

CHAPTER ONE

INTRODUCTION

The Nature of School Reform

Our public schools are in crisis. Our schools are under-performing when compared to other developed nations, and we seem unable to close the achievement gap between Anglo and Asian student groups versus African-American and Hispanic groups. Students coming from poverty seem to be a special challenge for our public learning systems. Americans are unable to agree on potential solutions for our public schools, whether it is changing the way we finance and hold our schools accountable for student achievement, making a greater investment in high-performing charter schools, or blowing up our current public school system in hopes of a new, voucher-driven system of choice. Although solutions are elusive to us, we seem to agree on one thing – our public schools need to improve and they need to improve quickly, or we will continue to lose ground in an increasingly competitive global economy (Zhao, 2008).

This public education crisis is not new to Americans. After its publication in 1983, *A Nation at Risk* initiated America's quarter-century pursuit to improve our public school system. During the 1980s and 1990s, the nation saw a greater movement toward an outcome-based educational system, and an increased focus and reliance on testing and test data analysis. States introduced accountability systems, many of which included high-stakes standardized testing, as the main driver of their new accountability systems. The turn of the century brought a new federal accountability system, called "No Child Left Behind," which was introduced into the public school domain by the administration of President George W. Bush (Borek, 2008).

While a new federal accountability system took hold across the fifty states, a fringe industry sprouted up as a rival alternative to public school systems. During the first ten years of the 21st century, high-performing charter schools became the media darlings of the school reform movement. Americans began to question whether traditional American public school systems should be replaced by smaller systems modeled by these achieving charter schools (Ohanian, 2000). The Obama administration has even pressed existing public school systems to consider closing their low-performing schools and replacing them with campuses run by these high-performing charters. Although this is a novel idea, it is presently difficult for these high-performing charters to replicate their models quickly and on a larger scale. Even in those American cities where high-performing charters have been most successful, a vast majority of students are still enrolled in a public school.

American kids can't pass algebra. Dropout rates continue to rise, especially in America's urban centers. High school graduation and completion rates continue to spiral downward. Our country's SAT and ACT scores have flat-lined. Over half of Texas high school graduates are enrolled in developmental (remedial) coursework in their two-year or four-year college or university. Clearly, something needs to change within our American public school system.

Significance of the Study: The Importance of Relationships

While technology will surely play an increasing role in the teaching and learning process inside the American classroom, it is safe to say that human relationships, especially between adults and young people, will continue to be important. Learning is inherently an endeavor dependent on human relationships, especially learning by

adolescents. It is difficult to envision a young learner in front of a computer screen without the benefit of a human teacher at their side. The human element involved in teaching and learning will continue to be present in some form or another. Human relationships are important to quality teaching and learning.

High-performing school campuses depend on high-performing professional learning communities to get outstanding student achievement. To ensure student learning, professional learning communities build strong professional relationships, create a collaborative culture, and focus on results. To ensure student learning, school staffs ask three important questions: What do we need our students to learn? How will we know that the students have learned what they need to learn? What will we do if the students do not learn what they were supposed to learn? In order to build professional capacity to answer these three questions, school learning communities must reserve time for professional collaboration. During this time, learning communities implement collaborative plans for instructional standards, strategies and common assessment. Finally, professional learning communities rely on data-driven decisions to assist them in focusing on the strategies that make the most difference in the learning levels of their students (DuFour & Eaker, 1998).

The Importance of the Principal

The leader of the school-based professional learning community is the principal. It has been a long-held belief among school communities and researchers alike that the success of a school is highly dependent on an effective principal. Numerous studies have found that an effective school principal is a key component in schools that were able to drive student achievement, especially for campuses that serve large numbers of poor and

minority kids. Just as important, it has been found that the principal is able to make a huge difference in improving student achievement through the establishment of a professional school community on high-performing campuses. It is this building of a professional school community that is most important, especially when the teaching and learning process largely depends on it (Rice, 2010).

Arguably more important than any instructional program, the work of an effective principal sets the conditions for teaching and learning on each school campus. In effect, the principal is able to set the climate for teaching and learning inside each classroom with his or her leadership. It is this association between a principal's leadership values and behaviors and the school culture present on the campus that determines whether student achievement is the focus of the school day. In the most effective schools, the campus mission constantly reflects the classroom mission – and vice versa. All classrooms practice a “whatever it takes” approach to learning, with the understanding that the school leadership, including the principal, stand ready to support “whatever it takes.” In less productive campuses, individual teachers are allowed use any number of negative practices in their classrooms. Classrooms where teachers explain student learning solely on the student's innate abilities, classrooms where teachers expect learning to occur because “I taught it,” and classrooms that are high in the affective domain, but low in the cognitive, all present challenges to school communities trying to achieve a highly effective teaching and learning culture. It is in a highly effective teaching and learning culture, where teachers and students are provided the support and encouragement they need to do their jobs, where we can best hope to see high levels of student achievement (DuFour & Eaker, 1998).

Principal and Teacher Relationships

To achieve high levels of student learning, establish collaborative cultures, and produce a laser-like focus on results, professional learning communities must begin by building stronger relationships between the building principal and the school's teachers. Effective schools host effective and positive relationships between the building principal and teachers. Historically, the principal's role resembled a master teacher of sorts, and one who completed extra tasks, such as coming in early to open the school building and staying late with students who needed extra help or were in trouble. The relationship changed to cast the principal more in the role of a manager, as teachers became more empowered and received collective bargaining powers, as high-stakes testing and school accountability was introduced, and student populations became more diverse, especially in urban centers. It is apparent to most school communities that a bond of trust, respect, and mutual support must be present between the principal and the teachers within a school building for student achievement to prosper (Leithwood et al. (2004), Marzano, Water, & McNulty (2005), Portin et al. (2009), Louis & Leithwood et al. (2010), and Knapp et al. (2010)).

With today's high-stakes testing and public school accountability, it has become more important that the principal and the teaching staff work together to achieve critical school goals. Principals have the ability to improve teacher perceptions and productivity by establishing quality professional relationships based on a "whatever it takes" approach to improving student achievement. In the current culture of school reform, these kinds of principals are called "transformers" and they lead campuses to higher student achievement by focusing the campus teachers on performance-related beliefs and

behaviors. On the other side of the continuum are principals called “copers.” These principals are more interested in following instructions, remaining compliant, and not “rocking the boat” than in leading school transformation (Johnson, 2008).

The School as a Community – The Importance of Reflective Practice

Effective schools depend on principals and teachers to engage in reflective practice to improve student achievement. This reflective practice can include professional conversations about relevant curriculum, rigorous instruction, and timely assessment and feedback. Productive reflective practice on a public school campus centers on the strength of the relationships between the principal and the teachers. Great schools show strong evidence of deep, respectful relationships between the principal and their teachers (Sergiovanni, 2006).

Purpose of the Study

Additional research is needed on positive relationship-building between a school principal and the building teachers. The purpose of this study is to look at the responses of school principals when asked the following questions: (1) Why is the relationship between the principal and the teacher important for the school? (2) What is the most critical feature for a successful working relationship between the teacher and the principal? (3) What does a principal do to create good relations with their teachers? And, (4) how does the principal look out for the personal welfare of their teachers?

Along with the teacher-student relationship, the principal-teacher relationship is important to overall student achievement. Historically, the principal was the principal-teacher. The principal was the one who was judged by the community at-large to be able to do extra duties along with their teaching responsibilities. The position of principal

started as one that emphasized the importance of being an instructional leader, which remains today as the most important part of the principal's job description. For the principal to fulfill the role of instructional leader, they must establish a strong working relationship with the teachers in the school building. High-performance schools demonstrate this strong bond between principal and teachers, while low-performing campuses often lack these strong relationships between the teachers and the principal (Leithwood et al. (2004), Marzano, Water, & McNulty (2005), Portin et al. (2009), Louis & Leithwood et al. (2010), and Knapp et al. (2010)).

Moreover, it is important for school districts to learn about the most critical features that contribute to effectively building this principal-teacher relationship. If school districts can learn those critical features, then they can actively seek those features in their search for outstanding building leaders and classroom teachers. Human resource departments can begin screening principal and teacher selections by using these critical features as filters for selection. Professional development departments can begin to emphasize these critical features in their school and district improvement planning. If principals and teachers are selected and developed around these critical features, then districts can begin to measure and evaluate the importance of these critical features on student achievement.

The critical features discussed above depend on the principal establishing positive relationships with their teachers. It is doubtful these features would be visible on school campuses where the principal did not have positive relationships with their teachers. It is important to find out what principals do to create good relations with their teachers. Without this information, it will be difficult for school districts to scale up human

resources and professional development training around those features leading to a strong relationship between the school principal and the classroom teachers.

Some would argue that a strong relationship between a school principal and their classroom teachers would depend on the school leader looking out for the personal welfare of their teachers. Even though the principal and the school teachers often times work in a professional environment, many principals believe that a personal relationship with their teachers actually help the professional relationship. It is important to find out if principals feel looking out for their teachers personal welfare is important to producing positive relationships between the principal and the teachers.

Chapter One introduces four research questions to be considered in this paper. The questions explore the relationship between the school principal and the classroom teachers, the features that are part of their relationship, the actions a principal takes to establish strong relationships with their teachers, and ways the principal looks out for the personal welfare of the school's teachers. Chapter Two reviews the relevant literature that discusses the nature of school reform, the importance of positive relationships in organizations like schools, the importance of the principal as a leader, the difference between a transformational leader and a coping leader, the relationship between the school leader and the teachers, and the importance of the school as a reflective community. Chapter Three discusses the methodology of this study. The study involved over 300 principals who responded to the four research questions discussed above. Demographic information for those principals and assistant principals was gathered for this study, and comparisons will be made in relation to the four research questions.

Chapter Four discusses the results of the study, and chapter 5 presents the conclusions and recommendations for the study's results.

CHAPTER TWO

REVIEW OF THE LITERATURE

The History of School Reform

The history of school reform in America is a story of making public education available to all Americans, and more recently, expecting high levels of achievement for everyone. The problem is that American students have basically “flat-lined” their academic performance over the past two decades when compared to other school kids from around the world. Today’s education prognosticators believe the United States is in danger of becoming a second-rate nation when compared to the rest of the world’s educational attainment, and some even believe that our democratic heritage is at stake because of our under-performing educational system.

In a February, 2008 article issue of *The School Administrator*, Georgia Tech University’s President, G. Wayne Clough, expressed the importance of preparing all students for the 21st century global economy. President Clough stated: “For us, the bottom line is preparing our students not for a particular job – they are likely to hold many in their careers, but for life in a rapidly changing global economy” (Clough, 2008). In the same issue of *The School Administrator*, Anthony Carnevale, a research professor at Georgetown University and the director of the Global Institute on Education and the Workforce, laid out the basic skills new workers would need to have to compete in the new world economy. More specifically, Carnevale (2008) outlined the following skills: knowing how to learn, possessing strong communication skills, having adaptability, developing interpersonal skills, having influencing through leadership, goal-setting in a team concept, and being resilient were those skills. Without these skills, and the ability

to see those skills modeled in their schools, it is safe to say that American students will continue to lag behind the rest of the world in global competitiveness. As Yong Zhao, the director of the U.S.-China Center for Research on Educational Excellence at Michigan State University, aptly states: “This is a difficult assignment for American educators. No Child Left Behind already has squeezed out any room for subjects other than what is being tested. The frightening description of job losses due to off-shoring, trade deficit, foreign terrorists, the rise of developing countries and how children in other countries will ‘eat the lunch’ of American children adds to the challenge for educators to convince a very America-centric public that helping our children develop a sense of global citizenship is actually a good thing” (Zhao, 2008).

There is a second threat looming for America if we don’t improve our public education system. We may lose our democracy and all that comes with it. Over the past 45 years, America finds itself second to last in voter participation when compared to established democracies around the world. Voter turnout for young people between the ages of 18 and 24, the most recent products of our public education system, are the lowest of any age group (Neumann, 2008). The importance of school leadership, including principals and teachers working together for the benefit of students, cannot be underestimated if America is going to turn the tide that risks global inferiority and democratic ruin. As John Dewey wrote nearly a century ago:

“Until the public school system is organized in a such a way that every teacher has some regular and representative way in which he or she can register judgment upon matters of educational importance, with the assurance that this judgment will somehow affect the school system, the

assertion that the present system is not, from an internal standpoint, democratic seems justified. Either we come here upon some fixed and inherent limitation upon the democratic principle, or else we find in this fact an obvious discrepancy between the conduct of the school and the conduct of social life – a discrepancy so great as to demand immediate and persistent effort at reform” (Dewey as cited in Ratner, 1940).

For the first 150 years or so of public education, America demonstrated to the world how a country could maintain its democratic heritage and global standing through the offering of a public education system that attracted more and different types of learners. The American system went through some crises with its public education system, most notably during the 1950’s “Sputnik scare.” The 1960s saw an emphasis in math and science education, but assuring African-American and Hispanic children their civil right to a quality education brought stress to the public system. The 1970s saw America’s status as a leader in educational attainment and achievement start to wane. In the early 1980s, with President Ronald Reagan’s interest in closing down the U.S. Department of Education in favor of the re-establishment of state and local control over the public schoolhouse, and with the advent of school choice, the nation was presented a report that suggested America’s schools had experienced significant decline. Namely, the report, issued in 1983, was entitled *A Nation at Risk*. Now over a quarter-century old, this report laid out several recommendations from the National Commission on Excellence in Education on how to improve the nation’s schools. The report recommended a balance of English, mathematics, science, and social studies; and also recommended that students work toward proficiency in a foreign language starting in the

elementary grades. It is important to note that the foreign language recommendation marked the first step in articulating America's need for multicultural understanding to enable us to remain competitive in the global economy. When discussing standards and expectations, the Commission expressed concern over the intellectual, moral, and spiritual health of the American people. The commissioners understood that a high level of shared education is required if our republic was to continue in any meaningful way. The Commission called for more rigorous standards at all levels of American education, for colleges and universities to raise their admission standards, and for standardized tests of achievement to be implemented. When discussing teachers, the commissioners discussed teacher compensation and academic competence. Missing from the teacher conversation was a discussion of how teachers might attain the skills to teach that academic discipline, including no discussion of the relationship between school leadership and the teacher group as a whole. It is clear from the report that the emphasis on "quality teaching" in the early 1980s was content over strategy. The Commission seemed worried about the nation's school faculties coming from the lower quartile of college students, an indication that they might not be ready to teach the subjects needed for American students to thrive (Borek, 2008).

Much of the activity toward improving America's public schools during the 1990s revolved around President George H.W. Bush's America 2000 agenda, which President Bill Clinton renamed Goals 2000. Initiated through the passage of Educate America Act in 1994, the Goals 2000 policy mirrored much of the language already being used by industry leaders like Louis Gerstner, then chairman and CEO of IBM. Gerstner, and many more like him, became increasingly concerned by the lack of progress America's

public schools showed after the release of *A Nation at Risk*. Gerstner and his fellow CEOs used their influence to set the language of school reform in the 1990s, using words like choice, competition, human capital, “protected monopoly” offering “goods and services” (to describe the teaching and learning process), and “buyers and sellers” (describing the relationship between teachers and the communities they serve). The stated outcomes associated with Goals 2000 were lofty and filled with aspiration. The eight goals for the country were as follows:

- Goal #1:** All children in America will start school ready to learn.
- Goal #2:** The nation’s high school graduation rate will achieve at least 90%.
- Goal #3:** All students will leave grades 4, 8, and 12 having demonstrated competency over challenging subject matter including English, mathematics, science, foreign languages, social studies, and arts and all students will be prepared for responsible citizenship, further learning, and productive employment.
- Goal #4:** The nation’s teaching force will acquire 21st century knowledge and skills and continue to improve upon their professional teaching skills.
- Goal #5:** The nation’s students will be first in the world in mathematics and science achievement.
- Goal #6:** Every adult American will be literate and possess the necessary 21st century skills to compete in a global economy and be a productive citizen.

Goal #7: Every school will be free of drugs, violence, and the unauthorized presence of firearms and alcohol and will offer a disciplined environment conducive to learning.

Goal #8: Every school will promote partnerships that will increase parental involvement and participation in promoting the social, emotional, and academic growth of children (Ohanian, 2000).

To date, none of these goals have been realized. In fact, data suggest that America is moving farther away from realizing these goals, as our internal demographic challenges and our lack of global competitiveness loom larger. While admitting these failures, it is important to point out that much of today's school reform language can be found in the language of Goals 2000. The question is can we, as a nation, find success such that today's reform language of public education translates into tomorrow's desired results of increased student achievement, global competitiveness, and preservation of our democracy.

Since 1996, researchers at the Consortium for Policy Research in Education (CPRE) have been trying to make sense of what is working in our nation's schools and what is not. The Consortium, made up of researchers from five of the nation's leading universities (University of Pennsylvania, Harvard University, Stanford University, University of Michigan, and University of Wisconsin), has a relatively straightforward "theory of action" about what it takes to make better schools. "First, there must be clear and ambitious goals, together with such indicators of results as coherent educational standards and sound measures of student achievement. Second, when ambitious goals seek to increase performance by significant amounts, the core technology of education –

instructional practice – must change dramatically. Since education reformers hope to double or triple the proportion of students scoring at or above high standards of proficiency, a strong focus on instructional change is necessary. Such large increases in achievement do not happen by doing harder what we've done before; both the nature of instruction and the way it is organized will need to change. Third, achieving dramatically improved instruction in all schools requires extensive investment in continuing professional development, in strong curricula, and in leadership at the system and school levels" (Fuhrman & Odden, 2001). In this new age of high-stakes school accountability, two CPRE researchers, Richard Elmore from Harvard University, and Susan Fuhrman from the University of Pennsylvania, attempted to explain the connection between today's accountability systems and school improvement. In a series of studies, Elmore and Fuhrman concluded the following: (1) Accountability systems attract the attention of teachers and administrators; (2) Teachers and schools vary in their responses to accountability systems; (3) Internal accountability precedes external accountability; (4) Accountability for performance requires change in schools' internal capacities for instruction; (5) Capacity matters, but not much is being done about it; (6) Stakes matter, but we need to know more about how they matter (Elmore & Fuhrman, 2001).

For the purposes of this study, it is important to think about the third, fourth, and fifth finding in Elmore and Fuhrman's studies. If schools are going to improve in this country, then we first need to understand that how principals and teachers hold themselves accountable inside of schools before external authorities can expect national- or state-driven accountability to matter. In order for principals and teachers to hold themselves accountable to each other for student achievement, the school must move

beyond the traditional ways of working as a staff. In short, the school's adults must change practices for the benefit of the students. Finally, there must be continued commitment to establishing internal accountabilities and changing practices. Without this continued commitment, short-term school reforms will fade into the twilight – an all too prevalent occurrence in failing schools.

America continues to struggle with public school reform. We are underperforming compared to other industrialized nations and we have “flat-lined” when compared to our recent past. Things seem to be worse in the urban areas, and now the rural areas as well, in this country. In America's large cities, the fastest growing populations are sometimes those populations that historically we have not educated well, such as the poor, recent immigrants or non-English speakers. Rural areas struggle with limited resources and declining student enrollment. The past decade for America has not been encouraging when it comes to public education resurgence. James Nehring, assistant professor at the University of Massachusetts, has studied the history of American school reform and has identified six “conspirators” that seem embedded into our educational culture and serve as destructive tendencies. They are:

- *The Manufacturing Metaphor.* Americans have a tendency to view schools as factories in our culture. Even today, after significant changes in the way businesses and workers in our country operate, the school looks and acts more like a factory than anything else. According to Nehring, “the danger posed by this conspirator is that the intellectual and social development of children is vastly more complex than the production of goods, and to the extent that we think of schools in this way, we diminish conditions for learning” (Nehring, 2007).

- *The Fear Factor.* We have a tendency in this country to allow community fears to drive school activity. Fears about immigration, racial diversity, whole-language instruction, intelligent design, phonics, or not getting into a selective college carry the day in most school district decision-making circles. As fear often does, it leads inevitably to decisions that are impulsive and reactive. Decisions involving the education of children should not be impulsive or reactive. Instead, these decisions must depend on thorough deliberation by thoughtful professionals and stakeholders.
- *The View from the Top.* Americans have a tendency to impose plans that look great from above but make little sense at ground level. Nehring singled out America's mania for standardized testing as a prime example of how top-down decision-making is often ineffective. Viewed from the top, standardized tests appear to provide clarity, and an unambiguous means to reward hard work and success, and punish indolence and failure. From the ground level of the school and classroom, however, we know that such emphasis on tests leads to a narrowing of the curriculum, disengaged students, and increased school dropout rates.
- *The Grand Interlock.* America has a tendency to allow the school system to crush promising innovation. Nehring tells the story of the Eight-Year Study, here in America, during the 1930s. During the 1930s, a fascinating experiment was conducted by the Progressive Education Association involving 30 high schools around the country. Known as the Eight-Year Study, it focused on the potential of local innovation to improve student achievement. The idea was to see what

would happen if selected high schools were freed from trying to meet the usual college entrance requirements and allowed to develop their own, home-grown goals and programs. To make it possible, the Progressive Education Association secured agreements from leading colleges and universities to waive entrance requirements for the graduates of these 30 schools and accept alternative evidence of student achievement. An extensive cohort study of the students who attended these 30 schools, tracking them for eight years through their undergraduate education, showed that they achieved at higher levels both in academic performance and in civic involvement. A revolution in American secondary education was born, or so it seemed. Eight years after the original study ended, another study was conducted, which is less well known. Frederick Redefer, a doctoral student at Columbia University, chose for his dissertation topic an examination of the 30 schools to see how they were faring. What he found is almost as astonishing as it is predictable. By 1950, every single school had returned almost entirely to its former state. With the waging of World War II, followed by the ushering in of a culturally conservative era, the gains made by the 30 schools in the Eight-Year Study had been almost completely erased. Exhausted by continually working against the system, the teachers and administrators involved in these schools had either given up or moved on. The system had crushed the most promising innovation in high school reform of the first half of the 20th century. Nehring pointed out that the danger described above exists everywhere in American public education, and it engenders a related

tendency on the part of school leaders to assess new programs not by their effectiveness, but by the degree to which they fit within the existing system.

- *The Politics of Appeasement.* Schools have a tendency to say yes to all legitimate requests. Federal initiatives like *A Nation at Risk*, Goals 2000, No Child Left Behind, common standards, national assessments, state curriculum documents, a growing testing regimen, an assorted collection of other governmental regulations, and the expectations that come with the title “public school” all add up to a full plate for school and school district leadership. School districts and their communities have not done a good job in figuring out what schools do what, and therefore all schools (or most of them) are expected to do everything. As Nehring pointed out, “the danger of our tendency to try to be all things to all people is that we end up doing nothing well” (Nehring, 2007).
- *The Failure of Generosity and Justice.* As Americans, we have the tendency to promote favored groups to the detriment of others. Examine the variance between per pupil allotments in affluent communities in this country versus allotments for kids living in poor communities. Whereas it would make total sense to even out those dollars, or even send somewhat more resources to the poor community, America has not had the historical (nor the present-day) inclination to do that. Therefore, our strong schools usually remain strong, and our weak schools continue to suffer (Nehring, 2007).

Nehring ends his article by emphasizing the importance of thoughtful and supportive leadership on the part of school principals and teachers to combat the six “conspirators” working against school reform for over two centuries. For instance, he

states, “I believe that by understanding the historically rooted tendencies in our culture that work against thoughtful schooling, we will be better able to ask helpful questions and to develop useful strategies that will cultivate other tendencies that will promote inquiry, reflection, and support as the dominant traits in our schools. Our work as school leaders is to remind ourselves, our colleagues, and our communities of those qualities and to cultivate them in our school practice. When we do so, we will be acting not in self-interest but in the interest of enhancing the quality of learning for all our students” (Nehring, 2007).

The Importance of Organizational Culture

To reach the point where all schools in this country are equipped with thoughtful and supportive leadership, it is important for the leaders of those schools, administrators and teachers alike, to understand the nature of how organizations function culturally. Schools are organizations, and as organizations they depend on the strength of relationships between co-workers to make the school work for students. The importance of organizational culture and its impact on professional relationships in schools cannot be underestimated.

Edgar Schein, the longtime leading expert in the field of organizational culture, describes culture as a relatively stable pattern of organizational behaviors, which lie outside of the immediate awareness of the organization’s members and reflect the shared behavioral, emotional, and cognitive learning the group has undergone over time. As an organization evolves, the behaviors of the organization develop a consistent pattern based upon the shared assumptions of the organization. Espoused values, group norms, habits of thinking and acting, and personnel behavior are among the more readily understood

elements that Schein believes represent the organization's culture. These patterns not only evolve over time, they also are shared or handed down over time to succeeding generations within an organization. If the cultural norms are incongruent or even toxic, then the organization cannot flourish (Schein, 1992).

Other researchers have offered their own descriptions of organizational or – for the purposes of this paper – school culture. Deal (1990) defined organizational culture as the stable, underlying social meanings that shape beliefs and behavior over time. Bolman and Deal (1991) said it was both product and process. As product, it embodies the accumulated wisdom of previous members of the organization. As process, it is continually renewed and recreated as new members are taught the old ways and eventually become teachers themselves. Schein (1992) himself defined organizational culture as a pattern of shared basic assumptions that the group has learned as it solves its problems of external adaptation and internal integration, which has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. Cunningham and Gresso (1993) determined organizational culture simply to be the “way we do things around here.” Furthermore, they believed culture to be a strategic body of learned behaviors that give both meaning and reality to its participants. Hopkins, Ainscow, and West (1994) described culture as the observed patterns of behavior, the norms of working groups, the dominant values espoused by the school, and the unwritten policies and procedures that new members to the organization learn. Hofstede (1997) discussed organizational culture as the collective programming of the mind which distinguishes the members of one group from another group. Finally, Roland Barth (2002) believes organizational culture

amounts to a complex pattern of norms, attitudes, beliefs, behaviors, values, ceremonies, traditions, and myths that are deeply ingrained in the very core of the organization. Culture is the historically transmitted pattern of meaning that wields astonishing power in shaping what people think and how they act.

Importance of the School Principal

If America is to improve their public schools to remain globally competitive and to preserve our democratic heritage, then the school principal will play a critical role in making sure each learning campus is performing at high levels of achievement. The school principal is the leader of the organizational culture; yet, as we will see later in this chapter, she or he does not have to be the only leader. With increasing student diversity and an inheritance of an old paradigm of education, it is crucial that school districts begin to expect their campuses to operate under a shared leadership system. Still, today's public school principal plays an important role in improving our nation's schools.

Current U.S. Secretary of Education Arne Duncan addressed the importance of the American school principal in a speech given on October 14, 2009 to the National Conference on Education Leadership, sponsored by The Wallace Foundation. In the speech, Duncan spoke to the current public school conditions we find ourselves in as Americans: "This is an extraordinary time to work in education in this country. Everyone here knows the challenges. Everyone here knows we have to get dramatically better. Everyone here knows we have an overwhelming dropout rate of 30 percent, 1.5 million kids every year going out into the streets. Those students leaving school: they're not all going early to the NBA; Bill Gates isn't recruiting them early for Microsoft. Those kids

from Chicago, Detroit and L.A. and New York who are leaving 9th and 10th grade; they are basically condemned to poverty and social failure.”

Duncan went on to talk about the importance of the school principal in changing the nation’s current course in public education. The Secretary said that President Obama had drawn a line in the sand, and that by the year 2020 the United States would have the highest percent of college graduates in the world. Duncan went on to say that the dividing line in our country today between the “haves” and “have nots” was less around race and class than it was around educational opportunity. Duncan emphasized the importance of the school principal in giving poor kids the opportunity to go to great schools. During his time as Chicago’s school superintendent, Duncan claimed he found no good schools without a great principal. The Secretary claimed it was his experience that a principal could guide a school slowly for a number of years, and without the right succession plan and teaching force, that school could be a disaster in 6 months. That day Secretary Duncan called for all of the nation’s 95,000 schools to be equipped with great principals. If that would happen, then those great principals would attract great teaching talent, and our nation’s schools would show great improvement. The Secretary ended his speech that day by noting the following: “And if we can put principals in a position to be successful, then we’re part of the solution. If not, we’re part of the problem” (Wallace, 2009).

In a report released in April of 2001, the Southern Regional Education Board (SREB) addressed what successful principals needed to know and be able to do. Mark Musick, then President of SREB, professed: “We believe this new breed of principals will need to: 1) have comprehensive understanding of school and classroom practices that

contribute to student achievement; 2) know how to work with faculty and others to fashion and implement continuous student improvement; and 3) know how to provide the necessary support for staff to carry out sound school, curriculum, and instructional practices” (Bottoms & O’Neill, 2001).

The April, 2001 SREB report went on to discuss why a new breed of principal was needed in America:

“In the world of school leadership, high-stakes accountability has changed nearly everything. There was a time when principals were expected to do little more than “hold” school. Superintendents and school boards were satisfied if every classroom had a teacher, if every student had a set of textbooks, and if every class moved from one grade to the next at an orderly pace. If students dropped out of school or drifted into low-level classes, their failure was regrettable, but not surprising. Some students were “destined” to fail. So long as discipline and order prevailed – and the buses ran on time – a principal’s job was secure.

But no more.

Across the United States, state legislatures are responding to rising expectations in the workplace and the demands of a global economy by setting higher standards for schools. To enforce these standards, legislatures are creating high-stakes assessment systems that hold schools accountable for student achievement. In the not-too-distant past, responsibility for school success was something principals could “share around” with other educators, with parents, and with students themselves.

The principal served as production manager. Quality control was somebody else's job.

Increasingly, state accountability systems are placing the burden of school success – and individual student achievement – squarely on the principal's shoulders. The principal's job description has expanded to a point that today's school leader is expected to perform in the role of "chief learning officer," with the ultimate responsibility for the success or failure of the enterprise. Today's principal must be prepared to focus time, attention, and effort on changing what students are taught, how they are taught, and what they are learning. This formidable challenge demands a new breed of school leaders, with skills and knowledge far greater than those expected of "school managers" in the past.

High standards are important, but high standards cannot guarantee student success. The proof can be found in state assessment data. Across the United States, the standards movement is straining with unfulfilled expectations. Too many students are failing to meet benchmarks for promotion or graduation. Some states and large school districts find themselves "adjusting" their standards downward. Many students are not succeeding against the new standards because – for the first time in history – we are demanding that middle schools and high schools do for *all* [bold italics added by the authors] students what we only expected for one-fourth of our students in the past.

School are not less effective today. By any fair measure, their performance matches or exceeds the schools of 20 or 30 years ago. But their challenge is greater today – and far too many schools have not changed enough to meet the expectation that all students can master demanding subject matter and apply what they have learned to solve real-world problems.

The reality is that schools must change *fundamentally* [bold italics added by the authors]. The challenge is to redesign middle schools and high schools so that virtually every student gains the skills and knowledge that have been traditionally taught to only the most talented and best situated. If schools succeed in this redesign, many more high school graduates will be able to pursue postsecondary studies without being placed first into remedial courses – and many more young adults will be prepared to enter and advance in knowledge-based jobs” (Bottoms & O’Neill, 2001).

The April, 2001 SREB report offered specific answers to the question of what do our future school leaders need to know and be able to do – namely, successful school leaders need to (1) create a focused mission to improve student achievement and a vision of the elements of school, curriculum, and instructional practices that make higher achievement possible, (2) set high expectations for all students to learn higher-level content, (3) recognize and encourage good instructional practices that motivate students and increase their achievement, (4) create a school organization where faculty and staff understand that every student counts and where every student has the support of a caring

adult, (5) use data to initiate and continue improvement in school and classroom practices and student achievement, (6) keep everyone informed and focused on student achievement, (7) make parents partners in students' education and create a structure for parent and educator collaboration, (8) understand the change process and have the leadership and facilitation skills to manage it effectively, (9) understand how adults learn and know how to advance meaningful change through quality, sustained professional development that leads to increased student achievement, (10) use and organize time in innovative ways to meet the goals and objectives of school improvement, (11) acquire and use resources wisely, (12) obtain support from the central office and from community and parent leaders for the school improvement agenda, and (13) continuously learn from and seek out colleagues who are abreast of new research and proven practices" (Bottoms & O'Neill, 2001).

In the fall of 2008, the Wallace Foundation released a report entitled *A Mission of the Heart: What Does It Take to Transform a School?* The report summarized the findings from five focus groups, with principals in high-needs districts and sixteen one-on-one interviews with superintendents and other high-ranking education officials, held in the summer and fall of 2007. In the report, interviewers attempted to gather answers to two questions: What makes an effective leader in a high-needs school, and how can we attract, train, retain and support more effective leaders of this kind? The answers led the researchers to walk away from the focus groups with two entirely different questions, based upon the responses gathered in the initial meetings (Public Agenda, 2008). Jean Johnson, the lead interviewer from the Public Agenda, the organization that performed the study for the Wallace Foundation, asked these questions as an introduction to her

Education Week article released in August of 2008. The questions were: Does it matter how someone talks about his or her job; and if you were hiring a principal for a struggling school, what would you look for, a candidate with a specific plan to turn the school around or one who would respond to day-to-day events as they occur? (*Education Week*, August, 2008). The focus groups discussed a wide range of topics, including instructional leadership, visibility in the school, the importance of data, parent involvement, budgets, professional development, mentoring, and district bureaucracy (Public Agenda, 2008). According to Johnson, after a relatively short time, it became apparent that the majority of the principals fell into one of two distinct categories – they were either “transformers” or “copers.” The contrasts in how these two groups talked about being a principal were often stunning. Johnson described these differences:

“The ‘transformers’ had an explicit vision of what they wanted their school to be like, and they talked about specific changes they were making now or planned to make in the near future. This year, introduce the new reading curriculum. Next year, get a teaching coach for math. Some had scanned their teacher rosters and pinpointed the teachers they wanted to move out. Maybe it couldn’t be done in one fell swoop, but they had their plans. This year, A and B, next year on to C. Most could tell you chapter and verse. This is my plan; this is where I am with it; this is what’s going well; this is where I need help. Many of these people were amazing human beings.

Some education critics have suggested that school leaders need to function more like corporate executives and less like government

administrators. Yes, based on what we saw in this study, corporate leadership may not be the best analogy for principals. After all, corporate heads have personnel and monetary resources that probably just aren't feasible in public schools. To me, the transformer principals were more like small-business people – like someone starting a restaurant or a design firm or a bookstore. They were putting heart and soul into their own small endeavor. It was the realization of a vision that almost possessed them. They brought a can-do attitude to the job, and, notably, they had a “business plan” clearly in mind. They had goals and strategies outlined for this year, the next, and the year after that.

Unfortunately, some of the principals we saw were ‘copers.’ There’s really no other way to put it. They meant well, it seemed to us, but they just couldn’t get above the day-to-day crises. This principal was typical: ‘I find myself wearing so many hats...it’s unbelievable. I just cannot free myself up.’ Some copers described situations that would probably overwhelm anyone. ‘They burned down part of my school in January. They destroyed all my textbooks and all my games, equipment, and everything. It took five fire engines to put it out. They stole four teachers’ cars, and they set fire to them...If you suspend a child, you have to be careful because they usually bring the father, the mother, the grandmother, and the two brothers to come and sort you out.’ These principals were struggling themselves, and yet their job was to transform a struggling school.” (Johnson, 2008)

When discussing instructional leadership, the transformers saw it as their top priority. The copers, although they talked about instructional leadership as part of their jobs, didn't seem to actually do much of it. The copers seemed to be overwhelmed by day-to-day problems. Listen to the language of transformer versus a coper when discussing instructional leadership: Transformer: "I think it's the instructional leadership that makes a difference. The bottom line is we're there to improve instruction so the kids can learn. We do all those other things too, but we're there...to be able to go into a teacher's class, and, if it's a new teacher, identify (whether) this teacher (has) what it takes?" Coper: "You have to do so much. At any given time you could be walking down the corridor, and you get seven different things hitting you at one time, and you were initially going to a classroom..." When discussing visibility in the schoolhouse, one transformer stated "You can't be a closed door administrator. You can't go and hide." For the copers, the concept of "walking the halls" often times seemed like a luxury – either they didn't see it as vital or far more often, they just didn't have the time. Most of the principals interviewed both transformers and copers, and believed that building consensus among the school's stakeholders, especially the teachers, was the way to genuinely change a school's performance over the long run. Regarding the challenge of cutting through the bureaucratic red tape found in most school districts, the transformers felt empowered to change the rules, including one that commented on getting rid of a weak teacher: "I can at least speak on behalf of our district in that we have stopped the practice of doing the dance of the lemons...If you've got somebody who's ineffective at a Title I school, if they need to be moved for any reason...usually you can get them moved...They do not go into another Title I school where they can do more

damage...I've got the autonomy that I need. It's just making sure that I clearly know my union contract (and) making sure that I'm doing the required documentation." On the other hand, the copers found the process of dismissing a teacher overwhelming. Said one copier, "the time it takes to evaluate and document a bad teacher is unbelievable...Following the legal process, the due process...Three years is nothing, and then you still aren't guaranteed to get them out because of the strong union. It's very time consuming" (Public Agenda, 2008). Johnson concluded her *Education Week* article by asking:

"Does being a transformer really ensure that students learn more? This small, exploratory piece of research can't answer that, but I suggest that all of us who care of reclaiming troubled schools pursue the question. It certainly seems as if the transformative role should lead to better outcomes for students, but we don't know, and we need to know. Could some copers become transformers if they had better support and worked under more reasonable conditions? Many were savvy, caring people who just could not seem to rise above the daily din. But we also need to look at the other side of the coin. Could some of our transformers eventually become worn down and burnt out? Could the passage of time and lack of support turn them into copers? While we were conducting this research, we saw astonishing human beings working extremely long hours with a passion and single-mindedness that was truly admirable. But how long can we expect these principals to keep up this commitment, really keep up this level of energy and sparkle year after year after year?" (Johnson, 2008)

If what we are after as a country is a system of high-performing and highly effective schools, then it seems essential to have a large group of transformative principals who can lead their campuses to higher levels of student achievement. However, the transformative principal cannot do this alone. It takes a large number of invested stakeholders to improve schools. Along with parents, the most important people in this collection of stakeholders are the teachers. Extremely important to the success of a school is how the transformative leader earns the loyalty of the teachers, if the campus adults are going to make a difference with the students and their achievement.

Building a strong school culture is the key to linking school leadership with student achievement. Robert Marzano, Tim Waters, and Brian McNulty, in their book *School Leadership that Works*, described the link among school culture, leadership, and student achievement. In the book, they stated: “Fostering school culture that indirectly affects student achievement is a strong theme within the literature on principal leadership” (Marzano, Waters, & McNulty, 2005). From their comprehensive meta-analysis of empirical studies of leadership and student achievement, they described the following key leadership behaviors: (1) promoting cohesion among all staff, (2) promoting a sense of well-being among all staff, (3) developing an understanding of purpose among all staff, and (4) developing a shared vision of what school should be like. They concluded that each of these leader behaviors directly related to school culture and school culture related to student achievement (Marzano, Waters, & McNulty, 2005). Their study went on to list a number of studies that support the importance of establishing a school culture with strong school leadership from both the principal and the teachers. The overall climate of the school and the climate in individual classrooms have been

found to be important to the overall success of the campus (Brookover, et al., 1979; Brookover et al., 1978; Brookover & Lezotte, 1979; Griffith, 2000; and Villani, 1996). The attitudes of teachers have been found to be important to the overall success of the school (Brookover & Lezotte, 1979; Oakes, 1989; Purkey & Smith, 1983; Rutter, et al., 1979). Finally, important to this paper, the students' opportunity to learn without disruption has been found to be important to the overall success of a campus (Duke & Canady, 1991; Dwyer, 1986; Murphy & Hallinger, 1989).

Building on the work of James MacGregor Burns (1978), who is generally considered to be the father of modern leadership theory, Bass (1985), and Bass and Avolio (1994), Kenneth Leithwood (1994) developed the transformational model of school leadership. Leithwood noted that the Four I's of transformational leadership identified by Bass and Avolio (1994) are necessary skills for school principals if they are to meet the challenges of the 21st century. For example, the school leader must attend to the needs of and provide personal attention to individual staff members, particularly those who seem left out (individual consideration). The effective school administrator must help staff members think of old problems in new ways (intellectual stimulation). Through a powerful and dynamic presence, the effective school administrator must communicate high expectations for teachers and student alike (inspirational motivation). Finally, through personal accomplishments and demonstrated character, the effective principal must provide a model for the behavior of teachers (idealized influence) (Marzano, Waters, & McNulty, 2005).

The Marzano, Waters, and McNulty study also emphasized the importance of Edward Deming's theory of Total Quality Management and its possible effect on school

leadership and school culture. Waldman (1993) proposed that Deming's work could be organized into five basic factors that specifically defined the actions of an effective leader. For the purposes of this paper, we will highlight three of those five factors. First, the importance of teamwork is one of the distinguishing features of Total Quality Management. Sosik and Dionne (1997) defined teams in the following way:

“Teams consist of two or more individuals with complementary skills who interact with each other toward a common task-oriented purpose. Team members consider themselves to be collectively accountable for the attainment of their goals. Teams are formed to serve organizational interests within departments, and across departments and divisions.”

Second, continuous improvement is another distinguishing factor of Deming's research. According to Deming (1986), a leader must “invite” continuous improvement into the organization, and keep it alive by keeping the goals of the organization up front in the minds of employees and judging the effectiveness of the organization in terms of these goals. Finally, trust-building is a distinguishing factor of Total Quality Management and its impact on organizational leadership, schools included. Trust-building involves creating a climate in which the employer and employees perceive the organization as a “win-win” environment (Covey, 1991). Sosik and Dionne (1997) describe trust-building as “the process of establishing respect and instilling faith into followers based on leader integrity, honesty, and openness.” Leaders establish an atmosphere of trust by their daily actions. Specific actions leaders must exhibit include knowing the concerns of employees, knowing what motivates employees, and knowing the necessary conditions

for employees to operate at levels of maximum effectiveness (Marzano, Waters, & McNulty, 2005).

For this study, servant leadership and situational leadership are important to highlight. The term servant leadership is attributed to Robert Greenleaf (1970, 1977), who believed that effective leadership emerges from a desire to help others. This perspective stands in sharp contrast to those theories (such as transactional leadership) that emphasize control or “overseeing” those within the organization. Servant leadership also has a unique perspective on the position of the leader within the organization. Instead of occupying a position at the top of a hierarchy, the servant leader is positioned at the center of the organization. This implies that the servant leader is in contact with all aspects of the organization and the individuals within it, as opposed to interacting with a few high-level managers who also occupy positions in the upper strata of the hierarchy. The central dynamic of servant leadership is nurturing those within the organization. Consequently, critical skills of servant leadership include the following: understanding the personal needs of those within the organization, healing wounds caused by conflict within the organization, being a steward of the resources of the organization, developing the skills of those within the organization, being an effective listener (Marzano, Waters, & McNulty, 2005). Although servant leadership is typically not embraced as a comprehensive theory of leadership, as some other theories are, it has become a key component to many leadership theorists (Covey, 1992; Elmore, 2000; and Spillane, Halverson, & Diamond, 2001). The theory of situational leadership is typically associated with the work of Paul Hersey and Kenneth Blanchard (Blanchard, Carew, & Parisi-Carew, 1991; Blanchard & Hersey, 1996; Blanchard, Zigarmi, & Zigarmi, 1985;

Hersey, Blachard, & Johnson, 2001). The basic principle in situational leadership is that the leader adapts their leadership behavior to followers' "maturity," based on the followers' willingness and ability to perform a specific task. Four leadership styles (i.e., telling, participating, selling, and delegating) match high and low willingness and ability to perform a task. The effective leader is skilled in all four styles and knows the ability level of followers, along with their willingness to perform specific tasks. The effective leader realizes that no one leadership style is appropriate for all followers and all situations, and accurately discerns which styles are appropriate for which followers in which situations (Marzano, Waters, & McNulty, 2005).

A meta-analysis conducted by Marzano et al. looked at 69 studies on the relationship between school leadership and student achievement. Out of a possible 300 studies that appeared to meet the researchers' criteria, these 69 closely matched the Marzano et al. standards since they used either a convenience sample or a purposeful sample. Convenience samples occurred when a study included all the schools in a given district. Purposeful samples occurred when a study used schools that were singled out as high-performing within a district or state, compared to schools that were identified as low-performing using some criterion related to student achievement. For each study they analyzed, Marzano's research team established a correlation between general leadership and student achievement, which was either computed or extracted directly from the study. The average correlation from the 69 studies was 0.25. This correlation indicates that an increase in principal leadership behavior from the 50th percentile to the 84th percentile is associated with a gain in the overall achievement of the school from the 50 percentile to the 60th percentile. Additionally, an increase in leadership behavior from the 50th

percentile to the 99th percentile is associated with an increase in student achievement from the 50th percentile to the 72nd percentile. Another interpretation of the 0.25 correlation provides a different perspective on the potential impact of school leadership. Assume that a test is given to all the students in the nation's 94,000 schools. For a school to pass the test, the average score for that school's students must surpass a certain "cut score." Additionally, the test is designed with the general expectation that 50 percent of schools will pass the test and 50 percent will fail. When taking into account the 0.25 correlation between school leadership and student achievement, the schools with principals in the top half of school leadership effectiveness would have 62.5 percent of the students passing the test, whereas schools with principals in the bottom half of school leadership effectiveness would have 37.5 percent of the students passing the test (Marzano, Waters, & McNulty, 2005).

Marzano et al. cited a study done by Wimpleberg, Teddlie, and Stringfield (1989), which stressed that research on principal leadership not only must attend to general characteristics of behavior such as "has a vision," but also must identify specific actions that affect student achievement. Consequently, the Marzano study identified 21 categories of principal leadership behaviors that the research team called "responsibilities." These 21 responsibilities are: affirmation, change agent, contingent rewards, communication, culture, discipline, flexibility, focus, ideals/beliefs, input, intellectual stimulation, involvement in curriculum, instruction, and assessment, knowledge of curriculum, instruction, and assessment, monitoring/evaluating, optimizer, order, outreach, relationships, resources, situational awareness, and visibility (Marzano, Waters, & McNulty, 2005).

For the purposes of this study, which concentrates on the relationship between the school principal and the campus teachers, 14 of the 21 responsibilities will be explained in greater detail, as these 14 are more closely related to the principal/teacher relationship than the rest.

Affirmation is the extent to which the leader recognizes and celebrates school accomplishments – and acknowledges failures. These are the behaviors identified by Collins (2001) in his research on businesses that have gone from “good to great.” Affirmation was discussed by Cottrell (2002) when he explained that one of the biggest challenges facing school-level administrators is to directly address performance issues, both positive and negative, with their teaching staff. This “responsibility” carries with it a 0.19 correlation to student academic achievement.

Contingent rewards refer to the extent to which the school leader recognizes and rewards the individual accomplishments of their teaching staff. Nunnally, Whaley, Mull, and Hott (2003) explained that “the administrative leader must be proactive in recognizing the varying abilities of staff members.” Buckingham and Clifton (2001) noted that “many different kinds of prestige should be made available to reflect the many different perfect performances the organization wants to encourage.” This “responsibility” carries with it a 0.24 correlation to student academic achievement.

Communication refers to the extent to which the school leader establishes strong lines of communication with and between teachers and students. Scribner, Cockrell, Cockrell, and Valentine (1999) explain that effective communication might be considered the glue that holds together all the other responsibilities of leadership. Similar sentiments have been expressed by Elmore (2000), Fullan (2001), and Leithwood and Riehl (2003).

The communication “responsibility” has a 0.23 correlation to student academic achievement.

Culture is a natural by-product of people working in close proximity, but it can be a positive or negative influence on a school’s effectiveness. As Leithwood and Riehl (2003) explained: “Leaders act through and with other people. Leaders sometimes do things, through words or actions, that have a direct effect of the primary goals of the collective, but more often their agency consists of influencing the thoughts and actions of other persons and establishing policies that enable others to be effective.” Scribner, Cockrell, Cockrell, and Valentine (1999) asserted that building principals can do little to directly affect student achievement. Consequently, an effective culture is the primary tool with which a leader fosters change. This “responsibility” has a 0.25 correlation to student academic achievement.

Discipline is defined by Marzano et al. as the task of the school principal to protect teachers from undue distractions. Elmore (2000) explained that “school leaders are hired and retained based largely on their capacity to buffer teachers from outside interference.” Youngs and King (2002) also highlighted the importance of protecting of shielding teachers. The discipline “responsibility” has a 0.27 correlation to student academic achievement (Marzano, Waters, & McNulty, 2005).

Flexibility refers to the extent to which leaders adapt their leadership behavior to the needs of the current situation and are comfortable with dissent. Deering, Dilts, and Russell (2003) described this responsibility in terms of “mental agility” (Lashway, 2001). emphasized the acceptance of diverse opinions, and noted that effective leaders “encourage and nurture individual initiative...leaders must protect and encourage the

voices of participants who offer differing points of view.” This “responsibility” has a 0.28 correlation to student academic achievement.

Input reflects the extent to which the school leader involves teachers in the design and implementation of important decisions and policies. De Pree (1989) referred to this responsibility as “participative management”: “Everyone has the right and the duty to influence decision making and to understand the results. Participative management guarantees that decisions will not be arbitrary, secret, or closed to questioning. Participative management is not democratic. Having a say differs from having a vote.” Cottrell (2002) warned school leaders of the consequences of not attending to this responsibility: “They [principals] forget to take the time to listen to their people. Soon they become insensitive to the needs and desires of the individuals on the team. Arrogance, out-of-control egos, and insensitivity are part of the management land trap. Don’t allow yourself to fall into that trap – listen to your people!” This “responsibility” has a 0.25 correlation to student academic achievement.

Intellectual stimulation refers to the extent to which the school leader ensures that faculty and staff is aware of the most current theories and practices regarding effective schooling, and makes discussions of those theories and practices a regular aspect of the school’s culture. Supovitz (2002) referred to this characteristic as the extent to which the leader engages staff in meaningful dialogue regarding research and theory. Lashway (2001) linked this responsibility to the change process and emphasizes the importance of building teacher learning into the everyday fabric of school life. Fullan (2001) described this responsibility in terms of the need for “knowledge building, knowledge sharing,

knowledge creation, knowledge management.” The intellectual stimulation “responsibility” has a 0.24 correlation to student academic achievement.

The *optimizer* “responsibility” refers to the extent to which the leader inspires others and is the driving force when implementing a challenging innovation. In their study of more than 1,200 K-12 teachers, Blasé and Kirby (2000) identified optimism as a critical characteristic of an effective school leader. Kelehear (2003) explained that at appropriate times, an effective leader is willing to bolster a change initiative with his optimism and energy. Kaagan and Markel (1993) described the benefit of a positive emotional tone as an environment where “new ideas and innovation abound.” This “responsibility” has a 0.20 correlation to student academic achievement.

The *order* “responsibility” refers to the belief that order, as opposed to chaos, is good for a school. Order in any dynamic environment is created by structure. Fritz (1984) explained this dynamic in the following way: “Once a structure exists, energy moves through that structure by the path of least resistance. In other words, energy moves where it is easiest for it to go.” Nunnelley, Whaley, Mull, and Hott (2003) defined order as clear boundaries and rules for both students and faculty. Supovitz (2002) identified order as a necessary condition: “groups need structures that provide them with the leadership, time, resources, and incentives to engage in instructional work.” The order “responsibility” has a 0.25 correlation to student academic success (Marzano, Water, & McNulty, 2005).

The *relationship* “responsibility” refers to the extent to which the school leader demonstrates an awareness of the personal lives of teachers and staff. Elmore (2000) recommended that principals should “rely more heavily on face-to-face relationships than

on bureaucratic routines.” Fullan (2001) described the importance of the school leader’s forming emotional bonds with and among teachers that help staff and administrators stay aligned and focused during times of uncertainty. This “responsibility” has a 0.18 correlation to student academic success.

The “responsibility” of *resources* refers to the extent to which the leader provides teachers with materials and professional development necessary for the successful execution of their duties. Deering, Dilts, and Russell (2003) explained that resources important to a school extend well beyond books and materials. Fullan (2001) stated: “Another component of school capacity concerns the extent to which schools garner technical resources. Instructional improvement requires additional resources in the form of materials, equipment, space, time, and access to new ideas and to expertise.” The resource “responsibility” carries a .25 correlation to student learning.

Situational awareness is the “responsibility” that carries the highest correlation to student academic success in the Marzano et al. study, a correlation of 0.33. This “responsibility” addresses leaders’ awareness of the details and the undercurrents affecting the functioning of the school, and their use of this information to address current and potential problems. Lashway (2001) described this “responsibility” in the following way: “Deep change requires knowing what is happening, distancing the ego from daily events, and honestly appraising the state of the organization.” Deering, Dilts, and Russell (2003) described situational awareness as anticipatory leadership.

Finally, the “responsibility” of *visibility* addresses the extent to which the school leader contacts and interacts with teachers, students, and parents. Whitaker (1997) described the importance of visibility in the following way: “The research has

demonstrated the great need for strong instructional leadership in schools and has identified several common characteristics of effective leaders. One of those characteristics, extremely important in the life of a school and often neglected, is that of being a visible principal.” Blasé and Blasé (1999) explained that highly effective principals are in classrooms on a routine basis. The visibility “responsibility” has a 0.20 correlation to student academic success.

In another comprehensive synthesis of the leadership literature associated with student achievement (one that is narrative instead of Marzano et al.’s quantitative), Kathleen Cotton (2003) published findings which identified 25 categories of principal behavior that positively affect the dependent variables of student achievement, student attitudes, student behavior, teacher attitudes, teacher behaviors, and dropout rates. The 25 categories are as follows: safe and orderly environment; vision and goals focused on high levels of student learning; high expectations for student learning; self-confidence, responsibility, and perseverance; visibility and accessibility; positive and supportive climate; communication and interaction; emotional and interpersonal support; parent and community outreach and involvement; rituals, ceremonies, and other symbolic actions; shared leadership, decision making, and staff empowerment; collaboration; instructional leadership; ongoing pursuit of high levels of student learning; norm of continuous improvement; discussion of instructional issues; classroom observation and feedback to teachers; support of teachers’ autonomy; support of risk taking; professional development opportunities and resources; protecting instructional time; monitoring student progress and sharing findings; recognition of student and staff achievement; and role modeling. Cotton’s conclusions were fairly straightforward in the study. She noted that principal

leadership does have an effect on student outcomes, albeit an indirect one. Citing the work of others, she explained: “In general, these researchers find that, while a small portion of the effect may be direct – that is, principals’ direct interactions with students in or out of the classroom may be motivating, inspiring, instructive, or otherwise influential – most of it is indirect, that is, mediated through teachers and others” (Marzano, Waters, & McNulty, 2005).

In 2004, The Wallace Foundation funded a study entitled *How leadership influences student learning: a review of research*. The lead researchers were Kenneth Leithwood from the University of Toronto and Karen Seashore Louis from the University of Minnesota. Leithwood and Louis, et al. (2004) opened their report by saying that it is easy to become confused by the current evidence about what “successful” leadership really means. They arrived at three conclusions about the different forms of leadership reflected in the current literature: (1) Many labels used in the literature to signify different forms or styles of leadership mask the generic function of leadership; (2) Principals, superintendents, and teachers are being admonished to be “instructional leaders” without much clarity about what that means; and (3) “Distributed leadership” is in danger of becoming no more than a slogan unless it is given more thorough and thoughtful consideration. While many in the education field use the term “distributed leadership” reverentially, there is substantial overlap with such other well-developed, longstanding conceptions of leadership as “shared,” “collaborative,” “democratic,” and “participative.” Furthermore, when viewed in terms of the definition of leadership suggested here, practical applications of distributed leadership may easily get confounded with the mere distribution of management responsibilities. According to Leithwood et al.,

promising efforts have started to extend the concept of distributed leadership beyond its commonsense uses, and to provide evidence about its nature and effects (Gronn, 2002 and Spillane & Sherer, 2004). These efforts suggest, for example, that it is helpful for some leadership functions to be performed at every level in the organization; such as stimulating people to think differently about their work. On the other hand, it is important for other functions to be carried out at a particular level. For example, leaders in formal positions of authority should retain the responsibility for building a shared vision for their organization. Also, it seems likely that different patterns of leadership distribution throughout districts and schools might be associated with different levels of effects on students. This is a promising line of research that may prevent distributed leadership from becoming just another “leadership flavor of the month” (Leithwood & Louis et al., 2004).

At the core of most definitions of leadership are two functions: “providing direction” and “exercising influence.” As Yukl (1994) noted, leadership influences “...the interpretation of events for followers, the choice of objectives for the group or organization, the organization of work activities to accomplish objectives, the motivation of followers to achieve the objectives, the maintenance of cooperative relationships and teamwork and the enlistment of support and cooperation from people outside the group or organization.” Much of the success of districts and school leaders in building high-performance organizations (organizations that make significantly greater than expected contributions to student learning) depends on how well these leaders interact within the larger social and organizational context. Nevertheless, evidence from district, school and non-educational organizations points to three broad categories of successful leadership

practices, which are largely independent of such context. These practices are “the basics” of good leadership and are necessary, but not sufficient, in almost all organizational situations (Leithwood & Louis, et al., 2004).

Hallinger and Heck (1999) labeled these categories of leadership practices “purposes,” “people,” and “structures and social systems.” Conger and Kanungo (1998) referred to “visioning strategies,” “efficacy-building strategies,” and “context-changing strategies.” Leithwood’s (1996) categories were “setting directions,” “developing people” and “redesigning the organization.” Within each of these similar categories of practice are numerous, more specific competencies, orientations and considerations. For example, most of the 21 specific leadership practices linked to student learning in Waters, Marzano and McNulty’s (2003) [the research paper to the earlier book citation of Marzano, Water, & McNulty (2005)] review fell within these categories. A critical task of leadership is to help the group develop shared understandings about the organization and its activities and goals that is the basis for a sense of purpose or vision (Hallinger & Heck, 2002). The most fundamental theoretical explanations for the importance of leaders’ direction-setting practices are goal-based theories of human motivation (Bandura, 1986; Ford, 1992; and Locke, Latham & Eraz, 1988). According to such theories, people are motivated by goals that they find personally compelling, as well as challenging but achievable. Having such goals helps people make sense of their work and enables them to find a sense of identity for themselves within their work context (Leithwood & Louis, et al., 2004).

While clear and compelling organizational directions contribute significantly to members’ work-related motivations, they are not the only conditions that do so. Nor do

such directions contribute to the capacities members often need in order to productively move in those directions. Such capacities and motivations are influenced by the direct experiences organizational members have with those in leadership roles (Lord & Maher, 1993), as well as the organizational context in which people work (Rowan, 1996). The ability to engage in practices that develop people depends, in part, on leaders' knowledge of the "technical core" of schooling – what is required to improve the quality of teaching and learning – often invoked by the term "instructional leadership." This ability is also one aspect of what is now being described as leaders' "emotional intelligence" (Goleman, Boyatzis & McKee, 2002). Recent evidence suggests that emotional intelligence displayed, for example, through a leader's personal attention to an employee, or through the utilization of the employee's capacities, increases the employee's enthusiasm and optimism, reduces frustration, transmits a sense of mission and indirectly improves performance (McColl-Kennedy & Anderson, 2002). Successful educational leaders develop their districts and schools as effective organizations that support and sustain the performance of administrators and teachers as well as students. This category of leadership practices has emerged from recent evidence about the nature of learning organizations and professional learning communities, and their contributions to staff work and student learning. Such practices assume that the purpose behind organizational cultures and structures is to facilitate the work of organizational members and that the malleability of structures should match the changing nature of the school's improvement agenda. Practices typically associated with this category include strengthening district and school cultures, modifying organizational structures and building collaborative processes (Leithwood & Louis, et al., 2004).

Highly successful leaders develop and count on leadership contributions from many others in their organizations. Principals typically count on key teachers for such leadership, along with their local administrative colleagues (Hord, Steigelbauer & Hall, 1984). The nature and impact of distributed leadership has become the object of recent research, although inquiry about the concept dates back almost 70 years (Gronn, 2002). At its root, the concept of distributed leadership is quite simple: initiatives or practices used to influence members of the organization are exercised by more than a single person. Distributed leadership does not reside solely in people, however. Non-person sources of influence may include Jermier and Kerr's (1997) "substitutes of leadership", which arise out of a view of leadership as an organization-wide phenomenon (Pounder, Ogawa & Adams, 1995). Leadership influence is exercised through actions or tasks that are enacted to accomplish functions for the organization (Spillane et al., 2000). The concept of distributed leadership overlaps substantially with shared, collaborative, democratic and participative leadership concepts. Distributed leadership assumes a set of practices that "are enacted by people at all levels rather than a set of personal characteristics and attributes located in people at the top" (Fletcher & Kaufer, 2003). Gronn (2002) distinguishes two basic forms of distributed leadership, additive and holistic. Additive forms entail the dispersal of leadership tasks among members across an organization without explicit consideration of interactions by those members; this is the most common meaning of the term "distributed leadership", and is the form which those advocating that "everyone is a leader" (Manz & Sims, 1980) have in mind. Holistic forms of distributed leadership include attention to the interdependence of those providing leadership. These holistic forms assume that the totality of leaders' work adds

up to more than the sum of the parts, and that there are high levels of interdependence among those providing leadership. Holistic forms of distributed leadership produce leadership activities which emerge from dynamic, multidirectional, social processes which, at their best, lead to learning for the individuals involved, as well as for their organizations. The extent and nature of coordination in the exercise of influence across members of the organization is a critical challenge from a holistic perspective. Interdependence between two or more organizational members may be based on role overlap or complementary skills and knowledge (Gronn, 2002 as cited in Leithwood, & Louis et al., 2004).

A number of individual and organizational benefits have been associated with distributed leadership. Compared with exclusively hierarchical forms of leadership, distributed leadership more accurately reflects the division of labor which is experienced in the organization on a daily basis, and reduces the chances of error arising from decisions based on the limited information available to a single leader. Distributed leadership also increase opportunities for the organization to benefit from the capacities of more of its members, permits members to capitalize on the range of their individual strengths, and develops, among organizational members, a fuller appreciation of interdependence and how one's behavior affects the organization as a whole. Elmore (2000) characterizes this as comparative advantage, where individuals and groups in different positions within an organization contribute to leadership functions in areas of organizational activity over which they have the greatest influence. Resnick and Glennan (2002) emphasize the importance of mutual or two-way accountability between leaders and participants in different roles and levels of an organization (e.g., principals are

accountable to superintendents for performance, but superintendents are also accountable to inputs and needs of principals). Especially in the context of teamwork, some argue, distributed leadership provides greater opportunities for members to learn from one another. Through increased participation in decision making, greater commitment to organizational goals and strategies may develop. Distributed leadership has the potential to increase on-the-job leadership development experiences, and the increased self-determination arising from distributed leadership may improve members' experience of work. Such leadership allows members to better anticipate and respond to the demands of the organization's environment. With holistic forms of distributed leadership (Gronn, 2002), solutions are possible which would be unlikely to emerge from individual sources. Finally, overlapping actions that occur in distributed leadership contexts provide further reinforcement of leadership influence (Leithwood & Louis et al., 2004).

In a discussion about school culture, Leithwood et al. stressed three areas of distributed leadership that are important to this study. First, Leithwood et al. discussed a school-wide sense of community and why that is important. A school-wide sense of community is important first because it forms affective bonds between students and teachers which engage and motivate students to learn in schools of any type. A widely shared sense of community is also important as an antidote to the unstable, sometimes threatening and often insecure world inhabited by a significant proportion of the families and children served by especially challenging schools. A collective sense of belonging for those living in such circumstances provides psychological identity with, and commitment to, others (Beck & Foster, 1999). Individuals who feel secure and purposeful as a result of these connections, identities and commitments are, in turn, less

susceptible to the mindset of fatalism and disempowerment, which often arises from repeated episodes of loss. Success at school depends on having goals for the academic, personal, and vocational strands of one's life, as well as a sense of self-efficacy about the achievement of those goals. Second, Leithwood, et al. discussed the use of teacher time and teacher working conditions. Evidence about the use of teacher time (Hargreaves, 1990, 1992, 1994) acknowledges that it is a finite and valuable resource, which is sometimes squandered by competing demands and conflicting priorities. Many school reform and restructuring initiatives, especially those that decentralize more decision-making to the school, increase the hours that teachers work. These increases are greater in smaller schools and for those teachers who volunteer for or are assigned responsibilities as curriculum developers, mentors, staff developers and the like. The professional work ethic of teachers, a product of their well-documented commitment to students (Lortie, 1975; Waugh, 2000), in combination with the factors mentioned above, contributes to relatively long hours of work for many teachers. Although one response to long working hours is to establish, in teacher contracts, designated amounts of preparation time, this response has had mixed results. It allows some teachers to feel less stressed, better organized and more effective instructionally. However, it sometimes contributes to teachers' isolation from one another and to contrived collegiality. Some teachers also worry that such time reduces continuity of instruction with their students. Research evidence identifies conditions that enhance teachers' work by affecting such variables as teacher commitment, effort and job satisfaction. The amount of evidence in support of any one of these conditions varies, but in most cases is best described as moderate. Some of these working conditions that lead to improved student performance

are: low levels of student disruptions and misbehavior; opportunities for teacher leadership in the school; visibility of new roles; high levels of perceived support by school administrators; broader participation in school decisions; opportunities to be rewarded with more pay and career opportunities; teacher incentive structures; peer assistance, especially for new teachers; teaming with other teachers; adequate equipment and other resources in the classroom; high levels of classroom autonomy; increased teacher leadership opportunities; and opportunities for professional development. Third, Leithwood et al. discussed the importance of the professional learning community. A key sociological contribution to the study of school culture and change has emerged in the concept of the professional community. Although it has been around for some time, Westheimer (1999) argued that theories of teacher communities are “under-conceptualized.” Furman (1999) called them “confusing,” a “mismatch” with postmodern life and further stated that they provide “little guidance for practice.” Adding to the confusion, researchers use a variety of terms to describe how to organize schools for teacher community and learning: *collegiality* (Barth, 2001; Little, 1990), *collaboration* (Nias, Southworth & Yeomans, 1989; Zellermeier, 1997), *professional community* (Louis, et al., 1995; McLaughlin & Talbert, 1993), *discourse communities* (Putnam & Borko, 2000), *professional learning community* (Hall & Hord, 2001) and *schools that learn* (Leithwood, 2002). By using the term *professional learning community*, we signify our interest not only in discrete acts of teacher sharing, but in the establishment of a school-wide culture that makes collaboration expected, inclusive, genuine, ongoing and focused on critically examining practice to improve student outcomes. The term integrates three robust concepts: a school culture that emphasizes

professionalism is “client oriented and knowledge based” (Darling-Hammond, 1990); emphasizes learning and places a high value on teachers’ inquiry and reflection (Toole, 2001); and has a communitarian emphasis on personal connection (Louis et al., 1995). The hypothesis is that what teachers do together outside of the classroom can be as important as what they do inside in affecting school restructuring, teachers’ professional development and student learning (Louis & Kruse, 1995 as cited in Leithwood & Louis et al., 2004).

Kruse, Louis and Bryk (1995) designated five interconnected variables to describe what they call genuine professional communities, which are defined in such a broad manner that they can be applied to diverse settings. The variables are: shared norms and values; a focus on student learning; deprivatized practice; reflective dialogue; and collaboration. Researchers vary on the exact list and number of key variables and those variables can only act as general descriptors. Little (2000) points out that there is no simple checklist or template that will ever adequately guide the construction of professional learning communities. The central idea of the model is the existence of a social architecture in school organizations that helps shape teachers’ attitudes toward new pedagogies (Toole, 2001). Recent research using professional learning community as a variable has shown powerful associations with teacher practice (Bryk, Camburn & Louis, 1999; Louis, Marks & Kruse, 1996; Pounder, 1999; Scribner et al., 1999; Toole, 2001). School administrators, in particular, help develop professional learning community through their attention to individual development, and by creating and sustaining networks of conversation in their schools around issues of teaching and learning (Leithwood & Louis et al., 2004).

The principal cannot do the school work alone. Teachers are a critical piece to exemplary student achievement. How the principal and teachers work together to have students reach high levels of academic achievement is essential to a well-run, sustainable public education system. Hargreaves and Fink (2004) discussed the importance of sustainable leadership and offered seven principles to support the point. First, sustainable leadership matters. The prime responsibility of all education leaders is to put in place learning that engages students intellectually, socially, and emotionally. Sustainable leadership goes beyond temporary gains in achievement scores to create lasting, meaningful improvements in learning (Glickman, 2002; Stoll, Fink, & Earl, 2002). Second, sustainable leadership lasts. Sustainable leadership means planning and preparing for succession [teachers, too] – not as an afterthought, but from the first day of a leader’s appointment. Hargreaves and Fink (2004) offered rare glimpses of thoughtful and effective succession management. Third, sustainable leadership spreads. One way for leaders to leave a lasting legacy is to ensure that others share and help develop their vision. Leadership succession, therefore, means more than grooming the principal’s successor. It means distributing leadership throughout the school’s professional community so others can carry the torch after the principal has gone (Spillane, Halverson & Drummond, 2001). Fourth, sustainable leadership is socially just. Sustainable leadership benefits all students and schools, not just a few at the expense of the rest. Sustainable leadership is aware of how lighthouse, magnet, and charter schools and their leaders can leave others in the shadows, and is sensitive to how privileged communities can be tempted to skim the cream off the local leadership pool. Sustainable leadership recognizes and takes responsibility for the fact that schools affect one another in webs of

mutual influence (Baker & Foote, 2005). Fifth, sustainable leadership is resourceful. Sustainable leadership systems provide intrinsic rewards and extrinsic incentives that attract and retain the best and brightest of the leadership pool [teachers included]. Such systems provide time and opportunity for leaders to network; learn from and support one another; and coach and mentor their successors. Sustainable leadership promotes diversity. Promoters of sustainability cultivate and re-create an environment that has the capacity to stimulate continuous improvement on a broad front. Supporters of sustainability enable people to adapt to and prosper in their increasingly complex environments by learning from one another's diverse practices (Capra, 1997). Sixth, sustainable leadership is activist. Standardized reform has exaggerated the problems of the traditional schools in our study, turning these schools into less-motivated versions of their former selves. Meanwhile, the innovative schools have lost some of their edge. To change the schools, we need leaders who do the right things, and do the right things for a long time to come. Seventh, sustainable leadership must be supported by educational systems. Hargreaves and Fink (2004) found inspiring examples of leaders who did more than just manage change; they pursued and modeled sustainable leadership. Leaders develop sustainability by committing to and protecting deep learning in their schools, and trying to ensure that improvements last over time, especially after they have gone; by distributing leadership and responsibility to others; by considering the impact of their leadership on the schools and communities around them; by sustaining themselves so that they can persist with their vision and avoid burning out; by promoting and perpetuating diverse approaches to reform rather than standardized prescriptions for teaching and learning; and by engaging actively with their environments (Hargreaves & Fink, 2004).

Heifetz and Linsky (2004) discussed the importance of adaptive leadership within schools. The problems that require adaptive leadership, by both principal and teacher, are those that the experts cannot solve. Adaptive leadership changes people's values, beliefs, habits, ways of working, or ways of life. As teachers learn a new set of competencies, to help them leave fewer children behind in their classrooms, they may have to endure a temporary loss of confidence when they face the gap between the demands for performance and their current practices. Developing these competencies will probably require the school to make adaptive changes as well, adopting new norms of supervision, experimentation, and collaboration. While most people would rather have the person in authority lighten their work load, protect them from disorienting change, and meet challenges on their behalf, the real work of leadership usually involves giving the work back to the people who must adapt, and mobilizing them to do so. Heifetz and Linsky (2004) offered the following advice for school leaders:

“If you have difficulty keeping these types of relationships central in your efforts toward change, consider how the following five essential aspects of political thinking can help you exercise adaptive leadership:

Don't do it alone – Find partners. This task is sometimes easier said than done. Even those who agree with your goals may hesitate to share the risks, preferring to wait and see how secure the footing is before they take action. But partners can strengthen both you and your initiatives. By enlisting partners, you build political power on the basis of personal relationships, instead of simply relying on the logical power of your evidence and arguments.

Keep the opposition close – To exercise adaptive leadership, you must work as closely with your opponents as you do with your supporters. Most of us cringe at spending time with – and especially taking abuse from – people who do not share our vision or passion. Keeping your opposition close also connects you with your diagnostic job. The people whose perspectives you most need to understand are those most upset by your agenda. The opposition has more to lose, and therefore they deserve more attention.

Acknowledge their loss – Remember that when you ask people to participate in adaptive change, you are asking a lot. You may be asking them to choose between two values, both important to the way they understand themselves. You need to respect and acknowledge the loss that people suffer when you ask them to leave behind something they have lived with for years. It is not enough to point to a hopeful future. People need to know that you realize that the change you are asking them to make is difficult and that what you are asking them to give up has real value to them.

Accept casualties – Any significant adaptive change that benefits the organization as a whole may clearly and tangibly hurt some of those who thrived under the status quo. If people simply cannot or will not go along with change, then they will become casualties. Understanding that successful change will likely cause casualties will enable you to focus on

your priorities – and be more mindful about helping those people who get left behind to move on to their next position.

Accept responsibility for your piece of the mess – “If only other people would shape up, I could make progress here.” When you are too quick to lay blame on others, you risk misdiagnosing the situation. And you also risk making yourself a target by denying that you, too, need to change. Instead of setting up a dynamic of you versus them, accept your share of the responsibility and face the problem together.

We will not meet our current challenges by waiting for higher authorities, such as the state commissioner, the governor, or the federal government to figure out the answers. Although many important new insights are generalizable across education contexts, each school district, school, and classroom must discover the adaptations that will succeed in its environment, for its students and their families. The kind of leadership that can fashion new and better responses to those local realities needs to come from many places within classrooms, districts, and communities. In this complex environment, it is more important than ever that educators at all levels exercise adaptive leadership” (Heifetz & Linsky, 2004).

The Importance of Principal and Teacher Relationships

School achievement depends on the nature of relationships established within the school’s corridors, especially the relationships formed between the principal and teachers. If America is to keep up in terms of global competitiveness, then we would be wise to heed the importance given to the principal/teacher relationship in other countries. As part of a study for the National Staff Development Council, researchers Wei, Andree, and

Darling-Hammond (2009) examined the professional development opportunities provided for teachers in several of the highest-achieving nations as measured on international measures such as the Programme for International Assessment (PISA) and the Third International Math and Science Study (TIMSS). They found that the learning systems in those high-achieving nations have five features in common, including: (1) time for professional learning and collaboration built into teachers' work hours, (2) ongoing professional development activities that are embedded in teachers' contexts and focused on the content to be taught, (3) extensive opportunities for both formal and informal in-service development, (4) supportive induction programs for new teachers, and (5) school governance structures that involve teachers in decisions about curriculum, instruction, assessment, and professional development. More than 85 percent of schools in Belgium, Denmark, Finland, Hungary, Ireland, Norway, Sweden, and Switzerland provide time for professional development in their teachers' workday or week, whereas this built-in time is typically absent in the United States. Furthermore, this type of professional development is job-embedded whereby action research on a topic related to practice is fairly common in western European and Asian schools. In Denmark, Finland, Italy, and Norway, as well as Singapore, Australia, and Hong Kong, teachers often participate in collaborative research and study on topics related to education (new methods of teaching, curriculum development, integration of technology into the curriculum, and so on) in both their pre-service preparation and their ongoing work. Many high-achieving nations also organize extensive professional development that draws on expertise beyond the school. Some mandate the number of formal professional development hours that teachers must participate in beyond the many hours spent in

collegial planning and inquiry. Induction programs for new teachers are mandatory in many countries, such as Australia, France, Greece, Israel, Italy, Japan, Korea, New Zealand, and Switzerland. Most of these programs include release time for new teachers, mentor teachers who participate in the induction activities, and training for the mentor teachers. Most importantly to the research contained in this paper, one of the policy conditions associated with increased teacher collaboration in many high-achieving nations is greater decentralization of many education decisions to the school level. For example, in the 1970s and 1980s, Finland, Sweden, and Switzerland were among countries that replaced highly detailed national curriculum documents and external tests with much broader goal statements that were designed to guide teachers' development of local curriculum and instruction. Teachers in these and many other nations are responsible for designing curriculum and key school-based assessments to evaluate student learning in relation to the national standards. The content of professional learning is determined according to local needs, and is often embedded in the work of school-based teacher teams, which are empowered to make decisions around curriculum and evaluation (Wei, Andree & Darling-Hammond, 2009).

In order to build collaborative professional learning communities, like those found in the higher-achieving countries around the world, America would be wise to pay attention to the effects of the relationships established between the school principal and their classroom teachers. In a study titled *Leadership for Learning Improvement in Urban Schools*, Portin et al. (2009) found that developing trust and respect throughout the school leadership and teacher circles, along with seeking improved occasions for communication dealing with the teaching and learning process, and being supportive

within the context of the learning environment, were important to achieving improved student achievement within the urban school walls. The Portin report stated: “Taking specific steps to build trust – between leaders and other staff, among staff more generally, and with other stakeholders – was one key to achieving a sense of community in support of school-wide learning improvement work” (Portin et al., 2009). “In many of the schools, leaders espoused the idea that ‘everyone is a teacher,’ and that understanding the work and experiences of teaching and bringing the teacher’s perspective into instructional leadership work can be very powerful for the development of trust and credibility between instructional leaders and teachers” (Portin et al., 2009). Furthermore, the Portin et al. study emphasized the importance of communicating learning expectations through more than just the formal evaluation process. Top-performing schools, in addition to using a formal evaluation process, depended on informal observations where the school leadership, led by the principal, could engage in on-going and constructive conversations with classroom teachers on a daily basis. Supervisory leaders, like the building principal, connected with classroom teachers through professional development, both as leaders and participants. In high-performing settings, the principal and their teachers were interchangeable when it came to leading and following within the instructional process. For all of these things to happen productively and in a mutually reinforcing way, *principals needed to act, and see themselves, as leaders of an instructional leadership team as much as, or more than, the sole or chief instructional leader of the school* (italics added by author) (Portin et al., 2009).

In July 2010, a group of researchers from the University of Minnesota and the University of Toronto combined talents to release a report, commissioned by the Wallace

Foundation, entitled *Learning from Leadership: Investigating the Links to Improved Student Learning*. In the report, the researchers commented on collective leadership (which refers to the extent of influence that organizational members and stakeholders exert on decisions in their schools), shared leadership (which focuses more narrowly on relationships among actors within schools), distributed leadership (how school leadership assigns tasks to teachers and staff and what types of tasks are assigned), and leadership practices considered instructionally helpful by high-performing principals and teachers.

Louis and Leithwood et al. found that collective leadership had a stronger influence on student achievement than individual leadership. They found that almost all people associated with high-performing schools had greater influence on school decisions than was the case with people in low-performing schools. The researchers found that high-performing schools awarded greater influence to teacher teams, parents, and students, in particular. They noted that principals and district leaders had the most influence on decisions in all schools; however, they did not lose influence as others gained influence. Finally, the researchers found that school leaders had an impact on student achievement primarily through their influence on teachers' motivation and working conditions, and their influence on teachers' knowledge and skills produced less impact on student achievement (Louis & Leithwood et al., 2010).

Louis and Leithwood et al. found that shared leadership targeted directly at improving instruction had significant effects on teachers' working relationships and, indirectly, on student achievement. They found that when principals and teachers shared leadership, teachers' working relationships were stronger and student achievement was higher. The researchers found that leadership effects on student achievement occurred

largely because effective leadership strengthened professional community – a special environment within which teachers worked together to improve their practice and improve student learning, and professional community, in turn, was a strong predictor of instructional practices that were strongly associated with student achievement. They noted that the link between professional community and student achievement may have been explained by reference to a school climate that encouraged levels of student effort above and beyond the levels encouraged in individual classrooms. Louis and Leithwood et al. found that students in elementary schools performed better on state tests than students in upper grades. Finally, the researchers found that the factor of trust was less significant toward increased student achievement than the factors of instructional leadership and shared leadership, although it is associated with both (Louis & Leithwood et al., 2010).

Louis and Leithwood et al. found that, regarding distributed leadership, while there are many sources of leadership in schools, principals remain the central source. They found that how leadership was distributed in schools depended on what was to be accomplished, on the availability of professional expertise, and on principals' preferences regarding the use of professional expertise. The researchers found that no single pattern of leadership distribution was consistently linked to student learning. They noted that principals were involved in many leadership activities, while others who act as leaders in the school ordinarily did so with respect to one or a few initiatives. The researchers found that leadership was more distributed for practices aimed at “developing people” and “managing instruction” than it was for “setting directions” and “structuring the workplace.” Finally, the researchers found that more complex and coordinated patterns

of distributed leadership appeared when school improvement initiatives focused directly on student learning goals, as distinct from the implementation of specific programs (Louis & Leithwood et al., 2010).

Louis and Leithwood et al. reported on leadership practices that were considered instructionally helpful by high-performing principals and teachers. They found that research previous to theirs had identified a set of core practices underlying the work of successful school- and district-level leaders. These core practices could be classified as *Setting Directions*, *Developing People*, *Redesigning the Organization*, and *Managing the Instructional Program*. The researchers also found that almost all leadership practices considered instructionally helpful by principals and teachers were specific enactments of these core practices. They found that teachers and principals were in substantial agreement about the leadership practices they considered to be instructionally helpful. Louis and Leithwood et al. found that teachers generally agreed with one another in identifying helpful leadership practices; although teachers varied widely in the sophistication of their classroom instruction, they nevertheless were consistent in identifying most of the same leadership practices as helpful to student achievement. They noted that the school level (elementary, middle, high school) had a small effect on the importance teachers attached to a small number of leadership practices. Finally, the researchers stated that teachers and principals agreed that the most instructionally helpful leadership practices were: *Focusing the school on goals and expectations for student achievement*; *keeping track of teachers' professional development needs*; and *creating structures and opportunities for teachers to collaborate* (Louis & Leithwood et al., 2010).

To report the importance of leadership support for teachers in achieving increased student performance, Knapp et al. released a Wallace Foundation-commissioned study in August 2010. In this study, researchers found that a leader's support (i.e. principal's) that was both explicit and focused was critical to focused teacher practice that led to increased student achievement. The researchers pointed to five critical attributes to make leadership support for teacher efficacy a reality. First, leaders provided resources to their teachers. Second, leaders engaged their teacher in quality professional learning. Third, leaders encourage the fostering of relationships with professional peers. Fourth, leaders attended to teachers' administrative needs in a responsive, differentiated way. Fifth, leaders sponsored and legitimized teacher work that showed evidence of classroom and/or school leadership (Knapp et al., 2010).

Along with leadership support for teachers, researchers have found that trust and respect between teachers and their principal is important to improved student achievement. "Human resources – such as openness to improvement, trust and respect, teachers having knowledge and skills, supportive leadership, and socialization – are more critical to the development of professional community than structural conditions...The need to improve the culture, climate, and interpersonal relationships in schools has received too little attention" (Kruse, Louis & Bryk, 1994; Louis & Kruse, 1995; Newmann et al., 1996). A growing body of case studies and clinical narratives direct our attention to the engaging but elusive idea of social trust as essential for meaningful school improvement. According to researchers Bryk and Schneider, relational trust is essential to teachers and the principal working together to improve student achievement. Relational trust is made up of respect, personal regard, competence in core role

responsibilities, and personal integrity. The benefits of relational trust impact collective decision making, reduce risk when new initiatives are introduced, and make difficult work easier to take on. Bryk and Schneider point to three factors that serve to foster the growth of relational trust on a school campus. First, principal leadership is a key to the advent of relational trust. Without the building leader first taking on the responsibility of demonstrating relational trust, there is little chance that teachers will follow suit. Second, having principals who encourage teachers to take the initial step to reach out to their students' parents fosters relational trust. Finally, factors like school size, a stable school community, and extending the offer of voluntary association in some school activities and events can foster relational trust on a school campus (Bryk & Schneider, 2003).

In addition to leadership support and trust and respect, communication is a third important piece to a positive relationship between teachers and the school principal. Hord discussed the role that communication plays in building an effective professional learning community when she stated:

“It is the role of the principal to continuously communicate the vision to all stakeholders. The principal articulates powerful images that encourage everyone's commitment to the vision. Throughout the school and the community, reminders are posted of what high-quality student achievement and successful student learning look like. Student work is displayed prominently in the school. Descriptions and examples of high-quality achievement and learning are shared in the school newsletter, in the local newspaper, and even briefly on banners, bumper stickers, and the

school's external marquee. The focus is always on students and learning”
(Hord, 2007).

The professional learning structure is one of continuous adult learning, strong collaboration, democratic participation, and consensus about the school environment and culture and how to attain the desired environment and culture. In such a collegial culture, educators talk with one another about their practices, share knowledge, observe one another, and root for one another's success (Barth, 2006). This new relationship forged among administrators and teachers leads to shared, collegial leadership in the school, where all staff members grow professionally as they work toward the same goal. Barth (2006) distinguished between congenial and collegial communication this way:

“A conversation about the Red Sox or Yankees can be noteworthy and lively –an example of congenial communication. Indicators of collegiality include the following educators talking with one another about practice, sharing their craft knowledge, observing one another while they are engaged in practice, and rooting for one another's success. While congenial communication is important, it is collegial communication that is essential to an effective professional learning community and a well-run school” (Barth, 2006).

It is important to note that communication leads to a stronger relationship between teachers and the school principal when student learning is the focal point of that communication. Too often, communication in schools centers on teaching instead of learning. Witness one principal's story about how he saw a transformation occur on his

campus when communication toward teachers stopped concentrating on their practices and started to focus on student learning:

“When I entered the principalship a quarter century ago, the research on effective schools warned that without strong administrative leadership, the disparate elements of good schooling could be neither brought together nor kept together...I hoped to be an *instructional leader*...Eventually, after years as a principal, I realized that even though my efforts had been well intentioned...I had been focusing on the wrong questions. I had focused on the questions, What are the teachers teaching? and How can I help them to teach it more effectively? Instead, my efforts should have been drive by the questions, To what extent are the students learning the intended outcomes of each course? and What steps can I take to give both students and teachers the additional time and support they need to improve learning?” (DuFour, 2002).

High-performing campuses depend on principals and teachers behaving as learning leaders rather than instructional leaders. When communication within the school centers on student learning, good things happen. When school communication doesn't have this focus, student learning suffers.

Positive relationship-building between principals and teachers depends on principals developing teachers as leaders. Barth (2001) pointed out 10 areas in which teacher leadership is essential to the health of a school: choosing instructional materials, shaping the curriculum, setting standards for student behavior, deciding whether students are tracked into special classes, designing staff development and in-service programs,

setting promotion and retention policies, deciding school budgets, evaluating teacher performance, selecting new teachers, and selecting new administrators. Barth continued to say that “if schools are going to become places in which all children are learning, then all teachers must lead. Skeptics might amend this assertion to “some teachers,” or “a few teachers,” or even “many teachers.” These low expectations are as destructive, limiting, and self-fulfilling as “some children can learn.” The fact of the matter is that all teachers harbor leadership capabilities waiting to be unlocked and engaged for the good of the school” (Barth, 2001).

A final word on the importance of positive relationships between teachers and the school principal comes from Canadian researcher Michael Fullan. Fullan (2002) stated that “the single factor common to successful change in schools is that relationships improve. If relationships improve, schools get better. If relationships remain the same, or get worse, ground is lost. Focusing on relationships isn’t just a matter of boosting achievement scores for next year, but rather a means of laying the foundation for year two and beyond. Well-established relationships are the resource that keeps on giving” (Fullan, 2002).

Traditionally, leadership has been viewed as the preserve of “great men”; that is, inspirational minds who can “turn around” schools, especially those facing challenging circumstances (Harris & Chapman, 2001). Recently, however, there has been a shift towards a realization that the most effective means for true improvement lies in more distributed and democratic forms of leadership, which has involves teachers leading their schools. The heroic view of leadership has only on occasion been found to be the factor that has led to school improvement (Connell, 1996). Teacher leadership, on the other

hand, has been found to benefit improvement in a range of studies (Harris & Juijs, 2002). School improvement programs that have attempted to increase teacher involvement in decision-making report positive effects (IESP, 2001). Heads of improving and effective inner-city schools frequently mentioned that increasing teacher involvement in decision-making was an important approach to improving student achievement (Seeley, Neimeyer, & Greenspan, 1990). Piontek, Dwyer, Seager, and Orsburn (1998) found that decentralized leadership, using small teams that made decisions on different aspects, to be typical of improving schools in their study of six high-poverty urban elementary schools. Finally, Louis and Miles's (1990) study of urban high schools, principals were found to be strongly instrumental in formulating a clear vision for the school and in monitoring performance, but likewise involved teachers and assistant principals in school leadership. Involving teachers in developing or choosing a school improvement strategy has been found to be a crucial factor in sustaining improvement in a number of research studies (Muijs et al., 2004).

The School as a Community: The Importance of Reflective Practice

Successfully building an organizational culture, realizing the importance of the school principal in building that culture, and cultivating a strong working relationship between the school leader and their teachers fosters a school that operates much like a reflective community. In his 1994 book entitled *Building Community in Schools*, Thomas Sergiovanni brought together ideas, examples, and experiences with community from many sources into a framework that could help principals, parents, and teachers in their struggle to build community. "Since community means different things in different disciplines, [Sergiovanni] proposed that for schools we define the term as follows:

Communities are collections of individuals who are bonded together by natural will and who are together bound to a set of shared ideas and ideals. This bonding and binding is tight enough to transform them from a collection of ‘I’s’ into a collective ‘we.’ As a ‘we,’ members are part of a tightly knit web of meaningful relationships. This ‘we’ usually share a common place and over time comes to share common sentiments and traditions that are sustaining” (Sergiovanni, 1996).

Sergiovanni used the concepts of *gemeinschaft* and *gesellschaft*, first introduced by Ferdinand Tonnies in 1887, as a way to think about the working relationships between principals and teachers in schools. Sergiovanni pointed out that Tonnies argued that as society moved away from hunting and gathering to agriculture to industry, each of these transformations resulted in a shift away from *gemeinschaft* toward *gesellschaft*. As society moved toward the *gesellschaft* end of the continuum, community values were replaced by contractual ones. Sergiovanni (1996) states, “Among any collection of people, social relationships don’t just happen, they are willed. Individuals decide to associate with each other. The reasons why they decide to associate are important. In *gemeinschaft*, natural will is the motivating force. Individuals decide to relate to each other because doing so has its own intrinsic meaning and significance. There is no tangible goal or benefit in mind for any of the parties to the relationship. In *gesellschaft*, rational will is the motivating force. Individuals decide to relate to each other to reach some goal, to gain some benefit. Without this benefit there would be no relationship. [In present-day terms, think school accountability.] Once the benefit is lost, the relationship ends. In the first instance, the ties among people are moral. In the second instance the ties among people are calculated.”

To summarize the difference between the two conditions, Sergiovanni wrote: “*Gesellschaft* enterprises maintain connections by bartering rewards or punishments for loyalty and compliance. Members work for pay or for psychological rewards, and their involvement, as a result, is calculated. As long as they get what they want, they give what they must. But when they calculate otherwise, their involvement decreases. *Gemeinschaft* enterprises, by contrast, strive to go beyond calculated to committed involvement. They do not ignore ‘what gets rewarded gets done,’ but they also strive to develop relationships among people that have moral overtones. They understand the importance of identifying with place and space over a period of time, and providing members with security, sense, and meaning. And they recognize that in the end the ties that bind us together come from sharing with others a common commitment to a set of ideas and ideals” (Sergiovanni, 1996). Finally, Sergiovanni stated: “Changing our theory from school-as-organization to school-as reflective community is the way to restore integrity and character to the literature on schools organization, management and leadership. Organizations become communities when they are ‘infused with value,’ to use Selznick’s term (1957)” (Sergiovanni, 1996).

Harvard educator Tony Wagner used different language to describe the need to change principal and teacher relationships inside schools when he wrote about “first-tier” versus “second-tier” change to produce a “knowledge-generating culture” inside our public school systems. Wagner stated, “In recent school reform efforts, the overwhelming majority of school principals and superintendents have relied on what I call Second-Tier strategies to create change. Second-Tier change efforts attempt to teach people new or improved skills without altering – or even discussing – the organizational

culture of the school or district. The problem is that the culture of public schools and district bureaucracies is almost universally based on *compliance* – obeying the rules of authorities and doing only the minimum needed to “get by.” Students do only what is needed to get the grade they want, teachers do only what the principal requires them to do, principals do what the central office tells them to do [think “copers”], and even superintendents must do what the state or federal government says. Indeed, these are the rules of survival in almost all bureaucracies around the world. A compliance-based system does not reward risk-taking or encourage innovation. As a result, it cannot even begin to create the adult learning or make the kinds of changes most needed in education. It cannot generate new knowledge because all of the rewards and incentives tend to reinforce the status quo” (Wagner, 2002).

Wagner juxtaposes the Second-Tier condition with what he terms First-Tier change. He states, “Individual and organizational behaviors do not change unless leaders consciously and systemically set out to create a new ‘knowledge-generating’ culture rooted in *commitment*, rather than compliance. The shared commitment is not merely to obey or not rock the boat. It is to create collaboratively; through sustained dialogue and inquiry, the new knowledge and skills – both individually and organizationally – that will enable all students to learn at high levels. Creating such a culture is the central task of First-Tier change. First-Tier change means moving from a bureaucratic school culture to a knowledge-generating culture. What drives the change are transformations in the components of culture” (Wagner, 2002). Among these transformations are highly collaborative relationships between principals and teachers, shared responsibility, a school motivated by relationships, agreements within the school based on covenants,

face-to-face accountability, sustained support for individual and organizational learning, expertise driven by collaborative and widely shared development, which produces a generation of new knowledge and solutions for society. This is the way a public school could run. To protect our democratic heritage and compete in the global economy, this is the way our public schools will have to run.

CHAPTER THREE

METHODOLOGY

Purpose of Study

The purpose of this study is to learn more about the relationships between principals and their teachers, and the impact those relationships have on student achievement. This study is part of a larger study of principals in the Gulf Coast Region of Southeast Texas conducted by a large research university located in that area. The larger research project was designed to strengthen the understanding of the factors and issues that principals consider critical in terms of their own administrative effectiveness. This information, including the findings of this study, will be used to design more effective principal preparation/certification programs within the university's master's degree program, along with continuing education programs for already-practicing school administrators.

Research Design

This study was conducted as an exploratory inquiry using a selected subset of the archived data collected from a previously conducted, much larger survey project designed and executed by senior faculty members in the Educational Leadership department of the major, doctoral-granting university mentioned above. The survey project used a cross-sectional, cognitive interview design and targeted subjects who were seated Texas K-12 public school principals. Over an 18-month period, the survey questionnaire was administered to principals in an interview setting by graduate students in the master's degree program as a course requirement. The accumulated data resulting from the

principal survey project were compiled and archived in a data base for use in future research on specific aspects of school leadership. This study deals with one aspect of school leadership, which is the relationship between the principal and teachers to positively impact student achievement. The original principal survey is included in its entirety as Appendix A to this study. The portion of the survey that focused on the importance of the relationship between the principal and the teachers was Section C of the survey. Responses were further analyzed for significant relationships with selected principal and campus demographics, which were collected in Section A of the survey.

Participants

The participants in this study consisted of 310 current public school principals. The survey primarily represents the views of public school principals, although 8 charter and 20 private school principals are included in the results. As shown in table 1, the racial distribution of principals included in the sample was comparable to that of professional educators in the region covered by this study, although racial percentages specifically for principals in the region covered by this study were not available.

Table 1

Racial Distribution of Principal Study Participants, Educators, and Students

	Anglo	AA	Hispanic	Asian/Other
Principal Study Participants	66%	22%	12%	-
Teachers in area supported by Region 4 Education Service Center ¹	65%	19%	13%	3%
Students on the Campuses of Principal Study Participants	32%	22%	38%	8%
Students in Area Supported by Region 4 Eductaion Service Center	29%	22%	43%	6%

Note. AA = African-American

Principals were asked to self-report their age within one of five ranges provided by the survey questionnaire. The distribution by age of the principal study participants illustrated below:

Table 2

Principal Study Participants by Age

	30 and Under	31-37 years	38-45 Years	46-55 Years	56-62 Years	No Response
Study Participants	2	32	79	106	54	37

Note. Years = Years of Age.

The gender of the principals was requested on the questionnaire. Of the total 310 respondents, 183 (or 59%) were female, and 127 (or 41%) were male.

Principals were asked to self-report their years of service in the position of campus principal and the years they worked in education in some capacity. The principal respondents reported that they had worked in education, in some capacity, for a mean of 23 years and in their current position of campus principal for a mean of 7 years. The survey questionnaire did not provide categorical ranges for responses to the question of years of service in the role of campus principal, as it did with the age question discussed above. Based upon advice given to other doctoral students by the designers of the original survey project, ranges were developed that follow research precedent. The distribution of the 310 principal participants by years of service as a campus principal, in four categorical ranges, is shown in table 3.

Table 3

Principal Study Participants by Years of Service as a Campus Principal

	Less than 3 Years	3-7 Years	8-15 Years	16 More Years	or No Response
Principal Study Participants	62	95	82	38	33

Over 90% of the principals surveyed reported having a master's degree as their highest earned academic degree. This is not surprising, since holding a master's degree is a requirement of Texas public school principals under state law. Approximately 1% of the survey respondents had a bachelor's degree, but these principals were leaders of private or parochial schools in the region and were not required to have a master's. Approximately 9% of the school leaders had their doctorate.

As part of the survey interview, principals were asked to report their school's classification as "Urban," "Suburban" or "Rural". Almost 93% of the principals in the study identified their campus as either an urban or suburban school. The number of schools in each classification, and the percentage of students from low-income families attending the schools in each classification (defined by participation in the state's free and reduced-price school lunch program) are shown in table 4.

Table 4

Principal Study Participants' Schools and Low-Income Students by Urban Classification

	Urban	Suburban	Rural
Classification of Principals' School	140	149	21
Low-Income Students	6%	34%	54%

Student enrollment among these 310 schools is a mean of 1,063 students, although this ranged from a mean of 2,024 students for high schools to a mean of 675 students at elementary schools. The largest single school included in the study is a newly constructed suburban high school designed to accommodate up to 4,000 students. The smallest individual school represented in the study is a rural private school for troubled boys serving 48 students in a mixed grade-level setting. The overall racial distribution of students on the campuses included in the study, compared to the racial distribution of all students in the seven-county area supported by the Region 4 Education Service Center, is shown in table 1.

The study included principals working in a wide variety of school settings. The 310 responses included principals from 70 high schools, 67 middle schools, 151 elementary schools, and 22 mixed grade-level students. For this study, high schools are defined as those serving either grades 9-12 or grades 10-12; middle schools are defined to include schools serving any mix of grades 5-9, thereby including both middle schools and junior high schools; and elementary schools are defined as those serving pre-kindergarten through grade 5.

The size of a campus's teaching staff could affect the relationships between the principal and their teachers. Principals who lead campuses with a smaller teacher population could have the opportunity to build stronger relationships with their teachers than those principals who lead campuses with large numbers of teachers. The survey questionnaire did not provide for categorical responses to the question of how many teachers are assigned to a campus. Principals simply responded to the interviewer with the numerical count of how many teachers were on their staff. Therefore, categories were devised for these data, based upon prior doctoral research studies, and the number of principal study participants reporting teachers in each category is shown in table 5.

Table 5

Principal Study Participants by Number of Teachers on Staff

		Number of Teachers on Participants' Staff				
Principal Participants	Study	49 Less	or 50-99	100- 149	150 More	or No Response
		100	125	25	29	31
		Percentage of Principles	32%	40%	8%	10%

All public schools in Texas are given a state accountability rating by the Texas Education Agency ("TEA"), based primarily on student achievement, attendance, and dropout rates. In determining a school's accountability rating, the state looks not only at total achievement levels for the school, but also at achievement levels for significant student groups within the school.

Table 6

Principal Study Participants' Schools by TEA Accountability Rating

	Exemplary	Recognized	Acceptable	Unacceptable	Not Ranked
Participants' Schools	27	94	145	7	37

Principals were asked to self-report their accountability rating in the survey. Texas accountability ratings were not available for 37 of the schools included in the survey results. Of these 37 schools, 20 were private schools and 12 were out-of-state schools, neither of which are subject to the state's accountability rating system, 2 were new schools that had not yet been through the state rating process, and 3 were schools serving special student populations that are exempt from accountability ratings. An additional five principals did not self-report their respective school's rating, but these missing ratings were acquired through the public domain. The number of principal study participants' schools by TEA ranking is shown in table 6.

Instrument

This study focuses on responses to four questions about the relationships between the principal and their teachers and the impact those relationships have on student achievement. These four questions were part of a larger survey instrument that addressed a variety of facets of the principal's experience. The overall survey instrument included 115 items; 22 dealt with the principals' background and school demographics, 62 were Likert-scaled items, and 31 were open-ended questions requiring in-depth, descriptive answers. All of the four relationship questions were open-ended and designed to

encourage respondents to elaborate on their answers. The actual items are included in Appendix A.

The survey instrument was initially developed to provide clinical experience for students in the Master's of Education program. Use of an open-ended survey/questionnaire provided a uniform framework for these students to have meaningful interaction with principals. A group of principals developed the initial set of topics and specific questions that they believed focused on critical areas of their profession.

Data Analysis

This study is based on the use of archival data that had already been collected through principal surveys and cognitive interviews. Discussion of the data collection procedures is based on a review of other doctoral studies that used the same archival data. Due to the length and complexity of the overall survey instrument, it was clear to those designing the overall study that face-to-face interviews were needed in order to obtain revealing, informative answers to the numerous open-ended questions. Simply mailing out the instrument and expecting busy school principals to invest the time needed to complete the detailed survey on their own was unrealistic. In addition, both the interviewer and the respondent needed to have a degree of commitment to the process in order to continue giving quality answers through the end of the survey. Under these circumstances, the researchers chose to use a cognitive interview protocol to administer the survey. Although the use of cognitive interviews was originally developed as a means for piloting new survey instruments and identifying potential problems with the

wording of questions, the utility of the approach has extended recently to other applications in survey research (Desimone, 2004; Willis, 2005).

Willis (2005) discusses two specific types of cognitive interview techniques – the think aloud approach and verbal probing. In the think aloud approach, the interviewer poses a prescribed question, and then simply records the subject's responses in detail. This technique tends to be used most frequently for evaluating the validity of survey questions in their early stage of development. Verbal probing involves a more interactive dialogue between the interviewer and subject, with the interviewer asking follow-up questions to obtain additional details and/or clarifications about responses. Typical prompts used in verbal probing are simple exhortations such as “explain” and “tell me more about...” (Willis, 2005). The benefit of using cognitive interviewing as opposed to a standard survey technique is that the resulting data contains the type of insights typically afforded by qualitative case studies and interviews, yet still retains the quantitative characteristics of the traditional survey (Willis, 2005). While time-consuming to administer, the trade-off is a best-of-both-worlds product in the end. An added benefit of the cognitive interview approach is that it allows interviewers to verify that the individual being interviewed has a similar understanding of each question's intent, and that no major aspects of the item are omitted, thereby addressing two general criticisms of the validity and reliability of survey research in general (Desimone, 2004).

The cognitive interview protocol was implemented in this study by having students in the university's master's degree program in educational leadership administer the survey. Graduate students in one of the core courses in the program were trained in both traditional survey and cognitive interview techniques prior to their field work of

contacting subjects. A portion of each student's grade in the class was based on their satisfactory completion of the required number of surveys, helping insure the commitment of the individuals charged with administering the survey. The student interviewers were allowed to choose which principals they interviewed. The survey designers presumed that most interviewers would select principals mainly from within the districts in which they were employed, and that this element of a personal/professional connection would help to insure the principals' commitment by appealing to their role in mentoring and developing future principals. The collected data from these interviews is maintained by the university as an archival resource for analyses in researching various questions regarding public school leadership from a principal's perspective. This study used part of this archival data.

For this particular study, this researcher has been a teacher, assistant principal, principal, and region superintendent in a large urban public school district in Southeast Texas. For the past three years, this researcher has led an educational non-profit involved in developing school leaders and building a network of high-performing public schools. As Gall (2003) points out, it is important to control for any unintended researcher bias. To achieve this goal, the researcher consulted with two professors from the aforementioned urban, four-year university in reviewing the responses to the four questions on principal and teacher relationships to identify the emergent themes coming from the archived data. Once the emergent themes were identified, the themes were named and operationally defined based on the survey responses, the literature review, and the discussion between this researcher and the two professors.

Validity and Reliability

A concern with this type of selection technique is that it could produce a sample that is not representative of the overall population. However, the university's demographics worked to mitigate that risk. The university's educational leadership program draws an ethnically diverse pool of graduate students who are primarily employed in any of the 33 school districts in a three-county metropolitan area ("Region 4 Profile," 2009). These school districts have a combined public school enrollment of over 800,000 students. The large number of districts and the dense population in the area provided an adequate pool of school principals from which to choose. With hundreds of individual schools to choose from, and a geographically-dispersed set of graduate student interviewers, there was a strong likelihood of obtaining a representative sample of the area schools.

Table 7

Distribution by County and Number of School Districts Represented

Region	School Represented	Districts	Principal Participants	Study	Percentage Participants	of
Brazoria	4		18		6%	
Fort Bend	2		33		11%	
Harris	12		224		72%	
Other Counties	STR Multiple		17		5%	
Other Regions	Texas Multiple		6		2%	
Outside Texas	Multiple		12		4%	

Note. STR = Southeast Texas Region.

In terms of the representative relationship of the sample to the overall school setting of the region, the sample includes principals from 248, or 24%, of the 1,034 public schools in the three-county area, representing just under 300,000 students, or 37%, of the total enrollment of 800,000 ("Region 4 Profile," 2009). This includes principals from all four of the districts with student enrollment greater than 50,000 students, four of the five districts with between 30,000 and 50,000 students, eight of ten districts with between 10,000 and 30,000 students, and two of the 14 small (fewer than 10,000 students) districts located in the three counties ("Texas Schools by County," 2009). While there are few small districts from the three-county area in the sample, small districts are represented in the study via the inclusion of various school districts located in less populated outlying counties. The two largest districts in the three-county area that are not represented in the study are a district with approximately 39,800 students at the southwestern edge of Harris County and a district with approximately 17,000 students at the northwestern edge of Fort Bend County. The lack of graduate students from these two districts that participated in the interview process very likely contributed to principals not being selected from these districts. Despite the exclusion of these two medium-sized districts and the several small districts in the region, the sample well represents the overall population of the geographic region.

The survey was administered over a period of 18 months, with different groups of graduate students administering the survey each semester during that time period. As a result of the selection technique used, there were numerous instances where the same principal participated in the survey more than once. This phenomenon can be attributed to both the ability of the graduate student to choose which principals they wanted to

interview, as well as the mentoring/professional-relationship nature of the principals' participation in the study. A total of 178 duplicate survey responses were deleted from the dataset used in this paper, resulting in the final sample set of 310 principals. This unintended consequence of obtaining large numbers of duplicates actually adds value to the study. First, it allowed the researchers to establish the test-retest validity of the principals' responses over multiple survey administrations. Second, and more important given the large numbers of interviewers involved in carrying out this study, it established instrument reliability in accurately capturing the views of the respondents, independent of who administered the survey. While minor variations in wording or phraseology were noted, there were no incidents where a principal's opinion changed from one survey administration to another. In all instances where a principal was interviewed more than once, only the first response was retained in the final dataset. All subsequent responses were analyzed for internal consistency, but omitted from the final data.

The open-ended nature of the survey questions was intended to give principals the most freedom and flexibility in their responses. As a result, one of the first steps in working with the data was to identify, categorize, and code the themes that emerged among responses. This allowed the varied responses to be grouped according to their commonalities, thereby leading to useful insights about these principals' collective views about principal/teacher relationships and their impact on student achievement. A risk of using this approach is that the coding might be influenced by the researcher's own opinions and biases rather than objectively reflecting the views and intents of the respondent (Gall, 2003). However, over the 18-month data collection period, a total of 99 graduate students administered the survey and conducted the cognitive interviews

used in this study. The large number of students involved in this process served as an effective safeguard against interviewer bias. The large number of interviewers and the relatively narrow range of responses indicated a high degree of data reliability. Private and charter schools, and schools in rural settings, are underrepresented in the sample. As a result, the findings of this study may not be applicable to other private, charter, and rural schools. However, the results of this study can be reasonably generalized to urban and suburban public schools at all levels- elementary schools, middle level schools, and high schools - since each of these categories had large representation in the sample.

CHAPTER FOUR

RESULTS

The purpose of this study was to learn more about the relationships between principals and their teachers, and the impact those relationships have on student achievement. The four research questions of this study were: (1) Why is the relationship between the principal and the teacher important for the school? (2) What is the most critical feature for a successful working relationship between the teacher and the principal? (3) What does a principal do to create good relations with their teachers? And, (4) How does the principal look out for the personal welfare of their teachers? Although 310 school principals participated in this study, the number of responses to each research question far surpassed the number 310. This was due to some respondents including multiple answers to one research question. Response frequencies were identified by the number of answers to each research question. Although additional principal participant demographic information was included in chapter 3 of this study, for the purposes of this study's results, principal gender, years of principal service, and the school's state accountability rating were the data reviewed for this chapter.

Research Question One

Why is the relationship between the principal and the teacher important for the school?

A sample of principal responses to Research Question One can be found below:

“The principal treats the teacher just as she would want to be treated. The teachers need to know that the principal cares about them as a person. When teachers are treated in this manner they will walk the extra mile.

There must be a feeling of trust on both parts and common goal is belief that all want the same thing with a shared vision without that being different. Everyone must work for the best interest of the students.

This relationship sets the standards for the school. They should be each other's cheerleaders and supporters.

An open relationship, yet one based on respect and trust is essential. Communication among all is critical with the ability to listen as paramount.

In order to achieve student success teachers must know they have the principal's support.

They are a team and work together for the success of the students.

Principal is a facilitator, not a dictator. The principal encourages risks and views mistakes as learning.

The success of the school and the principal is critically dependent on the productivity and outcome of students, which is most directly impacted by the teachers. Top-down leadership is very limited in effectiveness. The most effective teacher/principal relationships are when teachers are empowered to participate in the direction and planning for the school. Collaboration is a critical ingredient in creating a successful school program. The principal becomes instrumental in have the 'right' people in the 'right' place or position for maximum effectiveness.

Working in a school is about building relationships with teachers, staff, parents, and students. The job of a principal is to see that everyone is working together to improve instruction.

This relationship should reflect collaboration and teamwork. In an atmosphere of mutual respect, all parties feel valued and contribute to the teamwork of the campus.

The relationship is paramount to a well functioning school. The teachers must feel confidence in the leadership in their school. The teachers must trust the judgment and decision making of the leadership. The leadership must open the decision-making process to teachers. The leaders must trust that teachers are capable and dedicated.

The relationship between the principal and the teachers determines the destiny of the school.

The principal is the teacher's colleague. The principal cannot achieve his or her goals without the support of the teaching staff. Therefore, it is very important for an excellent rapport to exist between the teacher and the principal" (Copy of A-C Relationships – Principal Survey, 2005).

Out of the 338 total responses, 332 answers fell into one of three categories. 170 principal responses said that the relationship between the principal and the teacher was important for the school because of the leadership and support that type of relationship offered for overall school achievement. 84 principal responses said that the relationship between the principal and the teacher was important for the school due to the improved communication and visioning that type of relationship offered for overall school achievement. 78 principal responses said that the relationship between the principal and the teacher was important for the school because of the trust and respect necessary for the school to see improved achievement. The remaining six answers, from the 338 total responses, fell into three categories. Three responses said that visibility was important to a positive relationship between the principal and teachers, two responses said that “being informed” was important to a positive relationship between the principal and teachers, and one response spoke of creativity being the most important item to a healthy relationship between the school principal and their teachers.

Table 8

Responses to Research Question One

Response	<u>Number Responding</u>
The principal/teacher relationship provides leadership and support for overall school achievement	170
The principal/teacher relationship offers communication and visioning for overall school achievement	84
The principal/teacher relationship provides trust and respect necessary for the school to see improved achievement	78
All other responses	6

As Figure 1 shows, 68 male principals and 102 female principals responded that the relationship between the principal and the teacher was important for the school because of the leadership and support that type of relationship offered for overall school achievement. 34 male principals and 50 female principals responded that the relationship between the principal and the teacher was important for the school because of the communication and visioning that type of relationship offered for overall school achievement. 31 male principals and 47 female principals responded that the relationship between the principal and the teacher was important for the school because of the trust and respect necessary for the school to see improved achievement.

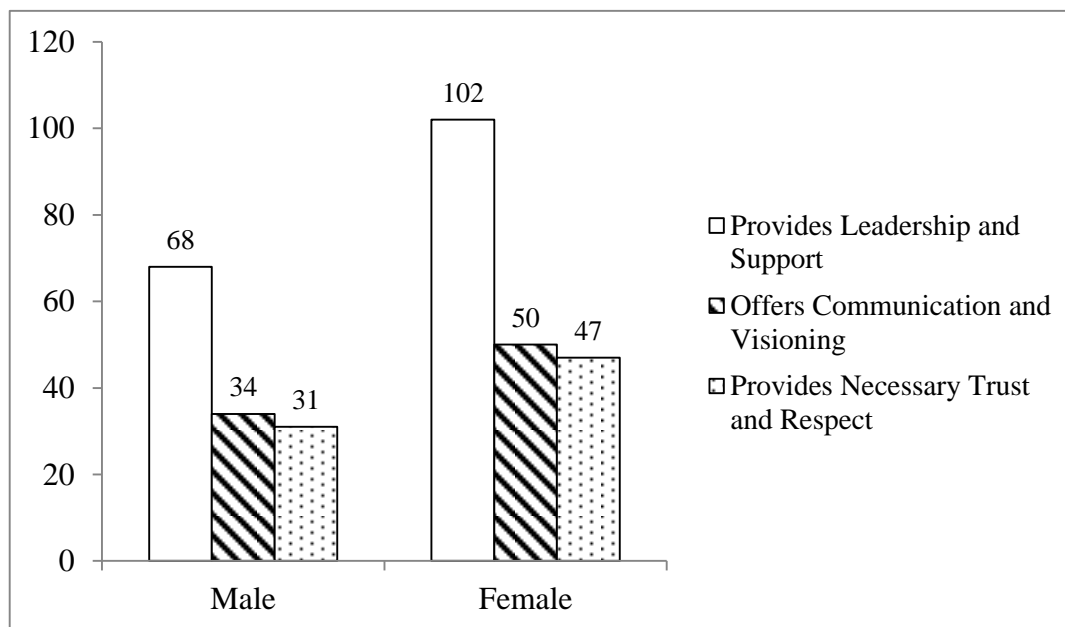


Figure 1. Responses to Question 1 (by Principal Gender)

As Figure 2 illustrates, 34 respondents with 3 years or less principal experience, 63 respondents with 3 to 7 years of principal experience, 53 respondents with 8 to 15 years of principal experience, and 20 respondents with 16 years or more principal experience believed that the relationship between the principal and the teacher was

important for the school because of the leadership and support that type of relationship offered for overall school achievement. 17 respondents with 3 years or less principal experience, 31 respondents with 3 to 7 years of principal experience, 26 respondents with 8 to 15 years of principal experience, and 10 respondents with 16 years or more principal experience believed that the relationship between the principal and the teacher was important for the school because of the communication and visioning that type of relationship offered for overall school achievement. 15 respondents with 3 years or less principal experience, 29 respondents with 3 to 7 years of principal experience, 25 respondents with 8 to 15 years of principal experience, and 9 respondents with 16 years or more principal experience believed that the relationship between the principal and the teacher was important for the school because of the trust and respect that type of relationship offered for overall school achievement.

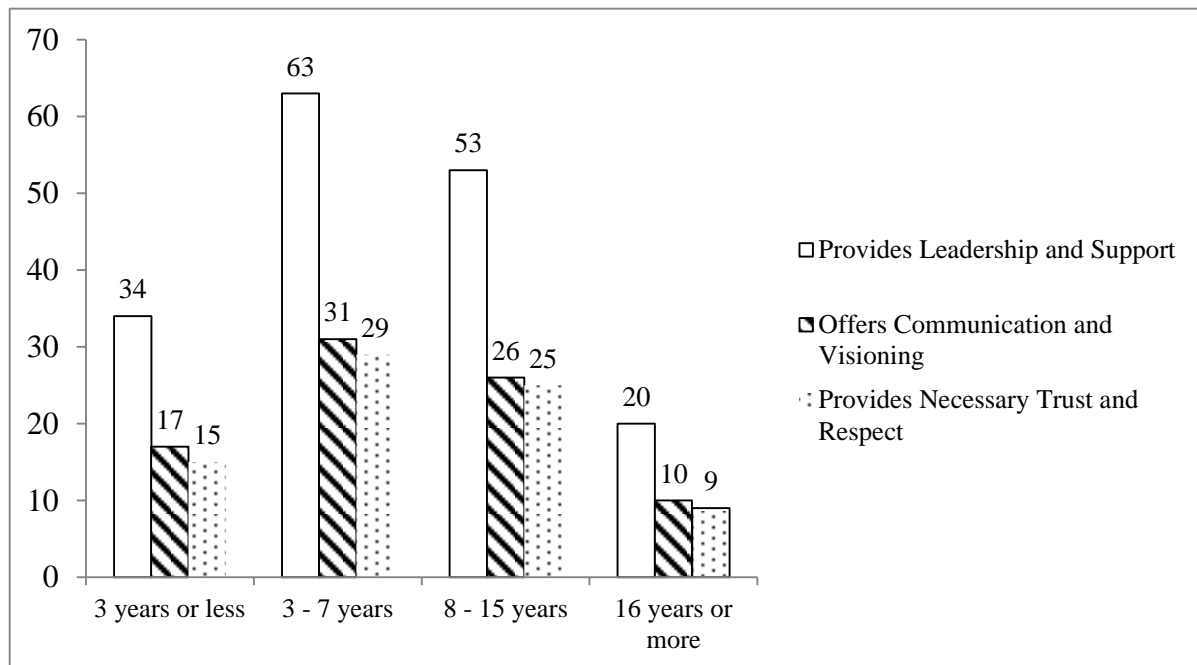


Figure 2. Responses to Question 1, by Principal's Years of Experience

As Figure 3 shows, 23 principals of exemplary campuses (as rated by state of Texas accountability), 64 principals of recognized campuses, 80 principals of acceptable campuses, and 3 principals of unacceptable campuses believed that the relationship between the principal and the teacher was important for the school because of the leadership and support that type of relationship offered for overall school achievement. 13 principals of exemplary campuses (as rated by state of Texas accountability), 31 principals of recognized campuses, 39 principals of acceptable campuses, and 1 principal of an unacceptable campus believed that the relationship between the principal and the teacher was important for the school because of the communication and visioning that type of relationship offered for overall school achievement. 12 principals of exemplary campuses (as rated by state of Texas accountability), 28 principals of recognized campuses, 37 principals of acceptable campuses, and one principal of an unacceptable campus believed that the relationship between the principal and the teacher was important for the school because of the trust and respect that type of relationship offered for overall school achievement.

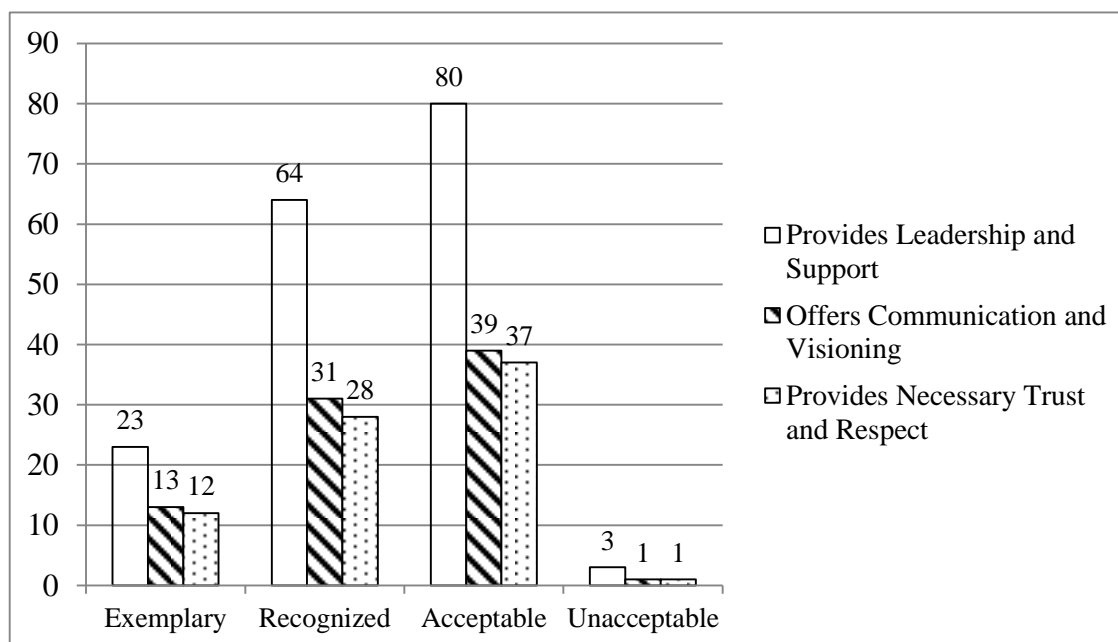


Figure 3. Responses to Question 1, by Texas Accountability Rating of Principal's School

Research Question Two

What is the most critical feature for a successful working relationship between the teacher and the principal?

A sample of principal responses to Research Question Two can be found below:

“Respect! Listening, cooperating, agreeing to disagree, and trust. Teachers must trust that he makes decisions with the big picture in mind.

Mutual respect and open communication.

Relationship builder, lay the groundwork for trust.

An open door; ability to laugh; to benefit from mistakes and try again; caring atmosphere; teachers knowing what principal expects; that teachers' ideas, input are actually used often or at least sometimes.

#1-TRUST . . . they must feel the principal is honest in his/her commitment to support their needs in guiding students.

Communication and trust. Open communication is only fostered when there is trust.

The most critical feature for a successful working relationship between teachers and principal is mutual trust.

The principal needs to support all teachers as well as the teachers supporting the principal.

Get out of the office and talk to your teachers. Find out what they need in order to improve instruction, the school and produce graduates.

If teachers don't feel there is a partnership between them and the principal, there will not be a unified vision for the campus.

Trust is the most critical gesture among teachers and principals. You have to always do what you say you're going to do.

Communication! It has been my experience that an open door policy and positive interactions with the staff help to keep the relationship strong. Visibility and a positive attitude go a long way.

Trust is Key.

I think that the most critical feature for a successful working relationship b/w teacher and principal is trust and "comfortability." It takes at least two years to establish the kind of trust and "comfortability" with staff.

Good honest communication. Coaching and being coached; learning together and being "human" together" (Copy of A-C Relationships – Principal Survey, 2005).

Out of the 441 total responses, 438 answers fell into one of three categories. 201 principal responses said that the most critical feature for a successful working relationship between the teacher and the principal was trust and respect. 166 principal responses said that the most critical feature for a successful working relationship between the teacher and the principal was communicating expectations. 71 principal responses told that the most critical feature for a successful working relationship between the teacher and the principal was leadership and support. The remaining three answers, from the 441 total responses, fell into three categories. One response said that humor was the most critical feature for a successful working relationship between the teacher and the

principal, one response said that “a unique specialization” was the most critical feature for a successful working relationship between the teacher and the principal, and one response spoke of “spirit” being the most critical feature for a successful working relationship between the teacher and the principal.

Table 9

Responses to Research Question Two

Response	Number Responding
Most critical feature for a successful working relationship between the teacher and principal	201
Establishing trust and respect	166
Communicating expectations	71
All other responses	3

As Figure 4 shows, 82 male principals and 119 female principals responded that the most critical feature for a successful working relationship between the teacher and the principal was establishing trust and respect. 68 male principals and 98 female principals responded that the most critical feature for a successful working relationship between the teacher and the principal was communicating expectations. 29 male principals and 42 female principals responded that the most critical feature for a successful working relationship between the teacher and the principal was leadership and support.

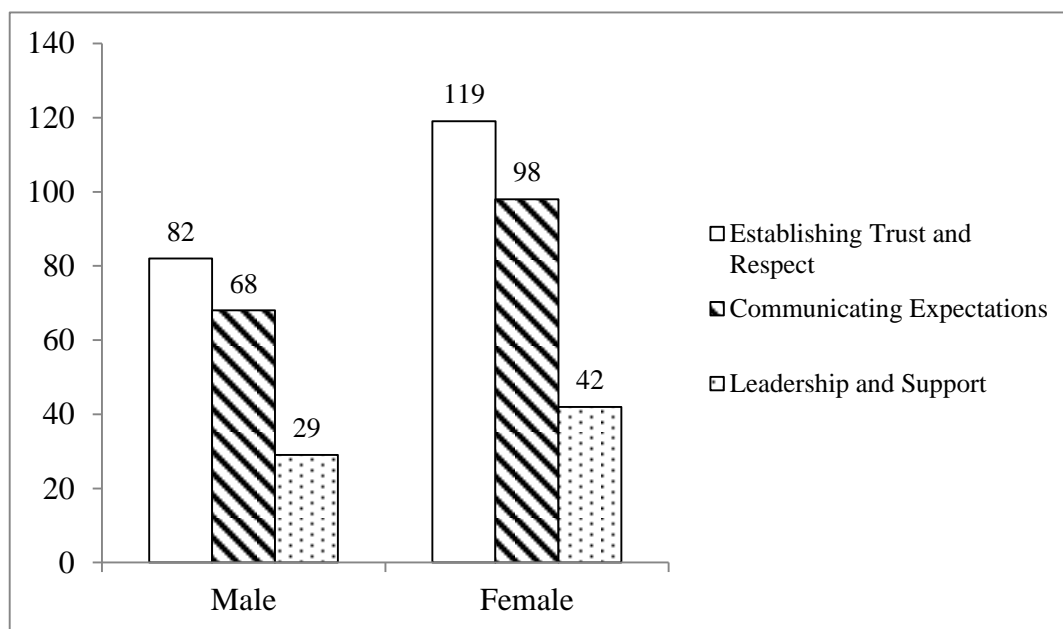


Figure 4. Responses to Research Question 2, by Principal's Gender.

As Figure 5 shows, 50 respondents with 3 years or less principal experience, 75 respondents with 3 to 7 years of principal experience, 52 respondents with 8 to 15 years of principal experience, and 24 respondents with 16 years or more principal experience believed that the most critical feature for a successful working relationship between the teacher and the principal was establishing trust and respect. 42 respondents with 3 years or less principal experience, 61 respondents with 3 to 7 years of principal experience, 43 respondents with 8 to 15 years of principal experience, and 20 respondents with 16 years or more principal experience believed that the most critical feature for a successful working relationship between the teacher and the principal was communicating expectations. 17 respondents with 3 years or less principal experience, 28 respondents with 3 to 7 years of principal experience, 18 respondents with 8 to 15 years of principal experience, and 8 respondents with 16 years or more principal experience believed that

the most critical feature for a successful working relationship between the teacher and the principal was leadership and support.

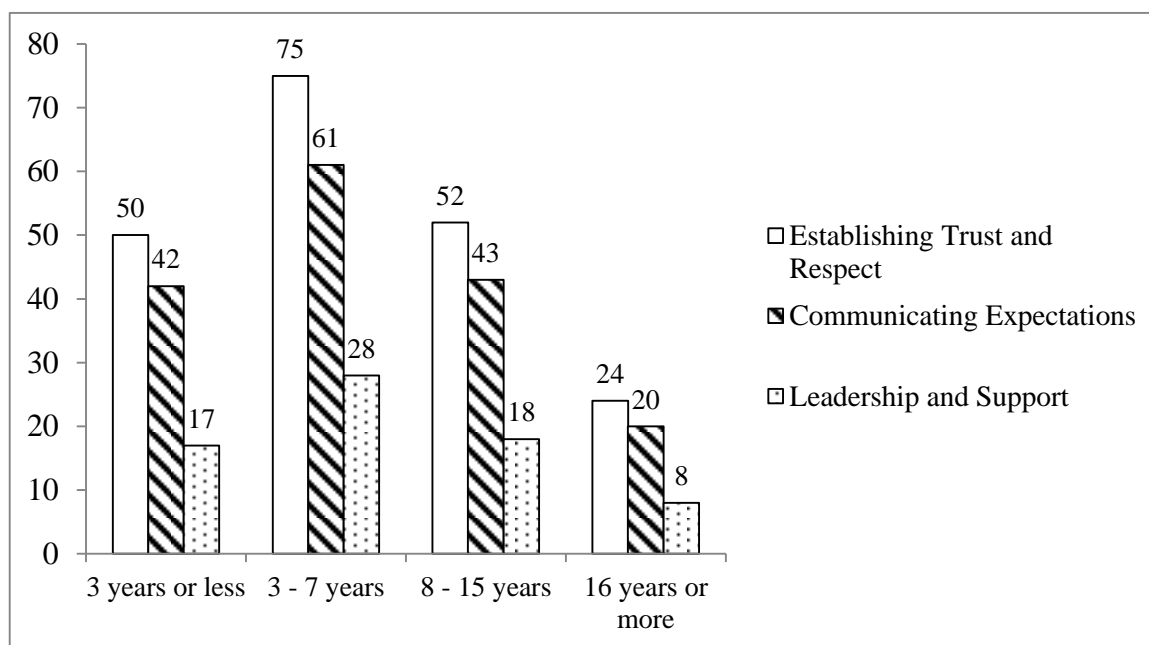


Figure 5. Responses to Research Question 2, by Principal's Years of Experience.

As Figure 6 shows, 26 principals of exemplary campuses (as rated by state of Texas accountability), 76 principals of recognized campuses, 94 principals of acceptable campuses, and 4 principals of unacceptable campuses believed that the most critical feature for a successful working relationship between the teacher and the principal was establishing trust and respect. 23 principals of exemplary campuses (as rated by state of Texas accountability), 63 principals of recognized campuses, 78 principals of acceptable campuses, and 3 principals of unacceptable campuses believed that the most critical feature for a successful working relationship between the teacher and the principal was communicating expectations. 10 principals of exemplary campuses (as rated by state of Texas accountability), 27 principals of recognized campuses, 33 principals of acceptable campuses, and one principal of an unacceptable campus believed that the most critical

feature for a successful working relationship between the teacher and the principal was leadership and support.

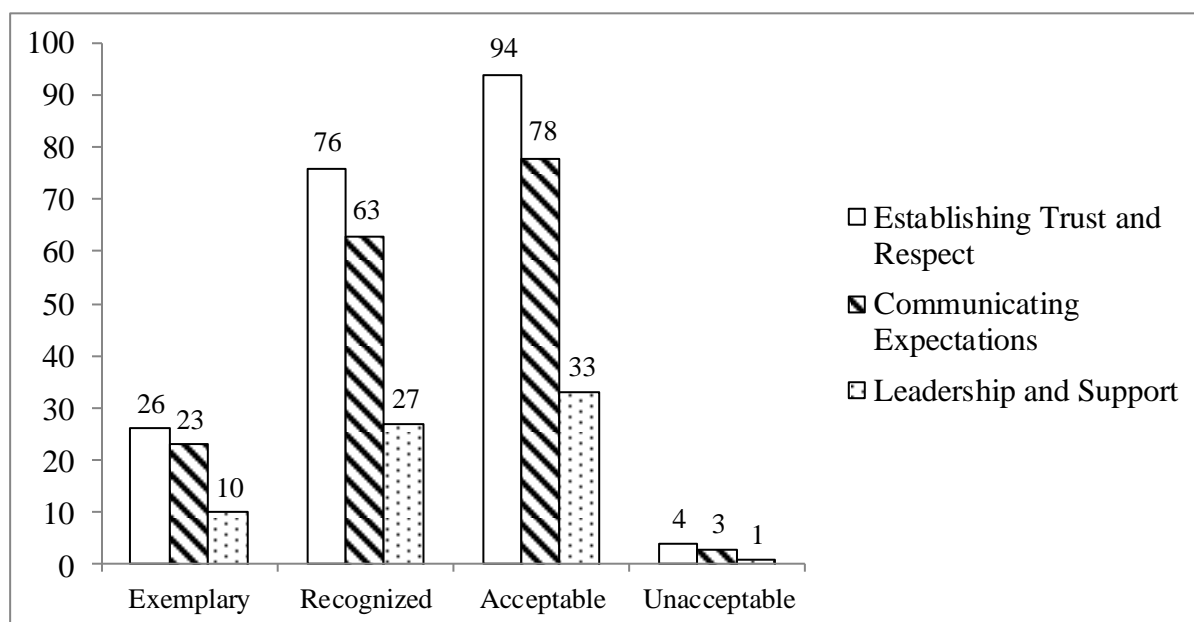


Figure 6. Responses to research question 2, by Texas accountability rating of principal's school.

Research Question Three

What does a principal do to create good relations with their teachers?

A sample of principal responses to Research Question Three can be found below:

“She recognizes life outside of school is important and takes an interest as well as respects outside needs.

In order to establish good relationships with teachers it is important that I consistently demonstrate trustworthiness and honesty.

I try to be involved in the life of staff away from the campus. For example, I attended the wake and funeral of a teacher's child who passed shortly upon my arrival at the school.

Respect their time, provide them additional staff development and training, allow flexibility and creativity in teaching, and allow feedback and input in decision making.

I spend time with them. I try to connect with them during lunch time, or before and after school. I check on them when they are having a personal crisis. I want to be supportive

in any way that I can. I want to help them out in any way I can. Having an open-door policy helps my relationships with my teachers.

I create a professional atmosphere for them. I keep as much of the bureaucratic paperwork away from them as possible and free them up from regulations as much as possible so they can teach.

Try to make their lives easier! Problem-solve with them and provide them the resources they need. Provide meaningful professional development opportunities.

To create good relations with my teachers I recognize and award them for the contributions that they make to our campus. I like to give them latitude to grow and explore.

By letting teachers have a voice. Talk with teachers outside of the office as often as possible. Get to know them on a personal level.

We compliment our teachers. We try to do things like serving breakfast for teachers. We do a complimentary luncheon at the end of each semester to let them know that we appreciate their sacrifice and commitment to our working environment each and every day. We also put incentives in their boxes each six weeks. We provide them with snacks: water, popcorn, fruit, cookies, and crackers. All those things kids like, teachers like, too.

I talk with them, I have a personal interest in them; I also try to listen intently when they want to talk.

I have team planning days with team leaders. I have “getting to know you” ice cream breaks during in-services. I have socials outside of school. We celebrate birthdays and the administrators give each teacher at least one good note each year” (Copy of A-C Relationships – Principal Survey, 2005).

Out of the 504 total responses, 502 answers fell into one of three categories. 228 principal responses said that the most important act a principal can do to create good relations with their teachers is exhibit strong communication skills. 209 principal responses said that the most important act a principal can do to create good relations with their teachers is exhibit strong leadership and support. 65 principal responses said that the most important act a principal can do to create good relations with their teachers is exhibit trust and respect. The remaining two answers, from the 504 total responses,

stated that identifying talent was the most important act a principal can do to create good relations with the teachers.

Table 9

Responses to Research Question Three

Response	Number Responding
Most important act a principal can do to create good relations with their teachers	
Exhibit strong communication skills	228
Exhibit strong leadership and support	209
Exhibit trust and respect	65
Other Responses	2

As Figure 7 shows, 93 male principals and 135 female principals responded that the most important act a principal can do to create good relations with their teachers is exhibit strong communication skills. 86 male principals and 123 female principals responded that the most important act a principal can do to create good relations with their teachers is exhibit strong leadership and support. 27 male principals and 38 female principals responded that the most important act a principal can do to create good relations with their teachers is exhibit trust and respect.

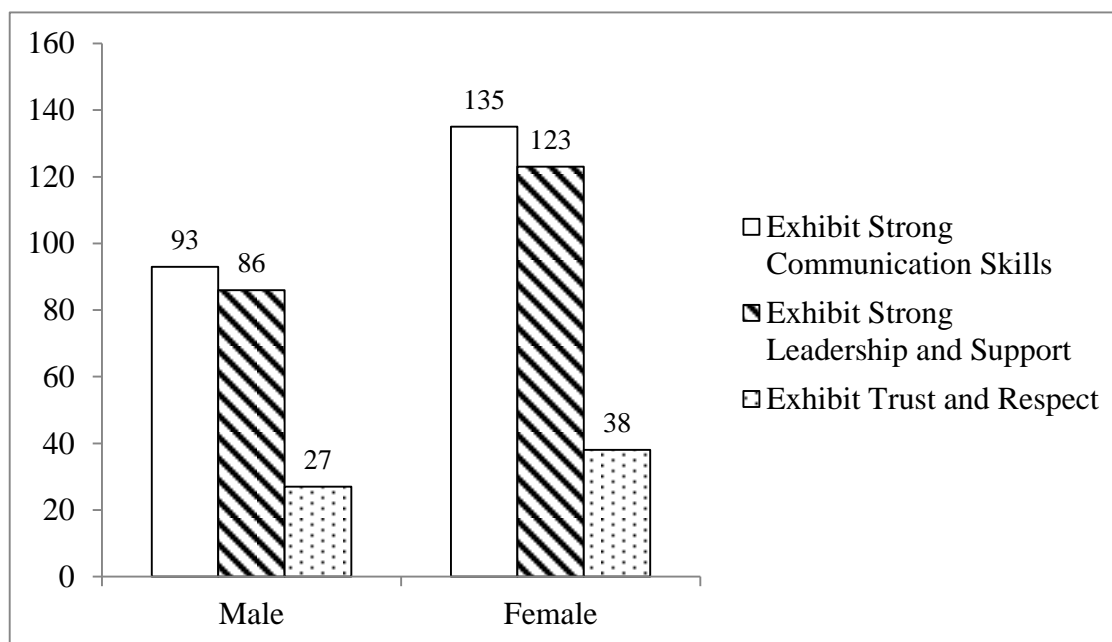


Figure 7. Responses to Research Question Three, by Principal's Gender.

As Figure 8 shows, 56 respondents with 3 years or less principal experience, 86 respondents with 3 to 7 years of principal experience, 59 respondents with 8 to 15 years of principal experience, and 27 respondents with 16 years or more principal experience believed that the most important act a principal can do to create good relations with their teachers is exhibit strong communication skills. 52 respondents with 3 years or less principal experience, 78 respondents with 3 to 7 years of principal experience, 54 respondents with 8 to 15 years of principal experience, and 25 respondents with 16 years or more principal experience believed that the most important act a principal can do to create good relations with their teachers is exhibit strong leadership and support. 16 respondents with 3 years or less principal experience, 24 respondents with 3 to 7 years of principal experience, 17 respondents with 8 to 15 years of principal experience, and 8 respondents with 16 years or more principal experience believed that the most important

act a principal can do to create good relations with their teachers is exhibit trust and respect.

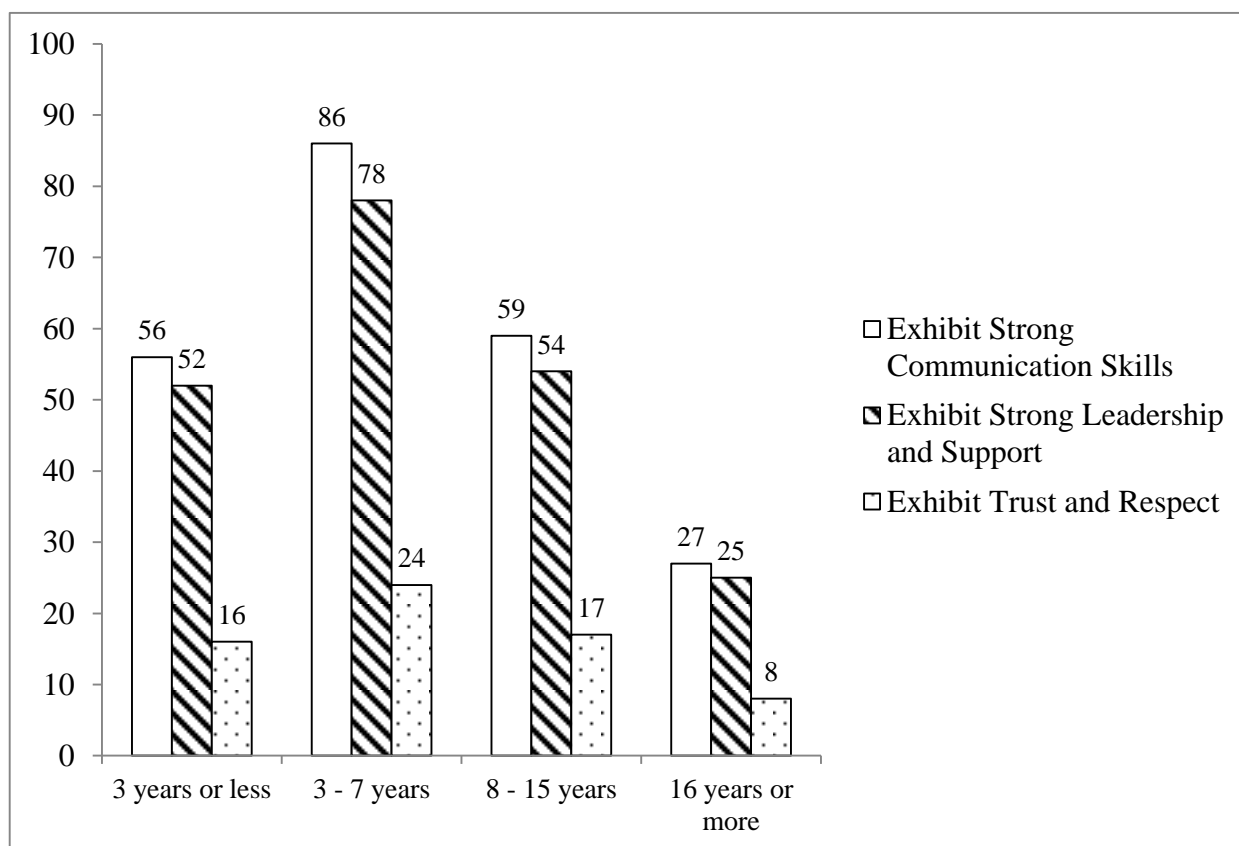


Figure 8. Response to Question 3, by Principal's Years of Experience.

As Figure 9 shows, 28 principals of exemplary campuses (as rated by state of Texas accountability), 89 principals of recognized campuses, 107 principals of acceptable campuses, and 4 principals of unacceptable campuses believed that the most important act a principal can do to create good relations with their teachers is exhibit strong communication skills. 29 principals of exemplary campuses (as rated by state of Texas accountability), 78 principals of recognized campuses, 98 principals of acceptable campuses, and 4 principals of unacceptable campuses believed that the most important act a principal can do to create good relations with their teachers is exhibit strong leadership and support. Nine principals of exemplary campuses (as rated by state of

Texas accountability), 25 principals of recognized campuses, 30 principals of acceptable campuses, and one principal of an unacceptable campus believed that the most important act a principal can do to create good relations with their teachers is exhibit trust and respect.

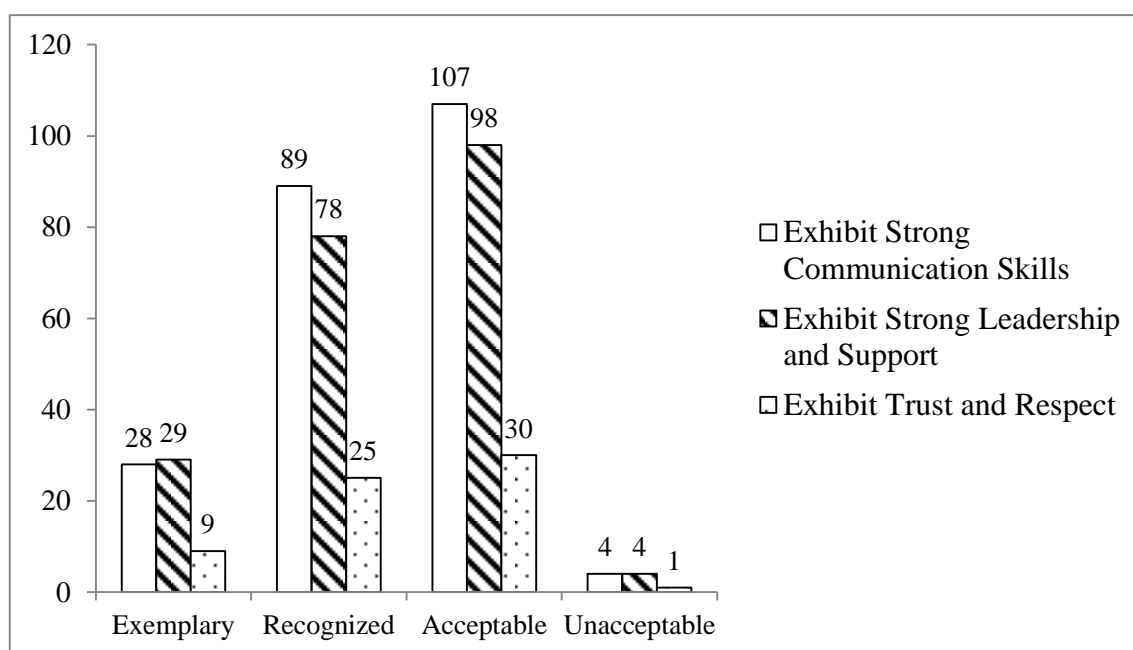


Figure 9. Responses to Research Question 3, by Texas Accountability Rating of Principal's School.

Research Question Four

How does the principal look out for the personal welfare of their teachers?

A sample of principal responses to Research Question Four can be found below:

"If they need to go to the doctor or a family member needs to go, we work it out so they can leave.

I talk with my teachers. They must see me and know that I am interested in them. On their birthday, I go into their class for 15-20 minutes and give them a break as birthday gift. I must get to know them and meet their needs.

She reminds everyone that their family comes first and to not be embarrassed to take care of their family. During stressful TAKS period she turned her office into a day spa.

Be compassionate and understanding of personal/family issues. Offer advice. Be sincere.

Teachers are first human beings. We are people in the people business. Although we often preach that you should separate yourself when at work and leave your own issues at home, I also understand that my teachers need to know that there is someone there for them, willing to listen to their concerns/needs. I'm willing to work through issues that they might have.

I am concerned for the personal welfare of my teachers but do not try to interfere in their lives outside of school. I listen when they need someone to talk with about personal issues.

Yes, by getting to know staff personally and checking up on them. I see myself as a mother figure.

Show concern for them as a person and an interest in their families. Ex: birthday cards, Christmas cards, attend family weddings and funerals, thank you cards for things they do, feed the faculty at the end of each six weeks (hamburgers, hotdogs, chicken, chili cook-off, Christmas dinner, etc.)

Yes. If you have a family emergency or crisis; my first reaction is just GO. Our staff will take care of everything else.

Yes, when my teachers need time off, it is freely given. I understand we are all human and teachers are people too. I never put myself "above" them. I never overpower my teachers. We are a team that works together for a common goal.

Family comes first. Accommodations are made for teachers given certain circumstances. When teachers are valued and know they are, there is greater chance that they will work harder with the students.

I try to be on a first name basis with my teachers, and know their spouses and children, too" (Copy of A-C Relationships – Principal Survey, 2005).

Out of the 331 total responses, 296 answers fell into one of two categories. 247 principal responses said that the most important way a principal could look out for the personal welfare of their teachers is to provide support for them personally and professionally. 49 principal responses said that the most important way a principal could look out for the personal welfare of their teachers is to communicate with them and be visible throughout the campus. Of the remaining 35 answers, from the 331 total

responses, eight statements were general and random, four believed in the importance of showing respect as the most important way a principal could look out for the personal welfare of their teachers, whereas three believed prayer was the best way a principal could look out for the personal welfare of their teachers (these three responses came from principals of religious schools). 20 respondents said that they did not believe it was their responsibility to look out for the personal welfare of their teachers, one of which was the principal of an unacceptable campus.

Table 10

Responses to Research Question Four

Response	Number Responding
Most important way a principal can look out for the personal welfare of their teachers	
Provide support personally and professionally	247
Communicate and be visible throughout the campus	49
Other responses	35

As Figure 10 shows, 101 male principals and 146 female principals responded that the most important way a principal could look out for the personal welfare of their teachers is to provide support for them personally and professionally. 20 male principals and 29 female principals responded that the most important way a principal could look out for the personal welfare of their teachers is to communicate with them and be visible throughout the campus.

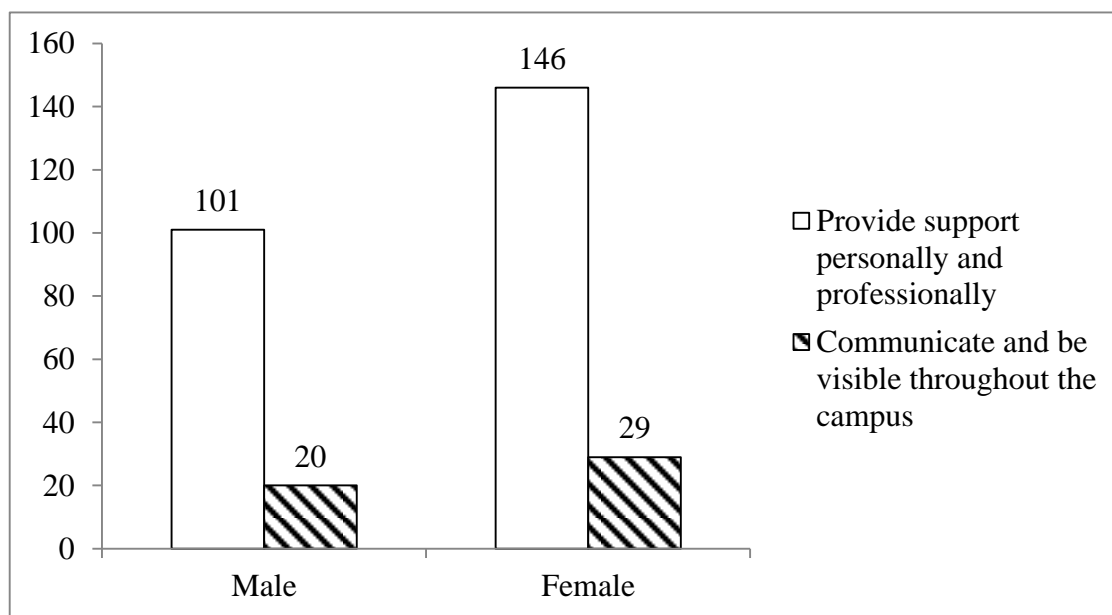


Figure 10. Responses to Research Question Four, by Principal's Gender.

As Figure 11 shows, 59 respondents with 3 years or less principal experience, 94 respondents with 3 to 7 years of principal experience, 64 respondents with 8 to 15 years of principal experience, and 30 respondents with 16 years or more principal experience believed that the most important way a principal could look out for the personal welfare of their teachers is to provide support for them personally and professionally. 13 respondents with 3 years or less principal experience, 17 respondents with 3 to 7 years of principal experience, 13 respondents with 8 to 15 years of principal experience, and 6 respondents with 16 years or more principal experience believed that the most important way a principal could look out for the personal welfare of their teachers is to communicate with them and be visible throughout the campus.

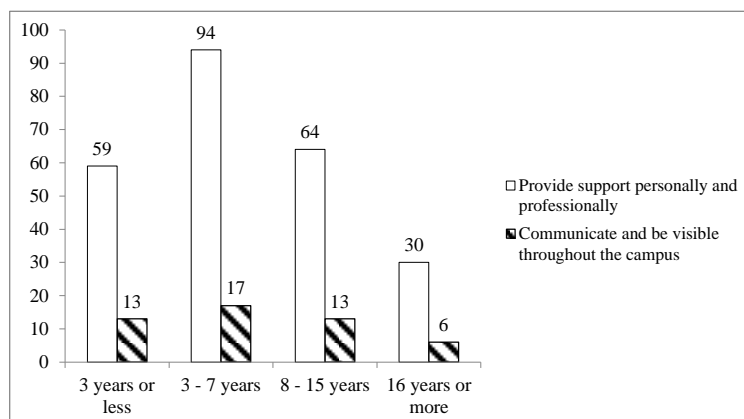


Figure 11. Responses to Research Question Four, by Principal's Years of Experience.

As Figure 12 shows, 36 principals of exemplary campuses (as rated by state of Texas accountability), 90 principals of recognized campuses, 116 principals of acceptable campuses, and 5 principals of unacceptable campuses believed that the most important way a principal could look out for the personal welfare of their teachers is to provide support for them personally and professionally. Seven principals of exemplary campuses (as rated by state of Texas accountability), 18 principals of recognized campuses, 23 principals of acceptable campuses, and one principal of an unacceptable campus believed that the most important way a principal could look out for the personal welfare of their teachers is to communicate with them and be visible throughout the campus.

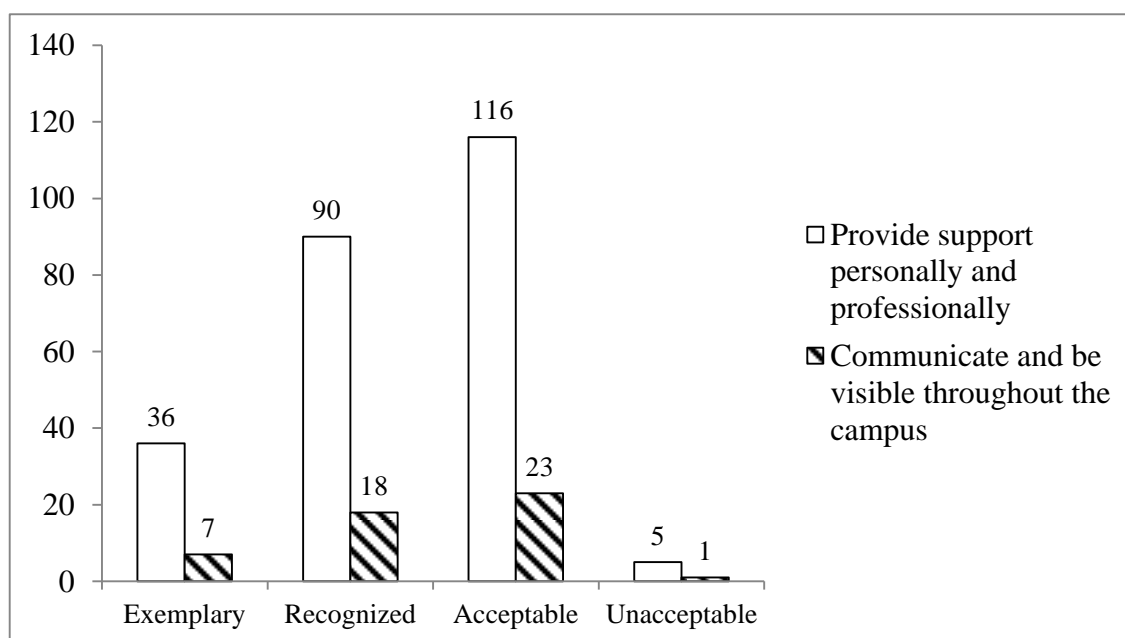


Figure 12. Responses to Research Question 4, by Texas Accountability Rating of Principal's School.

Emerging Themes

This study evaluates the responses of school principals to the following questions:

(1) Why is the relationship between the principal and the teacher important for the school? (2) What is the most critical feature for a successful working relationship between the teacher and the principal? (3) What does a principal do to create good relations with their teachers? And, (4) how does the principal look out for the personal welfare of their teachers?

Along with the teacher-student relationship, the principal-teacher relationship is important to overall student achievement. Historically, the principal was the principal-teacher. The principal was the one who was judged by the community at-large to be able to do extra duties along with their teaching responsibilities. The position of principal started as one that emphasized the importance of being an instructional leader, which

remains today as the most important part of the principal's job description. For the principal to fulfill the role of instructional leader, they must establish a strong working relationship with the teachers in the school building. High-performance schools demonstrate this strong bond between principal and teachers, while low-performing campuses often lack these strong relationships between the teachers and the principal. In this study, responses to the first question (Why is the relationship between the principal and the teacher important for the school?) were coded into three response categories within which the principals' responses fell: Leadership and Support; Trust and Respect, and Communicating a Vision.

Moreover, it is important for school districts to learn about the most critical features that contribute to effectively building this principal-teacher relationship. If school districts could learn those critical features, they could actively seek out those features in their search for outstanding building leaders and classroom teachers. Human resource departments could begin screening principal and teacher selections by using these critical features as filters for selection. Professional development departments could begin to emphasize these critical features in their school and district improvement planning. If principals and teachers are selected and developed around these critical features, then districts could begin to measure and evaluate the importance of these critical features on student achievement. In this study, responses to the second question (What is the most critical feature for a successful working relationship between the teacher and the principal?) were coded into two categories in which the principals' responses fell: Trust and Respect and Communicating Expectations.

The critical features discussed above depend on the principal establishing positive relationships with their teachers. It is doubtful there would be identifiable critical features on school campuses where the principal did not have positive relationships with their teachers. It is important to find out what principals do to create good relations with their teachers. Without this information, it would be difficult for school districts to scale up human resource and professional development training around those features that lead to a strong relationship between the school principal and the classroom teachers. In this study, responses to the third question (What does a principal do to create good relationships with their teachers?) were coded into three categories in which the principals' responses fell: Communication Features; Support Features, and Trust and Respect Features.

Some would argue that a strong relationship between a school principal and their classroom teachers would depend on the school leader looking out for the personal welfare of their teachers. Even though the principal and the school teachers work in a professional environment, many principals believe that a personal relationship with their teachers actually helps the professional relationship. It is important to find out if principals feel looking out for their teachers' personal welfare is important to producing positive relationships between the principal and the teachers. In this study, responses to the fourth question (How does the principal look out for the personal welfare of their teachers?) were coded into two categories in which the principals' responses fell: Personal Welfare of the Teacher; and Communication and Visibility.

CHAPTER FIVE

CONCLUSIONS AND RECOMMENDATIONS

The purpose of this study was to learn more about the relationships between principals and their teachers, and the impact those relationships have on student achievement. The study collected responses from 310 principals to four open-ended questions, as part of a larger survey project that sought to study many aspects of the principal's role as the school leader. The four questions regarding principal and teacher relationships were asked of principals in a cognitive interview setting and were recorded by trained graduate students working on receiving their Master's degree. The responses to these questions were reviewed as individual responses, and also reviewed when aggregated by two collected personal demographic data of the principals (gender and year of service as a principal) and aggregated by one collected institutional demographic data for the schools the principals were assigned.

The four research questions answered in this study were: (1) Why is the relationship between the principal and the teacher important for the school? (2) What is the most critical feature for a successful working relationship between the teacher and the principal? (3) What does a principal do to create good relations with their teachers? And, (4) how does the principal look out for the personal welfare of their teachers?

Research Question One

The first research question asked why the relationship between the principal and the teacher was important for the school. Out of the 338 total responses, 332 answers fell into one of three categories. 170 principal responses said that the relationship between

the principal and the teacher was important for the school because of the leadership and support that type of relationship offered for overall school achievement. 84 principal responses said that the relationship between the principal and the teacher was important for the school due to the improved communication and visioning that type of relationship offered for overall school achievement. 78 principal responses said that the relationship between the principal and the teacher was important for the school because of the trust and respect necessary for the school to see improved achievement. The remaining six answers, from the 338 total responses, fell into three categories. Three responses said that visibility was important to a positive relationship between the principal and teachers, two responses said that “being informed” was important to a positive relationship between the principal and teachers, and one response spoke of creativity being the most important item to a healthy relationship between the school principal and their teachers.

An interesting feature of the data related to Research Question One is that there were only three common responses coming from nearly all of the principal interviewees. The relationship between the principal and the teachers, as it impacts student achievement, is important because of the leadership and support, the communication and visioning, and the trust and respect it produces on a campus. One would expect more than three main themes to emerge when interviewing 310 seated principals, but this study provided evidence that principals generally think alike about the importance of their relationships with their teachers and the impact it has on student achievement. The distribution of the categorical responses was fairly consistent across the overall personal (gender and years of service as a principal) and professional (ratings on the state accountability system) demographics examined in this study.

Research Question Two

The second research question asked principals to identify the most critical feature for a strong working relationship between the principal and the teachers. Out of the 441 total responses, 438 answers fell into one of three categories. 201 principal responses said that the most critical feature for a successful working relationship between the teacher and the principal was trust and respect. 166 principal responses said that the most critical feature for a successful working relationship between the teacher and the principal was communicating expectations. 71 principal responses said that the most critical feature for a successful working relationship between the teacher and the principal was leadership and support. The remaining three answers, from the 441 total responses, fell into three categories. One response said that humor was the most critical feature for a successful working relationship between the teacher and the principal, one response said that “a unique specialization” was the most critical feature for a successful working relationship between the teacher and the principal, and one response spoke of “spirit” being the most critical feature for a successful working relationship between the teacher and the principal.

Again, the preponderance of qualitative evidence coming from the responses to Research Question Two suggests that the same three themes discussed in the Research Question One section appear in this section. Although their order is different when it comes to critical features important to a strong relationship between the teacher and the principal, the same three themes emerge: practicing trust and respect, communication (this time communicating expectations), and exhibiting leadership and support. As in Research Question One, the distribution of the categorical responses was fairly consistent

across the overall personal (gender and years of service as a principal) and professional (ratings on the state accountability system) demographics examined in this study.

Research Question Three

The third research question asked what a principal does to create good relationships with their teachers. Out of the 504 total responses, 502 answers fell into one of three categories. 228 principal responses said that the most important act a principal can do to create good relations with their teachers is exhibit strong communication skills. 209 principal responses said that the most important act a principal can do to create good relations with their teachers is exhibit strong leadership and support. 65 principal responses told that the most important act a principal can do to create good relations with their teachers is exhibit trust and respect. The remaining two answers, from the 504 total responses, stated that identifying talent was the most important act a principal can do to create good relations with the teachers.

According to the data collected for this study, exhibiting strong communication skills, demonstrating strong leadership and support, and creating strong trust and respect are extremely important to principals as they build good relationships with their teachers. As in Research Questions One and Two, the distribution of the categorical responses was fairly consistent across the overall personal (gender and years of service as a principal) and professional (ratings on the state accountability system) demographics examined in this study.

Research Question Four

The fourth research question asked how the principal looked out for the personal welfare of their teachers. Out of the 331 total responses, 296 answers fell into one of two

categories. 247 principal responses said that the most important way a principal could look out for the personal welfare of their teachers is to provide support for them personally and professionally. 49 principal responses said that the most important way a principal could look out for the personal welfare of their teachers is to communicate with them and be visible throughout the campus. Of the remaining 35 answers, from the 331 total responses, eight statements were general and random, four believed in the importance of showing respect as the most important way a principal could look out for the personal welfare of their teachers, whereas three believed prayer was the best way a principal could look out for the personal welfare of their teachers (these three responses came from principals of religious schools). 20 respondents said that they did not believe it was their responsibility to look out for the personal welfare of their teachers, one of which was the principal of an unacceptable campus.

Again, the qualitative data accentuates the importance of leadership and support and communication and visibility for principals who want to build positive relationships with their teachers. Like Research Questions One through Three, Research Question Four data showed the distribution of the categorical responses was fairly consistent across the overall personal (gender and years of service as a principal) and professional (ratings on the state accountability system) demographics examined in this study.

Summary

Although no quantitative methodology was used in this study to examine the statistical significance of the data, it was remarkable that three themes were consistent throughout this qualitative study. First, leadership and support is extremely important to build a positive relationship between the school principal and their teachers. The

surveyed school principals believed that leadership and support translated into watching out for their teachers during difficult times, promoting high standards within the classroom and throughout the school, and exhibiting strong leadership through effective decision-making when working with teachers, students, parents, and community. Second, communication is important to building positive relationships between the school principal and their teachers. The surveyed school principals believed that communicating high standards, expecting exemplary classroom performance, and being visible on the campus were important communication actions when relating to their teachers. Third, trust and respect is essential between the school principal and the school teachers if they are going to build positive relationships that impact student achievement. Surveyed principals emphasized the important of caring and honesty when they discussed trust and respect. Interpersonal skills between the principal and teachers were seen as important to the surveyed principals. The literature speaks to the importance of leadership and support, communication, and trust and respect when discussing the positive relationship between the school principal and their teachers and their collective impact on student achievement (Leithwood et al. (2004), Marzano, Water, & McNulty (2005), Portin et al. (2009), Louis & Leithwood et al. (2010), and Knapp et al. (2010)). It is especially important to point out that these three factors were common across a large number of principals, even when that large number was broken down by specific personal and professional demographics (gender, years of service as principal, and ratings on the state accountability system).

Recommendations for Research and Practice

As stated earlier, no quantitative methodology was used in this study to examine the statistical significance of the data. One recommendation for future research would be to run quantitative tests on this study's data to show statistical significance, or not, between the qualitative responses of the 310 principals and their personal and professional demographics. Is it statistically significant, or not, that more females than males answered trust and respect to Research Question One? Is it statistically significant, or not, that principals with a certain number of years as a school leader answered leadership and support to Research Question Three? Is it statistically significant, or not, that more principals with a state accountability rating of Exemplary or Recognized answered communication to Research Question Two? All of these questions, at this point, are hypothetical, but a quantitative test would tell whether the data associated with these questions was statistically significant or not.

The data used for this study also included responses from a large number of assistant principals from schools located in the region. A follow-up study could be done with the assistant principal data, realizing that, in many large schools, assistant principals often have closer working relationships with classroom teachers than does the school principal. Another recommendation for research would be to collect data from teachers, asking them the same questions that were asked to the principals and assistant principals. It would be interesting to find out how teachers view relationships with their principals and assistant principals and what impact those relationships have on student achievement. Finally, follow-up studies on the specific behaviors demonstrated by principals and

assistant principals in the areas of leadership and support, communication, and trust and respect would further inform the research and practitioner community.

There are three recommendations for future practice from this study's results. First, if leadership and support, communication, and trust and respect are so important to the school leaders of 310 schools randomly selected for this study, then it is important to include more leadership, communication, and inter-personal training in both principal and teacher pre-service training. College and universities offer some of this training, but the results of this study should encourage those post-secondary leaders to offer even more additional training in leadership, communication, and inter-personal skills. Second, school districts need to build more leadership, communication, and inter-personal training (emphasizing the building of trust and respect) into their professional development plans for both principals and teachers. This study's results should spur schools and school districts toward increased and improved planning to build strong professional learning communities between principals and teachers to achieve improved student learning. Finally, school districts should build leadership, communication, and trust and respect into their professional evaluation documents and processes. If these areas are this important to the overall relationships between principals and teachers, in order to achieve improved student learning, then school districts need to formally incorporate them into their professional evaluations of both principals and teachers.

In a recent issue of the magazine *Fast Company*, Dan and Chip Heath presented an article entitled "Passion Provokes Action." In the article, the Heath brothers argue that real change comes from real feelings. "One famous therapist describes this as a three-step sequence. A person sees something that makes her feel a particular way, and as a

result is motivated to change. See-feel-change. Actually, it wasn't a therapist who said that. It was John Kotter, now a professor emeritus at the Harvard Business School. And he was talking about organizations, not people" (Heath & Heath, 2011). In public education, we have been overly dependent on analyzed data and accountability rationales for decades. We have poured billions of dollars and tried thousands of programs and we are still falling behind the rest of the globe in educational success, and risk losing our democratic heritage at the same time. Isn't it time to pay attention to what could make the difference between where we are now as a nation with public education, and where we need to go? Isn't it time to pay attention to the relationships that exist inside of our schools, especially those relationships between the principal and teachers that make the most impact on student achievement? As the Heaths conclude in their article: "It takes emotion to bring knowledge to a boil" (Heath & Heath, 2011).

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APPENDIX A

COLLABORATION FOR LEARNING AND LEADING PRINCIPAL'S SURVEY



University of Houston  College of Education

COLLABORATION FOR LEARNING & LEADING



Graduate Student's Name

Section A:

Demographic Information

The Principal's name

Age in Years: ☒ 30 and Under ☒ 31-37 ☒ 38-45 ☒ 46-55 ☒ 56-62 ☒ Over 63

Sex: ☒ Male ☒ Female

Years as a Principal

Years in Education

Degrees Held: ☐ Bachelors ☐ Masters ☐ Doctorate

Management Certification Year

Institution

Ethnicity: ☐ White/Non-Hispanic ☐ Black/Non-Hispanic ☐ Hispanic ☐ Asian/Pacific Islander

☐ American Indian/Alaskan Native

☐ Non-Resident/International

Major teaching field

Extra-curricular activities directed while a teacher

The School's name

Location: ☐ Rural ☐ Suburban ☐ Urban The Grades in the school

Number of: Teachers Students

Percentage of students: White/Non-Hispanic Black/Non-Hispanic Hispanic
 Asian/Pacific Islander American Indian/Alaskan Native
 Non-Resident/International

Other certificated personnel Non-certificated personnel

TAKS Rating: ☐ Exemplary ☐ Recognized ☐ Acceptable ☐ Low performing

Percentage of students receiving free and reduced Lunch

Name of School District

Section B:

In this section we are trying to establish how principals conceptualize their notions of what makes a school a "good" school as opposed to a "fair or poor" school.

Much of the current educational leadership literature focuses on effective schools and more currently how we develop our schools as community. The new nomenclature currently used is "good school." How would you describe a good school?

For our purposes school culture is described as "What the school values." How would you describe the culture of a good school?

Section C

We are trying to understand the importance of the relationship between the principal and the teachers.

Explain how the relationship between the principal and the teacher important for the school.

Describe what you think are the most critical feature for a successful working relationship between teacher and principal.

What do you do to create good relations with your teachers?

Do you look out for the personal welfare of your teachers? If so, how do you do it?

Section D

In this section we are trying to establish the attitudes beliefs and values that principals have with regard to teacher supervision.

What is the purpose of teacher supervision?

Do our assessment practices (TTAS, PDAS) really work? Do you believe that the process achieves the intended outcome? What do you believe are the outcomes?

Do you think that the principal is the best person in the school to do supervision? For example is there any value for a principal with no education or experience supervising a French language class.

When supervising teachers do you report on what you observe or do you consider other factors when writing your reports? Explain

Section E

We are trying to establish the understandings that principals have about leadership

Describe the difference between a "linear" leader contrasted to a critical thinker and systematic problem solver?

What do you believe are the most important characteristics of a good leader?

How would you describe yourself as a leader?

To what extent do you allow teachers to take risks to make the school better?

To what extent do you believe that teachers should be involved in leadership roles in your school?

Section F

We are trying to establish the understanding and value principals attach to the role of parental involvement in their student's education.

What do you believe is an appropriate and necessary level of parental involvement in the student's education? Explain.

What do you do to encourage and support parental involvement in their student's education?

When a parent asks you to change their student's teacher how do you react?
Check one category below

<input type="checkbox"/>	I do so willingly
<input type="checkbox"/>	I do so hesitatingly
<input type="checkbox"/>	I do so begrudgingly
<input type="checkbox"/>	I try my best to discourage it
<input type="checkbox"/>	I resist their efforts to have a change

Explain your answer here:

Section G

In this section we are trying to establish the obstacles frustrations and changes principals are most concerned with

On a scale of 1 to 5 with 5 being most and 1 being least, rate the degree to which each of the following presents a feeling of frustration or being discouraged in being able to carry out your duties.

	1	2	3	4	5
Federal Bureaucracy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State Bureaucracy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School District Bureaucracy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of Money	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of other resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of parent involvement in the school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poor Preparation of Teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of Teacher Commitment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poor instruction of teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of parental involvement at home	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of Student Motivation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poor basic skills of students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

On a scale of 1 to 5 with 5 being most and 1 being least rate the degree to which each of the following presents a genuine obstacle or restriction that cause you the most concern as you try to carry out your duties as principal.

	1	2	3	4	5
Federal Bureaucracy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State Bureaucracy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School District Bureaucracy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of Money	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of other resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of parent involvement in the school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poor Preparation of Teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of Teacher Commitment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poor instruction of teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of parental involvement at home	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of Student Motivation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poor basic skills of students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

On a scale of 1 to 5 with 5 being most and 1 being least rate the following for the things that you would change to make you more enabled in your role as principal.

	1	2	3	4	5
Federal Bureaucracy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State Bureaucracy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School District Bureaucracy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of Money	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of other resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of parent involvement in the school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poor Preparation of Teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of Teacher Commitment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poor instruction of teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of parental involvement at home	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lack of Student Motivation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poor basic skills of students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section H

On a scale of 1 to 5 with 5 being most and 1 being least indicate the extent to which each of the following represents important knowledge you should have to be a successful principal.

	1	2	3	4	5
Knowledge of people	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Curriculum	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Law	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fiscal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

On a scale of 1 to 5 with 5 being most and 1 being least indicate the extent to which each of the following represents important skills you should have to be a successful principal.

	1	2	3	4	5
Interpersonal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communication	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Technical	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

On a scale of 1 to 5 with 5 being most and 1 being least indicate the extent to which each of the following represents important attributes you should have to be a successful principal.

	1	2	3	4	5
Positive disposition	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Visionary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ethical Values	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Good Communicator	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organizer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section I

We are trying to understand the importance of student behavior in the operation of the school

To what degree is student discipline an important aspect of a good school?

Explain

Do you know of teachers who rarely have student discipline problems?

Yes ☐ No ☐

If yes, what is it that those teachers do that results in good student discipline.

Describe what it is that teachers' do that have poor student discipline.

Do you see a relationship between a teachers' classroom discipline and students' academic achievement?

Do you think that schools should teach "virtues" or "character?" Why or why not?
Do you have any formal programs in your school that focus on character education?

Section J

There is probably a lot of advice you could give to someone preparing to become a school principal but if there was one single piece of advice you could give what would advise.

Section K

How has the influence of high-stakes testing influenced your role as a principal?
How is it influenced teachers, parents, and students?

Section L

To what extent is the achievement gap a problem in your school? What efforts have you made to reduce achievement differences in school?

Section M

To what extent has technology make a difference in your school? How has it influenced teachers, counselors, and students? How has it influenced your role as principal?

Section N

Can you think of an example of research-generated knowledge which you found useful in some aspect of your job as principal? If so please tell me about that knowledge.

All educators need access to new expert knowledge. What sources of information do you find most useful when looking for new professional ideas? On a scale of 1 to 10 (highest), how would you rate each of these types of information sources for the technical knowledge they provide:

- a. Professional meetings of state or national education associations
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
- b. Workshops
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
- c. Professional Journals concerned with education
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
- d. Professional Books concerned with education
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
- e. Professional Bulletins from regional or national information sources
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
- f. Professional Bulletins from district or state authorities
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
- g. Newsletters from professional organizations
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10
- h. University or college courses that you attended for certification or a advanced degree
☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10

i. Internet

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10

j. Other sources (please explain)

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10

On a scale of 1 to 10 (highest), how would you rate the quality of the educational research that you've read over the last year?

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9 ☐ 10

What would it take for you to rate it a 10?

APPENDIX B

HUMAN SUBJECTS LETTER

CHECKLIST FOR NEW SUBMISSION

Approval is required by the Committees of the Protection of Human Subjects before starting research involving human subjects to be conducted by UH students, staff or faculty or by others conducting research subjects to the oversight of the UH CPHS.

Your submission should include the following (in order):

For your convenience, you may use the check boxes below to organize your submission.

- 1) ☐ IRB Application for the Use of Human subjects Form
- 2) ☐ Copy of grant for all federally funded research.
- 3) ☐ Consent form or request for waiver of consent or documentation of consent (as applicable) Consent form templates are available at:
www.research.uh.edu/PCC/CPHS/Informed.html .
- 4) ☐ Copy of all questionnaires, interview items, surveys, to be used in study.
- 5) ☐ Recruitment Materials (flyers, advertisements, letters, script for verbal recruitment)
- 6) ☐ Letters of support from external sites; other IRB approvals.
- 7) ☐ Part E: Certifications signed by Principal Investigator(s) (and faculty sponsor for student submissions)

Incomplete applications may delay the processing of the submission. Approval cannot be granted until the application is complete and all required items have been submitted.

All questions regarding new submissions should be directed to the CPHS at 713-743-9204. See www.research.uh.edu/PCC/Protection_of_Human_Subjects.html for forms, information, and education requirements.

Office Use Only: CPHS Application Number _____

Type of Review: ☐ Exempt ☐ Expedited ☐ Full Category # _____ Committee # _____

**UNIVERSITY OF HOUSTON
COMMITTEES FOR THE PROTECTION OF HUMAN SUBJECTS
APPLICATION TO CONDUCT RESEARCH USING HUMAN SUBJECTS
(must be typed)**

PART A: COVER PAGE

Project Title (identical to proposal or thesis/dissertation): The Importance of the Relationships between Teachers and School Principals

OR, if applicable:

Grant Title (if different from Project Title):

Principal Investigator (check one): ☐ Faculty ☐ Staff ☒ [X]

Student

Name: ☐ Dr. ☐ Ms. ☒ Mr. Scott A. Van Beck _____

Phone #: ____713-304-4312_____ Fax #: _____

Department/College: ELCS (College of Education) _____

E-mail

Address: ___svanbeck@houstonaplus.org_____

___ UH Mail Code:N/A _____

Faculty Sponsor (required for all student investigators)

Name: Dr. Angus J. MacNeil _____

Phone #: _____ 713-743-5038 _____ Fax #:713-743-8650 _____

Department/College:ELCS _____

E-mail Address: _____ amacneil@uh.edu _____

UH Mail Code:77204-5028 _____

List all key personnel (defined as individuals who contribute to the scientific development or execution of the project). Include their educational level, their role on the project (i.e., co-investigator, project manager, research assistant), and their institutional affiliation.

Name Affiliation	Educational Level	Role	Institutional
Mr. Scott A. Van Beck Houston Researcher	Masters Dr. Angus MacNeil University of Houston	Principal Researcher	University of Ph.D.
Dr. Steve Busch Houston	Ph.D.	Researcher	University of

This project is (check all that are appropriate):

___X___ Unfunded Research

___X___ Candidacy/Professional

Paper

___ Funded Research

___ Master's Thesis

<input type="checkbox"/> Senior Honor's Thesis	<input checked="" type="checkbox"/> Doctoral Dissertation
<input type="checkbox"/> Pilot Study	<input type="checkbox"/> Independent Study
<input type="checkbox"/> Multi-Phase Study	<input type="checkbox"/> Other (specify,
<input type="checkbox"/> _____)	
<input type="checkbox"/> Longitudinal Study	

If this application supports a proposal for funding, indicate the name of the agency/organization/foundation: _____
 (One copy of the proposal must be included with this application.)

I think this qualifies for the following type of review:

- ☒ Exempt Category #_____ (submit original only)
☐ Expedited Category #_____ (submit original plus 2 copies)
☐ Full Review (submit original plus 10 copies for Committee 1 and original plus 5 for Committee 2)

Note: Committee 2 includes all departments in the College of Liberal Arts and Social Sciences. Committee 1 reviews all others.

PART B: RESEARCH PROJECT REVIEW SUMMARY

1. **State the specific research hypotheses or questions to be addressed in this study.**

1.	Why is the relationship between the principal and the teacher important for the school?	
2.	What is the most critical feature for a successful working relationship between the teacher and the principal?	W
3.	What does a principal do to create good relations with their teachers?	W
4.	How does the principal look out for the personal welfare of their teachers?	H

2. **What is the importance/significance of the knowledge that may result?**

An understanding of how principals view their relationships with campus teachers can be used to design more effective principal preparation/certification programs with the university's masters' degree program, along with continuing education programs for already-practicing school administrators.

3. **Proposed Start Date** (may not precede approval date): _____ OR

☒ Upon CPHS Approval

4. **Subject Population** (check all that are appropriate)

☒ Adults ☐ Elderly (65yrs and above)
☐ Cognitively or Psychologically Impaired ☐ Prisoners or Parolees
☐ Children or minors (<18 in Texas and most states) ☐ Institutional Residents
☐ Non-English speaking ☐ UH Faculty, Staff, or Students

a. Expected maximum number of participants _____

b. Age of proposed subject(s) (check all that apply):

- ☐ Infants (2yrs and under)
☐ Children (3yrs–10yrs) ☐ Adolescents (11yrs-14yrs) ☐ Adolescents (15yrs-17yrs)
☒ Adults (18yrs-64yrs) ☐ Elderly Adults (65yrs and above)

c. Inclusion/Exclusion:

Describe criteria for inclusion and exclusion of subjects in this study. Include justification, how it will be determined, and by whom.

Inclusion Criteria:

Principals at public and private schools in the Greater Houston and surrounding suburban areas.

Exclusion Criteria:

The study is limited to active campus principals only.

Justification:

Principals should serve as the leader of campus teachers so it is important to learn about their responses to questions about their relationships with the teachers they work with on their specific campus.

Determination:

Current principal status confirmed at time of original survey project. This study is a data analysis only of that previous study.

d. If this study proposes to *include* children, this inclusion must meet one of the following criterion for risk/benefit assessment according to the federal regulations ([45 CFR 46, subpart D](#)). Check the appropriate box:

- ☐ (404) Minimal Risk
☐ (405) Greater than minimal risk, but holds prospect of direct benefit to subjects
☐ (406) Greater than minimal risk, no prospect of direct benefits to subjects, but likely to yield generalizable knowledge about the subject's disorder or condition.

Explain the justification for the selected category:

N/A; this study does not propose to include children, and is a data analysis only of a previously approved study.

5. If the research involves any of the following, check all that are appropriate:

- | | |
|-----------------------------------------------------------|----------------------------------------------------|
| <input type="checkbox"/> Interview | <input type="checkbox"/> Clinical Studies |
| <input type="checkbox"/> Survey/Questionnaire | <input type="checkbox"/> Behavioral Observation |
| <input type="checkbox"/> Study of Existing Data Specimens | <input type="checkbox"/> Study of Human Biological |
| <input type="checkbox"/> Deception | <input type="checkbox"/> Waiver of Consent |
| <input type="checkbox"/> Venipuncture | <input type="checkbox"/> Other (specify) _____ |
| <input checked="" type="checkbox"/> Data Analyses Only | |

6. Location(s) of Research Activities:

- ☒ UH campus ☐ Other (specify) _____

Note: A letter of approval from sites other than the University of Houston must be included with the application. If it is not available, please explain:

7. Informed Consent of Subjects: Your study protocol must clearly address one of the following areas:

☐ **Informed Consent.** Signed informed consent is the default. A model consent is available on the CPHS website and should be used as a basis for developing your informed consent document. If applicable, the proposed consent must be included with the application. (<http://www.research.uh.edu/PCC/CPHS/Informed.html>) ATTACH COPY OF PROPOSED CONSENT DOCUMENT

☐ **Cover Letter.** You may request a waiver of documented informed consent with Appendix A – Request for Waiver of Documentation of Consent. ATTACH COPY OF PROPOSED COVER LETTER AND APPENDIX A.

☒ **No Informed Consent.** You may request a waiver of informed consent with Appendix B – Request for Waiver/Modification of Informed Consent. If

applicable, a copy of the modified consent document is required. ATTACH APPENDIX B.

NOTE: Studies including deception must qualify for waiver of consent. A modified version of a consent document to be used in deceptive research studies as well as a debriefing form must be included with the application.

PART C: RESEARCH PROTOCOL

8. **Describe the research study design.** (Describe the research methods to be employed and the variables to be studied. Include a description of the data collection techniques and/or the statistical methods to be employed.)

Over a period of several semesters, master's students in the ELCS department, under the direction of Dr. Angus MacNeil, were given an assignment to interview and administer a survey to school assistant principals about a variety of issues related to education and administration. The results of this survey were compiled into an Excel spreadsheet by Dr. MacNeil.

My study will use this archival data to analyze principals' responses to questions about their relationships with their campus teachers. This will include the use of SPSS to evaluate descriptive statistics and data correlations.

9. **Describe each task subjects will be asked to perform.**

N/A – application is for use of archival data only.

10. **Describe how potential subjects will be identified and recruited?** (Attach a script or outline of all information that will be provided to potential subjects. Include a copy of all written solicitation, recruitment ad, and/or outline for oral presentation.)

N/A – application is for use of archival data only.

11. **Describe the process for obtaining informed consent and/or assent. How will investigators ensure that each subject's participation will be voluntary (i.e., free of direct or implied coercion)?**

N/A – application is for use of archival data only.

- 12. Briefly describe each measurement instrument to be used in this study** (e.g., questionnaires, surveys, tests, interview questions, observational procedures, or other instruments) AND attach to the application a copy of each (appropriately labeled and collated). If any are omitted, please explain.

Please refer to Dr. Angus MacNeil's previously approved Human Subjects application titled "A Survey to examine the work, attitudes, and perceptions of Public School Principals."

- 13. Describe the setting and mode for administering any materials listed in question 12** (e.g., telephone, one-on-one, group). Include the duration, intervals of administration, and amount of time required for each survey/procedure. Also describe how you plan to maintain privacy and confidentiality during the administration.

N/A – application is for use of archival data only.

- 14. Approximately how much time will be required of each subject? Provide both a total time commitment as well as a time commitment for each visit/session.**

N/A – application is for use of archival data only.

15. Will subjects experience any possible risks involved with participation in this project?

Risk of Physical Discomfort or Harm	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> x
<input type="checkbox"/> NO		
Risk of Psychological Harm (including stress/discomfort)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> x
<input type="checkbox"/> NO		
Risk of Legal Actions (such as criminal prosecution or civil sanctions)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> x
<input type="checkbox"/> NO		
Risk of Harm to Social Status (such as loss of friendship)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> x
<input type="checkbox"/> NO		
Risk of Harm to Employment Status	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> x
<input type="checkbox"/> NO		
Other Risks	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> x
<input type="checkbox"/> NO		

If yes to any of the above, please explain. Describe procedures, if any, to address risk (such as referrals to agency or other source).

N/A – application is for use of archival data only.

16. Does the research involve any of these possible risks or harms to subjects? Check all that apply.

☐ Use of a deceptive technique (attach debriefing)

☐ Use of incomplete or generalized information to the subject regarding the actual purpose of the study (attach debriefing)

☐ Use of private records (educational or medical records)

☐ Manipulation of psychological or social variables such as sensory deprivation, social isolation, psychological stresses (attach debriefing)

☐ Any probing for personal or sensitive information in surveys or interviews

☐ Presentation of materials which subjects might consider sensitive, offensive, threatening or degrading

☐ Possible invasion of privacy of subject or family (may require additional consent)

☐ Other, specify: _____

17. What benefits, if any, can the subject expect from their participation?

Contributing to the knowledge base of the profession of school leadership, particularly with regard to the relationship of the school principal and their teachers.

18. What inducements or rewards (e.g., financial compensation, extra credit, and other incentives), if any, will be offered to potential subjects for their participation?

None

PART D. RESEARCH DATA

- 19. Will you record any direct identifiers, names, social security numbers, addresses, telephone numbers, patient or student ID numbers, etc.?**

☒ Yes

☐ No

If yes, explain why it is necessary to record findings using these identifiers? Describe the coding system you will use to protect against disclosure of these identifiers.

<p>Each of the participating principals was issued a numerical identification number when entered in the database. Because the survey was administered by different cohorts of masters' students over a two year period, some principals were interviewed/surveyed more than once. This outcome of convenience sampling provided an opportunity to use the duplicate responses to establish inter-rater reliability. However, for analytical purposes, it is necessary to identify and remove duplicate responses to avoid distorting the data. These duplicate responses are identified using the unique identification number assigned upon being entered into the database.</p>

- 20. Will you retain a link between study code numbers and direct identifiers after the data collection is complete?**

☐ Yes

☒ No

If yes, explain why this is necessary and state how long you will keep this link.

<p>Individual participant's names are not needed beyond the data integrity issue mentioned above.</p>

- 21. Will anyone outside the research team have access to the links or identifiers?**

☐ Yes

☒ No

If yes, explain why and to whom.

N/A

- 22. Where, how long, and in what format (such as paper, digital or electronic media, video, audio or photographic) will data be kept?** In addition, describe what security provisions will be taken to protect these data (password protection, encryption, etc.). [Note: University of Houston's policy on data retention requires that research data be

maintained for a minimum of 3 years after completion of the project. All research data collected during this project is subject to the University of Houston data retention policy found at www.research.uh.edu/OCG/Guide/Post-Ward_Section/Data_Retention.html]

The original survey database is maintained by the UH Educational Technology Office. The database and computers will be physically and electronically secure.

PART E: CERTIFICATIONS

PRINCIPAL and CO-INVESTIGATORS – I hereby acknowledge and accept the responsibility for protecting the rights and welfare of all participating subjects in accordance with federal and institutional policies and procedures. Furthermore, I certify that:

- NO involvement of human subjects in this project will begin before written approval of the Committees for the Protection of Human Subjects has been received.
- Any additions or changes to this protocol will require the submission of a Request for Revision form and for the review and approval by the Committees for the Protection of Human Subjects prior to initiation.
- Written documentation of any unanticipated problems or injuries connected with an approved protocol must be provided to the Committees for the Protection of Human Subjects (713-743-9204) within 5 working days.
- All signed consent documents will be retained for at least 3 years past the completion of the research activity. (Note: Faculty sponsors are responsible for retaining signed consents for student projects.)
- The institution has provided me with a copy of the approved Institutional Assurance (either the electronic or manual form) and has provided access to the Belmont Report and the appropriate sections of the Public Law governing this Assurance, 45 CFR 46.

Signature of Principal Investigator

Date

Signature of Co - Investigator

Date

***NOTE: Additional signature lines for Co-Investigators may be added as required.**

FACULTY SPONSOR (required for all students) – I hereby acknowledge and accept the responsibility for supervision of this study to ensure the protection of the rights and welfare of all participating subjects in accordance with federal and institutional policies and procedures. After careful review of this application, I further certify:

- The accuracy of the information stated in this application AND
- The scientific merit of the proposed project.

Signature of Faculty Sponsor

Date

DEPARTMENT CHAIR/DEAN (not required if exemption is claimed) – I hereby confirm the accuracy of the information stated in this application. I am familiar with and approve of the procedures that involve human subjects.

Signature of Chair/Dean

Date

Department/College

The Office for Human Research Protections defines a human subject assurance as, "A legally binding written document that commits a public or private entity to compliance with applicable federal minimum standards for the protection of human subjects prior to engagement in department or agency conducted or supported research. Please read this document carefully. It outlines the principles and policies of the University of Houston as well as the responsibilities of each area involved in human subjects research – from the investigator to the institutional review board to the institution itself. All investigators are expected to be familiar with this information prior to submission of an application to the Committee for the Protection of Human Subjects.

**Federalwide Assurance of Compliance with DHHS Regulations for Protection of
Human Research Subjects
FWA #5994**

The University of Houston, hereinafter known as the "University" (see Appendix A), hereby gives assurance, as specified below, that it will comply with the Department of Health and Human Services (DHHS) regulations for the protection of human research subjects, 45 CFR 46, as amended to include provisions of the Federal Policy for the Protection of Human Subjects (56FR28003) as Subpart A, and as may be further amended during the approval period for this Assurance.

PART 1 - PRINCIPLES, POLICIES, AND APPLICABILITY

Ethical Principles

This University is guided by the ethical principles regarding all research involving humans as subjects, as set forth in the report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research (entitled: Ethical Principles and Guidelines for the Protection of Human Subjects of Research [the "Belmont Report"], regardless of whether the research is subject to Federal regulation or with whom conducted or source of support (i.e., sponsorship).

All institutional and non-institutional performance sites for this University, domestic or foreign, will be obligated by this University to conform to ethical principles which are at least equivalent to those of this University, as cited in the previous paragraph or as may be determined by the DHHS Secretary.

Institutional Policy

All requirements of Title 45, Part 46, of the Code of Federal Regulations (45 CFR 46) will be met for all applicable federally-sponsored research, and all other human subject research regardless of sponsorship, except as otherwise noted in this Assurance. Federal (all departments and agencies bound by the Federal Policy) funds for which this Assurance applies may not be expended

for research involving human subjects unless the requirements of this Assurance have been satisfied.

Except for those categories specifically exempted or waived under Section 101(b)(1-6) or 101(i), all research covered by this Assurance will be reviewed and approved by an Institutional Review Board (IRB) which has been established under a Multiple Project Assurance (MPA) with OPRR (see Part 1, II, G). The involvement of human subjects in research covered by this Assurance will not be permitted until an appropriate IRB has reviewed and approved the research protocol and informed consent has been obtained from the subject or the subject's legal representative (see Sections 111, 116, and 117), unless properly waived by the IRB under Section 116(c), (d), or by any applicable waiver under Section 101(i).

This University assures that before human subjects are involved in nonexempt research covered by this Assurance, the IRBs will give proper consideration to:

- the risks to the subjects,
- the anticipated benefits to the subjects and others,
- the importance of the knowledge that may reasonable be expected to result, and
- the informed consent process to be employed.

Certification of IRB review and approval for all Federally-sponsored research involving human subjects will be submitted to the Office of Research Policies, Compliance, and Committees (ORPCC) for forwarding to the appropriate Federal department or agency. Compliance will occur within the time and in the manner prescribed for forwarding certifications of IRB review to DHHS or other Federal departments or agencies for which this Assurance applies. As provided for under 45 CFR 46.118, applications and proposals lacking definite plans for involvement of human subjects will not require IRB review and approval prior to award. However, except for research exempted or waived under Section 101 (b) or (i), no human subjects may be involved in any project supported by such awards until IRB review and approval has been certified to the appropriate Federal department or agency. As required under 45 CFR 46.119, the IRB will review *proposed* involvement of human subjects in Federal research activities undertaken without prior intent for such involvement, but will not permit such involvement until certification of the IRB's review and approval is received by the appropriate Federal department or agency.

Institutions that are not direct signatories to this Assurance are not authorized to cite this Assurance. This University will ensure that such other institutions and investigators not bound by the provisions of this Assurance will satisfactorily assure compliance with 45 CFR 46, as required (see Part 2, D

and II, K) as a prior condition for involvement in DHHS-sponsored human subject research which is under the auspices of this University (see Part 1, III, A). Institutions that have entered into an Inter-Institutional Amendment (IIA) to the Assurance must submit a Single Project Assurance (SPA) to the Office for Protection from Research Risks (OPRR) for DHHS-sponsored research, when that research is not conducted under the auspices of a signatory institution to this Assurance.

This University will ensure that any collaborating entities (i.e., those entities engaged in human subject research by virtue of subject accrual, transfer of identifiable information, and/or in exchange of something of value, such as material support [e.g., money, drugs, or identifiable specimens], coauthorship, intellectual property, or credits) materially engaged in the conduct of non-federal sponsored research involving human subjects will process mechanisms to protect human research subjects that are at least equivalent to those procedures provided for in the ethical principles to which this University is committed (see Part 1,I).

This University will comply with the requirements set forth in 45 CFR 46.114 of the regulations regarding cooperative research projects. When research covered by this Assurance is conducted at or in cooperation with another entity, all provisions of this Assurance remain in effect for that research. This University may accept, for the purpose of meeting the IRB review requirements, the review of an IRB established under another DHHS MPA. Such acceptance must be (a) in writing, (b) approved and signed by an official of this University's Office of Research Policies, Compliance, and Committees, and (c) approved and signed by correlative officials of each of the other cooperating institutions (i.e., a Cooperative Amendment to this MPA). A copy of the signed understanding will serve as an addendum to this Assurance and will be forwarded to the OPRR of DHHS by the ORPCC for OPRR approval.

This University will exercise appropriate administrative overview to ensure that the University's policies and procedures designed for protecting the rights and welfare of human subjects are being effectively applied in compliance with this Assurance.

Description of this University's policy for the protection of human subjects is contained in its internal written procedures, which are available to OPRR and other Federal departments or agencies, upon request. Appendix D to this Assurance abstracts, pertinent organizational, personnel, and reporting procedures sufficient to describe the substance and relative prominence conferred upon the protection of human subjects.

Applicability

Except for research in which the only involvement of humans is in one or more of the categories exempted or waived under Section 101(b)(1-6) or 101(i), this Assurance applies to all research involving human subjects, and all other activities which even in part involve such research, regardless of sponsorship, if one or more of the following apply:

the research is sponsored by this University, or
 the research is conducted by or under the direction of any employee or agency of this University in connection with his or her institutional responsibilities; or
 the research is conducted by or under the direction of any employee or agency of this University using any property or facility of this University, or
 the research involved the use of this institution's no-public information to identify or contact human research subjects or prospective subjects.

All human subject research which is exempt under Section 101(b)(1-6) or 101(i) will be conducted in accordance with: (1) the Belmont Report, (2) this University's administrative procedures to ensure valid claims of exemption, and (3) orderly accounting for such activities.

This Assurance must be accepted by other Federal departments or agencies that are bound by the Federal Policy for the Protection of Human Subjects when appropriate for the research in question and therefore applies to all human subject research so sponsored. Research that is neither conducted nor supported by a Federal department or agency but is subject to regulation as defined in Section 102(e) must be reviewed and approved, in compliance with Sections 101, 102, and 107 through 117.

PART 2 - RESPONSIBILITIES

Institution

This University acknowledges that it bears full responsibility for the performance of all research involving human subjects, covered by this Assurance, including complying with Federal, state, or local laws as they may relate to such research.

This University will require appropriate additional safeguards in research that involves: (1) fetuses, pregnant women, or human ova in vitro fertilization (see 45 CFR 46 Subpart B), (2) prisoners (see 45 CFR 46 Subpart C), (3) children (see 45 CFR 46 Subpart D), (4) the cognitively impaired, or (5) other potentially vulnerable groups

This University acknowledges and accepts its responsibilities for protecting the rights and welfare of human subjects of research covered by this Assurance.

This University is responsible for acquiring appropriate Assurances or Amendments, when requested, and certifications of IRB review and approval for federally sponsored research from all others, domestic or foreign, which may otherwise become affiliated on a limited basis in such research.

This University is responsible for ensuring that no performance site cooperating in the conduct of federally sponsored research for which the Assurance applies does so without Federal department or agency approval of an appropriate assurance of compliance, in whatever appropriate form, and satisfaction of IRB certification requirements.

In accordance with the compositional requirements of 45 CFR 46.107, this University has established the IRBs listed in the attached rosters (see Appendix C). Certain research supported by the U.S. Department of Education will be reviewed in accordance with the requirements of Title 34 CFR Parts 350 and 356 which require that the IRBs include at least one person who is primarily concerned with the welfare of handicapped children or mentally disabled persons.

This University will provide both meeting space and sufficient staff to support the IRBs' review and record keeping duties.

This University recognizes that involvement in research activities of any OPRR-recognized Cooperative Protocol Research Programs (CPRPs) will involve additional reporting and recordkeeping requirements related to human subject protections.

This University is responsible for ensuring that it complies fully with all applicable Federal policies and guidelines, including those concerning notification of seropositivity, counseling, and safeguarding confidentiality where research activities directly or indirectly involve the study of human immunodeficiency virus (HIV).

Office of Research Policies, Compliance, and Committees (ORPCC)

The ORPCC will receive from investigators, through their supervisors, all research protocols which involve human subjects, keep investigators informed of decisions and administrative processing, and return all disapproved protocols to them.

The ORPCC is responsible for reviewing the preliminary determination of exemption by investigators and supervisors and for making the final determination based on Section 101 of the regulations. Notice of concurrence for all exempt research will be promptly conveyed in writing to the investigator. All non-exempt research will be forwarded to the appropriate IRB.

The ORPCC will make the preliminary determination of eligibility for expedited review procedures (see Section 110). Expedited review of research activities will not be permitted where full board review is required.

The ORPCC will review all research (whether exempt or not) and decide whether the University will permit the research. If approved by the IRB(s), but not permitted by the ORPCC, the ORPCC will promptly convey notice to the investigator and the IRB(s) Chair(s). Neither the ORPCC nor any other office of the University may approve a research activity that has been disapproved by the IRB(s).

The ORPCC will forward certification of IRB approval of proposed research to the appropriate Federal department or agency only after all IRB-required modifications have been incorporated to the satisfaction of the IRB.

The ORPCC will designate procedures for the retention of signed consent documents for at least three years past completion of the research activity.

The ORPCC will maintain and arrange access for inspection of IRB records as provided for in Section 115.

The ORPCC is responsible for ensuring constructive communication among the research administrators, department heads, research investigators, clinical care staff, human subjects, and institutional officials as a means of maintaining a high level of awareness regarding the safeguarding of the rights and welfare of the subjects.

The ORPCC will arrange for and document in its records that each individual who conducts or reviews human subject research has first been provided with a copy of this Assurance, as well as with ready access to copies of 45 CFR 46, regulations of other Federal departments or agencies as may apply, the Belmont Report, and all other pertinent Federal policies and guidelines related to the involvement of human subjects in research.

The ORPCC will report promptly to the appropriate IRB, appropriate institutional officials, the Office for Protection from Research Risks (OPRR), and any other sponsoring Federal department or agency head:

any unanticipated injuries or problems involving risks to subjects or others,
 any serious or continuing noncompliance with the regulations or requirements
 of the IRB, and
 any suspension or termination of IRB approval for research.

The ORPCC will ensure (a) solicitation (or confirmation where applicable assurances to comply already exist), receipt, and management of all assurances of compliance (whatever the appropriate format), and certifications of IRB review and (b) subsequent submission of new documents to the proper Federal department or agency authorities (e.g., OPRR for DHHS) for which this Assurance applies.

The ORPCC will ensure that all affiliated performance sites that are not otherwise required to submit assurances of compliance with Federal regulations for the protection of research subjects at least document mechanisms to implement the equivalent of ethical principles to which this University is committed (see Part 1, I).

When an IRB of this University accepts responsibility for review of research which is subject to this Assurance and conducted by any independent investigator who is not otherwise subject to the provisions of this Assurance, the ORPCC will either: (a) obtain and retain a Noninstitutional Investigator Agreement (NIA) for CPRP activities (with copy to the investigator and the authorizing CPRP) or (b) obtain an Agreement for an Independent Investigator (All) for review and approval by the appropriate Federal department or agency of non-CPRP activities to document the investigator's commitment to abide: (1) by the same requirements for the protection of human research subjects as does this University and (2) the determination of an IRB.

The ORPCC assumes responsibility for ensuring conformance with special reporting requirements for any OPRR-recognized Cooperative Protocol Research Programs in which the signatory institution participates.

The ORPCC will be responsible for procedural and record keeping audits not less than once every year for the purpose of detecting, correcting, and reporting (as required) administrative and/or material breaches in uniformly protecting the rights and welfare of human subjects as required at least by the regulations and as may otherwise be additionally required by this University.

The ORPCC will ensure compliance with the requirements set forth in this Assurance and Section 114 regarding cooperative research projects. In particular, where the IRB of another institution with a DHHS MPA is relied upon, the ORPCC will ensure that document of this reliance will be (a) in writing, (b) approved and signed by the ORPCC, (c) approved and signed by the correlative officials of each of the other cooperating institutions, and (d)

retained by the ORPCC for at least three years past completion of the research project, if limited in scope to a specific research project or retained as a permanent addendum to the MPA if not restricted to a specific project. For all Cooperative Amendments (CAs), the ORPCC will forward the original of the required signed understanding to OPRR for approval and inclusion in this Assurance as an addendum.

Institutional Review Boards (IRBs)

The IRBs will review and have the authority to approve, require modification in, or disapprove all research activities, including proposed changes in previously approved human subject research. For approved research, the IRBs will determine which activities require continuing review more frequently than every twelve months or need verification that no changes have occurred if there was a previous IRB review and approval.

IRB decisions and requirements for modifications will be promptly conveyed to investigators and the ORPCC, in writing. Written notification of decisions to disapprove will be accompanied by reasons for the decision with provision of an opportunity for reply by the investigator, in person or in writing.

Initial and continuing convened IRB reviews and approvals will occur in compliance with 45 CFR 46 and provisions of this Assurance for each project unless properly found to be exempt (Section 101[b] and [i]) by the Office of Research Policies, Compliance, and Committees. Continuing reviews will be preceded by IRB receipt of appropriate progress reports from the investigator, including available study-wide findings.

The IRBs will observe the quorum requirements of Section 108(b). This University's IRBs have effective knowledge of subject populations, institutional constraints, differing legal requirements, and other factors which can foresee ably contribute to a determination of risks and benefits to subjects and subjects' informed consent and can properly judge the adequacy of information to be presented to subjects in accordance with requirements of Sections 103(d), 107(a), 111, and 116.

The IRBs will determine, in accordance with the criteria found at 45 CFR 46.111 and Federal policies and guidelines for involvement of human subjects in HIV research, that protections of human research subjects are adequate.

The IRBs will ensure that legally effective informed consent will be obtained and documented in a manner that meets the requirements of Sections 116 and 117. The IRBs have the authority to observe or have a third party observe the consent process.

Where appropriate, the IRBs will determine that adequate additional protections are ensured for fetuses, pregnant women, prisoners, and children, as required by Subparts B, C, and D of 45 CFR 46. The IRBs will notify OPRR promptly when IRB membership is modified to satisfy requirements of 45 CFR 46.304 and when the IRB fulfills its duties under 45 CFR 46.305(c).

Scheduled meetings of the IRBs for review of each research activity will occur not less than every twelve months and may be more frequent, if required by the IRBs on the basis of degree of risk to subjects. The IRBs may be called into an interim review session by the Chairperson at the request of any IRB member or University official to consider any matter concerned with the rights and welfare of any subject.

The IRBs will prepare and maintain adequate documentation of its activities in accordance with Section 46.115 and in conformance with the Office of Research Policies, Compliance, and Committees requirements.

The IRBs will forward to the Office of Research Policies, Compliance, and Committees any significant or material finding or action, at least to include the following:

- any unanticipated injuries or problems involving risks to subjects or others,
- any serious or continuing noncompliance with the regulations or requirements of the IRB, and
- any suspension or termination of IRB approval.

In accordance with Section 113, the IRBs will have the authority to suspend or terminate previously approved research that is not being conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to subjects.

The IRBs for this University will ensure effective input (consultants or voting or nonvoting members) for all initial and continuing reviews conducted on behalf of performance sites where there will be human research subjects. IRB minutes will document attendance of those other than regular voting members. The IRB lists in Appendix C include those who are identified as knowledgeable about any affiliate institution having entered into an Inter-Institutional Amendment or other institutional performance site for which an Assurance is required when relying on one or more of the IRBs of this University.

The IRBs will act with reasonable dispatch, upon request, to provide full board review of protocols of OPRR-recognized Cooperative Protocol Research Programs (CPRP). The IRBs will not employ expedited review procedures for CPRP protocols when they are to be entered into for the purpose of research. Although emergency medical care based on such protocols is permitted

without prior IRB approval, patients receiving emergency care under these conditions will not be counted as research subjects and resultant data will not be used for research purposes.

Certifications of IRB review and approval will be forwarded through the ORPCC to the appropriate Federal department or agency for research sponsored by such departments or agencies.

Research Investigator

Research investigators acknowledge and accept their responsibility for protecting the rights and welfare of human research subjects and for complying with all applicable provisions of this Assurance.

Research investigators who intend to involve human research subjects will not make the final determination of exemption from applicable Federal regulations or provisions of this Assurance.

Research investigators are responsible for providing a copy of the IRB-approved and signed informed consent document to each subject at the time of consent, unless the IRB has specifically waived this requirement. All signed consent documents are to be retained in a manner approved by the Office of Research Policies, Compliance, and Committees.

Research investigators will promptly report proposed changes in previously approved human subject research activities to the IRB. The proposed changes will not be initiated without IRB review and approval, except where necessary to eliminate apparent immediate hazards to the subjects.

Research investigators are responsible for reporting progress of approved research to the Office of Research Policies, Compliance, and Committees, as often as and in the manner prescribed by the approving IRB on the basis of risks to subjects, but no less than once per year.

Research investigators will promptly report to the IRB any injuries or other unanticipated problems involving risks to subjects or others.

No research investigator who is obligated by the provisions of this Assurance, any associated Inter-Institutional Amendment, or Non-institutional Investigator Agreement will seek to obtain research credit for, or use data from, patient interventions that constitute the provision of emergency medical care to a patient without prior IRB review and approval, to the extent permitted by law (see Section 116[f]). However, such activities will not be counted as research nor the data used in support of research.

Research investigators will advise the IRB, Office of Research Policies, Compliance, and Committees and the appropriate officials of other institutions of the intent to admit human subjects (e.g. into a hospital) who are involved in research protocols for which this Assurance or any related Inter-Institutional Amendment or Non-institutional Investigator Agreement applies. When such admissions are a planned part of DHHS-supported research, those institutions must possess an applicable OPRR-approved Assurance prior to involvement of such persons as human subjects in those research protocols at those institutions.

Affiliated Institutions and Investigators
(i.e., all performance sites, with or without IIAs)

Each performance site to this institution that is involved in federally sponsored research activities must provide to the Office of Research Policies, Compliance, and Committees an appropriate written assurance of compliance with the Belmont Report and the Federal Policy, to include Subparts B, C, and D or 45 CFR 46 where appropriate (or equivalent protections if a foreign site), for review and approval, as specified by the sponsoring Federal department or agency (e.g., by OPRR for DHHS), prior to involvement of human subjects or expenditure of funds of other support to do so.

Each institutional performance site must respond to a request by the Office of Research Policies, Compliance, and Committees of this institution for an Inter-Institutional Amendment, SPA or CPA (as appropriate), whichever is most suited to the circumstances.

Each non-institutional performance site (e.g., a private practice physician not otherwise an employee of this institution or who otherwise would not ordinarily be bound by the provisions of this Assurance or any other applicable institutional Assurance) who is involved in human subject research of this institution must respond to a request the Office of Research Policies, Compliance, and Committees of this institution for either an Agreement for an Independent Investigator or a Non-institutional Investigator Agreement, as appropriate, depending on the nature of the research activity.

Performance sites that are legally separable from this institution (whether an institutional or non-institutional performance site) are not authorized to cite this Assurance.