as the father of the “common schools” of the 1830s and 1840s that were based on the system used in Prussia where all students were exposed to a uniform (common) curriculum and placed in grades based on

age and ability (Brackemyre, 2012; “Only a Teacher,” n.d.; Urban & Wagoner, 2014). Also in 1837, the first superintendent was appointed in Louisville, KY, and the first school of higher education for African Americans was opened in Cheyney, PA (Sass, 2015).

Nothing particularly remarkable happened in terms of organization or control of American schools for about 15 years until Massachusetts again became a first in 1852: the first to pass a law for compulsory attendance (Sass, 2015). By 1864, and in the middle of the American Civil War, the nation reached 16 states with compulsory-attendance laws (Campbell et al., 1990). And not until 1918, the year that World War I ended, would Mississippi be the last to join the list so that 100% of states would have laws for compulsory attendance (“Education,” 2015; Sass, 2015).

In 1867, two years after the U.S. Civil War ended, the federal government created the Department of Education “to collect information on schools and teaching that would help the States establish effective school systems” (“Federal Role,” 2012). This assistance would be all that legally could be accomplished because, per the U.S. Constitution and all amendments to the present date, the individual states still reserve all the powers and responsibilities for educating their populaces. As such, and establishing an important precedent for other states in 1874, Michigan’s highest court ruled that Kalamazoo could levy taxes to support its public high school (“19th Century Education,” n.d.; Sass, 2015). As a note for both civil rights and teacher-preparation, in 1881 Booker T. Washington became the first “principal” and founder of the normal (antiquated term for teacher-preparation) school that is now Tuskegee University (“Booker,” n.d.).

**Progressive Era.** Approaching the turn of the twentieth century—about 120 years ago—the historical evidence shows that the organization of the modern school essentially began during the Progressive Era of educational reform. This era is generally accepted to include the last decade (or two) of the nineteenth century and the first two decades of the twentieth century (Boyd, n.d.; Zainaldin & Inscoe, n.d.). The Progressive Era is marked by a social air of reform to “fix” the *laissez faire* errors of the Gilded Age (1870s – 1900) which refers to anything (often unsightly or of little value) being gilded or covered with a thin layer of gold. This attitude of *laissez faire* will be revisited in the subsection of this chapter that discusses modern leadership theory.

As with any form of progress, there are differing opinions or approaches for how to improve. In his book, *The One Best System: A History of American Urban Education*, Tyack (1974) categorized progressive educators into two groups: administrative and pedagogical progressives. Urban and Wagoner (2014) summarize Tyack’s viewpoint that “administrative progressivism sought changes in school organization and management that gave power to a new class of professionally trained school administrators. Their agenda included reorganizing schools under ‘scientific’ principles and administering them through the expert leadership of a professionally trained school superintendent. The agenda of pedagogical progressivism involved moving toward more child-centered teaching and more democratic relations between teachers and administrators” (p. 179).

According to the authors of ushistory.org (“Roots,” 2015), the most influential education progressivist was John Dewey; specifically he was a pedagogical progressive as evidenced by his proposal for “learning by doing” (para. 7). His most significant and far-reaching contribution was his book, *Democracy and Education, An Introduction to*

*the Philosophy of Education*, which was published in 1916. This would be impeccable timing to have strong influence on opinions and decisions to pass the 1917 Smith-Hughes Act that provided federal funding to support vocational education (Gladding, 2012; Pope, 2000; “Race Forward,” 2006; Sass, 2015) as well as the 1918 *Cardinal Principles of Secondary Education* (*Cardinal Principles of Secondary Education*, 1918) that had democracy as a central theme for education in American.

The year 1909 was a relatively important one in terms of education. On July 6, 1909, the school board in Columbus, Ohio, authorized the creation of junior high schools, in part, to improve graduation rates (“First Junior High,” n.d.; Sass, 2015). Lounsbury (1960) offered that the innovation of the junior high school did not emerge for any one reason—and listed 10 specific events, studies, and phenomena from the first decade of the 1900s—but rather it was the timing and interaction of them all that gave rise to the junior high school. Also in 1909, the board of Chicago Public Schools would appoint the nation’s first female superintendent, Ella Flagg Young, who had served as a principal in Chicago from 1865-1871 and had studied part-time under John Dewey (“Ella Flagg Young,” 2015). Even as the progressive era in education was just beginning in the second decade of the 1900s—clearly embodied in the foundation of the Progressive Education Association in 1919 (Sass, 2015)—the Second Industrial Revolution (also called the Technological Revolution) would officially come to a close with start of World War I in 1914. This fact has significance that will become apparent when exploring the rapid evolution of the principalship the next segment of this chapter.

## **Role of the School Principal**

With the backdrop of the major social and industrial environments in American history established, one can more easily understand the development of schools—both at the individual level as well as the systematic or district level. Pierce (1935) published his findings on the first century of the principalship, and Goldman (1966) brought the study into a more modern age along with suggestions for further studies. Formal research has been conducted on virtually all of Goldman’s suggestions, but as will be elucidated, little has changed with the principalship in the last half-century despite the educational environment becoming more technologically advanced. The role of the school principal is an easy one to understand: It is usually the single, highest-ranking position within an individual school who oversees the faculty and staff and also coordinates with intra-organizational stakeholders (e.g., staff from the superintendent’s office and the students) as well as external stakeholders (e.g., business partners, parents, and taxpayers). In short, the principal is the school’s leader, or manager, depending on the case (Goldman, 1966).

**History of the Principalship.** Remembering the one-room schoolhouses of colonial America, it is clear that the size and format was sufficient for the number of students and the relative rigors of formal education of the time. The one-teacher-plus-assistant layout was functional until about the time of the common school movement (1830s and 1840s) of Horace Mann, when enrollment numbers increased, which meant that the number of teachers needed to increase. Goldman (1966) notes that, in addition to more teachers per school, “with the development of grading practices and departmentalization it became increasingly evident that someone in the school building

had to be responsible for its administration” (p.3). The position became known as head teacher or principal teacher.

As early as 1839, the Cincinnati Board of Education appointed a special committee to study the position and outline the major responsibilities. Even with eleven distinct responsibilities—that ranged from “regulating” classes, ensuring school cleanliness and maintenance, and instructing the faculty members (called “assistants”)—the principal teacher was not relieved of his teaching duties (Goldman, 1966). Not until 1857 in Boston, and continuing to span a 10-year period documented in Chicago and later in New York City, would principal teachers be relieved of half or all of their teaching time (Pierce, 1935). With the dropping of the word “teacher” from the title, American educators had created the role of school “principal” with a set of expectations to accompany the title.

Referring to the national timeline from the previous section, the 1870s started the Gilded Age. Therefore, it should not be surprising to learn that principals, recently freed of their teaching obligations, were largely “satisfied to attend to clerical and petty routine, administering their schools on a policy of *laissez faire*” (Pierce, 1935, p.21). It would not be until 1921 that the National Association of Elementary School Principals (NAESP) would be founded (“National Association,” n.d.). According to Goldman (1966), NAESP “turned the attention of the principal to scientific study of the problems of his position and stimulated professional interest in the principalship as an important position in American education” (p. 6). The focus prompted for studies on the principalship such as “The Duties of High-School Principals” (Davis, 1921) and “The Managerial Duties of the Principal” (Fillers, 1923). All of these activities fit well within the parameters of the

Progressive Era that carried through the 1920s. Another component that aligns well is that the Second Industrial Revolution, where business and industry ruled the prevailing mindsets, had been in full swing until 1914. Therefore, it would not be surprising to read that during the 1920s “[the school principal] was beginning to view himself as a business-executive-in-education. The temper of society during this period reinforced that image and even demanded that he hold it” (Goldman, 1966, p. 7). According to Glanz (1994a), this was the period that saw principals having no teaching responsibilities and a double in the number of school principals nationwide.

The 1930s were marked by industrial psychologists “and others interested in the study of organizations and the people who worked in them,” including the principal (Goldman, 1966, p. 7). This chronology aligns with the development and application of the work stemming from behaviorist psychologists Thorndike, Watson, Guthrie, and Skinner as well as model-builder psychologists Brunswik and Freud (Knowles, Holton, & Swanson, 2012). The interplay of sociology with industrial and organizational psychology would be the roots of the field of study known as organizational development (OD). Generally considered the founding father of OD, Kurt Lewin would not live to see it become a mainstream concept in the 1950s (Child, 2005). This field will be discussed in the section concerning leadership theories later in this chapter.

Goldman explains that the 1950s saw “major emphasis ... towards analysis of superior-subordinate relationships within the school setting” (1966, p. 8). Griffiths (1959) and Bennis (1959) describe superior-subordinate relationships at length and label them as a problem of authority. They discuss the “scientific management” of Taylor, the “ideal type of bureaucracy” of Weber, and the “administrative management theory” of

their time. These will be discussed later in this chapter as they pertain to educational leadership theory.

In “Education and the Cult of Efficiency,” Fink (1963) recounts that Callahan rebukes the “scientific management” theory of efficiency that came from the business world into the field of education in 1911 with Taylor’s publication of “The Principles of Scientific Management” (Bennis, 1959; Fink, 1963; Griffiths, 1959). Callahan wrote that “public education in particular was assaulted [by Taylor’s ideas]” (p. 53) and that the “idea of efficiency is meaningful to education only when property is worth more than people” (p. 57). Ultimately, Callahan calls for a renewal of “the person-centered democratic aspirations of the progressive movement” (Fink, 1963, p. 57).

Despite a footnote reference to Callahan when recounting the history of the principalship, Goldman (1966) keeps a more positive tone to his writing and suggests that one way to view the principalship was through the lens of the work of Robert Katz, whose 1955 article was republished by the Harvard Business Review in its September 1974 issue (Katz, 1974). His work has developed into a leadership theory that will be explored in more detail near the end of this chapter.

Goldman (1966) also suggests that the principalship could be viewed through the “Tri-Dimensional Concept ... originally developed to describe the role of the superintendent” (p. 11). So by the 1950s the principalship had gained enough attention and studies that it was being compared to the superintendency. A very brief review of that role would be in order as well.

## **Roles of the Superintendent and His Office**

Campbell, et al. (1990), Houston (2013), Sass (2015), and Urban and Wagoner (2014), collectively provide a reasonably consistent historical account of the development of the district superintendent. For clarification in the remainder of this section, the term “superintendent” refers to the local-level position and not the state-level position used in some states such as “commissioner of education” or “secretary of a state board.” Sass (2015) documents that the role of the superintendent appeared in Louisville, KY in 1837, near the end of the common school movement. Houston (2013) corroborates that claim and adds that Buffalo, New York, also appointed a local-level superintendent the same year. Campbell, et al. (1990) specify that Buffalo was first by more than a month, and made its appointment on June 9, 1837. The title of the superintendent paralleled other high-level positions of the time, including the Superintendent of the Railroad, Superintendent of Police, and Superintendent of the Prison (citation). The position was essentially created to alleviate the burden of an increasingly complex education system on the laymen who were volunteering on their local school boards (Campbell et al., 1990; Houston, 2013).

The superintendent position underwent substantial changes during the Progressive Era when governance transitioned from local boards to more centralized citywide boards. With the expanded role of the superintendent that coincided with the rapid increase in enrollment in urban schools, the superintendency became professionalized early in the twentieth century because it required job-specific skills (Campbell et al., 1990; Urban & Wagoner, 2014). As a direct evolution of centralization and administrative progressivism, the emergence of educational management from educational leadership

began (Urban & Wagoner, 2014). According to Houston, “while the idea [to appoint and pay a superintendent] did not spread quickly, by 1870 there were more than thirty large cities with a superintendent” (2013, para. 12).

Campbell, et al. (1990) explain that the superintendency position has had four movements that have impacted the role’s central concept. In chronological order they are the following: “scientific management” from the turn-of-the-century efficiency studies in industry, “human relations” rooted in the 1930s and 1940s, “bureaucracy” stemming in the 1950s and 1960s, and the “open systems” concept that began in the 1970s.

While all of these movements have been studied at length, it is the development of the superintendent’s central office staff that is of interest for the study at hand.

Campbell, et al. (1990) point out that central office positions “represent an extension of the superintendent’s office” and their “history ... can be viewed from two perspectives” (p. 279). The first is from the education practitioner’s perspective on how to effectively organize and control schools and districts systematically. The second is from the perspective of scholars, who point out an increase or excess of bureaucracy in large districts. For this study, written by and for practitioners, clearly the first standpoint is more relevant and will thus be the one explored.

Central office positions often include assistant superintendents, directors, supervisors, managers, coordinators, and specialists. Over the course of time, these positions developed particularly in larger school districts as a result of the superintendent not being able to meet the expectations of his increasingly complex role (Campbell et al., 1990; Goldman, 1966). Campbell, et al. (1990) note that staffing the central office depends on several factors, including whether a district is more centralized or

decentralized. They succinctly provide two statements and a judgment: “[T]here may be more justification for centralizing business function than instructional functions....

Competent staff at the [campus] sites require less supervision from the central office.

Our judgment is that most large districts could and should move toward decentralization, providing they also move toward competent teachers and principals at the school sites”

(p. 281). These sentiments will be of importance as they relate to the specific research questions and proposed model that are part of this doctoral research study.

### **Role of the Assistant Principal**

The previous section illustrates the superintendent’s office and the development of a variety of specialist positions that are often attached to that central office. Those positions collectively represent one quadrant of the dean of students’ role—specifically the one that is shown in Quadrant IV of the theoretical construct shown in Figure 1. This current section of Chapter Two explores the second domain, that of the assistant principal. The author of the present student specifically does not use the abbreviation AP for assistant principal because that can become confused with the term associate principal that Fox (2010) notes is emerging as a distinct role in educational leadership and administration of large high schools. For the purposes of this study, the assistant principal aspect of the dean of students is represented in Quadrant II of the graphic in Figure 1.

**History of the Assistant Principalship.** As discussed in the previous section, American educational leadership parallels American industrial revolution’s management structure. Particularly during the efficiency movement, the principalship looked remarkably similar to a factory’s manager (Glanz, 1994b; Scott, 2011). Similar to the

principalship coming from the role of “head teacher” or “principal teacher,” the assistant principalship has its roots in a position known as the “general supervisor” in the first few decades of the twentieth century (Glanz, 1994a, 1994b; V. M. Scott, 2011). The “general supervisor” role was created to literally assist the principal with certain functions, primarily dealing with student discipline and attendance irregularities at first. By contrast during the same time period, a position of “special supervisor” was often created by the principal and filled by a female to assist teachers with instruction and content mastery; this position did not require any formal training (V. M. Scott, 2011). In time these responsibilities would be absorbed by the general supervisor, usually a male, and became known as the assistant principal.

Little literature exists on the role of assistant principal in its early development and utilization because the role was largely unstudied in the years between 1920 and 1970. Even as late as the publication of his book in 1966, Goldman only dedicates four paragraphs to the role of assistant principal in *The School Principal*. However, the position of assistant principal was clearly known to exist because it is present in both figures depicting generic organizational charts of typical school districts of the time—one represents a large school district (having over 8,000 students) and the other represents medium school district (having 6,000 to 8,000 students). Goldman cites a 1962 study in which Hemphill, Griffiths, and Frederiksen found “very little delegation” to subordinate administrators at the elementary level (p. 19), and surmises that the role of assistant principal in elementary schools will become necessary as size and scope of those schools increase. Goldman aptly points out that “studies need to be made of the role the assistant

principal might play, his relationship to others in the school, and the responsibilities that might be vested in the position” (p. 19).

The first study to provide insight into and a descriptive overview specifically of the assistant principal position came in 1970 when the National Association of Secondary School Principals (NASSP) published its *Report of the Assistant Principalship* (Glanz, 1994b; Howard-Schwind, 2010; Marshall & Hooley, 2006; Nieuwenhuizen, 2011; V. M. Scott, 2011). That three-part study summarized data from a survey of 1,270 assistant principals as well as from a shadow-interview component of the study. In the chapter of the study focusing on their conclusions, Austin and Brown (1970) emphasize six findings. Here are their exact words, with the elaborative prose omitted from each subsection:

1. In today’s larger secondary schools, the assistant principal is essential to the effective functioning of that school.
2. The assistant principal is primarily concerned with people and their relationships as established, stressed, and threatened within the milieu of the school.
3. Critical to the understanding of any assistant principalship at any time is the peculiar relationship between the principal and the assistant principal.
4. There seems to be ample reason to question the commonly held belief that the assistant principalship is a necessary step in the preparation of those who will serve as effective school principals.
5. The satisfactions to be found in the assistant principalship are few and unimpressive to most who occupy this office.

6. The assistant principal tends to be an intermediary. (p. 76-79)

The decades following the report showed little attention in research literature to the role of assistant principal. One notable exception was Greenfield (1985); his contribution will be discussed in the next subsection of this chapter.

So little was that attention, Kaplan and Owings (1999) reviewed 756 professional articles published between 1993 and 1999 and found only one percent to have focused on the assistant principal. For example, Koru (1993) focused on assistant principals in the Houston, Texas area to investigate if the role prepared them to become a principal. Glanz (1994a) pointed out that the 1970 NASSP “study’s major contribution was that it highlighted the importance of the assistant principalship” (para. 3). Oleszewski, Shoho and Barnett (2012) cited each of these authors and others in their literature review that reiterated that “assistant principals have been underrepresented in the professional literature” (p. 265). One of their self-reported implications of the review was that the assistant principal’s role “needs to be reconfigured” (p. 264). All of these notions are echoed in the second edition of *The Assistant Principal: Leadership Choices and Challenges* by Marshall and Hooley (2006).

**Contemporary Role of the Assistant Principalship.** Where are we today?

Today assistant principals of comprehensive, secondary schools are expected to be jacks of all trades. There have been a multitude of studies, and the results vary because there is no standard practice for the roles and responsibilities of assistant principals. Instead, researchers have found trends. One of the most straight-forward explanations of the role is found in an article on Learn.org, a career research and preparation website:

Assistant principals help school principals with general administrative tasks. These vary from district to district and even school to school, but broadly fall into the areas of planning, coordinating services and maintaining order. Planning duties might include consulting with the principal, administering the school's mission and priorities, developing master course schedules, and implementing school programs and activities.

As an assistant principal, you must adjust class schedules; evaluate, hire and train new staffers; order textbooks, equipment and supplies; communicate with colleagues, teachers, parents and students; and supervise student transportation services. To maintain order in schools, you must monitor classrooms, evaluate teacher performance, respond to complaints about school policy, discipline students and prepare reports for juvenile court hearings. You also must meet with social workers, probation officers and parents to discuss options for chronically misbehaving or troubled students. ("What Does an Assistant Principal Do?" n.d., para. 3)

This description is written equally well for laymen, practitioners and researchers to understand. Key researchers in the United States who have studied assistant principals' contemporary activities include Hausman, Nebeker, McCreary, and Donaldson (2002), Weller and Weller (2002), and Scott (2011). Researchers in Australia (Cranston, Tromans, & Reugebrink, 2004), Hong Kong (Kwan, 2009) and Turkey (Celikten, 2001) report similar findings in terms of the assigned tasks and themes of the role as well as the relative satisfaction of people serving in the role.

Through these studies and similar ones, researchers have an understanding of the tasks charged to assistant principals: providing supervision of students and adults on campus and at school-sponsored events, addressing student discipline and attendance irregularities, providing instructional leadership and teacher appraisals, facilitating or coordinating operational matters such as transportation services, textbook orders/distribution, and addressing parent concerns. All of these tasks or activities can be categorized as customer service to teachers, students and parents.

After understanding that the assistant principal is in the business of serving a variety of individuals, the next question becomes how many primary customers—students, in this case—does an average assistant principal serve? Odden (2011) suggests one principal for the first 500 students regardless of level (i.e., elementary or secondary). He makes reference to an older textbook that he coauthored, *Doubling Student Performance: ...and Finding Resources to Do It*, to provide some heuristics for staffing schools based on the student enrollment. Odden and Archibald (2009) suggest one assistant principal for the archetypal secondary school with 600 students in addition to the principal. Leithwood et al. concur that “600 to 700 students appears to be optimal for secondary schools” (2004, p. 51). Neither set of researchers, however, provide any general formula for the number of assistant principals needed for schools with larger enrollment numbers.

Other organizations also have guidelines or recommendations for the staffing of assistant principals. The Texas Association of School Boards (TASB) often reports two sources of guidelines: one from the Southern Association of Colleges and Schools (SACS) and the other from Common Practice in Texas (CPTx). According to TASB

reports, the SACS guidelines are conservative and have consistently called for one assistant principal per 500 students at the secondary level (yet per 700 at the elementary level). The CPTx guideline has changed in recent years. Prior to 2012, TASB reported that the common practice in Texas was to have one assistant principal per 450 students at the secondary level (Texas Association of School Boards, 2009, 2010, 2011); however, more recently that number has increased to one assistant principal per 550 students (Texas Association of School Boards, 2012, 2014a, 2014b).

With an understanding of approximately how many students a typical assistant principal serves, the question returns to the structure of the student caseload, which varies from school to school and is strongly influenced by the school's principal (Glanz, 1994a; Hausman et al., 2002; Marshall & Hooley, 2006; Nieuwenhuizen, 2011). Typical arrangements are by grade level, and if the grade level has too many students for one assistant principal to handle, then the caseload is often split alphabetically by the students' last names. Another arrangement is by enrollment in a particular academy or "house." For example, in the published 2012–2013 proposed budget for Greenwich Public Schools (Connecticut), the description of the high school's campus-level staffing was the following:

The High School [with ~2,500 students] has a Headmaster, an Assistant Headmaster, and 5 House Administrators – one for each House and a special education administrator. These administrators provide school leadership and direct teacher and program supervision within their schools/houses. Further, there is a Dean of Student Life who, among other things, oversees 5 part-time Assistant Deans (teacher positions) – one in each House. ("Current Model," 2012, para. 8)

As mentioned in that description, an assistant principal might serve a special population, such as students in Special Education or an English as a Second Language program.

Other configurations very well might exist, but in XISD (the school district in which the current study will be conducted) the accountability arrangements for assistant principals, deans, and counselors are limited to “grade level or alpha assignments, special assignments, and whether or not they remain with students during their grade progression from year-to-year or are assigned to a specific grade level and remain with that grade level” (“School Guidelines,” 2013, p. VII-27). Because other configurations are not practiced within the secondary schools of XISD, they will be omitted from further discussion in this literature review.

### **Role of the Instructional Coach**

The previous section illustrates the development of and current role of the assistant principal in secondary schools, which is represented in Quadrant II of the theoretical construct of the role of dean of students (see Figure 1). This current section of Chapter Two explores the third domain, that of the instructional leader or coach, which is represented in Quadrant III of the theoretical construct of the dean of students’ role.

Before delving too far into the literature of instructional coach, the researcher would like to acknowledge that there are different approaches to coaching teachers and other educators for improvement. The four most common are (a) cognitive coaching (Batt, 2010; Costa & Garmston, 2002), (b) instructional coaching (Knight & Cornett, 2008; Knight, 2007), literacy coaching (Knight, 2007; Walpole & McKenna, 2012), and (d) peer coaching (Gottesman, 2000; Showers, 1985). Given the direction of senior management of XISD (the school district of this study), the thrust at least since 2011

within XISD has been to embrace instructional coaching as the approach practiced in the district (personal communication, G. Tompkins, July 2012). For that reason, only instructional coaching will be addressed in this subsection of Chapter Two.

Instructional coaching falls squarely in the realm of instructional leadership which is the major component missing from the previous description of the assistant principal's roles and activities. Howard-Schwind (2010) dedicated her doctoral research on assistant principals' instructional leadership responsibilities, specifically in large Texas high schools. She borrowed the definition of instructional leadership from Glickman, Gordon and Ross-Gordon (2004) who describes it as "leadership for the improvement of instruction supervision through direct assistance to teachers, curriculum development, professional development, group development and action research" (p. 11). One of the conclusions of Howard-Schwind is that assistant principals feel they engage in instructional leadership activities often, but need to do even more to be prepared for the principalship.

Leithwood (1992) claims that instructional leadership was an *idea* that "served many schools well throughout the 1980s and the early 1990s" (p. 8). One of the earliest researchers to push for instructional leadership to be included as a part of the assistant principal's role was Greenfield who published an article called "Developing an instructional role for the assistant principal" in 1985. In this article Greenfield essentially was calling for part of the "instructional leadership activities [that] did not appear as an AP duty until the 2000s" (Oleszewski et al., 2012). Today we see that carried out mostly in the capacity of an appraiser (formal, evaluative role) and less often as an instructional coach (less formal, non-evaluative role) (Knight, 2007).

A notable, contemporary expert on instructional coaching is Knight (2007). In his textbook, he describes instructional coaching as the partnership approach to professional development. Furthermore, a professional who use this type of approach, Knight simply calls an instructional coach (IC). To describe some of their characteristics and what they do, Knight (2008) says, “ICs partner with teachers to help them incorporate research-based instructional practices into their teaching. They are skilled communicators, or relationship builders, with a repertoire of excellent communication skills that enable them to empathize, listen, and build trusting relationships” (p. 30-31).

Instructional coaching has its own, complete theoretical framework. Knight and Cornett (2008) summarize that “the coaching practices employed by instructional coaches are grounded in seven principles: equality, choice, voice, dialogue, reflection, praxis, and reciprocity.... These seven principles provide a conceptual language for *how* instructional coaches interact with other professionals in the school” (p. 4). The essence of each of these principles can be captured in a single sentence; each sentence is coming directly from the research paper (Knight & Cornett, 2008, p. 4-6):

- 1) Equality: Instructional coaches and teachers are equal partners.
- 2) Choice: Teachers should have choice regarding what and how they learn
- 3) Voice: Professional learning should empower and respect the voices of teachers.
- 4) Dialogue: Professional learning should enable authentic dialogue.
- 5) Reflection: Reflection is an integral part of professional learning.
- 6) Praxis: Teachers should apply their learning to their real-life practice as they are learning.

7) Reciprocity: Instructional coaches should expect to get as much as they give.

Knight and Cornett (2008) continue to describe a seven-step process that instructional coaches should employ, specifically in order this:

- 1) “enrolling” the teacher to gain their trust and buy-in;
- 2) planning collaboratively with the teacher about a new or modified teaching practice;
- 3) modeling the lesson with the new practice for the teacher;
- 4) meeting for a teacher-directed post conference;
- 5) observing the teacher teach the lesson;
- 6) exploring the data collaboratively; and
- 7) supporting the teacher in an on-going fashion as the teacher implements the new practice.

Instead of borrowing excessively from Knight’s body of work, the researcher-practitioner of this study invites interested parties to visit the Kansas Coaching Project website, [www.instructionalcoach.org](http://www.instructionalcoach.org) and or read *Instructional Coaching: An Approach to Improving Instruction*.

### **Role of the School Counselor**

This section of Chapter Two captures the main points to provide background and exploration of the fourth domain, that of the school counselor, which is represented in Quadrant I of the theoretical construct of the role of the dean of students.

Less similar to the development of the instructional coach and more similar to the history of the assistant principal—which was a position that emerged without much planning and progressed without much attention from professional organizations or

literature—the evolution of the school counselor’s role has experienced multiple phases of development. The school counseling profession is relatively new, and Dahir (2004) says that “the history of school counseling has depicted a profession in search of an identity” (p. 345). Many have researched conflicts, controversies, and confusions with the role and duties of school counselors through the position’s history of redefinition and modernization (Aubrey, 1977; Burnham & Jackson, 2000; Gysbers & Henderson, 2001; Paisley & Borders, 1995; Schimmel, 2008).

**History of the School Counselor.** School counselors and formalized counseling virtually did not exist in schools at the turn of the 20<sup>th</sup> century. “Instead, teachers used a few minutes of their time to offer vocational guidance to students preparing for work in a democratic society” (American Association of School Counselors, 2005). One of the first school counselors is considered to be Jesse B. Davis, who became a principal of a high school in Grand Rapids, Michigan, in 1907. He is credited with setting up the first systematized guidance in public schools (Gladding, 2012; Pope, 2009). Davis did so by vertically aligning the junior and senior high school English teachers to use lessons each Friday to have students write guidance-oriented essays. According to Pope (2009), the theme for grades 7 and 8 was “Ambition” to increase self-knowledge; the theme for grade 9 was on building character; the theme for grade 10 was on “World’s Work;” the theme for grade 11 was “Choice of a Vocation and Preparing for It;” and the theme for grade 12 was “Service” to the community. Clearly a pioneer and a guidance counselor before the term existed, Davis was a founder of the National Vocational Guidance Association (that changed names in 1984 to National Career Development Association) and National

Association of Secondary School Principals, but is not considered the founding father (Pope, 2000, 2009).

Also at the turn of the 20<sup>th</sup> century, Frank Parson, who *is* known as the founder or “father of vocational guidance,” was working with students to help them make decisions about careers or vocations (Aubrey, 1977; Gladding, 2012; Krumboltz & Kolpin, n.d.; Niebuhr, Niebuhr, & Cleveland, 1999; Pope, 2000). He was the visionary who was invited by the Civic Service House in the north end of Boston “to speak to the graduating class of one of the evening high schools on the choice of a vocation” (p. 91). Subsequent conversations lead to Parsons being asked to “draw plans for the permanent organization of the work” (p. 91) and in January 1908, the Vocation Bureau of Boston was founded based on his plan (F. Parsons, 1909). Parsons spent his last few months alive working with young people to help them make career or vocational decisions.

In 1909, Parson’s manuscript, *Choosing a Vocation*, was published posthumously. In it, he outlines the seven-step method that a vocation counselor was to use when counseling a client (which ranged from 15 to 72 years of age):

- 1) Gather personal data, “*on paper*, of the principal facts about the person” (p. 45).
- 2) Have the person do a “self-examination, *on paper*, done in private, under the instructions of the counselor” (p. 45).
- 3) Person’s own choice and decision: “It must always be borne in mind that the choice of a vocation should be made by each person for himself rather than by any one [sic] else for him” (p. 45).

- 4) Counselor's analysis to include analyses for these five categories: "heredity and circumstance; temperament and natural equipment; face and character; education and experience; and dominant interests" (p. 45).
- 5) Describe the outlook on the vocational field. Parsons's manuscript clearly stated that "a vocational counselor should familiarize himself in a high degree with industrial knowledge" (p. 45-46).
- 6) Present advice using "clear thinking, logical reasoning, a careful, painstaking weighing of all the evidence, a broad-minded attitude toward the whole problem, tact, sympathy, [and] wisdom" (p. 46).
- 7) Provide "general helpfulness in fitting into the chose work" (p. 46).

Chapter XIII of *Choosing a Vocation* (F. Parsons, 1909) begins with the statement of the "Vocation Department of the Boston Young Men's Christian Association has established a school for vocational counselors, to train men for carrying on vocational bureau work in connections with Young Men's Christian Associations, schools, colleges, universities, social settlements, and business establishments" (p. 93). This fact, as much as any, seems to be the birth of any formal training for career counseling.

During the time from the 1920s into the 1930s, two concerns began to emerge. The first concern was that counseling had a position-orientation (tasks and approaches varied widely depending on the individual charged with the role) and did not have standard practices or a unified program (Gysbers & Henderson, 2001). Glossoff (2009) indicates this period as the naissance of the professional identity of counselors, and Sink (2005) refers to this time as the "formative" era of the profession. Gysbers et al. (1990) describes the organizational pattern as the "services model [that] had its origins in the

1920s and consists of organizing the activities of counselors around six major services: (1) orientation, (2) assessment, (3) information, (4) counseling, (5) placement and (6) follow up” (p. 3).

The second concern from this earliest period of counseling was that school counselors did not have a measure of accountability to document outcomes or measure their value to the school and students. Aligned to this concern was the second historical event of interest: the introduction (during World War I) and proliferation (during World War II) of psychometrics. Psychometrics became a part of the Army’s recruitment examination to help determine those suited for military service or leadership, (Gladding, 2012; Glossoff, 2009; Jones & Thissen, 2007; Krumboltz & Kolpin, n.d.). Aubrey (1977) goes so far as to assert about psychometrics entering the field, “without a scientific means to justify the first step of individual assessment, it is unlikely that vocational guidance would have been received so widely. Testing and the later adoption of trait-factor psychology gave the vocational guidance movement respectability, credentials, and a firm foothold in public institutions” (p. 291). Glossoff (2009) points out that in 1938, the “U.S. Office of Education established the Occupational and Information Guidance Services Bureau that, among other things, conducted research on vocational guidance issues. Its publications stressed the need for school counseling” (p. 14). The concern for accountability and the associated call for evaluation of school guidance and counseling was consistent through the 1950s (Gysbers, 2004). That concern for accountability went so far that “the Association for Counselor Education and Supervision Experimental Design Committee (1967) admonished counselors for having taken for granted the past 10-15 years their importance in education in the United States” (Sabella, 2006, p. 412).

The third event that had a significant impact on the field of vocational and school counseling was triggered in 1958 when the U.S. government passed the National Defense Education Act (NDEA), which was in response to the Russians being the first to successfully launch the satellite Sputnik I into Earth's orbit the previous year. The NDEA established the Counseling and Guidance Training Institutes stimulated federal funding to improve training of guidance counselors and upgrade counseling programs for the purpose of identifying strong students in math and science and promote their development so that the U.S. could win the so-called space race (American Association of School Counselors, 2005; Borow, 1964; Pope, 2000).

Not to be forgotten from the literature review were several key historical pieces of federal legislation had helped school counselors become a norm in the traditional school model. The first was the Smith-Hughes Act of 1917 that provided funding for secondary public schools for vocational education (Gladding, 2012; Pope, 2000; "Race Forward," 2006; Sass, 2015). Pope (2000) adds that this landmark act received additional support of vocational education in public schools with the passage of the George-Reed Act of 1929, George-Ellzey Act of 1934, and the George-Deen Act of 1936. Krumboltz and Kolpin (n.d.) and Glossoff (2009) mark the importance of the George-Deen Act as a major factor of providing funding after the Great Depression in order to breathe new life into the field of vocational guidance counseling. Also noteworthy is that Pope (2000) identifies that it is important to recognize that "the terms *career counseling*, *career development*, and *vocational guidance* have distinct meanings that are time and culture specific. *Vocational guidance* was the original term used in the U.S. and ... *career counseling* and *career development* came into more common usage in the 1950s" (p. 195).

Up to and through the 1960s, counselors would be trained primarily in one of two schools of thought with different roots: either psychological/clinical paradigms or educational paradigms (American Association of School Counselors, 2005). Gysbers et al. (1990) described the former traditional organizational pattern “the process model [that] also had its origins in the 1920s. Until the 1960s this model emphasized the clinical and therapeutic aspects of counseling” (p. 3). Despite concerns stemming back to the 1920s on this issue, it was not until the 1970s and 1980s was there an effort to unify the profession to implement *comprehensive* guidance and counseling programs (American Association of School Counselors, 2005; Gysbers & Henderson, 2001).

Gysbers et al. (1990) describe the origins of the program model of school counseling:

In October of 1969 the University of Missouri-Columbia conducted a national conference on career guidance, counseling and placement that led to regional conferences held across the country in the spring of 1970.... Project staff in Missouri conducted a national conference in January of 1972 and developed a manual (Gysbers & Moore, 1974) to be used by the states as they developed their own guides. The lack of appropriate organizational structure for guidance in school was finally being addressed (p. 5)

Sink (2005) describes this general time period as the end of the transitional era and makes reference of the work of Dinkmeyer and Myrick who helped to focus the disjointed counseling services to a more systemic, developmentally based school counseling program. Burnham and Jackson (2000) describe Myrick’s model as a “comprehensive developmentally based guidance program model [that] includes six interventions divided

into direct and indirect services” (para. 14). They also describe Gysbers and Henderon’s model which has four components. Those components have the same names of the four components of the delivery system of the current American School Counselor Association’s national model for school counselors (2005) that will be discussed in the next subsection of this chapter.

Thus far, this section has described some events of the first four stages of the history of career counseling in the United States. In order to give sufficient scope and background of the professional literature, the author would like to quote a detailed yet succinct paragraph from Pope (2000) to recap the first four stages and dash from the 1980s into the current century:

In the first stage of the development of career counseling in the U.S. (1890-1919), placement services were offered for an increasingly urban and industrial society. In the second stage (1920-1939) educational guidance through the elementary and secondary schools became the focal point. The third stage (1940-1959) saw the focus shift to colleges and universities and the training of counselors. The fourth stage (1960-1979) was the boom for counseling, and the idea of work having meaning in a person's life came to the forefront; organizational career development began during this period. The fifth stage (1980-1989) saw the beginning of the transition from the industrial age to the information age and the growth of both the independent practice of career counseling and outplacement counseling. The sixth stage (starting in 1990), with its emphasis on technology and changing demographics, has seen an increasing sophistication in the uses of technology, the internationalization of career counseling, the beginnings of

multicultural career counseling, and a focus on the school-to-job transition. (p. 195)

Without getting into much detail, but providing additional resources for interested readers, the appendix of *The ASCA National Model* (2005) explains the evolution of the national model, and Henderson (2005) provides a meticulous account of the counseling theory and model development. She cites that the primary theorists and contributors to the profession's "somewhat lengthy though uneven flow of attempts to clarify its theory base" (p. 81) include the following: Mathewson (late 1940s), Hummel (mid-1960s), Shaw (late 1960s to early 1970s), Dinkmeyer and Caldwell (early 1970s), and Gysbers (1980s). Fourteen counseling practitioners and professors held the first ASCA National Model meeting in June 2001 "to discuss the future of school counseling programs and to develop a framework for a national model for school counseling programs (Bowers, Hatch & Shwallie-Giddie)" (American Association of School Counselors, 2005). The first edition of the national model was published in 2003.

**Contemporary Role of the School Counselor.** Where are we today? To answer that question, one really one needs one source, *The ASCA National Model: A Framework for School Counseling Programs* produced by the American School Counselor Association (ASCA). One important detail is regarding the terminology (i.e., vocational counselor, guidance counselor, and school counselor). According to the same ASCA text, "ASCA's Governing Board unanimously moved to call the profession 'school counseling' and the program a 'school counseling program.'" (p. 9).

In the appendix of that comprehensive text, Henderson (2005) captures the work of school counselors using this approach:

Today, there are seven fundamental questions that must be answered by the school counseling profession:

- 1) What do students need that the school counseling profession, based on its special body of knowledge, can best address?
- 2) Which students benefit from activities designed to address these needs?
- 3) What are school counselors best qualified to do to help them?
- 4) How do guidance and counseling relate to the overall educational program?
- 5) How can guidance and counseling be provided most effectively and efficiently?
- 6) How is a good school counseling program developed by a school?
- 7) How are the results of school counselors' work measured? (p. 83)

In providing answers and discussion to those questions, Henderson elaborates to include subquestions as well as ethical and profession values for each main question. In 23 pages, she ultimately lays out the 27 principles of the ASCA National Model and provides historical roots and cites research that supports those principles. According to the model, the three main domains in which school counselors currently facilitate student development are (a) academic (b) career, and (c) personal/social “to promote and enhance the learning process” (p. 22). Additionally, the model describes four themes— leadership, advocacy, collaboration and teaming, and systemic change. The elements of the model are its (a) foundation, (b) delivery system, (c) management systems, and (d) accountability. Figure 3 shows the relationships (two white arrows and three black arrows) between the elements of the ASCA National Model (2005).

The delivery system of the program into four components: guidance curriculum (school-wide, developmental lessons through classroom and group activities), individual student planning (helping students set personal goals and develop plans for the future), responsive services (to immediate or urgent needs of students), and support systems (e.g., professional development and consultations with/for other adults in the school). The ASCA's suggested percentages of time that school counselors should spend in each component of the delivery system within a high school is found in Table 3.



Figure 3. American School Counselor Association's National Model (2005)

Table 3

*ASCA's Suggested Use of Time for High School Counselors*

<u>Component of Delivery System</u>	<u>Percent of Time</u>
Guidance curriculum	15% - 25%
Individual planning	25% - 35%
Responsive services	25% - 35%
System support	15% - 20%

The Texas Education Agency has adopted the national model and has published *A Model Comprehensive, Developmental Guidance and Counseling Program for Texas Public Schools: A Guide for Program Development Pre-K-12<sup>th</sup> Grade* (Rice, 2005; Texas Education Agency, 2004). In section III of that guide, the authors discuss counselor-to-student ratios.

[I]f a high school program deems it necessary to hold individual conferences to facilitate students' individual planning, a ratio of 1:300 might be necessary. The number of students in a counselor's student load who have intensified needs for responsive services dictates lower ratios. Special needs populations include students who are educationally/economically disadvantaged, physically/emotionally disabled or abused, highly mobile, dropout prone, and/or migrant. Ratio recommendations are wide ranging.

The American School Counselor Association recommends a maximum ratio of 1:250. The Texas School Counselor Association, Texas Association of

Secondary School Principals, and the Texas Elementary Principals and Supervisors Association have recommended ratios of 1:350. (p. 47)

According to reports from the Texas Association of School Boards (TASB) (2012, 2014a, 2014b), the Common Practice in Texas (CPTx) is to have one counselor per 400-460 students, depending on the specific year in question. However, this is a statistic that comes from a district average that combines elementary and secondary, and other statistics known to school administrators differentiate between the levels. Specifically, the Southern Association of Schools and Colleges (SACS) suggests one counselor per 500 secondary students and one per 700 elementary students (Texas Association of School Boards, 2009, 2010). The recommendation from SACS is exactly twice what ASCA recommends in terms of student caseload for a secondary (middle or high school) counselor. The CPTx statistics show that staffing in Texas public schools is about at the midway point between the SACS and ASCA recommendations.

The previous paragraphs have provided insight into the history and current tasks required of school counselors. But until this point in the literature review, the qualifications or certification requirements have not been discussed. According to the Texas Education Agency (2004, n.d.-b) and School-Counselor.org (n.d.), school counselors in Texas need the following: (a) Master's degree in School Counseling from an institution with accreditation recognized by the Texas Higher Education Coordinating Board, (b) two years of teaching experience completed, (c) successful completion of the TExES School Counselor Examination, (d) national finger-print background check, and (e) completion of an approved educator preparation program, including documentation of practical or internship hours working with a mentor counselor in a school setting.

Because it is relevant to the selection of participants for this study, the following information is included from a Frequently Asked Questions page from the TEA web page (n.d.-a). The following four brief paragraphs describe title changes and legislation to regulate school counselors in Texas:

Over the years the certification of Texas Professional School Counselors evolved. Originally, there were three types of school counselor certification levels—“Counselor,” “Special Education Counselor,” and “Vocational Counselor.”

Beginning in 2001, a transition began and the “School Counselor” certification was added.

In 2004, the State Board of Educator Certification stopped issuing the “Counselor,” “Special Education Counselor,” and “Vocational Counselor” certifications and the rules for these certifications expired. Only the “school counselor” certification has been issued since 2004.

The transitional provision (19TAC 239.30) (outside source [Texas Administrative Code]) allowed individuals certified as a “Counselor,” “Special Education Counselor,” and “Vocational Counselor” to continue as a “school counselor.” Today individuals certified as “school counselor” as well as those previously certified as “Counselor,” “Special Education Counselor,” or “Vocational Counselor” are certified to provide Comprehensive, Developmental Guidance & Counseling Program services to all students including special education students in accordance with Chapter 33 of the Texas Education Code (outside source) (para. 1-4)

This section has provided considerable background on the domains, themes, elements and components of the school counseling model, as well as certification requirements. The details of *how* counselors do their work on a daily basis is outside the scope of this literature review. However, their relationships with other school leaders, *is* within the scope. Of particular interest to practitioners is the relationship between the school principal and the school counselor(s). “A Closer Look at the Principal-Counselor Relationship: A survey of principals and counselors” (Finkelstein, 2009) is a considerable piece of evidence that was created with the joint endorsements of the College Board Advocacy, the American School Counselor Association (ASCA), and the National Association of Secondary School Principals (NASSP).

The most relevant sections of Finkelstein’s report deal with important elements and significant barriers to successful principal-counselor relationships and their respective roles in the contemporary education reform movement. In her conclusions, Finkelstein (2009) explains that principals and counselors agree that time is the biggest barrier that hinders their collaboration and that communication and respect were the two most important elements in their relationship. However, they had different perspectives or focal points when it came to communication and respect. Principals stressed “the quality of the communication while counselors more often mentioned the frequency of the communication [and] principals more often mentioned respect for their vision and goals while counselors more often mentioned personal respect for themselves and their expertise” (p. 4)

## **Role of the Dean of Students**

The previous four subsections of this chapter each deal with different domains of the role of the dean of students, and the literature and history have been reviewed for each. Now the question is—with all of the history and current understandings of principals, assistant principals, instructional coaches, program specialists and school counselors—what is a dean of students? In the most basic of terms, and not with 100% accuracy, a dean of students working in XISD is essentially an assistant principal who is equally responsible for carrying out the majority of school counselor responsibilities (with or without the formal training of that role) for a caseload of students.

Very little research can be found on the role of dean of students when it is an administrative role in a school. The position is essentially not distinguished from that of assistant principal. For example, the Texas Association of School Boards describes the campus-level administrator with the title of “assistant principal – high school” as doing or being the following: “Functions as an assistant to the high school principal with the title assistant principal, associate principal, vice principal, or *dean* [emphasis added]. May address all or some of student discipline, facilities, parental concerns and teacher appraisals” (Texas Association of School Boards, 2015, p. 5). However, if a dean of students has the exact same role as an assistant principal, then there would be no need for a separate title, and there would not be certain schools within XISD who identify as operating with or on “the dean model.” Govey-Allen (2011) echoes the same sentiment when she wrote that “a gap exists in the literature regarding a position that must have been of significance to the educational realm; otherwise, the dean of students’ title would not exist today” (p. 14).

**History of the Dean of Students.** The term “dean” is most widely recognized as an administrative position in higher education, and the position has existed since the early 1800s. For example, the Dean of Students Office at the University of Florida tracks “its founding days in the early 19th century” (Meek & Bynes, n.d., para. 1). Notable for his success, LeBaron Russell Briggs was appointed by the president of Harvard College in 1890 as that institution’s first “student dean” (Sandeem, 2004). Other institutions began creating similar positions. Frequently they were called dean of men and dean of women. The University of Florida established its Dean of Men’s Office in the 1920s and, when it became coeducation in 1948, it established the Dean of Women’s Office. The staff members in those offices “advised student groups such as fraternities and sororities, student government, and service and honorary organizations; had responsibility for new student orientation; did short term counseling; and handled student crises ... [and worked] with the various judicial processes of the time” (Meek & Bynes, n.d., para. 3).

By comparison to the positions of “dean” at the high-school level is relatively new, with an emergence in the mid-1900s (Govey-Allen, 2011). These high school deans often officially held the title of dean of boys and dean of girls, parallel to their counterparts in higher education. An early account of what one did as a dean in the 1920s comes from Janet Perdue from New Haven High School, who wrote a paper titled “Duties and Possibilities of a Dean of Girls in Secondary Schools” and presented at the Bridgewater Conference in 1924. The review began with “The sympathetic attention which this paper received indicated deep interest in the subject” (Perdue, Downey, Patton, Garcelon, & Geer, 1924, p. 513).

Sturtevant and Strang (1929) summarized the results of large-scale studies conducted in the 1920s on deans of girls and found that some states had as low as 32% of high schools having a dean of girls while other states had as high as 63% of high schools with the role. They also reported that most individuals holding the position of dean of girls were assistant principals or vice-principals due to the number and variety of responsibilities of the role.

The researcher could not find any clear evidence of the role of dean of students mentioned in any professional literature for a span of several decades. However, as part of Govey-Allen's (2011) qualitative study for her doctoral dissertation, she used a structured-interview protocol. One of her participants

was able to provide an experience from two lenses: one perspective came from the administrative view. The second lens was through his experience as a dean of students in the 60s.... During the 1960s the dean was considered a part-time position, held by teachers from within the high school who took care of attendance in the morning or discipline issues in the afternoon and taught the other half of the day. (p. 50)

**Contemporary Role of the Dean of Students.** Even in recent literature, very little is written about deans of students except as non-administrative agents of student discipline. For example, Portin, Alejano, Knapp and Marzolf categorized the role of dean of students as “teachers who exercise leadership in schools (usually on teacher rather than administrator contracts)” (2006, p. 6). Additionally, Parker (2006) interviewed 13 deans as part of his doctoral dissertation; and he defined a dean as “[non-administrative] school disciplinarians who are responsible for monitoring the attendance and discipline of

students and issuing students consequences for violating school rules” (p. 6). A third researcher, Govey-Allen (2011), has at the focal point of her research the development of the high school dean of students who is not an administrator. She points out that the role of dean of students varies inevitably between districts and most likely even from campus-to-campus, including if the position is considered administrative or faculty. She emphasizes the fact that deans—both at the secondary and post-secondary levels—have struggled with having ill-defined duties and responsibilities and, as a consequence, there is no education requirement specific to this position.

An individual interested in becoming a dean of students, in most school districts, does not have to meet any state requirements unless the position is considered administrative. If the deanship is considered administrative, like the assistant principal’s position, any individual interested in taking on that role is required ... to obtain an administrator’s certification. (Govey-Allen, 2011, p. 6-7)

With only one other exception did the researcher find any literature that made reference to deans of students at the secondary level, specifically in an administrative role. Tredway, Brill, and Hernandez (2007) noted that the titles of dean, assistant principal, and vice principle “carry the same duties and are often used interchangeably” (p. 214). They did clarify that deans in middle and high schools are the people responsible for student discipline.

Returning to Govey-Allen (2011), one of her research questions was “why are deans of students’ positions created in grades 9-12<sup>th</sup>?” In her conclusions, she states that “due to the increased pressure of accountability, workload, and improved student success mandates placed on principals and teachers, school administrators needed additional

hands to assist with these time consuming demands” (p. 79). She continues to say that handling student discipline is one of the most prevalent and demanding duties of assistant principals, and desiring additional personnel to help with that task is a major factor in the decision to create the dean of students’ position.

As seen in previous sections of this chapter, there have been recommendations from professional organizations as to the number of students an assistant principal or school counselor should have in his or her caseload. The researcher could find no evidence of similar recommendation for a person carrying out the role of dean of students. Mathematically if that person is executing the responsibilities of an assistant principal and school counselor for the same caseload of students, then for every 550 students, there would be three deans of students (based on the CPTx average of one assistant principal per 550 students plus one school counselor per 275 high school students). That would be an average of 183 students per dean. However, there exists a gap in knowledge as to the actual or recommended caseload of students for a dean of students.

The research did find some concrete evidence of what a dean of students is expected to do, in part, specifically in XISD as it relates to the registrar/dean/counselor team concept in the School Guidelines for 2013-2014, which is a document several *hundred* pages in length:

- 1) Effective and frequent communication between deans/counselors and registrars is essential to accurate record keeping.

- 2) It is the responsibility of deans/counselors to ensure all students are appropriately scheduled into valid credit courses that satisfy graduation requirements and comply with all state rules and regulations.
- 3) There must be a verification process to ensure that courses, grades, and credit on the documents used by deans/counselors to check or verify courses, grades, and credit are identical to those on the AAR [Academic Achievement Record].
- 4) All schedule revisions or adjustments should be approved and completed by deans/counselors.
- 5) The Data Clerk and the Attendance Clerk at the direction of the Principal, must also work closely with registrars, deans, and counselors to see that all necessary information impacting attendance and grading are entering into [Student Information Management System] in a timely manner. (p. VII-26)

From those statements it seems clear that a principal operating his or her school on “the dean model” requires his or her dean(s) of students to perform many functions that a counselor would perform in a school operating on “the traditional model.” However, historically, the dean of student’s role has been most closely aligned to the assistant principal. In this regard the dean of students’ role could be considered a hybrid role.

At this point in the literature review, all of the historical context has been laid out and each of the four domains of the dean of students’ role have been explored individually. Finally, in this last section, the connection of this thesis to educational leadership—typically defined as the confluence of providing vision and direction plus

exercising influence over or through others (Leithwood et al., 2004)—will be made explicitly.

### **Relevant Leadership Theories**

Glass (2004) succinctly states that “the twenty-first century finds the practice of school leadership and administration to be squarely under the gun of political accountability” (p. iv). Based on all that has been presented thus far in this chapter, everything would clearly indicate that the contemporary role of the first-line administrators, including deans of students, is also in the crosshairs of accountability.

The No Child Left Behind (NCLB) Act of 2001 was the reauthorization of the Elementary and Secondary Education Act of 1994 (itself the reauthorization of the 1965 act by the same name). NCLB has been touted as a bipartisan, landmark legislation in contemporary education reform (U.S. Department of Education, 2005)

designed to change the culture of America's schools by closing the achievement gap, offering more flexibility, giving parents more options, and teaching students based on what works.

Under the act's accountability provisions, states must describe how they will close the achievement gap and make sure all students, including those who are disadvantaged, achieve academic proficiency. They must produce annual state and school district report cards that inform parents and communities about state and school progress. Schools that do not make progress must provide supplemental services, such as free tutoring or after-school assistance; take corrective actions; and, if still not making adequate yearly progress after five

years, make dramatic changes to the way the school is run. (U.S. Department of Education, 2003)

Rhetorically speaking, what would constitute “dramatic changes to the way a school is run?” Simply as a probing question, what factors could be considered “dramatic”? As mentioned in the opening paragraph of Chapter One of this study, research has indicated that direct teaching has the greatest impact, and the school’s leadership has the next largest impact, accounting for up to a quarter of all campus-based factors. This leadership—championed and coordinated by the principal—has the largest effects in challenging environments where the learning needs of students are highest (Leithwood et al., 2004; Leithwood & Seashore-Louis, 2011). However, to better understand how researchers can have a laser-focused view of leadership, this section will first explore leadership theory in a broader sense.

**Leadership theory: eight theories in eight decades.** No less than eight different leadership theories have been identified in the last 80 years. Bolden, Gosling, Marturano, and Dennison (2003) researched and published a detailed yet succinct recount of the most prevalent and documented leadership theories since the Industrial Revolution. The researcher of the current study added a few relevant theories that are often cited in literature related to educational studies. The descriptions of all the theories, except for the three-skills approach, are the borrowed directly from Bolden, Gosling, Marturano, and Dennison (2003). The combined efforts are displayed in Table 4.

Table 4

*Table of Leadership Theories, Approaches and Philosophies*

<u>Name of Theory</u>	<u>Description of Theory</u>
Great Man Theories	Based on the belief that leaders are exceptional people, born with innate qualities, destined to lead. The use of the term 'man' was intentional since until the latter part of the twentieth century leadership was thought of as a concept which is primarily male, military and Western. This led to the next school of Trait Theories
Leadership Traits Theories	The lists of traits or qualities associated with leadership exist in abundance and continue to be produced. They draw on virtually all the adjectives in the dictionary which describe some positive or virtuous human attribute, from “ambition” to “zest for life.”
Three-Skills Approach	Similar to the trait approach, but the approach proposed by Katz (1974) is different in than the three skills (technical, working with things; human, working with people; and conceptual, seeing the organization holistically) are not necessarily inherent traits but can be developed.
Behaviorist Theories	These concentrate on what leaders actually do rather than on their qualities. Different patterns of behavior are observed and categorized as “styles of leadership.” This area has probably attracted most attention from practicing managers.
Situational Leadership Theory	This approach sees leadership as specific to the situation in which it is being exercised. For example, whilst some situations may require an autocratic style, others may need a more participative approach. It also proposes that there may be differences in required leadership styles at different levels in the same organization.
Contingency Leadership Theory	This is a refinement of the situational viewpoint and focuses on identifying the situational variables which best predict the most appropriate or effective leadership style to fit the particular circumstances.
Transactional Leadership Theory	This approach emphasizes the importance of the relationship between leader and followers, focusing on the mutual benefits derived from a form of “contract” through which the leader delivers such things as rewards or recognition in return for the commitment or loyalty of the followers.
Transformation Leadership Theory	The central concept here is change and the role of leadership in envisioning and implementing the transformation of organizational performance.

*Note.* Adapted from Bolden, Gosling, Marturano, and Dennison (2003).

Two aspects of leadership are not present in Table 4: servant leadership and instructional leadership. Greenleaf introduced the term servant leadership in 1970 in his

essay *The Servant as Leader* and continued to write his book *Servant Leadership: A Journey into the Nature of Legitimate Power and Greatness* in 1977 (Greenleaf, 1977; “What Is Servant Leadership?,” n.d.). Spears (1997) analyzed the development and impact of servant leadership and presented a conceptual framework of 10 essential characteristics that servant leaders should exhibit to motivate others: (a) listening, (b) empathy, (c) healing, (d) awareness, (e) persuasion, (f) conceptualization, (g) foresight, (h) stewardship, (i) commitment to the growth of people and (j) building community. Despite a similarity to trait theory that this list conjures, Greenleaf and the people carrying on his work describe servant leadership as an ethical perspective, philosophy and set of leadership practices (Greenleaf, 2012; “What Is Servant Leadership?,” n.d.). Servant leadership is a philosophy that is relevant to schools and educational settings. Beyond Greenleaf and Spears, other books such as *Teachers as Servant Leaders* (Nichols, 2011) have been written. Black conducted a mixed-methods study, and her “data revealed a significant positive correlation between servant leadership and school climate” (2013, p. 437).

The second aspect of leadership not included in Table 4 is the concept of instructional leadership that has already been discussed earlier in this chapter. Leithwood (1992) wrote an article that described the then-current trend of educators from instructional leadership toward transformational leadership. And according to Steven (2013), of these theories, the most recently developed and most desirable in practice (most of the time) is transformational leadership. According to Bass and Riggio (2005), Burns is credited with coining the term “transforming leader” in 1978, but the term

“transformational leadership” did not make its mark in professional literature until the 1990s.

Bass and Riggio (2005) identify the four elements of current transformational leadership to be idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration. They clarify that idealized influence can have two subparts: idealized attributes (respect, trust, and faith) and idealized behavior (living one’s ideals). The Full Range of Leadership model of Bass and Riggio (2005) “includes several components of transactional leadership behavior, along with laissez-faire (or nonleadership) behavior” (p. 7). Those components of transactional leadership are called contingent reward and active management-by-exception and passive management-by-exception. For a more detail description of each of these components of transactional and transformational leadership, Bass and Riggio (2005) provide excellent explanations and examples.

**Role theory and organizational culture: an inextricable pairing for campuses.**

Role theory has its roots in sociology and social psychology. Some of the founding literature of role theory comes from Mead (1934), Linton (1936), Parsons (1951), and Merton (1963). Biddle (1979) explains that the field has five perspectives that are known as (a) functional (b) symbolic interactionist, (c) structural, (d) organizational, and (e) cognitive. Schmidt (2000) and Biddle (1979) point out that, despite the longevity of role theory, the meaning of the term “role” still has some controversy. Schmidt (2000) reports the following:

Some researchers (e.g., Linton, 1936) have minimized the importance of role entirely, suggesting that it is a cultural given with little implication for the

individual, since “role” is merely a set of prescriptions inherent in a position. Viewed in this context, roles are institutional assumptions since they conventionally exist prior to the individuals designated to occupy them even being known....

In contrast, social interactionists (e.g., Mead, 1934; Pollard, 1985; Plummer, 1975; Woods, 1983) present a more complex, multi-dimensional notion of role, arguing that the individual is more than merely the occupant of a position for which there is a well-defined set of rules ... but rather, someone who fulfills a role within the parameters of a relationship to others whose actions reflect roles with which the individual must identify. (p. 830)

In the historic text *The School Principal*, the author mentioned Linton’s view of roles and cited an article from 1958 by Getzels who said that roles have “certain obligations and responsibilities, which may be termed *role expectations*, and when the role incumbent puts these obligations and responsibilities into effect he is said to be *performing his role*” (qtd. in Goldman, 1966, p. 13).

Along with role expectations and meeting those expectations (or performing the role), comes *role conflict*. As already discussed in this chapter deans of students in an administrative role have responsibilities that have historically aligned to those of assistant principals, including student discipline. Another major component of the dean of students’ responsibilities come from the historical role of the school counselor. An obvious role-conflict situation was posed with a single question from the parent of a prospective student during a single-family information session at one of XISD’s schools that uses the dean model: “So you [referring to a dean of students] are responsible for

kicking a student out of school [i.e., discipline suspension or expulsion] and also for getting them to come back if they drop out?” (M. Hoagland, personal communication, October 29, 2015). Investigating such role conflict is outside the scope of the current study, but may be a consideration for future studies.

Based on current literature, another one of the role expectations of assistant principals is directly related to school culture. Marshall and Hooley (2006) claim that “the assistant principal holds a critical position in education organizations for several reasons ... [including that] assistant principals *maintain the norms and rules of the school culture*” (p. 2). In a different vein, Glickman, Gordon and Ross-Gordon dedicate a small section of their textbook to the creation of a “culture for change” within an educational organization and charge “supervisors” with this task (2004, pp. 461–62). Given that deans of students tend to have a considerable amount of overlap of duties and role expectations with assistant principals, the concept of dealing with (developing or changing) campus culture will be included in the theoretical construct of the role of dean of students.

The idea that assistant principals are responsible for championing the culture of a school is not limited to scholarly research; it also touches practitioners in tangible ways. The state of Colorado’s Department of Education rolled out a state-wide evaluation system in 2013-2014 for school administrators and recently published its “2015-16 Rubric for Evaluating Colorado’s Principals and Assistant Principals” (Colorado Department of Education, n.d.). The rubric comprises six quality standards that are broken down into 25 elements. Specifically the third quality standard is “principals

demonstrate school culture and equity leadership” (p. 7). Within three pages the word “culture” appears 12 times, and the standard makes up 4 of the 25 elements.

Bowditch, Buono and Stewart (2008) explain that the five levels (represented as concentric circles) of organizational culture are, from the center out, (a) fundamental beliefs and assumptions, (b) shared *values*, (c) behavioral *norms*, (d) patterns of behavior, and (e) artifacts and creations. They provide context of how an initial culture develops in an organization, through primary embedding mechanism, e.g., “those things that leaders pay systematic and consistent attention to, measure and control” (p. 329) and secondary mechanisms, e.g., “(1) the way in which the organization is structured and designed, (2) organizational systems and procedures, (3) design of physical space, facades, and buildings” (p. 329). On the subject of culture change, Bowditch, Buono and Stewart (2008) offer that “because culture is an integral part of a group’s learning process and experience, changes occur over time as people cope with shifts in the external environment and problems created by internal integration efforts” (p. 328). They describe the two basic ways to effect culture change is to get buy-in to a new set of beliefs and values from current constituents and recruit and socialize newcomers to the organization and emphasize the new set of beliefs and values.

While technically not theorists, but rather best-selling authors of business and personal development books (including notions of leaders as change agents) are Stephen M.R. Covey and Susan Scott. In *The Speed of Trust: The One Thing That Changes Everything*, Covey (2006) established a matrix of trust that includes four zones: distrust (suspicion), no trust (indecision), blind trust (gullibility), and smart trust (judgment). He describes trust as waves, like those created from a drop or rock falling into stationary

water. These waves—in order of increasing distance from the center—he calls self trust, relationship trust, organizational trust, market trust, and societal trust. He also proposes that “nothing is as fast as the speed of trust” (Covey, 2006, p. 3) because trust can be lost quickly but also regained quicker than one typically realizes by keeping commitments, no matter how small.

Scott agrees with this concept of speed in her books *Fierce Conversations: Achieving Success at Work & In Life, One Conversation at a Time* (2009) and *Fierce Leadership: A Bold Alternative to the Worst “Best” Practices of Businesses Today* (2011). One of her introductory and fundamental statements is that “while no single conversation is guaranteed to change the trajectory of a business, a career, a marriage, or a life, any single conversation *can*” (2009, p. 1). Both the concepts of trust and the power of individual conversations should be taken into account when reading the final section of this chapter because both are important when leaders are acting as change agents.

### **Organizational development theory: restructuring the organization.**

Deliberately and systematically changing an organization for the purpose of improving its effectiveness or efficiency is the central theme of organizational development (OD), a field founded by Kurt Lewin who died before the birth of the field in the mid-1950s (Child, 2005). OD is centered on change, which involves people; however, it does not concern itself with human resources development (personal or team development), training, or team building. Instead, OD develops or modifies existing processes, systems and structures (Child, 2005). One of the field’s major figures is Senge who wrote *The Fifth Discipline* in 1990 and developed the concept of the “learning organization.” (Senge also wrote the foreword for the biography *Robert K. Greenleaf: A Life of Servant*

*Leadership* (Frick, 2004) and the afterword of Greenleaf's posthumous, 25th anniversary edition of *Servant Leadership* (2012).) As an engineer by schooling and training, Senge naturally characterized learning organizations as routinely employing "systems thinking" to know how all the pieces of the organization—including its culture—are interlinked (Child, 2005; Senge, 1994).

Leadership theory, role theory, and organizational development have an intersection in educational setting. Leithwood et al. (2004) performed a review of research on educational leadership in several countries including Canada, China (Hong Kong), The Netherlands, and the United States. They found that "three sets of practices make up this basic core of successful leadership practices: setting directions, developing people and redesigning the organization" (p. 8). The third of these is most relevant to the current research study.

Leithwood et al. explain that "this category of leadership practices [of restructuring the organization] has emerged from recent evidence about the nature of learning organizations and professional learning communities and their contribution to staff work and student learning" (2004, p. 24). Despite mentioning restructuring or redesigned twice in their 87-page report, they do not provide any specific examples of what this might look like. They only say that "practices typically associated with this category include strengthening district and school *cultures* [emphasis added], modifying organizational *structures* [emphasis added] and building collaborative *processes* [emphasis added]" (Leithwood et al., 2004, p. 25).

It seems fitting for the conclusion of the literature review to consider a leadership practice of restructuring an organization because changing a campus's administrative

model—from the traditional model to the dean model or vice versa—will assuredly change its structure, culture, and processes. In essence, the literature points back to the initial research questions at hand to determine if one administration model—either the dean model or the traditional model—proves to be more effective than the other. If so, then principals at the campuses employing the less-effective model may strongly consider changing the structure of their campus leadership because “good principals manage their personal time and priorities to focus on the right stuff” (Leadership Matters, 2013). With school effectiveness and student learning and achievement at stake, the study posits to fill in a gap in the body of knowledge in the field of education.

## **Chapter III**

### **Methodology**

This chapter details all aspects of the research design, including the formal questions, a description of the participants and setting, the methodological procedures and instruments, an overview of the analysis, and a discussion of the validity and reliability. Each subheading of this chapter will make reference either to the primary question that will use historical, descriptive data (percentages) or to the secondary questions that will use newly generated, non-experimental, quantitative data. Both parts of the research design were considered descriptive and will utilize descriptive statistics, which is a form of quantitative research design. The primary question utilized inferential statistics, but the secondary questions will not.

#### **Research Questions**

Three specific questions were posed in this research. The first question in the list below was considered the primary question, and the second and third questions were considered the secondary questions. The questions, from broadest to most specific, were the following:

- Which model of administration—the traditional model or the dean model—is more effective in urban, high school education?
- Based on responses of individuals who have had at least one of the researched roles, how does the role of high school dean of students compare in the theoretical construct to assistant principals and school counselors in terms of time allocation of four activities related to school leadership?

- Of the three roles—assistant principal, school counselor, and dean of students—which one experiences the greatest job satisfaction and which one experiences the least job satisfaction?

The researcher has a tentative hypothesis for each of the questions, which is typical of an exploration study. A variety of possibilities exists for the first question due to the number of key performance indicators (KPIs) to be considered. Overall the hypothesis was that the two models will be very similar in the first two years following a switch in administration models, and after about three years the dean model will demonstrate itself to be more effective to an unknown degree. By contrast, the researcher expected a more clear division for the third question, with the hypothesis that the individuals serving as assistant principals would have the lowest overall job satisfaction and that individuals serving as a dean of students will have the highest overall satisfaction. Counselors were anticipated to be a close second. As for the second question, the theoretical construct (see Figure 1) illustrates the domains while the shaded diamonds in Figure 2 illustrate the hypotheses of where the mean data points were anticipated to fall for individuals who have served as assistant principals (blue), dean of students (red), and school counselors (orange).

### **Research Setting**

The study's setting occurred in a large, urban school district in southeast Texas. The school district—referred to as XISD for this study—has over 215,000 students in 283 schools, making XISD one of the largest school districts in the nation. The Texas Education Agency (TEA) Public Education Information Management System (PEIMS) data indicate that for the 2014–2015 school year XISD operated 40 high schools serving

46,559 students. The total enrollment of students in grades 9-12 was 51,720, including the students attending combined schools (i.e., schools serving grades 6-12). Using district-wide percentages of all grade levels, the three largest ethnicities were the following: Hispanic, 62.1%; African American, 24.9%; and White, 8.2%. Table 5 shows the number of students by program. It must be noted that any single student can belong to multiple programs or none at all; adding the number of students in each program will yield a number that is not representative of XISD's actual enrollment.

Table 5

*Number of Student by Program in XISD for 2014-2015*

<u>Name of Program</u>	<u>Students</u>	<u>Percentage</u>
Limited English Proficiency (LEP)	64,349	29.9
English as a Second Language (ESL)	17,451	8.1
Bilingual	42,549	19.8
At Risk	142,810	66.4
Title I	200,370	93.1
Special Education	16,151	7.5
Gifted/Talented (GT)	33,092	15.4
Economically Disadvantaged	162,407	75.5
Career and Technical Education (CTE)	35,570	16.6

*Note.* Source: XISD

The district is decentralized operationally, and principals have an enormous amount of control in the instructional program and operations of their schools. The district has two dozen comprehensive high schools and over a dozen specialty high schools. Most secondary schools employ one of two leadership models: the traditional model or the dean model (as defined in Chapter One). One school found employed a hybrid model or mixture of the models, and a few more schools employed a modified model that utilizes an expected number of assistant principals for the student enrollment,

but has no certified counselors on campus according to the Exchange Global Address Book (EGAB).

### **Participants – Primary Question**

The “participants” for the historical data-mining portion of the study are actually campuses. Each participating campus was given a pseudonym, e.g., Campus A, B, etc. Individual campuses were selected if they fit the single criterion of being identified as having switched administration models as described in the participant-identification procedures section of this chapter. The researcher estimated that two to five schools would be identified as switching to the dean model and another two to five schools would be identified as switching to the traditional model. All identified schools were included in the research study if they had at least two years’ worth of student outcomes available from reports published by the TEA. A single school could be identified in both categories if the campus switched models and, after a sufficient number of years, switched again.

### **Participants – Secondary Questions**

The participants for the secondary questions were individuals employed in XISD who held any of the job titles shown in Table 6. This will be based on the Exchange Global Address Book (EGAB) which links to the centralized software package of XISD’s Human Resources department. The first set of numbers in Table 6 were from July 1, 2015, and the second set were obtained on January 31, 2016. To maximize the number of participants, the two lists were merged; however, to eliminate duplicate invitations, the lists were pared. The actual numbers of participants are shown in the final column of Table 6, which yielded a total sample population of 899 individuals.

Table 6

*Number of Participants Identified by Title to Take Survey-Questionnaire*

Position Title	Participants		
	July 2015	Jan 2016	Final Set
Principal, Asst High	90	109	107 *
Principal, Asst Middle	77	89	90
Principal, Asst Elem	87	114	116
CATE, Counselor	19	17	19
Counselor	73	154	151 *
Principal (less the assistants)	278	276	282
Dean of Students High	56	58	60
Dean of Students Mddl	29	27	36
Dean of Instructn High	20	24	23 *
Dean of Instructn Mddl	9	8	7 *
Dean of Instructn Elem	9	9	8 *
<b>Total Participants</b>	<b>747</b>	<b>885</b>	<b>899</b>

\* In cases where an identified individual was a duplicate in different job categories, the researcher kept that individual in the category identified in July 2015 because one of the questions on the SQT verifies that the participants has held the role at least a year to be eligible to respond to the question.

The section below regarding the secondary questions will describe the specific procedures used to identify the individuals mentioned above, who were invited to participate in the study.

### **Participant-Identification Procedures – Primary Question**

The procedure to identify the participating campuses to answer the primary research question had two subcomponents. The first was that the researcher looked for trends on the published profiles for each of the schools in XISD serving students in grades 9-12. Table 7 recreates the portion of a profile that was used to identify campuses that switched to a new model, as indicated by number of assistant principals and

counselors suddenly dropping to zero and the number of other professional staff members increasing by a comparable number. The second part was to use the survey-questionnaire tool (SQT) as an instrument to increase the reach and validity of that knowledge. Two targeted questions were included on SQT that helped the researcher identify campuses that switched models and the year when that switch happened. A section of this chapter is dedicated to the SQT for more details regarding the data-collection instrument.

Table 7

*Sample School Profile Indicating that Campus Switched to the Dean Model*

<u>Position Category</u>	<u>Year 0</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>	<u>Year 6</u>
School Counselors	5	1	0	0	0	0	0
Assistant Principals	7	0	1	0	0	0	0
Other Professional Staff	4	13	13	13	10	9	9

*Note.* Some larger campuses utilize an administrative position referred to an Associate Principal, but XISD does not have a separate code and such individuals will appear as an Assistant Principal in the data of school profiles.

### **Participant-Identification Procedures – Secondary Questions**

The study's second and third research questions lent themselves to a descriptive design, specifically a cross-sectional design. Generating the desired data required the creation, distribution, and data analysis of a survey-questionnaire tool with skip logic and looping capabilities. This approach allowed a single participant the ability to answer the questions for all the target roles that they had held within XISD.

The first step was to identify the sample participants by using the district's Exchange Global Address Book (EGAB) to perform a query based on employees' titles. The first decision is whether to search "dean" or "dean of students." The rationales were

different for selecting each title. In performing the query on “dean of students,” only four titles will result—Dean of Students High and Dean of Students Middle, each having either an 11-month (11M) or 12-month (12M) indication. This approach would effectively eliminate all individuals with the title of “Dean of Instruction,” which is a significantly different role than that of a dean of students. However, it was completely feasible that a former high school dean of students may have opted to become a dean of instruction. For that reason, the query will be on “dean” so that deans of instruction as well as deans of students will be included in the participant population.

The second choice will be whether to do a query on “principal” or some other variation. To complicate matters, assistant principals can be coded as “Principal, Asst” or “Principal Asst” (without the comma). The researcher elected to include principals in the sample population because school principals are often promoted from the ranks of assistant principal and dean of students. As a result, the query was done on “principal” because that resulted in the largest number of participants. The results were filtered in order to correctly tabulate how many of each title was included in the participant invitations.

The next last choice was how to locate the different school counselors. Given the known titles in the EGAB, separate queries needed to be done using “Counselor” and “CATE, Counselor” in order for all counselors to be included in the study. All of these individuals were included in the sample to maximize the number of participants in order to develop the most accurate utilization of each of the roles.

The researcher used a relational database program to extract the contact information from the EGAB and exported the data into a spreadsheet program. The

contacts were sorted into four categories—assistant principals, deans, principals, and counselors—each category constituting a separate distribution list. The participants were invited to take the online SQT via email. Invited participants had 17 days to complete the survey after the initial invitation, with reminders sent on day 8 and day 15. The sample was a convenience sample based those who elected to participate in the study. Then the researcher closed the survey on the date as indicated in the invitation and left it closed despite additional individuals requesting to participate after the closing date. The researcher exported the collected data from the survey website to a spreadsheet program for data analysis.

### **Instrument – Primary Question**

The primary question did not utilize an instrument of its own. Instead the researcher initially used school profiles published annually by XISD that contained information on the number of staff members in a variety of titles, i.e, counselors, assistant principals, other professional staff, and educational aides. Additionally, a pair of questions on the SQT were used to gather pertinent information to help identify target campuses; these are specifically questions seven and eight mentioned in the following section of this chapter. Question seven was optional and asked the participant the name of the school where he or she performed the qualifying role (assistant principal, school counselor, or dean of students). Question eight asked the participant if he or she was aware of the campus ever changing administrative models. If the answer was yes, then the survey required a single year to be entered, i.e., 2010. In this way, the survey was a supplemental method used to help the researcher identify which schools switched models

and when. This information match the information published in the school profile for that campus. There were no discrepancies to be reported in Chapter Four.

The sources for the data mining were documents created by the TEA that contained public data and that could be retrieved online. All of the KPIs for campuses for the school years prior to 2011-2012 were available on the SRCs, School Report Cards. TEA did not produce SRCs for campuses in 2011-2012, so data from that year had to be mined from the available AEIS report for each campus (instead of the campus's SRC). The SRCs were again created, beginning in 2012-2013, and remain available from the TEA's Performance Reporting Division, <https://rptsvr1.tea.texas.gov/perfreport/src/> (for all years except 2014-2015). The TAPRs replaced the AEIS reports in 2012-2013, and for any missing or inconsistent information, the data in the respective TAPR was used.

### **Instrument – Secondary Questions**

The secondary questions were answered exclusively through data collected via an online survey-questionnaire tool (SQT) created by the researcher. All participants received the same invitation via email to take the survey-questionnaire. The SQT began with a cover letter that served as a consent form (see Appendix A) followed by evidence that the researcher had acquired IRB approval as well as approval from the district's Research and Accountability Department. A participant will have acknowledged and agreed to be part of this doctoral thesis study by continuing with the SQT and submitting his or her responses. The first two questions determined if the participant was eligible, based on sufficient experience (at least one full year) in one of the three roles specifically at the high school level. The SQT skipped all ineligible individuals directly to the thank

you page. The survey data indicated that those participants skipped almost all the questions. As a result, the researcher anticipated noticeably low participation percentages for several questions, regardless of the overall response rate.

The third question asked which role they had held most recently, and based on the response, the SQT skipped to the page to ask the questions related to that role. All of the questions were parallel in wording except that the name of the role (assistant principal, dean of students or school counselor) was specifically mentioned in order to maximize clarity. The common information requested was the following, specifically in this order:

1. years served in the role of [AP/dean of students/school counselor] at the high school level in XISD;
2. indication of the smallest number of students ever in participant's caseload while in the role;
3. indication of the largest number of students ever in participant's caseload while in the role;
4. rating of two aspects of their role—assisting with campus climate and culture versus locating resources for students and parents—depending on the relative percent of their time and effort they spend on those two aspects;
5. rating of two aspects of their role—communicating with parents versus employing or sharing specialized knowledge (including examples)—depending on the relative percent of their time and effort they spend on those two aspects;
6. rating of their job satisfaction in four specific areas and overall job satisfaction using a seven-point Likert scale;
7. name of their school (optional); and

8. knowledge of that campus having ever changed its model of administration.

Participants were then asked if they had ever officially held either of the other two leadership roles being studied. Based on the response, the SQT skipped either to the questions pertaining to the indicated role (to repeat the same eight questions about the new role) or to the final three questions regarding demographics. The rationale for placing the demographic questions at the end of the SQT was based on reducing influence on the respondents' answers due to "order effect" as described in an article focusing on American survey research ("Questionnaire design," n.d.). All participants were thanked for their time and cooperation before submitting their results.

### **Analysis – Primary Question**

Magnitude, direction and statistical significance need to be reported when looking to find a correlation. The Pearson  $r$  value was used as the indication of the direction—a positive  $r$  value is a positive correlation and a negative  $r$  value represents an inverse correlation. The Pearson  $r$  also served as the indication of the statistical significance. This calculated value was appropriate because it can be used when both variables are continuous data (Gay, Mills, & Airasian, 2009), e.g., graduation rate as the dependent variable and year after model switch [step increase of one unit annually] as the independent variable. The slope of the best-fit line (BFL), found by using the linear regression method of least-squares, was the indication of the magnitude of the correlation, i.e., the larger the absolute value of that slope, the larger the impact (positive or negative, depending on the Pearson  $r$  value) that the change had on the dependent variable.

For illustration only, Table 8 shows some fictional data serving as an example of the statistical analysis to be performed on the raw data retrieved from the published public data from TEA. For any given campus the baseline data is the last year the campus used the outgoing or former administration model. For that reason, Year 0 will always show 0% change for every key performance indicator (KPI) for each campus. Table 8 shows no indication of KPI nor which is the newly adopted administration model because it contains fictional data for illustration purposes only. The aggregate is the weighted average for the data set, used to make general statements about the group as a whole.

Table 8

*Fictional Data Illustrating Representative Statistical Analysis by School and Aggregate Weighted by Enrollment*

<u>Campus</u>	<u>Enrollment</u>	<u>Year After Transition to New Model</u>					<u>Calculations</u>	
		<u>0</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>r</u>	<u>BFL slope</u>
A	1,400	0%	-0.1%	0.3%	0.8%	1.6%	0.929	0.310
B	1,500	0%	-0.2%	0.1%	0.5%	-0.2%	0.165	0.023
C	2,200	0%	0.8%	2.1%	3.8%		0.988	1.171
<b>Aggregate</b>	<b>1,733</b>	<b>0%</b>	<b>0.3%</b>	<b>1.0%</b>	<b>2.0%</b>	<b>0.7%</b>	<b>0.623</b>	<b>0.366</b>

*Note.* The blank cell indicates that no datum was available.

There was also a determination if, after a certain number of years (e.g., three years), one model showed more gains from the starting points than the other model(s). The magnitude of the slope of the linear regression line indicated the relative impact of the administrative change for the campus to make this determination. In each case the larger (more positive) the slope, the more positive the impact was on student outcomes.

The conclusion found in Chapter Five will include narratives of the discoveries that the data reveal.

### **Analysis – Secondary Questions**

For the second question, only means and standard errors of the mean were calculated. These values were, however, disaggregated based on the role that the respondent was describing. As a result, there are three subsets of data—a subset for assistant principals, another for deans of students, and another for school counselors.

The researcher extracted the data from the SQT results into a spreadsheet program and created a type of XY scatter plot known as a bubble chart to show the relative frequencies of each answer choice plotted on a Cartesian coordinate plane. Each of the roles investigated—assistant principal, dean of students, and school counselor—has its own bubble chart in Chapter Four. The mean x-value and mean y-value of participants' responses were plotted as a point. Error bars were included to provide an indication of the amount of precision or variance in the data. Each error bar indicates one standard error of the mean (standard deviation divided by the square root of the sample size,  $n$ ). Smaller error bars indicate that responses were closer together, and larger bars indicate that participants gave a wider spread of answers. The reason for not using a circle to indicate the error as originally anticipated was that the size (length) of the error bar for each axis is independent of the other axis, which means that a circle would not suffice.

For the third question, only the mean response of each of the roles was calculated. The responses were reported with the highest mean representing the highest overall job satisfaction, and the lowest means representing the lowest job satisfaction. Ordinals were assigned with highest satisfaction being given assigned as “first” and lowest satisfaction

being “third.” Chapter Four contains the actual data and analyses, and Chapter Five includes the implications of the interpretations.

### **Validity and Reliability**

According to Gay, Mills and Airasian (2009, p. 108), “validity is concerned with whether the data or information gathered is relevant to the decision being made.” The researcher selected three key performance indicators that often cited by practitioners and parents alike when it comes to evaluating how a school is performing: student achievement (on state-mandated tests), graduation rate, and attendance rate (for its importance in school funding). These three KPIs—also known as student outcomes—are common enough that they appear on the school profile that XISD publishes to help parents do research on schools; therefore, the three KPIs were deemed highly valid in terms of the current study.

Reliability was a different concern for the researcher when it came to the exploration portion of the study. “Reliability is concerned with the stability or consistency of the data or information” (Gay et al., 2009, p. 108). The researcher did a pilot of the survey-questionnaire tool (SQT) in June 2015 using 15 professionals in the field of education who would not be actual participants in the study in order to increase the validity of the SQT. The researcher asked for feedback from those pilot participants and modified the SQT to remove some ambiguity in two of the questions and made minor changes so that data could be synthesized more efficiently. A second pilot to 10 individuals provided additional feedback. The researcher integrated the second round of feedback into the SQT to yield the version that was ultimately sent to the 899 invited participants. The final SQT instrument still did not have any built-in (internal) reliability

checks, but the standard deviations and standard errors of the mean for the individual data sets serve as measures of the reliability. Specifically, the smaller the variance of the results, the more reliable the data are.

The measure of the reliability for the historical data mining and analysis portion of the study was the Pearson  $r$  value. These values were calculated for each of the individual, contributing campuses as well as for the aggregate for each administration model. The weights for each campus's contribution to the aggregate was that campus's student enrollment, which the researcher considered more representative than if each campus were weighted equally. Different reference sources indicate slightly different interpretations of Pearson  $r$  values, and Table 9 shows a straight-forward version that Evans (2014) supports. The stronger the fit of the data, the more reliable the data were considered. Statements about the reliability of the survey-questionnaire and the various aggregate models are found in Chapter Five.

Table 9

*Interpretation of How Well a Data Set "Fits" a Linear Model Based on Pearson  $r$  Values*

<u>Absolute value of Pearson <math>r</math></u>	<u>Strength of Fit</u>	<u>Comments</u>
0.80 – 1.00	Very strong	Researcher adopted "extremely strong" for $r \geq 0.93$
0.60 – 0.79	Strong	
0.40 – 0.59	Moderate	
0.20 – 0.39	Weak	
0.01 – 0.19	Very weak	An $r$ value of 0 means no correlation between variables

Note. The  $r$  value of 0.93 was selected because that corresponds to a 90% degree of association.

## **Chapter IV**

### **Analytics and Treatment**

This chapter is dedicated to explanations of the raw data collected—via mining of public data or newly created data—and the statistical treatment of that data. The data are presented in the order of the research questions to which they pertain. The initial data were mined from public information produced by the Texas Education Agency (TEA) as described in Chapter Three. The secondary research questions required newly generated data created by the participants' responses to an electronic survey-questionnaire tool (SQT) that is found in Appendix C.

### **Results of Data Related to the Primary Research Question**

The primary research question for this study was the following: Which model of administration—the traditional model or the dean model—is more effective in urban, high school education? In order to define “effective,” various key performance indicators (KPIs) first needed to be determined. The researcher selected the follow three student outcomes to be used as the KPIs: student attendance rate, four-year graduation rate, and student achievement on state-mandated tests. Each KPI was reported by TEA as a percentage. As a result, all of the data were quantitative in the form of descriptive statistics.

The first task was to determine which campuses within XISD underwent a switch in administrative models. The years of the switch were initially determined by examining the data published by XISD in the school profiles. See Table 7 for an example of the section of a profile that was used to make such determinations. The results from the SQT corroborated the researcher's determination and did not generate any additional schools

to investigate for inclusion in the population of participating campuses for the primary research question. The second task was to mine the KPI data from the relevant reports from the TEA website, i.e., school report cards (SRCs), Texas Academic Performance Reports (TAPR), and Academic Excellence Indicator System (AEIS) reports for the relevant years. The third task was to use a spreadsheet program to calculate the change for each indicator for each year, relative to year 0, which was defined as the year *prior* to the switch. In other words, the last year of the out-going model of administration was the established baseline for each calculation. As a result, the value for year 0 for each campus for each KPI was necessarily zero.

**First key performance indicator: student attendance rate.** Table 9 shows the results of the student attendance rates for each of the schools that were identified as switching to the dean model. The campus names have been codified, and the years of the switch are not indicated. These criteria help the researcher remain within the parameters required by XISD to not release any identifiers of any participant (campus or individual). The aggregate (denoted Aggr) is the weighted average of the results, with the weights being the average number of students enrolled (also known as student membership) for the particular campus across the exact years included for the school's data set.

To better explain the data, if a campus had a Weighted Average Daily Attendance (WADA) rate of 91.0% with the out-going model of administration, and the next year with a new model of administration, the campus had a WADA rate of 92.5%, then the datum in the cell for that campus for Year 1 would be 1.5%. Any negative values in this case would indicate a worse student outcome for that particular year, compared to the campus's performance in Year 0. For consistency, all tables and graphs will show eight

years after the transition. Blank cells indicate that there was no relevant data available.

Tables 10 and 11 show the data for the first key performance indicator—the percent of student attendance as reported as WADA.

Table 10

*Change in Student Attendance (Percentage) of Campuses that Switched to Dean Model*

Campus	Enrollment	Year After Transition to New Model								
		0	1	2	3	4	5	6	7	8
A	1,339	0	2.4	4.1	2.7	3.6	3.3*	5.2*	4.8*	
B	2,259	0	0.6	0.6	0.7	0.4				
C	968	0	2.3	3.1	1.6					
D	2,079	0	-0.1	1.2	1.1					
E	876	0	-1.7	-0.4						
<b>Aggr</b>	<b>1,504</b>	<b>0</b>	<b>0.7</b>	<b>1.6</b>	<b>1.4</b>	<b>1.6</b>	<b>3.3*</b>	<b>5.2*</b>	<b>4.8*</b>	

Note. Two campuses that were known to have switched to the dean model were not included here because they had insufficient data released from TEA. Student attendance rates are released one year in delay. As a result, one of the two campuses had no published data, and the other campus had only one year of relevant published data.

\* Sole Campus with Data – Only one campus had data to contribute to the aggregate.

Table 11 only includes all of the campuses that were identified as switching to (or back to) the traditional model of campus administration. However, the researcher only identified two campuses meeting the criteria, and that is a weakness that must be mentioned. Having more schools included would have been preferable in increase the reliability of the data. More discussion on this topic will be presented in Chapter Five of this study.

Table 11

*Change in Student Attendance (Percentage) of Campuses that Switched to Traditional Model*

<u>Campus</u>	<u>Enrollment</u>	<u>Year After Transition to New Model</u>								
		<u>0</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>
F	1,641	0	0.2	-0.3	0.3	1.2*				
D	2,148	0	0.0	0.2	-0.7					
<b>Aggr</b>	<b>1,894</b>	<b>0</b>	<b>0.1</b>	<b>0.0</b>	<b>-0.3</b>	<b>1.2*</b>				

*Note.* Only two campuses were identified as having switched to the traditional model, which causes some limitation to be discussed in Chapter Five.

\* Sole Campus with Data – Only one campus had data to contribute to the aggregate.

An unexpected finding when exploring the two dozen comprehensive high schools—and comparing it to the titles of the individuals to be invited to take the survey-questionnaire—was the occurrence of schools that have a combination of assistant principals, school counselors, *and* deans of students. The researcher informally asked two former administrators from those campuses how that arrangement functions, and the description was a “hybrid model” that is effectively the dean model for ninth- and tenth-grade students and then the traditional model for eleven- and twelfth-grade students (C. Miller and A. Mayfield, personal communication, February 2016). Another combination appeared in which a few campuses had no school counselor on staff; nor did they have any dean of student. This arrangement of administration was labeled the “modified model.” As neither of these models was anticipated, but the researcher wanted to include the same analysis, there is effectively a third category that the researcher called “alternate model.” Table 12 shows the data for the schools identified as switching to an alternate model of administration.

Table 12

*Change in Student Attendance (Percentage) of Campuses that Switched to Alternate Model*

<u>Campus</u>	<u>Enrollment</u>	<u>Year After Transition to New Model</u>								
		<u>0</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>
G	2,698	0	1.6	0.8	1.6	0.1	0.4	1.0	0.7	
H	1,712	0	0.1	0.2	1.2	2.5	3.7	4.6	6.9	
F	1,987	0	-0.7	-0.1	0.8	0.6	0.8	0.9		
I	704	0	0.0	-1.1	-0.2	0.2	0.1			
J	702	0	0.9	1.4	-1.4					
<b>Aggr</b>	<b>1,561</b>	<b>0</b>	<b>0.5</b>	<b>0.3</b>	<b>0.9</b>	<b>0.8</b>	<b>1.3</b>	<b>1.9</b>	<b>3.1</b>	

The data in Tables 10, 11, and 12 represent the changes in the first student performance indicator (attendance rate) for a campus after a switch in administration structure. Table 9 contains some necessary information that should provide some clarity to Tables 13, 17, and 21.

Table 13 shows the relative fit of the data points to a linear model by indicating the Pearson  $r$  value and the slope of the best-fit line ( $m_{BFL}$ ) as determined by the method of least squares. The more positive the slope, the greater the positive impact the campus experience for the key performance indicator being investigated. To briefly explain, the Pearson  $r$  is a correlational coefficient that is appropriate when both variables are continuous (interval or ratio) and the relationship is expected to be linear and not curvilinear (Gay et al., 2009). In this case, the attendance rates are ratio data and the years are considered interval data. A positive  $r$  value represents a positive correlation, i.e., when the independent variable (year) increases, so does the dependent variable

(KPI). A negative  $r$  value represents a negative or inverse correlation, i.e., when the independent variable (year) increases, the dependent variable (KPI) decreases.

Table 13 also displays the same three pieces of information when the sole campuses with data are removed from the analysis. The rationale is that this study is to explore the impact of an administration model, and the data from a single campus is not sufficiently representative. Therefore, both are given—sets of statistics including all data and sets of statistics that take into account only when at least two schools are contributing to the respective aggregate. Of note, normally if the  $r$  value is negative, then the slope of the best-fit line would also be negative. The researcher used the option to force the BFL through the origin for set of key performance data, so it is possible that a set of data with a negative  $r$  value could have a positive slope, and vice versa.

Graphs of the aggregate data (the bolded data from each of the tables) from this particular section of Chapter Three can be found in Appendix E. The  $R^2$  values in the appendices vary slightly from those in Table 13 due to the BFL being forced through (0, 0). For that reason, the researcher opted to leave the pure Pearson  $r$  values represented by the lower case “ $r$ ” and reserved the capital “ $R$ ” for the calculation of  $R^2$  which is an indication of the degree of association. Evans (2014) explains that the degree of association represents the percent change in the dependent variable (one of the researcher’s KPIs) that is related to the independent variable (the number of year after the campus’s model transition). The implications of these values will be explored in Chapter Five.

Table 13

*Comparison of Basic Statistical Values for Student Attendance Data, All Models*

Campus	All Data Included			Sole Campus with Data Removed		
	<i>r</i> value	Strength	mBFL	<i>r</i> value	Strength	mBFL
Schools Switching to Dean Model						
A	0.82	very strong	0.82	0.75	strong	1.10
B	0.51	moderate	0.18	(NC)	(NC)	(NC)
C	0.55	moderate	0.95	(NC)	(NC)	(NC)
D	0.85	very strong	0.40	(NC)	(NC)	(NC)
E	-0.23	weak	-0.50	(NC)	(NC)	(NC)
<b>Aggr</b>	<b>0.94</b>	<b>extremely strong</b>	<b>0.68</b>	<b>0.88</b>	<b>very strong</b>	<b>0.48</b>
Schools Switching to Traditional Model						
F	0.70	moderate	0.18	0.20	weak	0.04
D	-0.62	moderate	-0.12	(NC)	(NC)	(NC)
<b>Aggr</b>	<b>0.56</b>	<b>moderate</b>	<b>0.14</b>	<b>-0.77</b>	<b>moderate</b>	<b>-0.05</b>
Schools Switching to Alternate Model						
G	-0.04	very weak	0.15	(NC)	(NC)	(NC)
H	0.96	extremely strong	0.78	(NC)	(NC)	(NC)
F	0.82	strong	0.15	(NC)	(NC)	(NC)
I	0.23	weak	-0.03	(NC)	(NC)	(NC)
J	-0.39	weak	-0.04	(NC)	(NC)	(NC)
<b>Aggr</b>	<b>0.92</b>	<b>very strong</b>	<b>0.33</b>	<b>(NC)</b>	<b>(NC)</b>	<b>(NC)</b>

*Note.* The symbol (NC) means “no change” compared to when all data was included.

**Second key performance indicator: student graduation rate.** The calculations and notes for student graduation rates were the same as they were for student attendance rates. Tables 14 and 15 show the data for the second key performance indicator—the four-year, longitudinal graduation rate of students. Graphs of the aggregate data (the bolded data from each of the tables) from this particular section of Chapter Three can be found in Appendix F.

Table 14

*Change in Four-year, Longitudinal Graduation Rates (Percentage) of Campuses that Switched to Dean Model*

Campus	Enrollment	Year After Transition to New Model								
		0	1	2	3	4	5	6	7	8
A	1,339	0	-4.5	-1.7	7.4	14.5	22.9*	21.4*	21.2*	
B	2,259	0	3.5	7.1	11.5	15.8				
C	968	0	1.1	5.3	10.9					
D	2,079	0	6.2	2.5	1.6					
E	876	0	3.4	-2.9						
<b>Aggr</b>	<b>1,504</b>	<b>0</b>	<b>1.7</b>	<b>3.3</b>	<b>9.0</b>	<b>15.3</b>	<b>22.9*</b>	<b>21.4*</b>	<b>21.2*</b>	

*Note.* Two campuses known to have switched to the dean model were not included here because they had insufficient data released from TEA. One had no data because student graduation rates are released one year in delay, and the other campus had only one year of relevant published data.

\* Sole Campus with Data – Only one campus had data to contribute to the aggregate.

Table 15

*Change in Four-year, Longitudinal Graduation Rate (Percentage) of Campuses that Switched to Traditional Model*

Campus	Enrollment	Year After Transition to New Model								
		0	1	2	3	4	5	6	7	8
F	1,641	0	2.8	-2.4	-9.1	-7.7*				
D	2,148	0	5.6	3.4	0.7					
<b>Aggr</b>	<b>1,894</b>	<b>0</b>	<b>4.4</b>	<b>0.9</b>	<b>-3.5</b>	<b>-7.7*</b>				

\* Sole Campus with Data – Only one campus had data to contribute to the aggregate.

Table 16

*Change in Four-year, Longitudinal Graduation Rate (Percentage) of Campuses that Switched to Alternate Model*

Campus	Enrollment	Year After Transition to New Model								
		0	1	2	3	4	5	6	7	8
G	2,698	0	5.1	6.7	12.2	16.9	19.9	20.2	16.9	
H	1,712	0	3.9	4.7	17.4	29.7	45.0	46.0	50.4	
F	1,987	0	11.9	14.4%	28.4	29.1	29.7	30.0		
I	704	0	-1.7	2.7%	11.8	-3.2	3.6			
J	702	0	-9.7	-4.7	-15.1					
<b>Aggr</b>	<b>1,561</b>	<b>0</b>	<b>4.6</b>	<b>6.8</b>	<b>15.0</b>	<b>21.4</b>	<b>27.1</b>	<b>30.1</b>	<b>29.9</b>	

Table 17 displays the same information, i.e., Pearson  $r$  value, strength of the data's fit to a linear model, and slope of the best-fit line. Both sets of data are presented, i.e., entire data set and data set when the sole campuses contributing to the aggregate have been removed from the analysis. The rationale for presenting both was the same as it was for Table 13.

Table 17

*Comparison of Basic Statistical Values for Four-year Graduation Rate Data, All Models*

Campus	All Data Included			Sole Campus with Data Removed		
	<i>r</i> value	Strength	m <sub>BFL</sub>	<i>r</i> value	Strength	m <sub>BFL</sub>
Schools Switching to Dean Model						
A	0.92	very strong	3.31	0.84	very strong	2.41
B	1.00	extremely strong	3.85	(NC)	(NC)	(NC)
C	0.96	extremely strong	3.17	(NC)	(NC)	(NC)
D	0.05	very weak	1.14	(NC)	(NC)	(NC)
E	-0.46	moderate	-0.48	(NC)	(NC)	(NC)
<b>Aggr</b>	<b>0.95</b>	<b>extremely strong</b>	<b>3.49</b>	<b>0.96</b>	<b>extremely strong</b>	<b>3.22</b>
Schools Switching to Traditional Model						
F	-0.86	very strong	-2.00	-0.83	very strong	-2.09
D	-0.01	very weak	1.04	(NC)	(NC)	(NC)
<b>Aggr</b>	<b>-0.80</b>	<b>very strong</b>	<b>-1.18</b>	<b>-0.56</b>	<b>moderate</b>	<b>-0.32</b>
Schools Switching to Alternate Model						
G	0.92	very strong	3.30	(NC)	(NC)	(NC)
H	0.97	extremely strong	7.42	(NC)	(NC)	(NC)
F	0.91	very strong	6.27	(NC)	(NC)	(NC)
I	0.22	weak	0.81	(NC)	(NC)	(NC)
J	-0.80	very strong	-4.60	(NC)	(NC)	(NC)
<b>Aggr</b>	<b>0.98</b>	<b>extremely strong</b>	<b>4.82</b>	<b>(NC)</b>	<b>(NC)</b>	<b>(NC)</b>

*Note.* The symbol (NC) means “no change” compared to when all data was included.

**Third key performance indicator: student achievement.** The calculations and notes for student achievement rates were the same as they were for student attendance and graduation rates. The one exception was for schools that had data included from the 2011-2012 school year. That year was the first year that third- through ninth-grade students in public Texas schools began taking a new high-stakes tests known as the State of Texas Assessment of Academic Readiness (STAAR) in place of the predecessor exam known as Texas Assessment of Knowledge and Skills (TAKS). Students in grades ten and eleven continued taking TAKS to satisfy graduation requirements, which are established based on the year that students enter ninth grade. As a result of the mixture of tests, all student achievement calculations for 2011-2012 were calculated as one-third of the campus's STAAR tests that met the established Level 2 (passing) standard plus two-thirds of the campus's TAKS tests that met standard. This latter number was the one listed in the section indicated as "TAKS Met 2012 Standard (Sum of Grades 10 and 11)" on the school's 2011-2012 AEIS report.

Additionally, the student achievement data is not delayed by a year on reports from TEA. For that reason, each of the schools who were still operating on their "new" model in 2014-2015, will have an additional year of data to be included relative to the number of data points the campus had in the previous tables. For clarification, not all schools were in this situation, so not all schools have the additional data point. Also, due to the availability of this additional data point for student achievement, School "K" had the minimum number of data points and was consequently included for this key performance indicator when it was not in the previous two. The other known campus that

had switched to the dean model was still one data point shy of meeting the requirement for inclusion in that data set in Table 18.

Table 18

*Change in Student Achievement Rate (Percentage) Data of Campuses that Switched to Dean Model*

Campus	Enrollment	Year After Transition to New Model								
		0	1	2	3	4	5	6	7	8
A	1,364	0	10	19	25	28	36	21*	22*	26*
B	2,316	0	3	12	6	2	5			
C	983	0	18	16	15	11				
D	2,079	0	0	18	21					
E	930	0	-4	-7	-6					
K	736	0	4	1						
<b>Aggr</b>	<b>1,401</b>	<b>0</b>	<b>4.0</b>	<b>12.0</b>	<b>13.3</b>	<b>11.5</b>	<b>16.5</b>	<b>21.0*</b>	<b>22.0*</b>	<b>26.0*</b>

\* Sole Campus with Data – Only one campus had data to contribute to the aggregate.

Table 19

*Change in Student Achievement Rate (Percentage) Data of Campuses that Switched to the Traditional Model*

Campus	Enrollment	Year After Transition to New Model								
		0	1	2	3	4	5	6	7	8
F	1,680	0	-9	3	13	27*				
D	2,120	0	-1	3	-2					
<b>Aggr</b>	<b>1,900</b>	<b>0</b>	<b>-4.4</b>	<b>3.0</b>	<b>4.6</b>	<b>27*</b>				

\* Sole Campus with Data – Only one campus had data to contribute to the aggregate.

Table 20

*Change in Student Achievement Rate (Percentage) Data of Campuses that Switched to Alternate Model*

Campus	Enrollment	Year After Transition to New Model								
		0	1	2	3	4	5	6	7	8
G	2,754	0	12	17	23	24	32	24	22	21*
H	1,692	0	6	8	24	31	33	30	20	
F	2,021	0	-2	5	12	21	18	19	19	
I	704	0	17	15	13	15	17	13		
J	702	0	10	0	1	-2				
<b>Aggr</b>	<b>1,575</b>	<b>0</b>	<b>7.4</b>	<b>10.3</b>	<b>17.6</b>	<b>21.5</b>	<b>27.0</b>	<b>22.9</b>	<b>20.5</b>	<b>21.0*</b>

\* Sole Campus with Data – Only one campus had data to contribute to the aggregate.

Table 21 displays the same information, i.e., Pearson  $r$  value, strength of the data's fit to a linear model, and slope of the best-fit line. Both sets of data are presented, i.e., entire data set and data set when the sole campuses contributing to the aggregate have been removed from the analysis. The rationale for presenting both was the same as it was for Table 13 and Table 17.

Graphs of the aggregate data (the bolded data from each of the tables) from this particular section of Chapter Three can be found in Appendix F. As noted earlier, the  $R^2$  values in the appendix vary slightly from those in Table 13 due to the BFL being forced through (0, 0). The implications of these values will be explored in Chapter Five.

Table 21

*Comparison of Basic Statistical Values for Student Achievement Rate Data, All Models*

Campus	All Data Included			Sole Campus with Data Removed		
	<i>r</i> value	Strength	m <sub>BFL</sub>	<i>r</i> value	Strength	m <sub>BFL</sub>
Schools Switching to Dean Model						
A	0.67	strong	4.43	0.99	extremely strong	3.31
B	0.21	weak	1.41	(NC)	(NC)	(NC)
C	0.43	moderate	4.62	(NC)	(NC)	(NC)
D	0.92	very strong	7.07	(NC)	(NC)	(NC)
E	-0.88	very strong	-2.43	(NC)	(NC)	(NC)
K	0.24	weak	1.20	(NC)	(NC)	(NC)
<b>Aggr</b>	<b>0.97</b>	<b>extremely strong</b>	<b>3.36</b>	<b>0.91</b>	<b>very strong</b>	<b>3.59</b>
Schools Switching to Traditional Model						
F	0.87	very strong	4.80	0.73	moderate	2.57
D	-0.14	very weak	-0.05	(NC)	(NC)	(NC)
<b>Aggr</b>	<b>0.82</b>	<b>very strong</b>	<b>4.12</b>	<b>0.70</b>	<b>moderate</b>	<b>1.11</b>
Schools Switching to Alternate Model						
G	0.69	strong	4.11	(NC)	(NC)	(NC)
H	0.78	strong	5.03	(NC)	(NC)	(NC)
F	0.90	very strong	3.31	(NC)	(NC)	(NC)
I	0.52	moderate	3.42	(NC)	(NC)	(NC)
J	-0.44	very strong	0.17	(NC)	(NC)	(NC)
<b>Aggr</b>	<b>0.83</b>	<b>very strong</b>	<b>3.68</b>	<b>(NC)</b>	<b>(NC)</b>	<b>(NC)</b>

*Note.* The symbol (NC) means “no change” compared to when all data was included.

### **Results of Data Related to the Secondary Research Questions**

Following the procedures detailed in Chapter Three, exactly 900 individuals were identified through the Exchange Global Address Book as holding one of the target positions. The complete population for the study was 899 after the researcher removed himself from the final, parsed list of individuals who received the survey-questionnaire tool (SQT). The SQT was available exactly 17 days from the date of the original invitation until the date that the researcher closed the SQT, and in that time two reminder emails were sent to participants who had not yet responded at the time of the reminder.

**Participants in the secondary research questions.** Table 22 shows that the overall response rate for the SQT was 217 individuals, which was under 25% of the full population invited to take the SQT. Once a participant reached the online SQT, the first question asked if they had held the role of assistant principal, dean of students, or school counselor at the *high school* level. One hundred nine of the 217 respondents (49.8%) had not served at the high school level and were subsequently sent to the disqualification page. The next question was used to determine if respondents had at least one full year of experience in their role, which resulted in 21 additional individuals being sent to the disqualification page. The completion rate was lower than the response rate because some individuals did not finish the SQT. In keeping the anonymity of the participants, the researcher could not track any details beyond the response rate shown in Table 22.

The researcher collected basic demographic data on the last page of the SQT, but 20% of participants abstained from those questions. Of those who responded, 61% were female and 39% were male. Regarding age, the largest group (32%) was in their 40s, 29% were in their 30s, and another 29% were in their 50s. In terms of K-12 education

experience, the largest group (33%) had served 15-19 years, and the second-largest group (20%) had served 20-24 years. The third largest group (19%) had served 5-10 years.

Table 22

*Response Rate by Position Title Category*

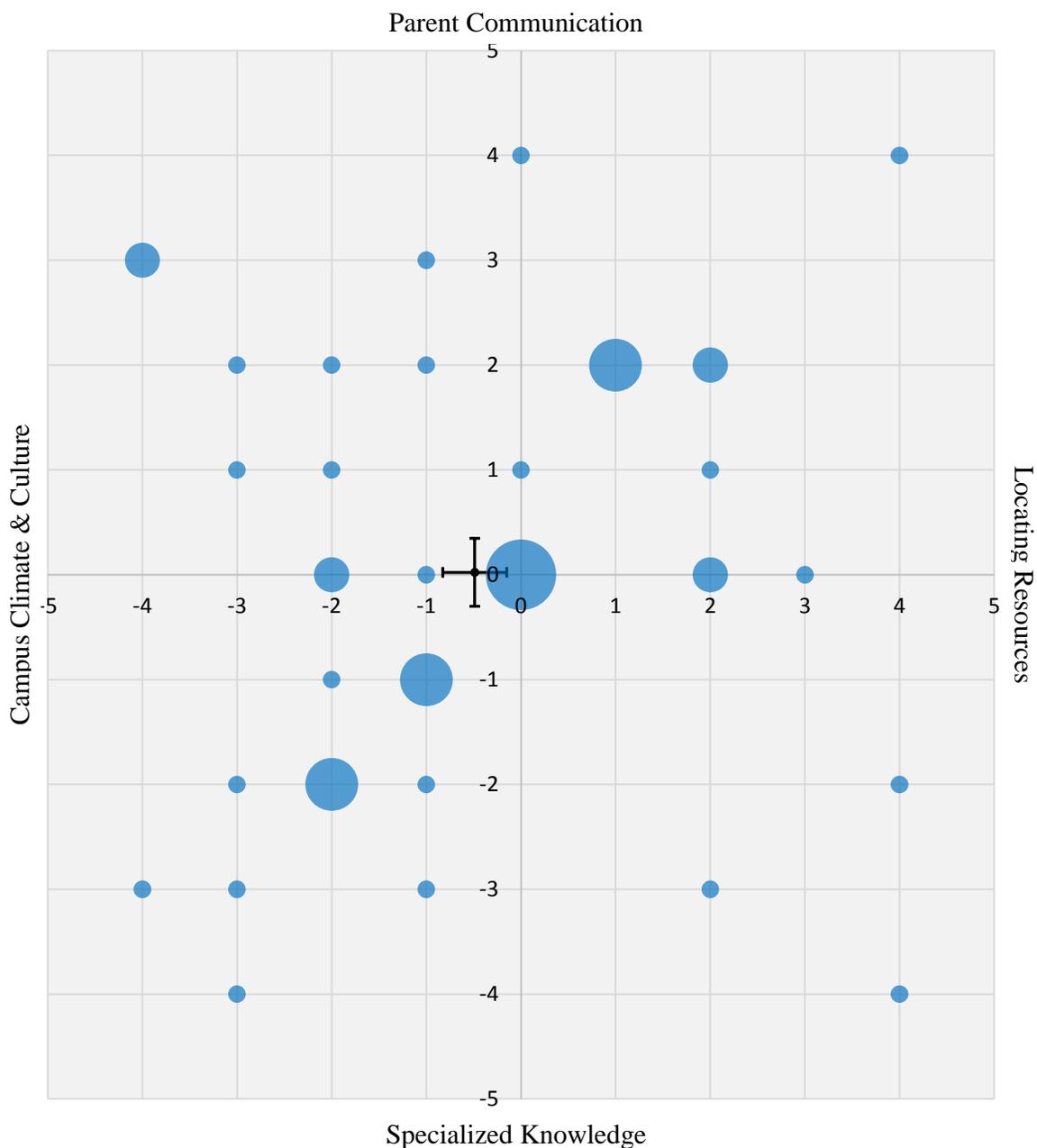
<u>Position Category</u>	<u>Final Set</u>	<u>Responded</u>	<u>Percentage</u>
Assistant Principals	313	71	22.7
Principals	282	59	20.9
Counselors	170	43	25.3
Deans (either type)	134	44	32.8
<b>Total Participants</b>	<b>899</b>	<b>217</b>	<b>24.1</b>

Some participants had held multiple roles, and as a result, the data in Table 24 make it appear as though 103 individuals were included in the study, which was not the case. However, these individuals are of particular interest for Chapter Five when the researcher describes the conclusions related to the final research question regarding role satisfaction.

**Results related to the second research question.** Figure 4 shows the actual data from assistant principals in a bubble chart. The size of the bubble indicates the relative number of people who gave the same answer—the larger the bubble, the more respondents with the same answer. The smallest bubble represents one person’s answer, and the largest bubble (located in the center) represents four people’s answer in Figure 4.

Table 23 contains the central-tendency analyses of all the results, with an indication of the sample size, N, and an indication of how much variance the data indicate. The x-values were considered independent of the y-values, and the researcher

calculated the mean, the standard deviation, and the standard error of the mean (SEM) for each data set. For clarification, the standard error of the mean was calculated as the standard deviation divided by the square root of the sample size,  $N$ . The mean x-value and mean y-value are plotted and have their respective SEMs shown as error bars.



*Figure 4.* Bubble Chart of Participant Data – Assistant Principals – with Means and Standard Errors of the Means Shown

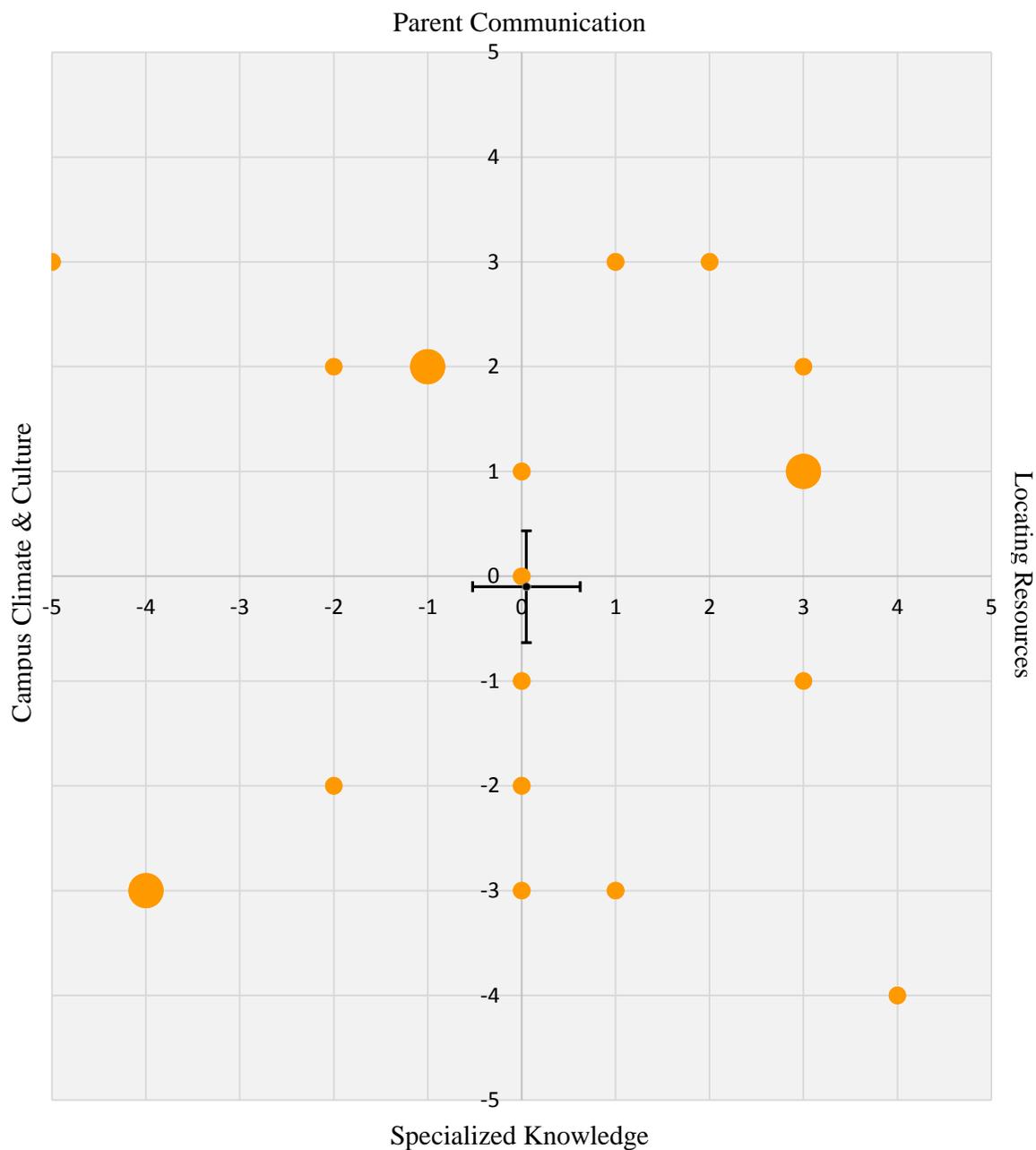
Table 23

*Central Tendency Analyses of Results from All Roles (n, Means, and Standard Errors of the Mean)*

Position	<i>n</i>	x-values		y-values	
		Mean	SEM	Mean	SEM
Assistant					
Principal	43	-0.488	0.338	0.023	0.325
Dean of Students	40	-0.225	0.309	-0.100	0.324
School Counselor	20	0.050	0.573	-0.100	0.533

Figure 5 shows the actual data from deans of students in a bubble chart. In this case, the smallest bubble still represents one person's answer, but the largest three bubbles (in Quadrants II and III) each represent three people's answers in Figure 5. Lastly, Figure 6 shows the actual data from school counselors and has the same scale size as Figure 5. Appendix H displays all of this raw data simultaneously—converted to the same size bubble-scale that was used in Figure 4—using the same color scheme that has been consistently used in each chapter since the introduction of the theoretical construct in Figure 1.





*Figure 6.* Bubble Chart of Participant Data – School Counselors – with Means and Standard Errors of the Means Shown

The previous sets of data are descriptive and based on individuals' perception of time. The following data, also collected via the SQT, provide an account to the student caseload that these professionals carry. Table 24 is a summary of the central tendencies for each of the three roles surveyed, including the unexpectedly large standard deviations.

Table 24  
*Central Tendency Analyses of Student Caseload by Role (Mean, Median, Mode, and Standard Deviation)*

Position	Smallest Caseload of Students				Largest Caseload of Students			
	Mean	Median	Mode	StDev	Mean	Median	Mode	StDev
Assistant Principal	400	450	510*	112	560	650*	650*	123
Dean of Students	283	245	410*	92	350	350	450*	99
School Counselor	352	335	250 <sup>∞</sup>	92	500	450	650*	120

\* This answer choice represented the highest possible number and was followed by “or higher” in the verbiage of the SQT.

<sup>∞</sup> This answer choice represented the lowest possible number and was followed by “or less” in the verbiage of the SQT.

**Results related to the third research question.** The researcher included one question with five subparts that asked participants to rate their job satisfaction on a seven-point Likert scale (valued between zero and six) with regard to each of the following: (a) working with students, (b) working with parents, (c) working with teachers, (d) working with central office staff, and (e) overall satisfaction. The researcher intended for the participants to reflect on the various domains represented by those subparts, but was primarily interested in the first and last, (a) and (e). Table 25 shows the arithmetic means and ordinal rankings according to the participants’ perceptions based on their role.

Table 25  
*Central Tendency Analyses of Job Satisfaction Results on a Scale of Zero to Six*

Position	(a) working with students		(e) overall satisfaction	
	Mean	Ordinal	Mean	Ordinal
Assistant Principal	5.05	Third	4.84	Third
Dean of Students	5.43	Second	4.93	Second
School Counselor	5.70	First	4.95	First

### Summary of Findings – Primary Research Question

The primary research question for this study was “Which model of administration—the traditional model or the dean model—is more effective in urban, high school education?” In terms of the primary question, the researcher found it helpful to rearrange the aggregate data for each of the key performance indicators (KPI) into a single table that groups the data by the type of administration switch. The synthesis of relevant data is found in Table 26, only taking into consideration the aggregate (or weighted average) data for each model, with the relative weights being the average enrollment for each campus. The Pearson  $r$  strength for each of the aggregates (i.e., aggregates for attendance rate, graduate rate, and achievement rate) representing campuses that switched to the dean model were “very strong” or “extremely strong,” which indicates a high level of reliability of the model. The same was true for the aggregates representing campuses that switched to an alternate model of administration. The strength of the aggregates representing campuses that switched to the traditional model were only “moderate,” which indicates far less reliability.

By assigning ordinals, i.e., first, second, and third, for the relative performance for each of the key performance indicators, the researcher discovered that schools switching to the dean model outperformed schools that switched to the traditional model, regardless of whether or not sole campuses with data contributing to the aggregate were removed or not. However, according to the data in Table 23, the schools with the greatest increases in the KPIs switched to an alternate model, either a hybrid arrangement (e.g., dean model for ninth- and tenth graders then traditional model for eleventh- and twelfth-graders) or one in which no deans nor counselors were sufficiently represented in the campus’s

numbers of professional staff, but rather only used assistant principals to achieve results. The researcher could not substantially differentiate from this assistant principal-only model and the dean model, and this will be discussed in Chapter Five along with a recommendation for further research.

Referring to Table 10 (number of campuses and number of years) and Table 26 (top section for schools switching to the dean model, in the three right-most columns that only consider the data that has been validated by multiple campuses being included in the analysis), one can see that the Weighted Average Daily Attendance increased almost 0.5% (slope of best-fit line,  $m_{BFL}$ ) each year over the four years of the validated model. The Pearson  $r$  value for the model over the four years was 0.88, which indicates that 78% of the change in the KPI was attributed to the change of the model. Three notes to consider about the data treatment are the following:

- This type of analysis does not take into account any other changes that may have occurred on any of the individual campuses,
- the 78% comes from  $r^2 = 0.88^2 \approx 0.78$ , and
- the  $R^2$  values (0.71 versus 0.77 in this example) in the appendices are slightly different than the  $r^2$  values because the researcher forced the best-fit lines through the origin.

Table 26

*Comparison of Basic Statistical Values for Aggregates, All KPIs, All Switches*

Indicator	All Data Included			Sole Campus with Data Removed		
	<i>r</i> value	Strength	m <sub>BFL</sub>	<i>r</i> value	Strength	m <sub>BFL</sub>
Schools Switching to Dean Model						
Attendance	0.94	extremely strong	0.68	0.88	very strong	0.48
Graduation	0.95	extremely strong	3.49	0.96	extremely strong	3.22
Achievement	0.97	extremely strong	3.36	0.91	very strong	3.59
Summary for Model	Best on Attendance Rate ..... (1) Second on Graduation Rate ... (2) Worst on Achievement Rate ... (3)			Best on Attendance Rate ..... (1) Second on Graduation Rate ..... (2) Second on Achievement Rate ... (2)		
Schools Switching to Traditional Model						
Attendance	0.56	moderate	0.14	-0.77	strong	-0.05
Graduation	-0.80	very strong	-1.18	-0.56	moderate	-0.32
Achievement	0.82	very strong	4.12	0.70	strong	1.11
Summary for Model	Worst on Achievement Rate ... (3) Worst on Graduation Rate ..... (3) Best on Achievement Rate ..... (1)			Worst on Attendance Rate ..... (3) Worst on Graduation Rate ..... (3) Worst on Achievement Rate ... (3)		
Schools Switching to Alternate Model						
Attendance	0.92	strong	0.33	0.92	strong	0.33
Graduation	0.98	extremely strong	4.82	0.98	extremely strong	4.82
Achievement	0.83	strong	3.68	0.83	strong	3.68
Model Summary	Second on Attendance Rate .... (2) Best on Graduation Rate ..... (1) Second on Achievement Rate .. (2)			Second on Attendance Rate ..... (2) Best on Graduation Rate ..... (1) Best on Achievement Rate ..... (1)		

*Note.* The ordinals are the numbers in parentheses in the rows for the model summary.

### **Summary of Findings – Secondary Research Questions**

The secondary research questions constitute the exploration portion of this study. The first of these questions was the following: Based on responses of individuals who have had at least one of the researched roles, how does the role of high school dean of students compare in the theoretical construct (see Figure 1) to assistant principals and school counselors in terms of time allocation of four activities related to school leadership? The answer to this question is found in Figures 4, 5, and 6. Appendix H contains the bubble chart that overlays all of the data into a single chart, and Appendix I shows each of the mean responses (x-axis and y-axis) with their respective error bars, for each of the three roles surveyed. Comparing the researcher's predictions (see Figure 1) and the actual results shown in Appendix I, one can see that the researcher's predictions were accurate in terms of their relative layout on the x-axis and y-axis. However, the actual means were not as widely distributed as expected, but instead were all relatively close to the origin.

The data pertaining to the caseload of students provide additional insight. Deans of students had the smallest caseloads of the three roles, with the means ranging from 283 to 350. Counselors reported larger caseloads, with the means ranging from 352 to 500. Assistant principals reported the largest caseloads, with means ranging from 400 to 560. These values might not represent accurate values because for each role, the most frequent response (statistical mode) was the answer choice in the SQT that indicated that the participants needed a larger or smaller number to select. See the notes section of Table 24. For that reason, the medians might be more reliable values: deans of students, 245 to 350; school counselors, 335 to 450; and assistant principals, 450 to 650.

The approximate number of students served by position were the following: assistant principals serve  $550 \pm 118$ , deans of students serve  $298 \pm 96$ , and school counselors serve  $393 \pm 106$ . These simple statistics came from averaging the medians and also averaging the standard deviations (see Table 24). The researcher recognizes that the caseload for assistant principals was reported low because the median result was “650 or more” for the question asking participants to estimate their largest caseload. This flaw left the researcher no way to estimate the actual number served. Despite the limitations, the researcher’s predictions for the average caseload of assistant principals and deans of students were particularly accurate; however, school counselors in XISD have smaller caseloads than predicted.

The results were consistent with the researcher’s predictions that deans of students would have the smallest caseload of students and assistant principals would have the largest caseload of students. However, the prediction that deans would have the highest overall satisfaction was not accurate. According to the summary in Table 25, counselors and deans of students reported nearly equal levels of overall job satisfaction, 4.95 and 4.93, respectively, on a scale of zero to six.

In this final segment of the exploration data concerning the participants’ job satisfaction, the researcher wanted to compare relative responses on job satisfaction on subsets of participants, namely those who had served in multiple roles. A subset with at least 10 participants would provide reliable comparisons. Unfortunately, only one participant reported having experience as both a counselor and a dean of students, and one additional participant reported having experience as both a counselor and an assistant principal. Twenty-three participants reported having experience serving as an assistant

principal as well as dean of students. Only one of those 23 individuals reported higher satisfaction working with students as an assistant principal, and six reported higher satisfaction working with students as a dean of students. All 23 participants in the subset reported the *exact same* overall satisfaction from their time serving in the role of assistant principal as they did from their time serving as a dean of students.

Chapter Four summarized the data collected and analyzed for each of the research questions posed in this doctoral thesis. The data were displayed in a series of 17 tables and 3 figures. Chapter Five contains the researcher's discussion, recommendations for further research, and conclusions based on his interpretations of those data sets.

## **Chapter V**

### **Discussion, Recommendations, and Conclusions**

The final chapter of this thesis was designed to provide an account of the researcher's interpretations of the data presented in Chapter Four and identify some implications for practitioners about those interpretations. This chapter will include some suggestions for future studies related to the current one and finally end with some concluding remarks.

#### **Discussion of Results – Primary Research Question**

The original research question of this study was to determine which model of administration—the traditional model or the dean model—is more effective in urban, high school education. Based substantially on the information in Table 26, specifically the ordinals in the summary sections, the researcher found that the alternate model of administration appears to provide the greatest increases overall for student outcomes when including all of the key performance indicators (KPIs). Given the original two options of evaluating the dean model and the traditional model, the data are clear that the schools that switched to the dean model experienced greater increases in the student outcomes of attendance rates (which affects school funding), graduation rates (an end-goal for all stake holders), and student achievement rates (passing or meeting standard on state-mandated assessments).

A detail to note was that, for all three key performance indicators, the reliability of traditional model was considerably lower than it was for the alternate model or the dean model. One major contributing factor was that the traditional model only had two identified campuses, whereas the other models had five and six campuses contributing to

their respective aggregates. Results might look considerably different if, in a future analysis, more campuses have been identified as switching to the traditional model; regardless of what the increases (slopes of the best-fit line) are, the reliability measure (Pearson  $r$  values) should improve.

The results of the three KPIs—attendance rate, graduate rate, and achievement rate—for the dean model had the highest reliabilities (very strong, extremely strong, and very strong, respectively), while the reliabilities of the alternate model were strong, very strong, and strong, respectively (see Table 26). The researcher did not set out to study the alternate models initially, but they rather emerged as a separate category to account for two types of situations that became apparent while performing the data-mining portion of the study. The first situation was what the researcher called the “hybrid model” that used the dean model for students in grades 9 and 10, and switched to the traditional model for students in grades 11 and 12. Only one school, coded as Campus G, was positively identified as using this hybrid model, but it had one of the most consistent sources of data over time without experiencing multiple model switches. Campus G was included in the “alternate model” category because being a singleton precluded it from being validated.

The other “alternate model” caused some confusion. The researcher could not substantially differentiate between the following two scenarios: (a) an “assistant principal-only” model that had standard numbers of assistant principals (to yield typical student caseloads) but lacked school counselors in the school profile, and (b) the dean model that generally has neither school counselors nor assistant principals in the school

profile. This situation presents implications for further research to be described later in this chapter.

### **Discussion of Results – Secondary Research Questions**

The stand-out result from the exploration portion of the study was how similarly assistant principals, deans of students, and school counselors view their relative time spent on the different aspects of the theoretical construct (see Figure 1). When comparing the collective results of the assistant principals to the results of school counselors, there was some distribution or separation, particularly on the x-axis. The assistant principals report that they spend more time on campus climate and culture, whereas school counselors report slightly more time spent on locating resources.

As for the y-axis, the average results did not land in their anticipated quadrant, but were notably shifted downward as anticipated. The reasons could be that parent communication is less frequent at the high school level or that all the professional roles surveyed consider themselves to have and use specialized knowledge more than the researcher anticipated.

The results showed that school counselors clearly seem to have the highest satisfaction (mean response of 5.7 out of 6) when working with students, whereas assistant principals report much lower satisfaction (5.0 out of 6) when working with students. Satisfaction levels of deans of students, true to their hybrid role, fell in between the other two roles (5.4 out of 6) when it came to working with students.

School counselors and deans of students tend to enjoy their jobs equally overall (4.95 and 4.93, respectively), despite reporting large differences in their student caseloads. Despite coming in lowest on overall job satisfaction (4.83 out of 6), the

assistant principals did not report as low as the researcher had expected given their role's reputation of dealing with student discipline, transportation issues, and a variety of complaints from parents and teachers.

The reliability measure for the questions used to place individual responses on the Cartesian plane of the theoretical construct was the standard errors of the mean (SEM). The SEM was calculated as the standard deviation of the data subset divided by the square root of the subset's sample size,  $n$ . Subset sizes of 40 and 43 helped reduce the standard errors of the mean for the deans' of students and assistant principals' SEM, respectively. These values were relatively moderate for the dean of students' role (0.31 on the x-axis and 0.32 on the y-axis) and assistant principals' role (0.34 on the x-axis and 0.33 on the y-axis). The interpretation was that the smaller these numbers are, the less variability and more reliability they represent. The values for the school counselors' responses were almost double (0.57 on the x-axis and 0.53 on the y-axis), which partially indicates more variability, but also comes from the fact that their sample size,  $n$ , was only 20, or about half that of the other two roles. The overall interpretation of the participants' large variation in responses was twofold: (a) even in the same role, individuals focus on or spend their time on different aspects of their role, and (b) perhaps time estimates are not precise units of measurement. The researcher considered the reliability of the data strong enough to make conservative conclusions and provide a few implications for school leaders.

### **Implications for School Leaders**

The main implication of the results of this study is that the dean model—while less prevalent (seen in approximately one-third of campuses) than the traditional model in

comprehensive, urban high schools—appears to be more effective overall than the traditional model in terms of increasing three key student outcomes: attendance rate, graduation rate, and student achievement (passing) rate on state-mandated tests. Using the dean model also seems to produce more satisfied campus administrators who benefit from a wider range of responsibilities (typically those held by an assistant principal and school counselor) while providing service to a smaller student caseload.

The second implication is that students/parents must receive very different levels of service from their counselors/dean/assistant principal simply based on the large variations (i.e., standard deviations of ~100) in the number of students that each professional serves within XISD. For example, the caseload numbers for the typical school counselor in XISD were  $393 \pm 106$ . A counselor who is charged with providing service to ~500 students has a different challenge and outcome compared to a colleague who is charged with providing service to ~290 students. Similar levels of variation were found based on the responses from deans of students and assistant principals. This high variability in the same role across different campuses within XISD might be cause for focused conversation amongst school leaders or possibly an area for further research.

### **Recommendations for Further Research**

The current study could be reproduced and expanded to the middle school and elementary school levels to investigate if the average responses are similar to the responses in this study or if they begin to have better distribution into the domains represented in the theoretical construct (Figure 1). A fully expanded study could also include central office positions such as instructional coaches and program specialists as well as their campus-based equivalents. If carried out, the researcher strongly suggests

two changes. The first would be a change in the format of questions asking participants to report on the number (minimum, maximum, or range) that best represents their caseload of students. For future studies, the recommendation is to keep two separate questions (i.e., smallest and largest caseloads), but giving the participants a free-response field to type in their answer. These types of fields can be restricted to only accept numerical values. The second change would be not to pull participants during the summer months. At that time there were many vacant positions in the district, and when the first and second data sets were merged and then parsed, there were only 15 additional participants (out of 899) who were not in the original data pull.

Another recommendation for further study—perhaps as case studies—would be on the operations of campuses identified as using the hybrid model and the assistant principal-only (*sans* school counselors) model so as to increase the understanding of these models of administration in urban high school settings. Another possibility would be to design a study—perhaps using cognitive interviewing techniques—to probe for and analyze perception data concerning the dean model and the traditional model of administration. The target population might be school principals and their direct supervisors.

In an area that overlaps the primary and secondary research questions, the researcher would suggest a further study to include student discipline. One might seek to find if schools with higher frequency and/or severity of discipline referrals favor the traditional model. Such a study could test the hypothesis that the traditional model might allow the assistant principals and counselors to focus on different aspects of the child

whereas the dean model requires the dean to serve both the disciplinarian and the counselor roles.

Practitioners interested in focusing on the financial aspect of operating public schools might perform a cost-benefit analysis for the dean model compared to the traditional model of administration. This information would help school leaders understand the cost associated with using the dean model that, according to the current study, produces improved student outcomes. The additional cost comes from the fact that deans of students are paid on the same salary scale as assistant principals while school counselors are on a lower salary scale in XISD.

Finally, given that the literature indicates that the majority of assistant principals aspire to be principals, and deans of students have a wider range of responsibilities which should better prepare them to be successful principals, I suggest that a future study be done with principals and central office personnel. There are many possible research questions and designs—qualitative, quantitative, or mixed methods—for the study. One such possibility would be to research if there is a correlation with maximum career advancement from individuals who only have administrative experience serving as an assistant principal versus individuals who have administrative experience serving as a dean of students.

## **Conclusions**

The current doctoral thesis sought to answer three research questions regarding the role of dean of students when it is an administrative role at the high school level in a major urban setting. The exploration portion of the study included a data analysis that showed that the dean of students truly is a hybrid role, combining the responsibilities of

an assistant principal with those of a school counselor. The data collected through an online survey-questionnaire completed by participants who had served in one or more of the target roles (assistant principals, deans of students, and school counselors) clearly indicated that deans of students and school counselors experience greater overall job satisfaction than do assistant principals, especially in terms of their satisfaction in working with students.

The comparison portion of the study used data mined from public reports published by the Texas Education Agency. The campuses studied were the comprehensive high schools in XISD that had switched models of administration or operation, specifically the campuses going to/from the traditional model (that uses the separate roles of assistant principals and school counselors) and to/from the dean model (that uses neither assistant principals nor school counselors but rather the hybrid role of deans of students). Using student attendance, graduation, and achievement rates as the key performance indicators, the data indicated that the dean model produces greater increases or gains than the traditional model for campuses with student enrollment between approximately 1,000 and 2,700. Some campuses within the district of study did not appear to follow either model fully, and those campuses using an alternate model of administration structure outperformed the dean model. Campus leaders looking to increase student outcomes, and who are willing to make a switch in administration structure or operation in their school, should strongly consider adopting the dean model or a hybrid model, based on the results of this study.

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**Appendix A**

**Cover Letter with Consent to Participate in Study**

UNIVERSITY OF HOUSTON  
CONSENT TO PARTICIPATE IN RESEARCH

You are being invited to participate in a research project conducted by E. Craig Gutiérrez from the Department of Educational Leadership & Policy Studies at the University of Houston. This research project is part of a doctoral dissertation and is being conducted under the supervision of Dr. Angus MacNeil.

**PROJECT TITLE**

Exploring the Role of Dean of Students and Comparing the Effectiveness of the Traditional Model and the Dean Model for Urban High School Administration Based on Student Achievement, Attendance, and Graduation Rates

**NON-PARTICIPATION STATEMENT**

Your participation is voluntary and you may refuse to participate or withdraw at any time without penalty or loss of benefits to which you are otherwise entitled.

**PURPOSE OF THE STUDY**

The primary purpose of the study is to identify high schools that have switched administration models and investigate if there is any correlation to effectiveness (defined as a subset of student outcomes reported to the Texas Education Agency). The secondary purpose of this study is to investigate the role of dean of students and compare responses of individuals who have served as an assistant principal, school counselor, and/or dean of students to a theoretical model constructed by the researcher. The study is expected to be completed by March 15, 2016.

**PROCEDURES**

You will be one of approximately 750 participants invited to this project.

The procedures for the study are the following:

- You will be asked to complete an online survey-questionnaire on a one-time basis.
- The total time commitment for a participant is approximately five (5) minutes.
- The collected responses to some of the questions will guide the researcher to identify high school campuses that have switched administration models in order to do perform an interrupted time-series evaluation on some performance measures reported to TEA.

**CONFIDENTIALITY**

The survey-questionnaire asks for general demographic data. All of the responses will be recorded anonymously. Please do not type your name in any of the free-response fields.

**RISKS/DISCOMFORTS**

There are no foreseeable risks associated with participating in this study.

**BENEFITS**

While you will not directly benefit from participation, your participation may help practitioners determine if one model of administration is more effective than the other and better understand the role of dean of students as it is performed in a large, urban school district.

**ALTERNATIVES**

Participation in this project is voluntary and the only alternative to this project is non-participation.

**PUBLICATION STATEMENT**

The results of this study may be published in professional and/or scientific journals. It may also be used for educational purposes or for professional presentations. However, no individual subject will be identified.

**CONSENT STATEMENT**

By completing and submitting this survey, you are indicating your consent to participate in the study. Your participation is greatly appreciated.

If you have any questions regarding the survey or this research project in general, you may contact Mr. Gutiérrez at [mr.craig.gutierrez@gmail.com](mailto:mr.craig.gutierrez@gmail.com) or his faculty sponsor, Dr. MacNeil, at [amacneil@central.uh.edu](mailto:amacneil@central.uh.edu).

ANY QUESTIONS REGARDING YOUR RIGHTS AS A RESEARCH SUBJECT MAY BE ADDRESSED TO THE UNIVERSITY OF HOUSTON COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS (713-743-9204).

Signature of Principal Investigator: \_\_\_\_\_

Edward C. Gutiérrez, M.Ed.

**Appendix B**

**Letter of Cooperation from XISD**

██████████  
*Assistant Superintendent*  
*Research and Accountability Department*

December 4, 2015

Edward C. Gutierrez  
 Dean of Students, ██████████  
 ██████████  
 ██████████

Dear Edward C. Gutierrez:

The XXXXXXXXXXXX Independent School District (XISD) is pleased to approve the research "Exploring the Role of Dean of Students and Comparing the Effectiveness of the Traditional Model Versus the Dean Model for Urban High School Administration Based on Student Achievement, Attendance, and Graduation Rates." The purpose of this research study is to explore the differences between the dean and traditional school models to determine if one model of administration is more effective than the other in terms of student gains and job satisfaction. The projected date of study completion is May 15, 2016.

Approval to conduct the study in XISD is contingent on your meeting the following conditions:

- The target population consists of a convenience sample of principals, deans of students, deans of instruction, and counselors who respond to the e-mailed survey. These individuals will be identified and contacted through the XISD Exchange Global Address Book (EGAB) using the appropriate job titles for each role.
- It is at the principal's discretion to participate in the study.
- Voluntary consent is required of all study participants.
- Study participants will be asked to complete an online survey using a survey-questionnaire tool (SQT) outside of work hours that should take about 5 minutes to complete.
- All survey responses will be kept anonymous and no identifiers shall be recorded in the survey response fields.
- Participants will be asked to complete the survey in three weeks with a maximum of two reminder e-mails to follow-up on those who have yet to participate. One reminder e-mail will be sent a week after the initial email and a final reminder will be sent a week after that.
- Email addresses used to distribute the survey will be acquired by the researcher.
- Survey participants will be notified that permission has been granted for this study by the researcher and that individual responses will be private and confidential.
- School graduation, drop-out, and attendance rates will be retrieved by the researcher from the Texas Education Agency's Public Education Information Management System for public use. A fee may be assessed if the XISD Department of Research and Accountability assists in the data collection process.
- All data shall be stored on the researcher's and research faculty advisor's computer with password protection. After three years, the data will be destroyed. No hard copies will be generated.

- This project does not interfere with the District's instructional/testing program.
- The researcher must follow the guidelines of XISD and the University of Houston regarding the protection of human subjects and confidentiality of data. The XISD signed letter of agreement must be submitted prior to initiating the study.
- While the Institutional Review Board (IRB) at the University of Houston is responsible for oversight of the study, the XISD Department of Research and Accountability will also monitor the study to ensure compliance to ethical conduct guidelines established by the Department of Health and Human Services, Office for Human Research Protection (OHRP) as well as the disclosure of student records outlined in Family Educational Rights and Privacy Act (FERPA).
- Data will only be reported in statistical summaries that preclude the identification of the district or any school participating in the study. Participants and school shall not be identified by name. Pseudonyms or non-identifying naming conventions must be used.
- In order to eliminate potential risks to study participants, the reporting of proposed changes in research activities must be promptly submitted to the XISD Department of Research and Accountability for approval prior to implementing changes. Non-compliance with this guideline could affect the approval of future research studies in XISD.
- The final report must be submitted to the XISD Department of Research and Accountability within 30 days of completion of the written report, expected August 2016.

Any other changes or modifications to the current proposal must be submitted to the Department of Research and Accountability for approval. Should you need additional information or have any questions concerning the process, please call [REDACTED].

Sincerely,

[REDACTED]

Assistant Superintendent

**Appendix C**

**Letter of Approval from University of Houston's Committee for the Protection of  
Human Subjects (Institutional Review Board)**

UNIVERSITY of **HOUSTON**  
DIVISION OF RESEARCH

February 22, 2016

Mr. Edward Gutierrez  
c/o Anthony R. Rolle  
Educational Leadership & Cultural Studies

Dear Mr. Edward Gutierrez,

Based upon your request for exempt status, an administrative review of your research proposal entitled "Exploring the Role of Dean of Students and Comparing the Effectiveness of the Traditional Model Versus the Dean Model for Urban High School Administration Based on Student Achievement, Attendance and Graduation Rates" was conducted on January 20, 2016.

At that time, your request for exemption under Category 2 was approved pending modification of your proposed procedures/documents.

The changes you have made adequately respond to the identified contingencies. As long as you continue using procedures described in this project, you do not have to reapply for review. \* Any modification of this approved protocol will require review and further approval. Please contact me to ascertain the appropriate mechanism.

If you have any questions, please contact Alicia Vargas at (713) 743-9215.

Sincerely yours,



Kirstin Rochford, MPH, CIP, CPIA  
Director, Research Compliance

\*Approvals for exempt protocols will be valid for 5 years beyond the approval date. Approval for this project will expire **February 17, 2021**. If the project is completed prior to this date, a final report should be filed to close the protocol. If the project will continue after this date, you will need to reapply for approval if you wish to avoid an interruption of your data collection.

Protocol Number: 16228-EX

316 E. Cullen Building Houston, TX 77204-2015 (713) 743-9204 Fax: (713) 743-9577

COMMITTEES FOR THE PROTECTION OF HUMAN SUBJECTS.

**Appendix D**  
**Survey-Questionnaire Tool**

## Survey regarding campus administration models in XISD

### 1. Welcome to My Survey

**Thank you for participating in my survey. Your feedback is important to help provide information to "fill in" a gap in the knowledge base in the literature regarding secondary administration models in urban schools. The following document demonstrates that I have official approvals to conduct this research through this survey. Please click next at the bottom of this page.**

## Survey regarding campus administration models in XISD

### 2. Consent Page

#### **UNIVERSITY OF HOUSTON CONSENT TO PARTICIPATE IN RESEARCH**

You are being invited to participate in a research project conducted by E. Craig Gutiérrez from the Department of Educational Leadership & Policy Studies at the University of Houston. This research project is part of a doctoral dissertation and is being conducted under the supervision of Dr. Angus MacNeil.

#### **PROJECT TITLE**

Exploring the Role of Dean of Students and Comparing the Effectiveness of the Traditional Model and the Dean Model for Urban High School Administration Based on Student Achievement, Attendance, and Graduation Rates

#### **NON-PARTICIPATION STATEMENT**

Your participation is voluntary and you may refuse to participate or withdraw at any time without penalty or loss of benefits to which you are otherwise entitled.

#### **PURPOSE OF THE STUDY**

The primary purpose of the study is to identify high schools that have switched administration models and investigate if there is any correlation to effectiveness (defined as a subset of student outcomes reported to the Texas Education Agency). The secondary purpose of this study is to investigate the role of dean of students and compare responses of individuals who have served as an assistant principal, school counselor, and/or dean of students to a theoretical model constructed by the researcher. The study is expected to be completed by April 15, 2016.

#### **PROCEDURES**

You will be one of approximately 900 participants invited to this project.

The procedures for the study are the following:

You will be asked to complete an online survey-questionnaire on a one-time basis.

The total time commitment for a participant is approximately five (5) minutes.

The collected responses to some of the questions will guide the researcher to identify high school campuses that have switched

administration models in order to do perform an interrupted time-series evaluation on some performance measures reported to TEA.

**CONFIDENTIALITY**

The survey-questionnaire asks for general demographic data. All of the responses will be recorded anonymously. Please do not type your name in any of the free-response fields.

**RISKS/DISCOMFORTS**

There are no foreseeable risks associated with participating in this study.

**BENEFITS**

While you will not directly benefit from participation, your participation may help practitioners determine if one model of administration is more effective than the other and better understand the role of dean of students as it is performed in a large, urban school district.

**ALTERNATIVES**

Participation in this project is voluntary and the only alternative to this project is non-participation.

**PUBLICATION STATEMENT**

The results of this study may be published in professional and/or scientific journals. It may also be used for educational purposes or for professional presentations. However, no individual subject will be identified.

**CONSENT STATEMENT**

By completing and submitting this survey, you are indicating your consent to participate in the study. Your participation is greatly appreciated.

If you have any questions regarding the survey or this research project in general, you may contact Mr. Gutiérrez at [mr.craig.gutierrez@gmail.com](mailto:mr.craig.gutierrez@gmail.com) or his faculty sponsor, Dr. MacNeil, at [amacneil@central.uh.edu](mailto:amacneil@central.uh.edu).

ANY QUESTIONS REGARDING YOUR RIGHTS AS A RESEARCH SUBJECT MAY BE ADDRESSED TO THE UNIVERSITY OF HOUSTON COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS (713-743-9204).

Signature of Principal Investigator: Edward C. Gutiérrez, M.Ed.

## Survey regarding campus administration models in XISD

### 3. Eligibility

Are you serving or have you served at the high school level as an Assistant Principal (AP), Dean of Students, or Counselor within XISD?

Yes

No

### Survey regarding campus administration models in XISD

#### 4. Qualification (experience)

\* How many total years have you served as a high school Assistant Principal (AP), Dean of Students, and/or Counselor within XISD?

- |                                   |                               |                                  |
|-----------------------------------|-------------------------------|----------------------------------|
| <input type="radio"/> Less than 1 | <input type="radio"/> 5 to 6  | <input type="radio"/> 11 to 12   |
| <input type="radio"/> 1 to 2      | <input type="radio"/> 7 to 8  | <input type="radio"/> 13 to 14   |
| <input type="radio"/> 3 to 4      | <input type="radio"/> 9 to 10 | <input type="radio"/> 15 or more |

### Survey regarding campus administration models in XISD

#### 5. Branching page

\* Of these options, which role have you held most recently at the high school level?

### Survey regarding campus administration models in XISD

#### 6. Dean of Students

\* How many years have you served or did you serve in the role of Dean of Students in XISD?

\* In your role of Dean of Students, which of these best represents the smallest number of students that you ever served?

\* In your role of Dean of Students, which of these best represents the largest number of students that you ever served?

\* Estimate your relative time spent as a dean on the following two activities:

- (a) Setting campus climate & culture
- (b) Locating information or resources for students, parents or colleagues

*For example, if you spend an average of 3 hours per week doing (a) and 7 hours doing (b), then your relative time would be 30% (a) + 70% (b).*

	100%		90%										100%
	Campus												Resource
	Climate & Culture	(a) + 10%	80% (a)	70% (a)	60% (a)	50% - 50%	40% (a)	30% (a)	20% (a)	10% (a)			Locator
		(b)	+ 20% (b)	+ 30% (b)	+ 40% (b)	time split	+ 60% (b)	+ 70% (b)	+ 80% (b)	+ 90% (b)			

\* Estimate your relative time spent as a dean on the following two activities:

- (a) Utilizing special program knowledge (such as Special Ed, 504, CTE, ESL, Title 1, UIL, etc.)
- (b) Communicating with parents

*For example, if you spend an average of 3 hours per week doing (a) and 7 hours doing (b), then your relative time would be 30% (a) + 70% (b).*

	100%		90%										100%
	Special Knowledge	(a) + 10%	80% (a)	70% (a)	60% (a)	50% - 50%	40% (a)	30% (a)	20% (a)	10% (a)			Parent Comm.
		(b)	+ 20% (b)	+ 30% (b)	+ 40% (b)	time split	+ 60% (b)	+ 70% (b)	+ 80% (b)	+ 90% (b)			

\* Rate your job satisfaction on each of these while serving in the role of Dean of Students.

	Very dissatisfied	Mostly dissatisfied	Mildly dissatisfied	Neutral	Mildly satisfied	Mostly satisfied	Very satisfied
Working with students	<input type="radio"/>						
Working with parents	<input type="radio"/>						
Working with teachers	<input type="radio"/>						
Working with central office personnel	<input type="radio"/>						
Overall satisfaction	<input type="radio"/>						

**Survey regarding campus administration models in XISD**

**7. Dean of Students (cont'd)**

In what school did you perform this role?

\* To your knowledge, has that campus ever changed its model of administration, i.e., switched from the "dean model" to the "traditional model" (using APs and counselors) or vice versa?

- I did not share the campus's name.
- No, I do not believe that it has switched.
- Yes, I believe it switched models in [enter year below]?

\* Have you also officially held the title and performed the role of Assistant Principal or School (or CATE) Counselor in XISD?

- Yes, I was an AP.
- Yes, I was a counselor.
- No, neither applies to me.
- Yes, I was an AP or counselor, and I've already answered the questions about that role.

### Survey regarding campus administration models in XISD

#### 8. Assistant Principal

\* How many years have you served or did you serve in the role of Assistant Principal in XISD?

\* In your role of Assistant Principal, which of these best represents the smallest number of students that you ever served?

\* In your role of Assistant Principal, which of these best represents the largest number of students that you ever served?

- \* Estimate your relative time spent as an AP on the following two activities:
  - (a) Setting campus climate & culture
  - (b) Locating information or resources for students, parents or colleagues

*For example, if you spend an average of 3 hours per week doing (a) and 7 hours doing (b), then your relative time would be 30% (a) + 70% (b).*

100%												100%
Campus	90%											Resource
Climate & Culture	(a) + 10%	80% (a)	70% (a)	60% (a)	50% - 50%	40% (a)	30% (a)	20% (a)	10% (a)			Locator
	(b)	+ 20% (b)	+ 30% (b)	+ 40% (b)	time split	+ 60% (b)	+ 70% (b)	+ 80% (b)	+ 90% (b)			
<input type="radio"/>												

- \* Estimate your relative time spent as an AP on the following two activities:
  - (a) Utilizing special program knowledge (such as Special Ed, 504, CTE, ESL, Title 1, UIL, etc.)
  - (b) Communicating with parents

*For example, if you spend an average of 3 hours per week doing (a) and 7 hours doing (b), then your relative time would be 30% (a) + 70% (b).*

100%												100%
Special Knowledge	90%											Parent Comm.
	(a) + 10%	80% (a)	70% (a)	60% (a)	50% - 50%	40% (a)	30% (a)	20% (a)	10% (a)			
	(b)	+ 20% (b)	+ 30% (b)	+ 40% (b)	time split	+ 60% (b)	+ 70% (b)	+ 80% (b)	+ 90% (b)			
<input type="radio"/>												

- \* Rate your job satisfaction on each of these while serving in the role of Assistant Principal.

	Very dissatisfied	Mostly dissatisfied	Mildly dissatisfied	Neutral	Mildly satisfied	Mostly satisfied	Very satisfied
Working with students	<input type="radio"/>						
Working with parents	<input type="radio"/>						
Working with teachers	<input type="radio"/>						
Working with central office personnel	<input type="radio"/>						
Overall satisfaction	<input type="radio"/>						

**Survey regarding campus administration models in XISD**

**9. Assistant Principal (cont'd)**

In what school did you perform this role?

\* To your knowledge, has that campus ever changed its model of administration, i.e., switched from the "dean model" to the "traditional model" (using APs and counselors) or vice versa?

- I did not share the campus's name.
- No, I do not believe that it has switched.
- Yes, I believe it switched models in [enter year below]?

\* Have you also officially held the title and performed the role of Dean of Students or School (or CATE) Counselor in XISD?

- Yes, I was a dean of students.
- Yes, I was a counselor.
- No, neither applies to me.
- Yes, I was a dean or counselor, and I've already answered the questions about that role.

### Survey regarding campus administration models in XISD

#### 10. School Counselor or CATE Counselor

\* How many years have you served or did you serve in the role of School Counselor in XISD?

\* In your role of Counselor, which of these best represents the smallest number of students that you ever served?

\* In your role of Counselor, which of these best represents the largest number of students that you ever served?

\* Estimate your relative time spent as a counselor on the following two activities:

- (a) Setting campus climate & culture
- (b) Locating information or resources for students, parents or colleagues

*For example, if you spend an average of 3 hours per week doing (a) and 7 hours doing (b), then your relative time would be 30% (a) + 70% (b).*

100%												100%
Campus	90%											Resource
Climate & Culture	(a) + 10%	80% (a)	70% (a)	60% (a)	50% - 50%	40% (a)	30% (a)	20% (a)	10% (a)			Locator
	(b)	+ 20% (b)	+ 30% (b)	+ 40% (b)	time split	+ 60% (b)	+ 70% (b)	+ 80% (b)	+ 90% (b)			
<input type="radio"/>												

\* Estimate your relative time spent as a counselor on the following two activities:

- (a) Utilizing special program knowledge (such as Special Ed, 504, CTE, ESL, Title 1, UIL, etc.)
- (b) Communicating with parents

*For example, if you spend an average of 3 hours per week doing (a) and 7 hours doing (b), then your relative time would be 30% (a) + 70% (b).*

100%												100%
Special Knowledge	90%											Parent Comm.
	(a) + 10%	80% (a)	70% (a)	60% (a)	50% - 50%	40% (a)	30% (a)	20% (a)	10% (a)			
	(b)	+ 20% (b)	+ 30% (b)	+ 40% (b)	time split	+ 60% (b)	+ 70% (b)	+ 80% (b)	+ 90% (b)			
<input type="radio"/>												

\* Rate your job satisfaction on each of these while serving in the role of Counselor.

	Very dissatisfied	Mostly dissatisfied	Mildly dissatisfied	Neutral	Mildly satisfied	Mostly satisfied	Very satisfied
Working with students	<input type="radio"/>						
Working with parents	<input type="radio"/>						
Working with teachers	<input type="radio"/>						
Working with central office personnel	<input type="radio"/>						
Overall satisfaction	<input type="radio"/>						

**Survey regarding campus administration models in XISD**

**11. Counselor (cont'd)**

In what school did you perform this role?

\* To your knowledge, has that campus ever changed its model of administration, i.e., switched from the "dean model" to the "traditional model" (using APs and counselors) or vice versa?

- I did not share the campus's name.
- No, I do not believe that it has switched.
- Yes, I believe it switched models in [enter year below]?

\* Have you also officially held the title and performed the role of Assistant Principal or Dean of Students in XISD?

- Yes, I was an AP.
- Yes, I was a dean of students.
- No, neither applies to me.
- Yes, I was an AP or dean, and I've already answered the questions about that role.

### Survey regarding campus administration models in XISD

#### 12. Last Page: Demographics

***These data are collected only for research purposes, i.e., to see if there are any statistically significant differences among responses based on demographics.***

\* What is your sex?

\* What is your age?

- |                                |                                   |
|--------------------------------|-----------------------------------|
| <input type="radio"/> 20 to 24 | <input type="radio"/> 45 to 49    |
| <input type="radio"/> 25 to 29 | <input type="radio"/> 50 to 54    |
| <input type="radio"/> 30 to 34 | <input type="radio"/> 55 to 59    |
| <input type="radio"/> 35 to 39 | <input type="radio"/> 60 to 64    |
| <input type="radio"/> 40 to 44 | <input type="radio"/> 65 or older |

\* Including this year, how many total years have you served in the field of K-12 education?

Less than 5

20 to 24

5 to 10

25 to 29

11 to 14

30 to 34

15 to 19

35 or more

### Survey regarding campus administration models in XISD

#### 13. Thank you

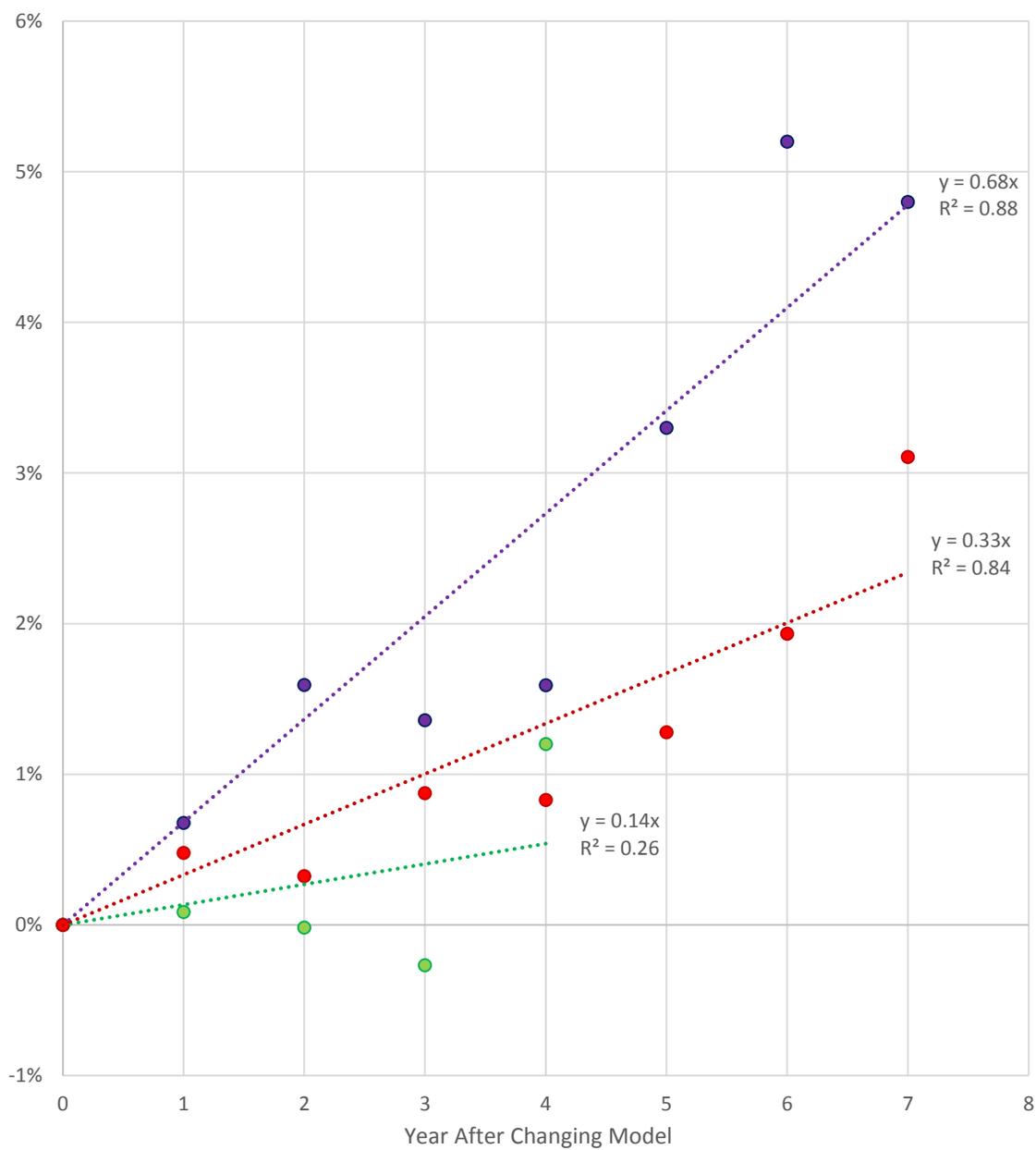
Thank you for taking the time to participate in this study! Your time and input are greatly appreciated.

Sincerely,  
Craig Gutierrez

**Appendix E**

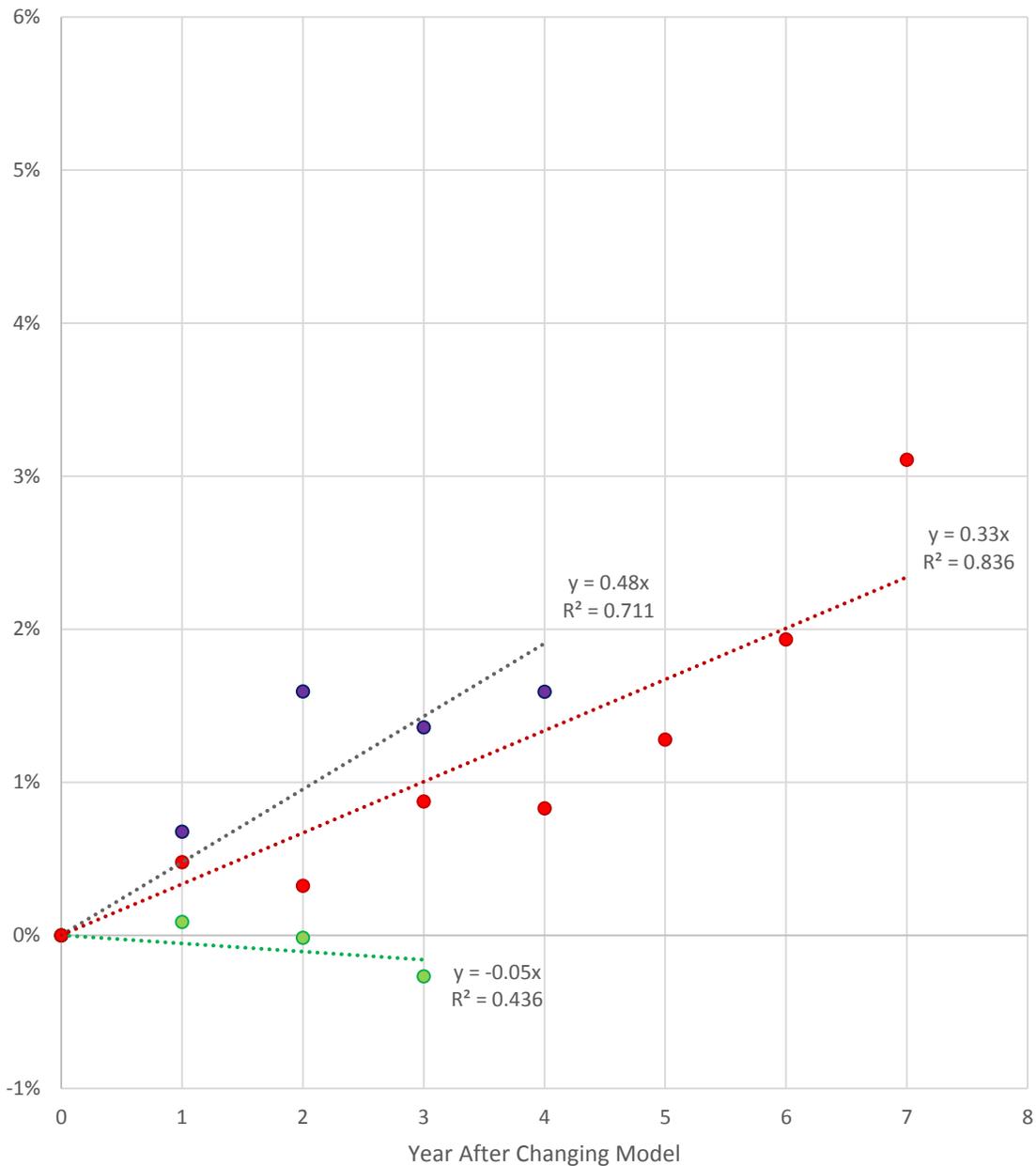
**Graphs of Aggregate Data for Student Attendance Rates**

E1  
Change in Attendance Compared to Year 0  
(Aggregate, Full Data Set)



- Schools Switching to the Dean Model
- Schools Switching to the Traditional Model
- Schools Switching to the Hybrid or Modified Model
- ..... Linear (Schools Switching to the Dean Model)
- ..... Linear (Schools Switching to the Traditional Model)
- ..... Linear (Schools Switching to the Hybrid or Modified Model)

### E2 Change in Attendance Compared to Year 0 (Aggregate, Validated Data, No Sole Campus with Data)



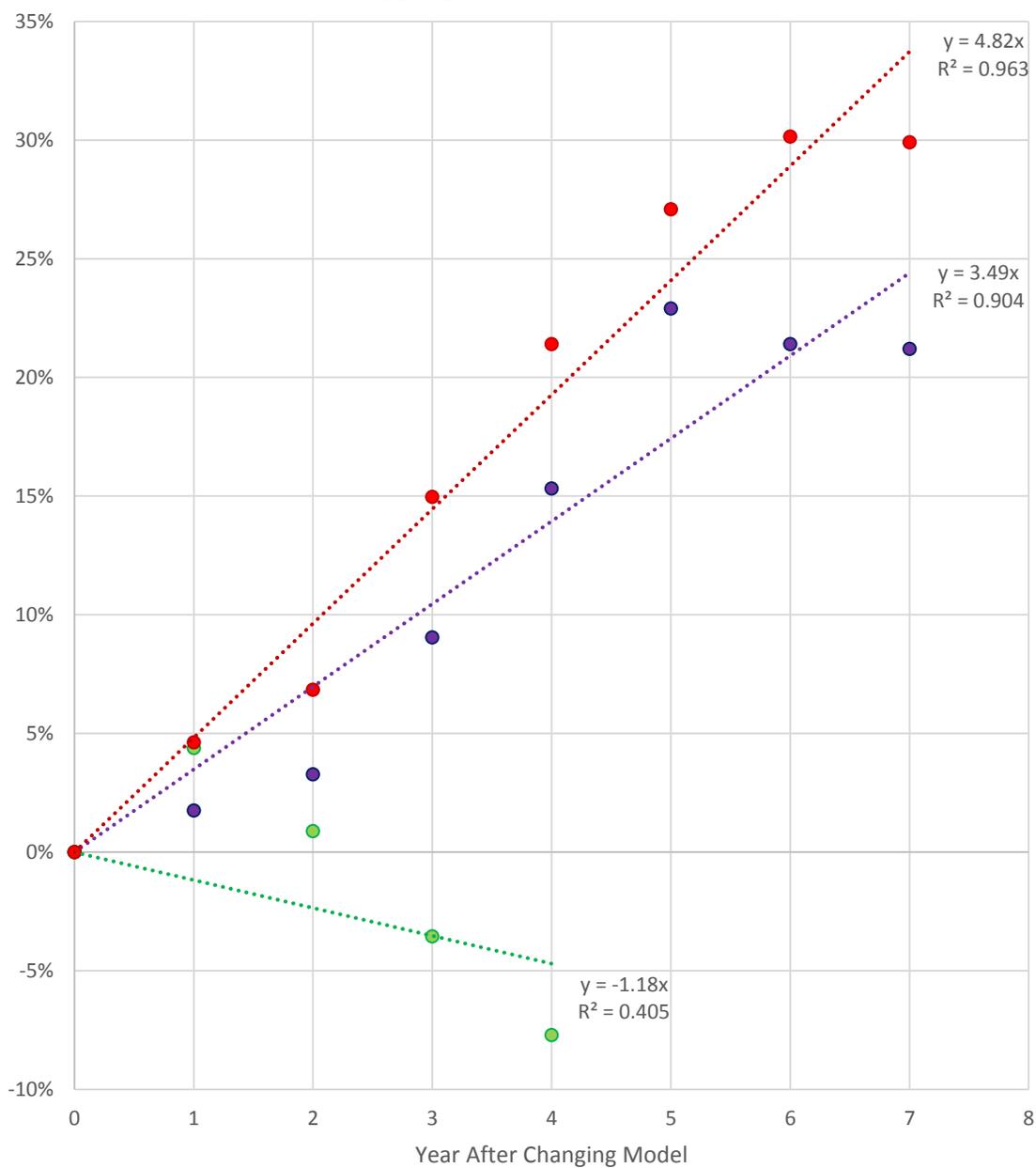
- Schools Switching to the Dean Model
- Schools Switching to the Traditional Model
- Schools Switching to the Hybrid or Modified Model
- ..... Linear (Schools Switching to the Dean Model)
- ..... Linear (Schools Switching to the Traditional Model)
- ..... Linear (Schools Switching to the Hybrid or Modified Model)

**Appendix F**

**Graphs of Aggregate Data for Student Graduation Rates**

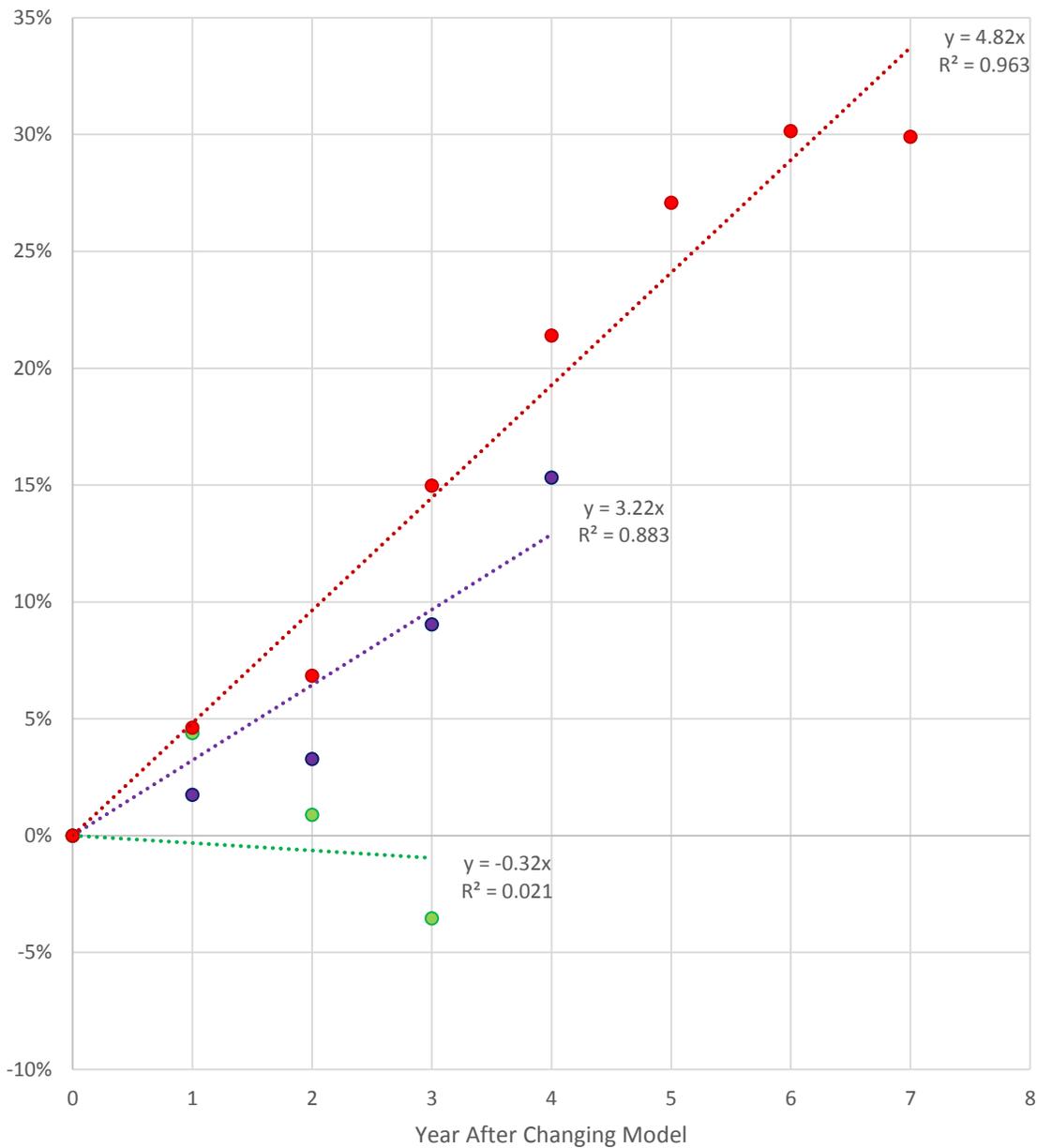
# F1

## Change in Graduation Rate Compared to Year 0 (Aggregate, Full Data Set)



- Schools Switching to the Dean Model
- Schools Switching to the Traditional Model
- Schools Switching to the Hybrid or Modified Model
- ..... Linear (Schools Switching to the Dean Model)
- ..... Linear (Schools Switching to the Traditional Model)
- ..... Linear (Schools Switching to the Hybrid or Modified Model)

## F2 Change in Graduation Rate Compared to Year 0 (Aggregate, Validated Data, No Sole Campus with Data)

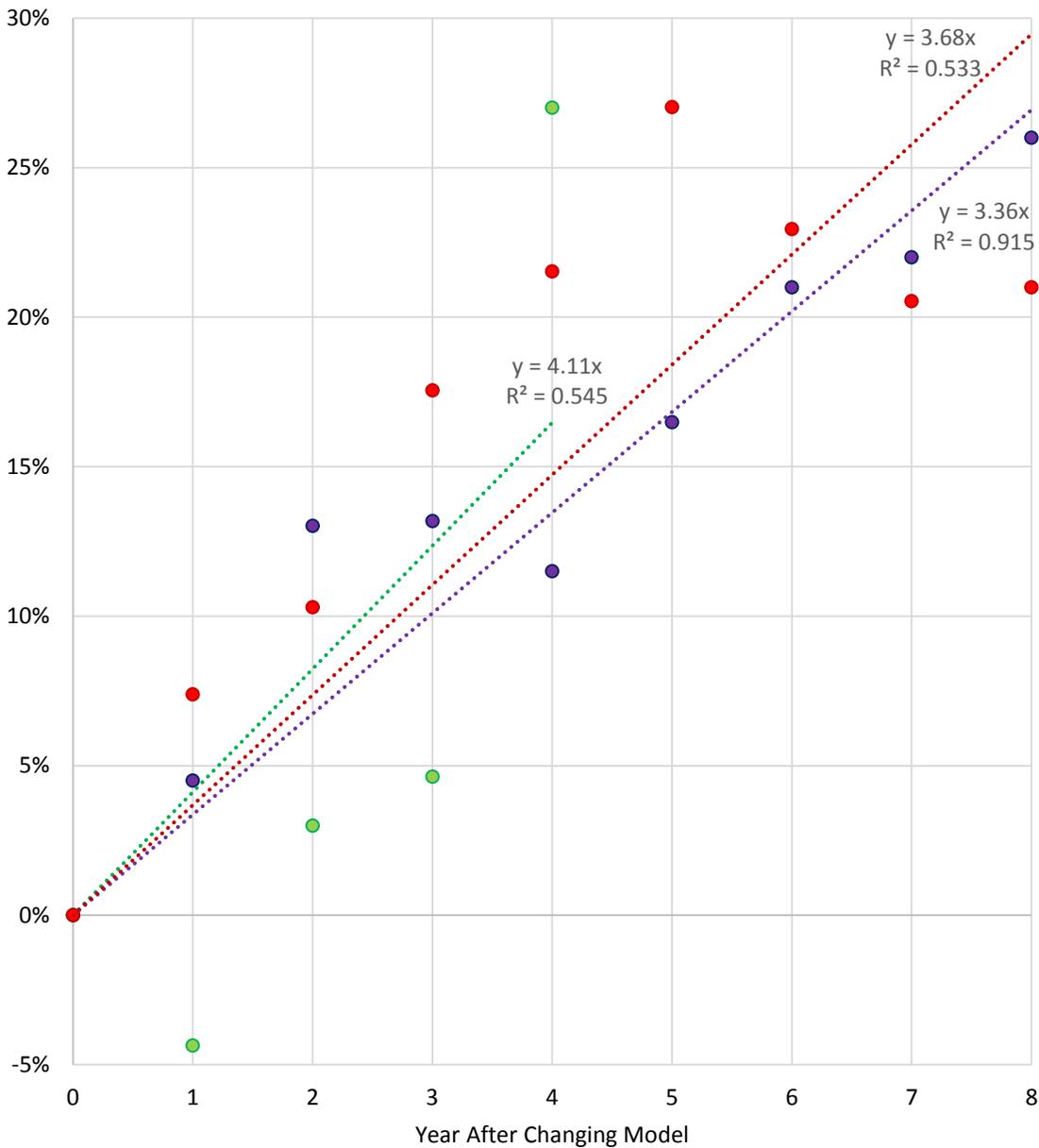


- Schools Switching to the Dean Model
- Schools Switching to the Traditional Model
- Schools Switching to the Hybrid or Modified Model
- ..... Linear (Schools Switching to the Dean Model)
- ..... Linear (Schools Switching to the Traditional Model)
- ..... Linear (Schools Switching to the Hybrid or Modified Model)

**Appendix G**

**Graphs of Aggregate Data for Student Achievement Rates**

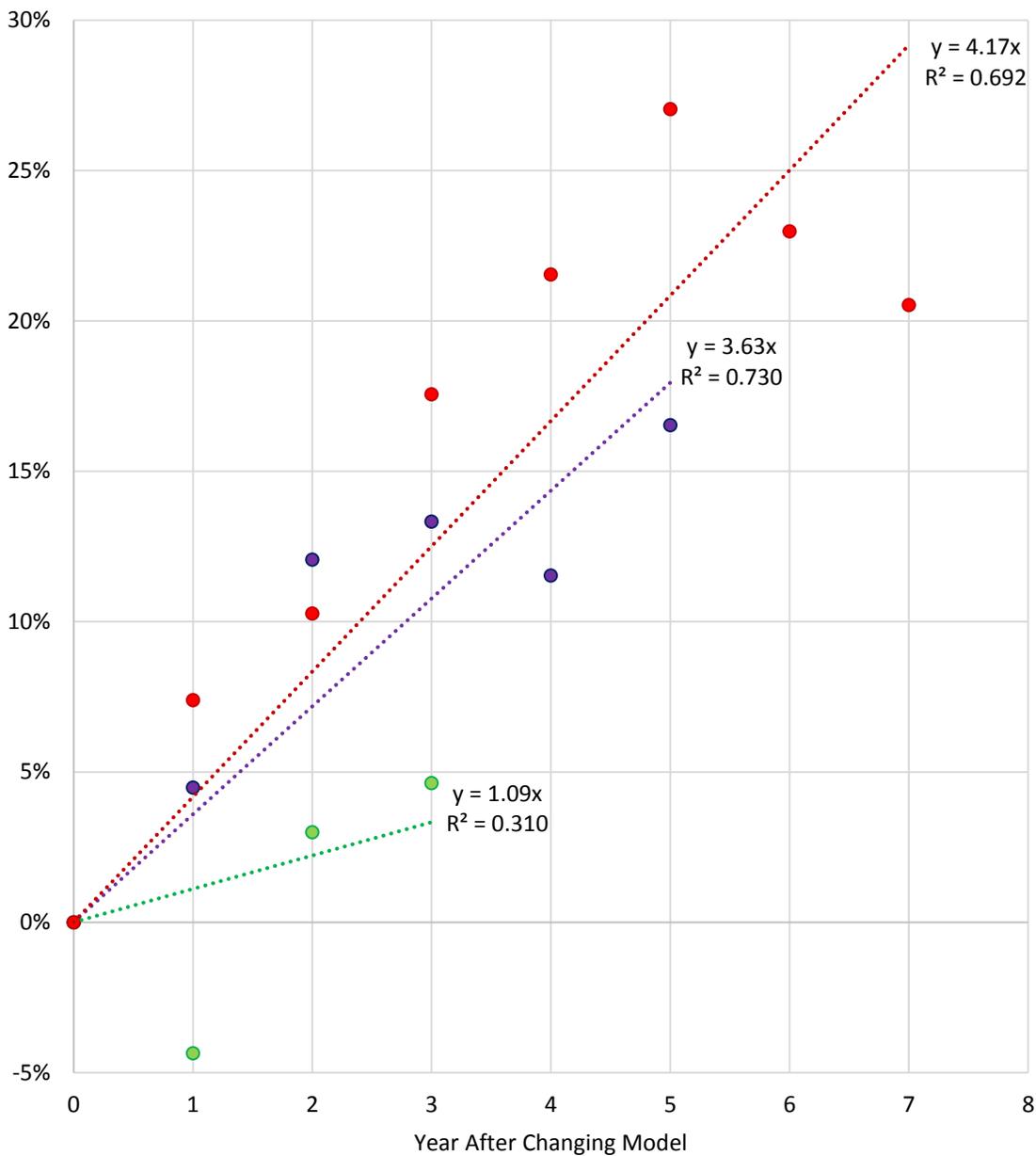
### G1 Change in Student Achievement Compared to Year 0 (Aggregate, Full Data Set)



- Schools Switching to the Dean Model
- Schools Switching to the Traditional Model
- Schools Switching to the Hybrid or Modified Model
- ..... Linear (Schools Switching to the Dean Model)
- ..... Linear (Schools Switching to the Traditional Model)
- ..... Linear (Schools Switching to the Hybrid or Modified Model)

## G2

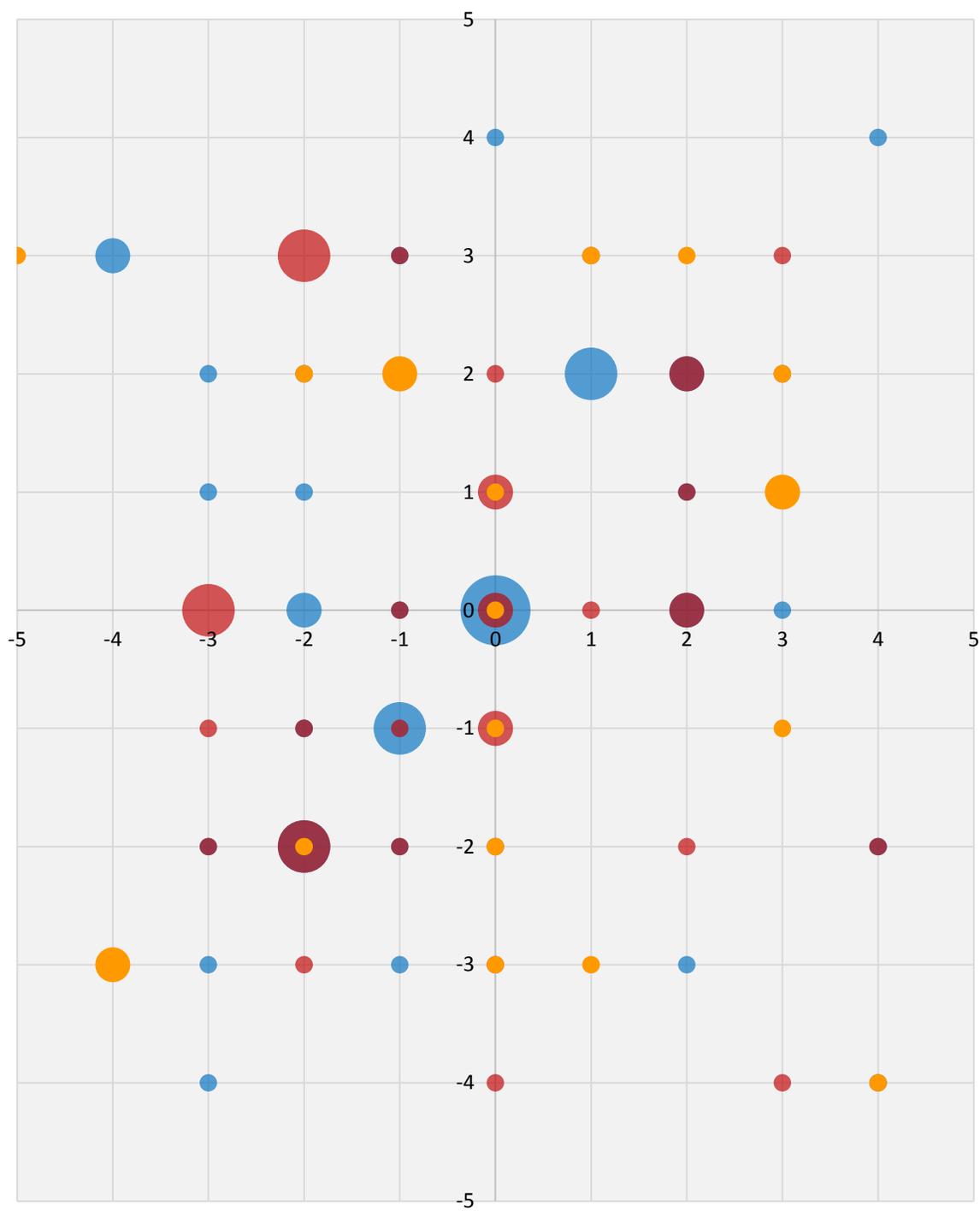
### Change in Student Achievement Compared to Year 0 (Aggregate, Validated Data, No Sole Campus with Data)



- Schools Switching to the Dean Model
- Schools Switching to the Traditional Model
- Schools Switching to the Hybrid or Modified Model
- ..... Linear (Schools Switching to the Dean Model)
- ..... Linear (Schools Switching to the Traditional Model)
- ..... Linear (Schools Switching to the Hybrid or Modified Model)

**Appendix H**

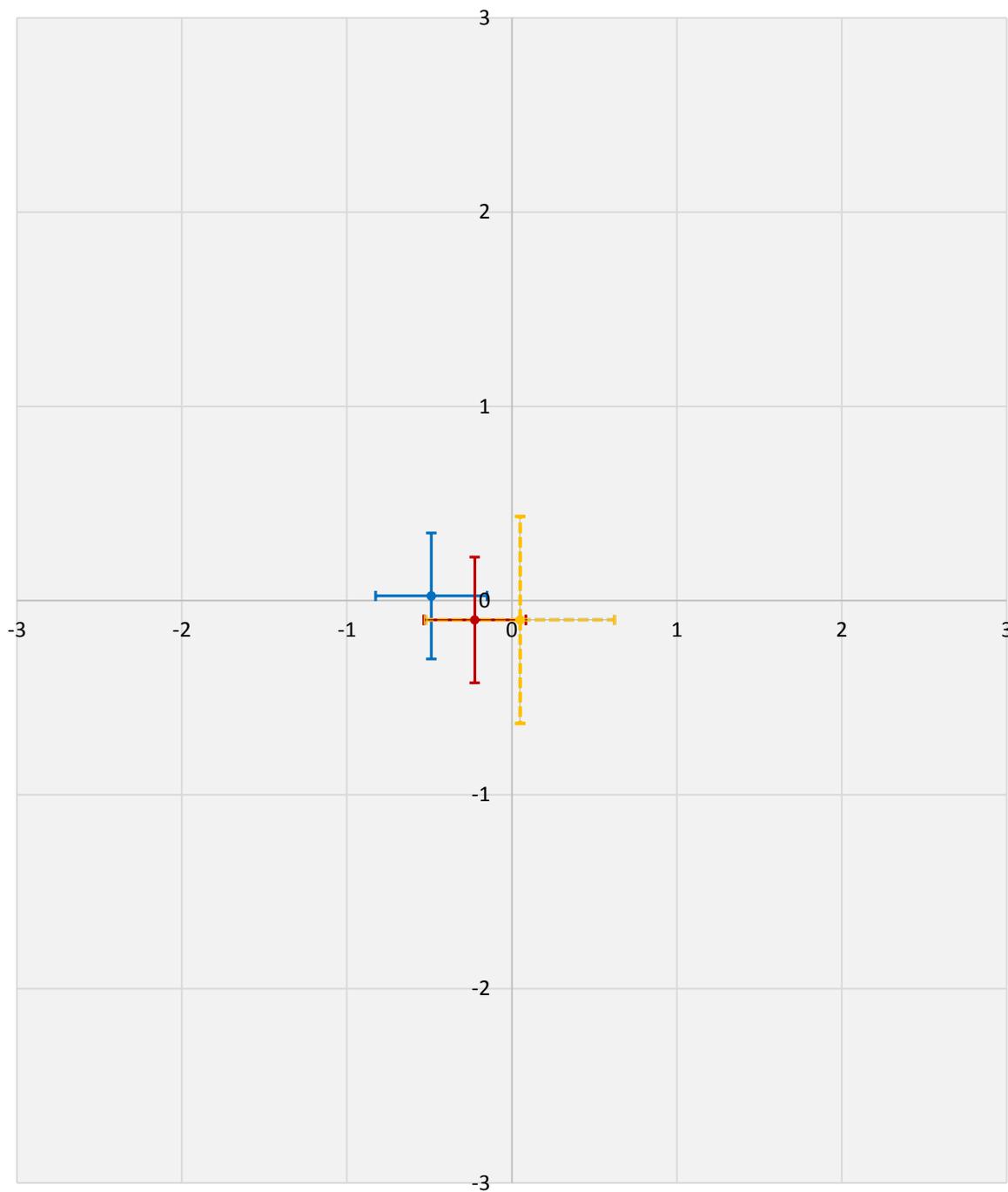
**Bubble Chart That Includes Data from All Roles Surveyed**



● Assistant Principals    ● Deans of Students    ● School Counselors

**Appendix I**

**Mean Values of Responses and Error Bars (Standard Error of the Mean) for Each  
Role Participating in the Survey-Questionnaire**



● Assistant Principals

● Deans of Students

● School Counselors