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by

Samuel D. Sarabia

May 2014

DEFINING LEADERSHIP QUALITIES OF EFFECTIVE PRINCIPALS OF HIGH ENGLISH-  
LANGUAGE SCHOOLS

A Dissertation  
Presented to the  
Faculty of the College of Education  
University of Houston

In Partial Fulfillment  
of the Requirements for the Degree

Doctor of Education

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## **Dedication**

To my loving parents Carmen and Santana who instilled within me the love of life, learning and persistence.

To my loving siblings Silbia, Santana, Auden and Gabriel who have always been my best friends and my greatest advocates. I cannot imagine a childhood much less an adult life without you.

To my loving friends, Linda, Frank, Melanie, Pat and Robert, who continued to push me and encourage me. You saw in me what I had difficulty seeing in myself.

To my mentor Dr. Augustina Reyes who never gave up on me.

To John for seeing yet another one through.

To my former students, teachers, principals, coaches and mentors, may I be granted the opportunity to inspire and motivate others as you have inspired and motivated me.

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### Abstract

On March 13, 2010 the Obama Administration released *A Blueprint for Reform: The Reauthorization of the Elementary and Secondary Education Act (ESEA)*. The Blueprint focused on four areas, including *(1) Improving teacher and principal effectiveness* (DOE, 2010, p. 3). The goal was for districts to improve the effectiveness of leaders and to ensure "that the students in high-need schools are being led by effective leaders" (DOE, p. 14). Districts were required to develop teacher and principal evaluation systems (DOE, p. 15).

The purpose of this quantitative study was to explore and describe the characteristics, background, and leadership qualities of five elementary school principals identified as effective principals using achievement data from the district's Education Value-Added Assessment System (EVASS). The sample schools were selected using the following criteria: high proportion of students living in poverty as measured through National School Lunch Program (NSLP) Free and Reduced Cost Meal (FARM) qualifications; high proportion of Latino students; high proportion of students identified as English Language Learners (ELL); and high levels of student achievement as measured through the selected district's value-added achievement data. A purposive sample of five principals was selected for their willingness to participate.

This study was grounded in the practice and the literature that principals make a difference (Barth, 1986; Gezi, 1990; Hallinger & Heck, 1996; Leithwood & Jantzi, 2005; Leithwood & Jantzi, 1999; Marzano, Waters & McNulty, 2005; Mortimore, 1993; Reitzug

& Patterson, 1998; Robinson, Lloyd & Rowe, 2008; Scheurich, 1998; Silins, Mulford & Zarins, 2002; Spillane, Diamond, Burch, Hallett, Jita & Zolmmers, 2002; Townsend, 1994; and Waters, Marzano & McNulty, 2003). The literature on principal practices and measurement of their practices was also reviewed (Camburn & Han, 2005; Camburn & Barnes, 2004; Grissom & Loeb, 2010; Halverson, Prichett, Grigg & Thomas, 2005; Horng, Kalogrides, & Loeb 2009; Porter, Murphy, Goldring, Elliott & Polikoff, 2008; Rowan, Camburn, & Correnti, 2004; Wahlstrom, Louis, Leithwood, & Anderson, 2010; Waters, Marzano & McNulty, 2003).

This quantitative study used survey research methods to gather data for the purposive sample of highly effective principals (Fowler, 2013; McNamara, 1994; Scheaffer, Mendenhall, & Ott, 1990). While this study used some open-ended questions in the survey, the goal was to gather statistical descriptions by asking questions of a sample of five effective principals (Fowler, 2013). The aim of using survey research methodology was to tap the subjective feelings of a sample of principals (Fowler, 2013). While survey research provides a first-effort opportunity to learn about effective principals, the data gathered in this study may be used to develop a full-scale probability sample survey.

Findings in this study were quantified using principal characteristics, backgrounds, and leadership qualities. In identifying effective principals in English-Language-Learning schools it was reported for all principals: 100 percent had exclusively elementary school experience as both classroom teachers and administrators; 100 percent served as bilingual teachers with state certifications in elementary self-contained, bilingual and mid-management; 100 percent had undergraduate degrees in education; and,

80 percent of the principals had teaching experiences in both lower grades and upper grades within the elementary school setting. While the principals had an average of 2.8 years of experience as principals in the sample schools, they had an average of eight years of total principal experience. Responses from the McREL based survey suggest that there is a definite disconnect between what principals' score themselves on perceived mindsets (what they actually think they are doing or believe should be done) and their perceived actual behavior as effective principals.



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## **Chapter I**

### **Introduction**

*Leadership means having to challenge people to live up to their words, to close the gap between espoused values and actual behavior (Heifitz & Linsky, 2004, p. 33)*

#### **Introduction and Background of the Problem**

The No Child Left Behind Act (NCLB) of 2001 came at a time of wide concern about the state of education. It set in place requirements that reached into virtually every public school in America. At the core of NCLB were a number of measures designed to drive broad gains in student achievement and to hold states and schools more accountable for student progress. They represented significant changes in the education landscape (U.S. Department of Education [DOE], 2001).

On March 13, 2010 the Obama Administration released *A Blueprint for Reform: The Reauthorization of the Elementary and Secondary Education Act (ESEA)*.

*This blueprint builds on the significant reforms already made in response to the American Recovery and Reinvestment Act of 2009 around four areas: (1) Improving teacher and principal effectiveness; (2) Providing information to families to help them evaluate and improve their children's schools; (3) Implementing college- and career-ready standards; and (4) Improving student learning and achievement in America's lowest-performing schools by providing intensive support and effective interventions (DOE, 2010, p. 3).*

The No Child Left Behind (NCLB) reauthorization Blueprint focuses on great teachers and leaders in every school. “We have to ensure that every student has an effective teacher, every school has effective leaders...” (p. 13). The proposal focuses on teacher and leader effectiveness to improve student outcomes, focusing on recruiting, preparing, developing, and rewarding effective teachers and leaders (DOE, p. 13).

According to the Blueprint, while great teachers can make the difference between a student who achieves at high levels and a student who slips through the cracks, great leaders help teachers succeed as part of a strong, well-supported instructional team. The goal is for districts to improve the effectiveness of leaders and to ensure that the students in high-need schools are being led by effective leaders (DOE, p. 14). The Blueprint emphasizes that funding from NCLB/ESEA to states and districts meet these goals by allowing them to spend funds to meet local needs as long as “they are improving teacher and principal effectiveness and ensuring the equitable distribution of effective teachers and principals” (DOE, p. 14). The challenge to states and districts will be to put in place specific policies and systems to measure, develop and improve the effectiveness of teachers and leaders. Policies and systems must include statewide definitions of effective principals and highly effective principals which must be developed in collaboration with stakeholders and based on measures of student growth, classroom and campus observations of practice. Districts must develop district level evaluation systems that “(i) meaningfully differentiate teachers and principals by effectiveness across at least three performance levels; (ii) are consistent with their state’s definitions of “effective” and “highly effective” teacher and principal; (iii) provide meaningful feedback to teachers

and principals to improve their practice and inform professional development...” (DOE, p. 15).

States and districts will be responsible for carrying out strategies to develop effective leaders that meet their local needs. While states will be required to identify activities to strengthen principal preparation programs and equitable distribution of effective principals, districts will be required to develop fair and meaningful principal evaluation systems and to carry out activities that foster principal effectiveness, including equitable distribution of effective principals (DOE, 2010).

### **Statement of the Problem**

Over the course of the past two decades, strategic efforts have taken place where well-defined principal evaluation systems and instruments have been developed. While substantial research and development of these systems and instruments has occurred in order to produce them, there remains a dissonance between what are the presumed cognitive beliefs and values (mindset) of principals as measured by the instruments and their actual behaviors. In tandem is the challenge to identify the characteristics, background and leadership qualities of principals serving in a predominantly English Language Learner environment. A challenge is presented, in which a better understanding of why this dissonance, this disconnect between principals’ mindset and behaviors exists, especially as they relate to the principal of a predominantly English Language Learner school.

In order to consider issues applicable to principal evaluation, we must consider the roles of the school principal. Historically, principals have been acclaimed as the single most important factor in improving student achievement, developing high-

performing schools and improving the quality of education central to the task of building schools that promote powerful teaching and learning for all students (National Policy Board for Educational Administration [NPBEA], 2001; Peterson, 2002). The research shows that principals matter and link high quality leadership with positive school outcomes including student achievement (Andrews & Soder, 1987; Brewer, 1993; Goldring & Pasternak, 1994; Hallinger & Heck, 1998; Hallinger & Murphy, 1985; Leithwood, 1994; Leithwood & Montgomery, 1982; Louis, Marks & Kruse, 1996; Rosenholtz, 1989; Waters, Marzano & McNulty, 2003). In a recent article, the economics of principal productivity were discussed (Branch, Hanushek, & Rivkin, 2012). The authors assert that outcome-based estimates of principal value-added to student achievement reveal significant variation in principal quality that appears to be larger for high-poverty schools. The study looked at the patterns of teacher turnover by principal quality and validated the notion that the primary importance of principal influence is the management of teachers. The study also revealed that more effective principals had a higher probability of exiting from high poverty schools. (Branch, Hanushek & Rivkin, 2012).

The role of the principal is grounded in the leadership literature. According to Wahlstrom, Louis, Leithwood, and Anderson (2010), a preponderance of research on school leadership has focused on instructional leadership; however, leadership is also about organizational improvement, direction, influence, and stability in management. In a recent Gates study, conclusions attested that next to teachers, principals were the most important factor in improving student achievement (Bill & Melinda Gates Foundation [Gates], 2010). According to the study, “The contribution of teachers to student learning



and outcomes is widely recognized. A teacher's effectiveness has more impact on student learning than any other factor under the control of school systems..." (Gates, 2010). The premise of the Gates study is that research confirms that teacher quality is the most important factor predicting student's learning gains (Clotfelter, Ladd & Vigdor, 2007; Eide, Goldhaber & Brewer, 2004; Hanushek, 1992; Gordon, Kane & Staiger, 2006; Rivkin, Hanushek & Kain, 2005; Sanders & Horn, 1998; Sanders & Rivers, 1998). The Gates study redefines the principal leadership role as one who supports and promotes teacher work through the assessment of teacher work skills. The principal is a skilled individual who uses federal, state, and local data systems with teachers in promoting student centered content and instruction to improve student achievement. Principals have the ultimate responsibility for implementing many components of teacher effectiveness strategies and for building trust with teachers so that they understand and support reform. Staff development for principals, like teachers (Severson, 2007; 2010), is the focus of the Gates study, including professional development on teacher evaluation and formal processes for soliciting teacher input in defining teacher effectiveness and its measures. The Gates study like the research on instructional leadership implies that the focus of principal leadership is instructional leadership (Gates, 2010).

Another major policy study funded by the Wallace Foundation declares that leadership is the second, only to teaching, most important factor affecting student learning (Wahlstrom, Louis, Leithwood & Anderson, 2010). Similarly, the Gates study repositions the principal as one who assesses teacher work skills it also reinforces the principal as the individual with the primary responsibility for developing teacher effectiveness. The research on what students learn in the classroom shows that among

school-based factors, principal quality is the single most important factor, second only to the quality of teachers (Leithwood et al., 2004).

Leithwood et al. (2004) make two important claims. First, “leadership is second only to classroom instruction among all school-related factors that contribute to what students learn at school” (p. 7). Second, “leadership effects are usually largest where and when they are needed most” (p. 7). Without a powerful leader, troubled schools are unlikely to be turned around. The authors stress that “many other factors may contribute to such turnarounds, but leadership is the catalyst” (p. 7). The importance of the principal’s ability to improve instruction and effect student achievement is contingent on a cohesive leadership system defined in well-coordinated policies and initiatives across state agencies and between the state and its districts (Augustine et al., 2010). Successful school leadership and improved teaching and student learning can be facilitated by coordinating the development of leadership standards, high-quality pre-service principal preparation, principal training, principal development, and the condition that affect principals’ work including access to data and sufficient resources (Augustine et al., 2010).

A study by Halverson, Prichett, Grigg and Thomas (2005) defines the new instructional leadership as the ability of leaders to shift schools from a culture of internal accountability to meet the demands of external accountability. While the work draws on traditional practice of program and teacher evaluation, curriculum design, professional development, and the creation of cultures of learning, these old tools and practices need to be used to challenge the status quo of traditional learning. School leaders are faced with policy expectations that tightened coupling of administrative and teaching practice,

teacher autonomy, and individualized professional development aligned with instructional goals and closely monitored instructional outcomes. According to this study the new instructional leadership will require knowledge and frameworks to guide leaders to improve student learning. This research recommends that school leaders use data-driven instructional systems to meet the demand of the new instructional leadership. The research on instructional leadership may suggest that instructional leadership is more important than organizational management (Grissom & Loeb, 2009); however, conclusions by Grissom & Loeb (2011) show the importance of principal organization management skills for predicting school outcomes. The data measures derived from students, teachers and parents on the principal's effectiveness on organizational management consistently predict greater school performance. Another conclusion is that the study did not find a positive association between school outcomes and efficacy in instruction management with the exception of assistant principal assessments and student-level gains. The study identified specific skills that principals need to promote school success while arguing for a broad view of instructional leadership that includes general organizational management skills as a key complement to the work of supporting teachers, curriculum, and instruction (Grissom & Loeb, 2011). Conclusions in this study showed that school leaders' organization management skills (including the hiring and strategic retention of staff as well as the managing of budgets) consistently predict student achievement growth and other measures of school success (Grissom & Loeb, 2011). In order to identify the skills that principals need to perform as effective school leaders, Grissom & Loeb (2011) identified the following dimensions of principal skills:

Instruction management, internal relations, organization management, administration and external relations.

The findings of this study are inconsistent with the research that increasing the principal's focus narrowly on overseeing instruction and observing teachers in classroom at the expense of managing key organization functions, such as budgeting and maintaining campus facilities, is unlikely to result in school success. The conclusions of the Grissom & Loeb (2011) study state that effective instructional leadership must be accompanied with an understanding that the instructional needs of the school must also do the following: target resources where they are needed, hire the best available teachers, and provide teachers with opportunities to improve and keep the school running smoothly. Principals channeling significant time and energy to becoming instructional leaders in their schools are unlikely to see improvement unless they also increase their capacity for organizational management (Grissom & Loeb, 2011).

Existing effective schools research suggests that “effective principals influence a variety of school outcomes, including student achievement, through their recruitment and motivation of quality teachers, their ability to identify and articulate school vision and goals, their effective allocation of resources, and their development of organizational structures to support instruction and learning” (Hornig, Kalogrides, and Loeb 2009).

The school leadership research demonstrated that principal leadership mattered but what is missing is a scale of what successful principals do to transform a school or to reform a school. What qualities, what behaviors, and what backgrounds do successful principals possess? What role do successful principals play? What practices do successful

principals use? And how do district leaders and principal supervisors measure how successful principals identify and use:

- key processes of leadership
- leadership behavior for implementing vision
- instructional programs
- curricular programs
- assessment programs
- communities of learning
- resource acquisition
- organizational culture
- social advocacy, and
- understand and use core components of school performance? (Porter, Murphy, Goldring, Elliott & Polikoff, 2008).

What standards, conditions, elements, and incentives support the ability of successful principals? How are leadership abilities, behaviors, and practices assessed and measured?

While there is a growing body of empirical research on the quantitative measurement of instructional practice (Burstein et al, 1995; Camburn & Han, 2005; Camburn & Barnes, 2004; Grissom & Loeb, 2010; Mullens & Gayler, 1999; Porter, Murphy, Goldring, Elliott & Polikoff, 2008; Rowan, Camburn, & Correnti, 2004), there is less research on the impact that principals have on student outcomes for the design of principal evaluation systems.

This state of affairs poses a serious threat to the understanding of principal practice and its effects. Inferences drawn from empirical evidence on the principalship are intimately bound with the measures on which the evidence is based. A considerable body of research suggests that principals can influence in-school processes and conditions that support instructional improvement (Bossert, Dwyer, Rowan, & Lee, 1982; Hallinger & Murphy, 1985; Leithwood & Montgomery, 1982; Louis, Marks & Kruse, 1996; Rosenholtz, 1989). There is also some evidence that what principals do might also affect student achievement (Hallinger & Heck, 1996). However, without a solid understanding of how well principal practice is measured, the understanding of how principals impact important school outcomes and the development of principal evaluations systems will be hampered.

### **Need for the Study**

There is a need for a study to explore and meaningfully identify the characteristics, backgrounds, and leadership qualities of school principals. While principal leadership has been acclaimed as one of the single most important factors affecting the role that principals play in affecting student achievement and high performing schools, there are no psychometric definitions and measurements that meaningfully identify and differentiate performance levels of school leadership. In the past, the research and the practice have labeled school principals as aspiring, novice, or experienced based on seniority (Cravens, Golding, Porter, Polikoff, Murphy & Elliott 2010). Cravens et al. (2010) propose the need for the development of a criterion-referenced instrument that measures leadership behaviors; however, the standard-setting process may be used to assess principals based on their responsibilities, which sets apart

those that are highly effective and effective from the less effective ones. According to the authors (Cravens et al., 2010) the psychometric literature supports the standard setting process that establishes performance standards and identifies cut scores on a continuum of measured performance standards that define what behaviors and competencies a person need to exhibit. The authors propose that cut scores operationalize the performance standards separating the highly effective from the less effective based on how they perform on standards assessed in the evaluation process (Golding, Porter, Polikoff, Murphy & Elliott, 2010). Could such a process of setting performance standards be a practical instrument for assessing leadership effectiveness for school principals? Golding et al. (2010) propose the need to identify and measure performance standards and levels for assessing school leadership effectiveness. The No Child Left Behind Blueprint focuses on states and districts to identify, define and develop definitions for effective teacher, effective principal, highly effective teacher and highly effective principals based in a significant part on student growth and also including other measures like classroom observations of practice while ensuring that students in high-needs schools are being led by effective leaders (DOE, p. 14).

### **Purpose of the Study**

The purpose of this quantitative study was to explore and describe the characteristics, background, and leadership qualities of five elementary school principals identified as leaders in the highest value-added schools with the following characteristics:

- High proportion of students living in poverty as measured through National School Lunch Program (NSLP) Free and Reduced Cost Meal (FARM) qualifications

- High proportion of Latino students;
- High proportion of students identified as English Language Learners (ELL);
- High levels of student achievement as measured through the selected district's value-added achievement data.

### **Research Design**

The research project was a quantitative study driven by the following research questions:

1. What characteristics, backgrounds, and leadership qualities do value-added principals possess?
2. What practices do value-added principals perceive they use most often

This quantitative study employed survey research methods using questionnaires and data reduction methods. This quantitative study used survey research methods to gather data for purposive sample of highly effective principals (Babbie, 1990; Dillman, 1978; Fowler, 2013; McNamara, 1994; Scheaffer, Mendenhall, & Ott, 1990). While this study used some open-ended questions, the goal was to gather statistical descriptions by asking questions of a sample of five effective principals (Fowler, 2013). The aim of using survey research methodology was to tap the subjective feelings a sample of principals (Fowler, 2013). While survey research methods provided a first-effort opportunity to learn about effective principals, the data gathered in this study may be used to develop a full-sale probability sample survey. Surveys were utilized to explore principals' core leadership competencies (Babbie, 1990; Yin, 2007). Quantitative methods were used to develop simple statistics from the survey responses including frequency distributions,



measurements of central tendencies, and measures of variability (Fowler, 2013; Gall, Gall, & Borg, 2007).

The research project made use of a survey grounded in a district's use of the McREL Leadership Framework. A purposeful sample of the principals from five schools was identified from an urban school district in the south.

### **Research Questions**

In order to best establish an understanding of principals' characteristics, background, and leadership qualities the research project was guided by the following research questions:

1. What characteristics, backgrounds, and leadership qualities do value-added principals possess?
2. What practices do value-added principals perceive they use most often?

### **Significance**

While research purports that school principals are the single, most important factor in student achievement and teacher production, principals are generally assessed as aspiring, novice, or experienced based on seniority (Cravens et al. 2010). There are no criterion-referenced instruments that measure leadership behaviors and set apart those who are highly effective and effective from the less effective ones. According to Cravens et al. (2010), the psychometric literature supports the standard setting process that establishes performance standards and identifies cut scores on a continuum of measured performance standards that define what behaviors and responsibilities a person needs to exhibit. The authors propose that cut scores can operationalize performance standards

separating the highly effective from the less effective based on how they perform on standards assessed in the evaluation process (Golding et al. 2010). This study contributed to a better understanding of the requisite alignment of principals' characteristics, background, and leadership qualities. It also provides a first-effort opportunity to learn about effective principals as the data gathered in this study may be used to develop a full-scale probability sample survey.

## **Summary**

Chapter one provided an overview of the purpose of the study. The study sought to explore and describe the background, leadership quality, and practice among principals who performance evaluation has earned them high value-added scores for a purposeful sample of five elementary school principals in schools with high value-added scores, low-income, high-minority, and high ELL student enrollments. The organization of the dissertation is be divided into the following chapters: 1. Introduction; 2. Review of the Literature; 3. Methodology; 4. Findings; 5. Discussion; 6. References; and 7. Appendices.

Chapter Two provides an overview of the literature on school leadership, focusing on the roles of school principals as grounded in the historical foundation and development of effective school leadership, the role of professional standards, the post-school reform demands for identifying and measuring behaviors and responsibilities that set apart principals who are highly effective, effective, and less effective ones as related to this study.

## **Definition of terms**

1. Adaptive Leadership - Adaptive Leadership<sup>TM</sup>, described by Ron Heifetz in his classic book *Leadership Without Easy Answers*, is a set of strategies and practices that can help organizations and the people in them break through gridlocks, accomplish deep change and develop the adaptability to thrive in complex, competitive, and challenging environments. Leadership like this can be learned. And anyone, anywhere within the organization, can do it.
2. Changing Conceptions of Principal Leadership: In 2012 the following definitions were provided for approaches to principal leadership (Clifford, Behrstock-Sherrat & Fetters (2012):

Concept	Approach to Principal Leadership	Definition of effectiveness
Traditional Manager	Leaders uphold traditions in school and community and work to create a more efficient system to attain goals. School and district administrators are the sole leaders.	Provides efficient management of student and staff time and financial resources.
Supervisor of Standards	Leaders shape staff and student behaviors to meet organizational or societal standards and ensure that people adhere to established norms. School and district administrators are the sole leaders.	Develops a system of rewards and sanctions, ensuring that teachers and students meet standards for quality performance and achievement.
Adaptive Leader	Leaders work closely with each teacher and adjust leadership approaches to move individuals toward achievement of organizational goals. School and district administrators are the sole leaders.	Knows and understands strengths, weaknesses, and styles of different groups of teachers and adapts leadership styles to match teacher developmental needs and assist in professional growth.
Instructional Leader	Leaders encourage teachers to problem solve and revise practice by facilitating self-reflection and collaborative learning.  School administrators lead curriculum improvement, monitor progress, and	Establishes a strong vision and high expectations and programs to model good instruction, coach teachers, and provide opportunities for teachers to engage in reflection and problem solving.

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	give teachers a role in the process.	
Leader Among Leaders	Leaders recognize their limitations and the limitations of their position and the capacity of other to lead. Leaders work to establish organizational systems that distribute leadership and support organizational learning.	Facilitates democratic decision making and processes to take place among communities of professionals.

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*Source.* Clifford (2012); Walker (2002) The Ripple Effect: A Synthesis of research on principal influence to inform performance evaluation design, 2012, Clifford,M, Behrstock-Sherrat, E., & Fetters; AIR, DC.

3. ELL – Also commonly referred to as LEP (Limited English Proficient), the term English Language Learners refers to students at any age level requiring additional support to gain proficiency in the English Language. As defined by the No Child Left Behind Act of 2001 an LEP/ELL is an individual:
  - a. Who is 3 to 21 years of age; who is a Native American or Alaska Native, or a native resident of the outlying areas; and
  - b. Who is enrolled or preparing to enroll in an elementary or secondary school; and
  - c. Who meets one of the following criteria:
    - i. Who is a Native American or Alaska Native, or a native resident of the outlying areas; and
    - ii. Who comes from an environment where a language other than English has had a significant impact on the individual's level of English language proficiency; or

- iii. Who is migratory, whose native language is a language other than English, and who comes from an environment where a language other than English is dominant; and
  - d. Whose difficulties in speaking, reading, writing, or understanding the English language may be sufficient to deny the individual:
    - i. The ability to meet the State's proficient level of achievement on State assessments described in Section 111(b)(3);
    - ii. The ability to successfully achieve in classrooms where the language of instruction is English; or
    - iii. The opportunity to participate fully in society (Public Law 107-110, Title IX, Part A, Sec. 9101, (25))
- 4. EVAAS- Education Value-Added Assessment System. EVAAS for K-12 builds on the Tennessee Value-Added Assessment System (TVAAS) methodology developed by Dr. William L. Sanders and his colleagues at the University of Tennessee at Knoxville. EVAAS monitors the progress of individual students by tracking their growth from year to year.
- 5. FARM – (Free And Reduced Meals) – Under the 1946 National School Lunch Act Congress authorized partial of full subsidization of costs associated with providing school meals to low income students. Guidelines for qualification are determined by the U.S. Department of Agriculture. Children from families with incomes at or below 130 percent of the poverty level are eligible for free meals. Those with incomes between 130 percent and 185 percent of the poverty level are eligible for reduced price meals, for which students can be charged no more than

40 cents. For the period July1, 2013, through June 30, 2014, 130 percent of the poverty level is \$30, 615 for a family of four; 185 percent is \$43,568. (U.S. Department of Agriculture, 2013)

6. Focus of Leadership -- One of McREL's three Framework components. Involves accurately and pro-actively targeting appropriate areas for school improvement efforts.
7. Highly Effective Principals – are those principals, who the National Association of Secondary School Principals (NASSP) recommends: engage in continuous professional development, utilizing a combination of academic study, developmental stimulation exercises, self-reflection, mentorships and internships; effectively lead teaching and learning appropriate to the needs of all students in the school, which results in measureable student academic progress; support, manage, and oversee the school's organization, operation, and use of resources to achieve school improvement goals and ensure quality implementation of the programs and services identified with increasing student achievement; extract information from data and personalize instruction for all students to create and maintain an academically rigorous, positive, professional and safe school climate for all members of the school community; foster the success of each student by facilitating the development communication, implementation and evaluation of a shared vision of teaching and learning that leads to student academic progress and school improvement; actively engage the community to create a shared responsibility for student academic performance and successful personal development.

8. Heifetz & Linsky – Authored the book *The practice of adaptive leadership: Tools and tactics for changing your organization and the world*. Cambridge, MA: Harvard Business Press, (2009). This book challenges its readers to act courageously and engage in continued reflection as they seek to become change agents.
9. Interstate School Leaders Licensure Consortium (ISLLC) - The Interstate School Leaders Licensure Consortium (ISLLC) Standards were developed by the Council of Chief State School Officers in collaboration with the National Policy Board on Educational Administration (NPBEA) to help strengthen preparation programs in school leadership (Van Meter & Murphy, 1997).
10. Leadership - Leadership can be described by reference to two core functions. One function is *providing direction*; the other is *exercising influence*. Whatever else leaders do, they provide direction and exercise influence. Leadership occurs in context of an environment. According to Elmore (1995) the impact of leadership on school reform has been most successful in those schools that have needed them least (Elmore, 1995). Leadership is also about organizational improvement. Leadership is also about direction, influence, and stability in management. Frequent turnover of superintendents, principals, and assistant principals creates a failure of management at the district level. The leadership literature identifies 21 leadership models in non-school contexts (Leithwood & Duke, 1999) including contingent leadership, participative leadership, transformational and charismatic leadership. Defining leadership in education has been more informed by models developed specifically for in-school and district-level settings with instructional

leadership with some resemblance to more general, task-oriented leadership theories and a focus on classroom practices. Some specific practices associated with instructional leadership are providing detailed feedback to teachers, including suggestions for change. This assumes leaders must have the time, the knowledge, and the consultative skills needed to provide teachers—in all the relevant grade levels and subject areas—with valid, useful advice about their instructional practices coupled with responsibilities touching on vision, organizational culture, and the like (Louis, K.S., Leithwood, K., Wahlstrom, K.L. & Anderson, S. E. (2010).

11. Managing Change – One of McREL’s three Framework components. Involves understanding the implications of change efforts for stakeholders and adjusting leadership accordingly.
12. McREL’s *The Balanced Leadership Framework* - This framework of 21 responsibilities which are divided into three components was developed based on the findings from McREL’s meta-analysis of school-level leadership and its effects on student achievement (Waters, Marzano & McNulty, 2003). This work began in 2001 with a review of over 5,000 studies of which 69 studies were selected based on meeting the following four characteristics:
  - a. The dependent variable in each study was student achievement.
  - b. The independent variable in each study was leadership.
  - c. Student achievement measures were all quantitative and standardized.
  - d. Measures of school-level leadership were all quantitative and standardized.



Purposeful Community	Focus of Leadership	Managing Change
Affirmation	Contingent rewards	Change agent
Communication	Discipline	Flexibility
Culture	Involvement in curriculum, instruction and assessment	Ideals/beliefs*
Ideals/beliefs*	Focus	Intellectual stimulation
Input	Order	Knowledge of curriculum, instruction, and assessment
Relationships	Outreach	Monitor/evaluate
Situational Awareness	Resources	Optimize
Visibility		

\* Ideals/beliefs appears in two components

13. Mindset – values and beliefs; what one actually thinks they are doing or believe should be done

14. Principal backgrounds – What was the educational background of their parents, families, etc? Where did they attend school? College? What did they major in? Have they always been in the field of education? What experiences led them to administrative roles? What types of leadership roles have they had experience in? How long have they been an administrator in their current school? What types of professional development do they participate in?

15. Principal practices – What activities do they find themselves engaged in the most? How do they spend their time? What type of support system do they set up for their teachers? For themselves? Do they screen instructional programs? How involved are

they in curriculum and instruction? What are their hiring practices like? How do they align resources? Do they engage all internal and external stakeholders?

16. Purposeful Community - One of McREL's three Framework components. One with the collective efficacy and capacity to develop and use assets to accomplish goals that matter to all community members through agreed upon processes.

17. Value-added-measures - A value-added measure is the "contribution of various factors toward growth in student achievement" (Goldhaber & Anthony, 2003, p. 38).

According to leading researchers in the field, value-added models can be thought of as "a collection of complex statistical techniques that use multiple years of students' test score data to estimate the effects of individual schools or teachers" (McCaffrey, Lockwood, Koretz & Hamilton, 2003, p. xi). There are two main ways in which value-added models are used in practice. The first is to evaluate schools for accountability purposes, and the second is to evaluate teachers in terms of their effectiveness relative to other teachers. For a helpful discussion of these two applications of value-added models, see the publication *Evaluating Value-Added: Findings and Recommendations From the NASBE Study Group of Value-Added Assessments* (National Association of State Boards of Education, 2005).

In its most simple form, the value-added measure as it is used for evaluating teachers is calculated as follows: Students' previous test scores are used to create *predicted* test scores for a given year. The difference between the predicted and actual test scores are growth scores. Teachers' contribution to students' learning is determined by looking at the average of all of their students' growth scores. The teachers are then ranked against other teachers within a district (or other unit of interest) according to how much they contributed to students' growth, and this ranking is their value-added "score." In some

value-added models, only students' prior achievement scores are used in the calculation; other models include students' gender, race, and socioeconomic background; still others include information about teachers' experience. With a value-added measure, teachers whose students performed about as well as predicted are considered "average" teachers, those whose students performed much better than predicted are considered "above average" or "highly effective," and those whose students performed worse than expected are considered "below average" (Goe, 2008).

Value-added performance-based teacher salary system – Some districts strive to recognize the impact of teachers, campus administrators, and many other employees who are accelerating *student progress* at the highest levels. Depending on the individual district, those staff members who are deemed to have added the highest value-added scores to their individual teachers and or departments are rewarded through with additional incentive monies.

## Chapter II Review of the Literature

*If you ask managers what they do, they will most likely tell you that they plan, organize, coordinate, and control. Then watch what they do. Don't be surprised if you can't relate what you see to those four words. (Mintzberg, 1989, p. 9)*

The No Child Left Behind Act (NCLB) of 2001 and its subsequent reauthorization in 2009 have been a significant catalyst to define ways and means by which to hold school principals accountable for student success. The metrics to measure and assess effective school leadership have driven the exponential growth related to principal performance evaluations' research and development. In tandem, the literature related to effective schools, student achievement, and the role of the principal in this endeavor has also increased. Particular principal performance evaluation systems and the related literature intersect to identify the background, values, beliefs, and behaviors of principals in order to determine the degree to which a principal is effective as measured by student achievement. Of special concern for the study-at-hand, how principal performance positively impacts the English-Language-Learner's educational experience.

This chapter is divided into the following subsections: 1. Historical background; 2. Post-school reform leadership literature; 3. Change and school leadership; 4. The four major principal evaluation systems; 5. A district's experience using a value-added evaluation system (EVAAS); 6. Theoretical framework; and 7. Summary.

### **Historical Background**

Historically, leadership has been framed on traits and on the sets of behavior or styles that leaders or people in the leadership position utilize (Lewin, 1939; Likert, 1967; Mouton & Blake, 1984; Stogdill & Coons, 1957; Yukl, 1994). Contingency theory or

theory that is contingent on situations rather than position and behaviors has also been used (Argyris & Schon, 1978; Fiedler, 1970, 1973; Hersey & Blanchard, 1977; House, 1970). Leadership issues are rarely framed in the practice of leadership. Leadership is more likely to be framed in leadership structures, roles, functions, and arrangements. More recent research has focused on leadership and school leadership beyond the actions of the principal and in a general organizational function that is distributed over a network of actors within the school (Gronn, 2000; Ogawa & Bossert, 1995; Spillane, 2006).

The research on effective schools and effective school leadership was grounded in the work of Ronald Edmonds (1977), Brookover and Lezotte (1977), and Rutter (1979) who were responding to the Coleman Report (1966) *Equality of Educational Opportunity*. The Coleman Report found that the academic achievement of Black children was less related to the quality of a student's school and more related to the social composition of the school, the student's sense of control of his/her environment and future, the verbal skills of teachers, and the student's family background (Coleman, 1966). Finally, it reported that black children who attended integrated schools would have higher test scores if a majority of their classmates were white (Coleman, 1966). The social composition of the student body is more highly related to achievement, independent of the student's own social background, than is any school factor (Coleman, 1966, p. 325). The Coleman report concluded that school funding had little effect on student achievement; rather student background and socioeconomic status were much more important in determining educational outcomes.

The school effectiveness researchers' response to the Coleman Report set out to show that money matters (Brookover & Lezotte, 1977; Edmonds, 1977; Rutter, 1979).

They studied characteristics of effective and ineffective schools, focusing on schools where poor and minority students learned especially well. The research reported on the characteristics of effective schools. Edmonds (1979) proposed that urban schools that teach poor children successfully exhibited the following characteristics:

1. Strong leadership;
2. A climate of high expectations;
3. Clear and focused mission;
4. Safe and orderly environment;
5. Opportunity to learn and time on task;
6. Instructional leadership;
7. Frequent monitoring of student progress; and
8. Positive home-school relations.

The effective schools research was extended by other researchers who proposed standards-based evaluations as the metric for measuring principal success; wherein, students' success in meeting articulated standards are the basis to determine principals' success. Standards-based evaluations are performance-based evaluations that have become important as school districts seek systems to make principals more responsible for closing student achievement gaps. As applied to school leaders, a number of features of standards-based evaluation may help principals improve performance. Standards-based evaluation is grounded:

- in research on leadership qualities or processes that can help those who are most directly involved with student learning (teachers) improve student achievement;

- includes rubrics that specify multiple levels of performance in enough detail to clarify the behaviors or competencies required of a good performer; and
- can serve as the foundation for a coordinated human resource management (HRM) system for principals (i.e., selection, induction, development, assessment, and compensation).

The one obstacle that school districts are facing in performance evaluation is the lack of empirical evidence on principal performance evaluations that also incorporate new standards for leadership performance, such as the Interstate School Leaders Licensure Consortium (ISLLC) Standards for School Leaders and state standards (Council of Chief State School Officers, 1996).

The standards movement in school leadership is grounded in the work of the National Policy Board for Educational Administration (NPBEA). In 1990, NPBEA with the assistance of the Texas A&M Principals' Center and all the major principal organizations started the work to develop the identification of a knowledge base for principal preparation. The organization with the assistance of a national team of experts identified essential skills and a knowledge with 21 domains and four broad themes that blended the traditional content-driven curricula with leadership, management, and the process skills. In 1993 the NPBEA published the *Principals for Our Changing Schools: The Knowledge and Skills Base*. In developing the model, the research teams identified domain-specific knowledge and skills, effective and ineffective behaviors, management procedures and performance standards. Appendix E provides a listing of the NPBEA standards. Standards for principal preparation were followed in the 1990s by state standards for principal certification. For example in, Chapter 21 of the Texas *State*

*Education Code* and *Title 19 of the State Administrative Code* outline the standards for principals to be “of the highest caliber and possess the knowledge and skills necessary for success.” Appendix F provides a list of state standards.

In 2011, a group of professional school administration associations combined under Interstate School Leaders Licensure Consortium (ISLLC) to provide one set of principal standards. In 1997, the ISLLC standards were developed by the Council of Chief State School Officers in collaboration with NPBEA (Van Meter & Murphy, 1997). The ISLLC standards have been used to guide the university curriculum for principal preparation programs. There were six standards grounded on a knowledge base, a disposition, and actual performance or practice. Each standard was followed by the knowledge required for the standard, the dispositions or attitudes manifested by accomplishment of the standard, and performance that could be observed by an administrator who completed the practice. Appendix G shows the 2010 ISLLC Standards. In 2010, ISLLC introduced *Measuring Principal Performance: How Rigorous Are Publicly Available Principal Performance Assessment Instruments?* This issue provided a brief on the importance of assessing principal performance as an additional measure to ensure accountability for results and to reinforce the importance of leadership practices. Assessment generally has two purposes. Assessments used for summative purposes tend to inform a decision by assessing learning and providing a summary of the development of learners for a particular time without an opportunity for remediation (Condon & Clifford, 2009). Formative assessments are also used to assess learning but the results are used to as diagnostic assessment to identify any weaknesses and then build on that the results. Assessments used to measure principal performance should be validated and



reliable. Some of the instruments developed to measure strengths of school leaders and their schools include Ebmeier's surveys, an instructional activity questionnaire by Larsen (1987), a leadership practices inventory (LPI) by Kouzes and Posner (2002), the Performance Review Analysis and Improvement System for Education (PRAISE), and the Principal Instructional Management Rating Scale by Hallinger and Murphy (1985). The Principal Profile was developed using extensive interview and consultation with principals, teachers, superintendents, and department heads (Condon & Clifford, 2009).

The most current principal assessment instruments are: 1. The Marzano School Leadership Model; 2. McREL's Principal Evaluation System; 3. Reeves' Leadership Performance Matrix; and 4. the Vanderbilt Assessment of Leadership (VAL-ED) which was developed in 2006 (Porter, Murphy, Goldring & Elliot, 2006). Appendix H provides an overview of the four major principal evaluation instruments.

### **Post-School Reform Literature**

Post-school reform literature reviews the research conducted on school leadership after 2004. In 2004, Leithwood, Seashore, Anderson, and Wahstrom completed a study for the Wallace Foundation. In their study they reported on how effective leadership influences student learning. They reported that effective leadership matters in improving student learning. It is second only to teaching among school-related factors in its impact on student learning.

**Standards and accountability.** In 2005, Halverson, Prichett, and Thomas proposed a data-driven instructional system (DDIS) as a framework to help explain how school leaders develop this new organizational capacity and to discuss how well the framework captures the practices of innovative school leaders. This study is one of the

first studies to expose the changes in school leadership under the policy pressure for standards and accountability for improvements in student learning. The study presses for the measurement of principal knowledge and skills while posing the following question. What are successful school leaders doing to systematically improve student learning? And how can we communicate these innovative practices to leaders looking for ways to improve learning?

Goldring, Spillane, Huff, Barnes, and Supovitz (2006) focused on measuring leadership expertise and competence using principal surveys and open-ended scenarios. The study explored the need for measurements of expertise and developed conceptual definitions of expertise in general and specific domains of leadership expertise. This study defined expertise as knowledge, problem solving, and competencies. The study explored different domains that fall under the rubric of experts such as knowledge and problem solving. Numerous studies have explored leadership content knowledge as subject matter and measurement of leadership knowledge, knowledge of subject matter, knowledge of how children learn the subject matter, and how teachers can assist that learning (Branch, Hanushek, & Rivkin, 2009; Camburn, E.M., Spillane, J., & Sebastian, J. , 2006; Darling-Hammond, LaPointe, Meyerson, & Orr , 2007; Drago-Severson, 2007; Hallinger & Heck, 1996; Hallinger & Murphy, 1985; Horng, Kalogrides, & Loeb, 2009; Leithwood & Montgomery, 1983; Rourangeau, Rips, & Rasinski, 2000; Stein & Nelson, 2005).

In 2007, Kimbal, Milanoski, and McKinney (2007) conducted a study to develop a standards-based principal performance evaluation system. The study proposed a new evaluation system that would provide:

- better performance feedback,
- clarify district expectations, and
- influence principals' priorities when compared to the old evaluation system.

Surveys and interviews were conducted to explore principal perceptions of performance feedback, district expectations and utility of evaluation process. The results showed that principals preferred the new rubric-based system for improved dialog and clearer district expectations. Results provided important contextual information about the relevance of evaluation standards and procedures to principals' work and issues to consider in implementing standards-based, rubric-based principal evaluation systems.

The need for rubric-based principal evaluation systems are grounded in federal and state accountability systems, the demands to teach students to high standards, the demands to eliminate achievement gaps, and school district efforts to hold principals accountable as an important link between district programs to improve achievement and teacher efforts in the classroom (Hallinger & Heck, 1996, 1998; Leithwood, Seashore Louis, Anderson, & Wahlstrom, 2004; Waters, Marzano, & McNulty, 2003).

According to this study, school districts do not have the empirical evidence on rubric-based principal performance evaluations that also incorporate new standards for leadership performance, such as the ISLLC Standards for School Leaders (Council of Chief State School Officers, 1996). This paper addresses this knowledge gap.

Rubric-based and standards-based evaluation systems may help principals improve performance. Standards-based evaluation is grounded:

- in research on leadership qualities or processes that can help those who are most directly involved with student learning (teachers) improve student achievement;

- includes rubrics that specify multiple levels of performance in enough detail to clarify the behaviors or competencies required of a good performer; and
- can serve as the foundation for a coordinated human resource management (HRM) system for principals (i.e., selection, induction, development, assessment, and compensation) (Kimbal, Milanoski, & McKinney, 2007, p.134).

The conceptual framework for standards-based leadership evaluation consists of three basic components:

1. a model of behaviors and competencies (the standards and rubrics). The major standards model for principal evaluation is the ISLLC model;
2. incentives to improve performance (which could range from recognition of good performance by higher level administrators to financial rewards);
3. and support systems to help principals improve (e.g., feedback on current performance, coaching, professional development), (Kimbal, Milanoski, & McKinney, 2007, p. 134).

The conceptual framework for this standards-based principal evaluation system is grounded on the principal background, the development of knowledge, skills, and behaviors, the school context, the school features, teacher behavior, and student behavior. The standards-based leadership evaluation is also influenced by the model of quality leadership, incentives to improve performance, and principal support systems.

**Highly-effective principals.** In preparation for reauthorization of the Elementary and Secondary Education Act, the U.S. Department of Education issued *A Blueprint for*

*Reform* calling for “states and districts to develop and implement systems of teacher and principal evaluation and support, and to identify effective and highly effective teachers and principals on the bases of student growth and other factors” (DOE, 2010, p.4). The purpose of these evaluations, according to the Blueprint, is to inform professional development and help school personnel improve student learning. More specifically, for school leaders, the Blueprint indicates that to measure, develop, and improve the effectiveness of leaders and preparation programs, schools and districts will be required to take two important steps: first, to develop working definitions of “effective principal” and “highly effective principal”; second, to establish district-level evaluation systems that (a) align with the effectiveness definitions, (b) are developed with the knowledge and participation of multiple stakeholders, (c) meaningfully differentiate performance levels, and (d) provide feedback to improve practice and inform professional development (DOE, 2010).

Grissom and Loeb (2011) conducted a study that identified the school leaders’ organizational management skills that consistently predict student achievement growth and other measures of school success. Organizational management skills included the hiring and strategic retention of staff as well as managing budgets. In order to identify the skills that principals need to perform effectively as school leaders, Grissom and Loeb (2010) identified the following dimensions of principal skills: 1. instruction management, 2. internal relations, 3. organization management, administration and external relations. Appendix I displays a complete list of the Grissom and Loeb (2010) dimensions of principal skills.

This study gathered data to measure principal effectiveness using school level and one-time surveys of principals, assistant principals and teachers. Survey data were linked with district level administrative data on schools, staff, and students, including data from school district surveys, and state data on school performance. Descriptive and quantitative data analyses were used to create measures of principals' self-assessed effectiveness at job tasks, assistant principals' assessment of their principal's effectiveness at job tasks, teachers' satisfaction levels, parents' assessment of schools' effectiveness, student achievement levels and gains over time, and characteristics of principals, assistant principals, teachers, and schools. In addition, principal skills list were expanded using pilot shadowing of principals in local schools. No parent survey was conducted but district parent climate survey data in which parents rated their school were used to assess the school.

Of the five skill categories, the principals' organization management skills, consistently predicts student achievement growth and other success measures. The results were confirmed by the analysis of evaluations of principals by assistant principals. This study advocates for a broad view of instructional leadership that includes organization management skills as a key complement to the work of supporting curriculum and instruction. (Grissom & Loeb, 2010).

Grissom and Loeb (2010) focus on the identification of specific sets of principal skills associated with positive school outcomes, using data from Miami-Dade County Public Schools. The researchers use a newly developed task index for principals and their own self-assessments of their effectiveness in each of the task to define areas of relative strengths. The researchers describe how the strengths vary by principal and school

contexts, and test the degree to which principals' relative competencies in the areas predict school outcomes. This study is different from the study on the Vanderbilt Assessment of Leadership in Education (VAL-ED) which draws more from the instructional leadership literature and assesses the effectiveness of specific leadership behaviors using self-ratings by principals as well as rating by supervisors and teachers in their schools (Porter, Goldring, Murphy, Elliot, & Cravens, 2006). Appendix J provides a listing of the Vanderbilt assessment skills.

The VAL-ED focus of the study was on *leadership behaviors thought to lie at the intersection of core components of school performance (i.e. what leadership must do to improve school outcomes) and key processes of leadership (i.e., how leadership develops these core components)*. The study did not link results from VAL-ED assessment to increased school performance (Grissom & Loeb, 2011. p. 9).

The conclusions of the study show the importance of principal organization management skills for predicting school outcomes (Grissom & Loeb, 2011). The data measures derived from students, teachers and parents on the principal's effectiveness on organizational management consistently predict greater school performance. Another conclusion is that the study did not find a positive association between school outcomes and efficacy in instruction management with the exception of assistant principal assessments and student-level gains. The findings of this study are inconsistent with the view that increasing the principal's focus narrowly on overseeing instruction and observing teachers in classroom at the expense of managing key organizations functions, such as budgeting and maintaining campus facilities, is likely to result in school success. According to Grissom and Loeb (2011), conclusions support effective instructional

leadership combined with an understanding that instructional needs of the school target resources where they are needed, hire the best available teachers, provide teachers with opportunities to improve, and keep the school running smoothly. Principals channeling significant time and energy to becoming instructional leaders in their schools are unlikely to see improvement unless they also increase their capacity for organizational management (Grissom & Loeb, 2010). Implications for this study suggest that districts need to focus more on hiring principals with effective organization management, like effective teacher hiring and budget allocations. While principals as former teachers come equipped with instruction skills, they rarely understand the management of complex organizations. The message for principal preparation and pre-service programs is to focus on developing organization management skills (Grissom & Loeb, 2011)

In 2010, Wahlstrom and Seashore-Louis conducted a study to identify the nature of successful educational leadership and to better understand how such leadership can improve educational practices and student learning. What is the relationship between educational leadership and student achievement? What is the effect of educational leadership on student achievement/learning/outcomes? The results of the study offer a balanced understanding of how the structures within which leaders operate shape what they do. Recent work by CALDER researchers advanced school knowledge base on school leadership, and specifically principal effectiveness, by drawing on longitudinal state data to estimate the effects of principals for different kinds of schools and students (Branch, Hanushek, & Rivkin, 2012). Taken together, this work sheds some light on important issues related to school leadership and principal effectiveness. These studies provide evidence that the quality of a principal affects a range of school outcomes



including teachers' satisfaction and their decisions about where to work, parents' perceptions about the schools their children attend, and, ultimately, the academic performance of the school. The evidence demonstrates that the school principal's job is complex and multifaceted, and the effectiveness of principals depends on their level of experience, their sense of efficacy on particular kinds of tasks, and their allocation of time across daily responsibilities. Principal's subjective evaluations of teachers may offer valuable information on teacher performance beyond what can be captured by student test scores alone. Findings from this work also demonstrate that principals with the experience and skills found to be related to effectiveness are less likely to be working in high-poverty and low-achieving schools raising equity concerns about the distribution of effective principals (Branch, Hanushek, & Rivkin, 2012).

**Leading in the bilingual environment.** According to the National Association of Secondary School Principals [NASSP] (2011),

The most recent version of the Elementary and Secondary Education Act and subsequent regulations greatly expanded the federal role in education and significantly impacted schools and school leaders' responsibilities. Federal policies require states to develop new evaluation systems for teachers and principals that include data on student growth measures as a "significant factor." They also define a highly effective principal as one "whose students, overall and for each subgroup, achieve high rates (e.g., one and one-half grade levels in an academic year) of student growth." Unfortunately, many states are using that federal guidance as rationale for an overreliance on standardized test scores in

principal evaluations and are ignoring the complex and various responsibilities that principals carry out to foster high-quality instruction and learning.

While the NASSP was crafting its position and response to the reauthorization of the ESEA, the Wallace Foundation (2010) released a report on their research, which included addressing the influence of context variables on what leaders do and what they accomplish. The report emphasized equity as a key focus of its investigations of contexts of leadership. The study sought to not only to learn about leadership that might yield equitable outcomes for students; it also sought to determine whether leadership itself was equitably distributed among schools. In other words, do poorer and wealthier schools have similar levels of leadership focused on improving schools and classrooms? The results of the study indicate there is a leadership deficit in schools marked by many disadvantages known to affect student achievement. In particular, principals in more disadvantaged school settings are likely to need more professional development and support to sustain practices and behaviors that will increase the work of improvement. Additionally, high-poverty schools need leadership development programs tailored to their specific needs. These are difficult leadership contexts that require additional interventions and support (Seashore Louis et al., 2010).

A Blueprint for Reform (2010) includes special mention of the English Language Learner students stating that “America's schools are responsible for meeting the educational needs of an increasingly diverse student population...that help schools meet the special educational needs of children working to learn the English language” (DOE, 2014). It includes a continued commitment to improving programs for English Learners and encouraging innovative programs and practices to support English Learners' success

and build the knowledge base about what works. The Blueprint further emphasizes the need to develop innovative programs and scale up effective practices to improve leadership.

In each context, it is evident that appropriate leadership for English Language Learners is to be the norm. The question becomes, are there knowledgeable and committed principals for such an environment?

### **Change and School Leadership**

Change is a process for which there are many definitions. The most common definition is to transform, to replace, or to substitute. During periods of economic turbulence change becomes an urgent agenda. Consider how the failures of Wall Street are daily changing the lives of people who can no longer retire because their retirement money was lost. Think of the fire fighters in California who from one day to the next find out that there isn't enough money in the city budget to pay their salaries much less to pay for pensions. Successful leadership requires a wide range of knowledge and skills (National Academy for Academic Leadership, 2012).

**Managing change.** The principle for managing change has significance for reforming education and creating change for students who up to now have been untouched by reform. After 30 years of school reform minority and poor children remain marginalized students. Minority students live in poverty and tend to be clustered in low-performing schools staffed by the least qualified teachers (Haskins & Sawhill, 2007). The data show that in 2005-06, one-third of the Black students and a third of Hispanic students attended high-poverty schools compared with 4 percent of White students.

Elmore states that “*I used to think that people’s beliefs determined their practices. And now I think that people’s practices determine their beliefs*” (2010, p. 1).

According to Elmore,

People’s espoused beliefs—about race, and about how children learn, for example—are not very influential in determining how most people actually behave. The largest determinant of how people practice is how they have practiced in the past, and people demonstrate an amazingly resilient capacity to re-label their existing practices with whatever ideas are currently in vogue (2010, p. 1).

Elmore believes that resilient, powerful new beliefs that truly transform the way that children are treated in schools, are shaped by people engaging in behaviors or practices that are deeply unfamiliar to them and that test the outer limits of their knowledge, their confidence in themselves as teachers/principal practitioners. Teacher/principal practitioners do not know what their espoused beliefs mean until they experience them in practice. Elmore presents a challenge to change in schools from the inside (2010), hence the need for a full understanding of managing change by principals and teachers.

**Organizational change.** One change model, the Change Cycle of Organizational Culture as developed by Frost(1991) is the change cycle most often used in school leadership. The change cycle identifies the following nine components: 1. External enabling conditions; 2. Internal permitting conditions; 3. Participating pressures; 4. Triggering events; 5. Cultural visioning; 6. Culture change strategy; 7. Culture change action plans; 8. Implementation of interventions; and 9. Reformulation of culture. While

change affects many administrative processes, school culture is most affected (Deal & Peterson, 2010).

Harvey (1990, 1994) provided a checklist for change. Historically teachers have been isolated solo professionals who operate in self-contained classrooms and see curriculum change and innovation with concerns and anxieties. Core curriculum for most teachers is a routine process grounded in the individual teacher's educational philosophies. A review of the literature identifies the following five principles for curriculum change: 1. Innovation is designed to improve achievement and must be technically sound; 2. Successful innovation requires changes in the structure of a traditional setting 3. Innovation must be manageable and feasible for the average teacher; 4. Implementation of successful change efforts must be organic rather than bureaucratic; and 5. Avoid the "Do something, do anything" syndrome (Jackson, 1988; Levine, Levine, & Ornstein, 1985).

Harvey (1990, 1994) provides a list of why people resist change. The list for change resistance is a common list as follows: 1. Lack of Ownership; 2. Lack of Benefits; 3. Increased Burdens; 4. Lack of Administrative Support; 5. Loneliness; 6. Insecurity; 7. Norm Inconsequences or group acceptance; Chaos; 9. Differential Knowledge; and 10. Sudden Wholesale Change.

Bolman & Deal (1997) identified in each of the four frames in organizational frames. In the human resource frame, anxiety, uncertainty, feelings of incompetence, and neediness were barriers that can be avoided by using strategies like training to develop new skills, participation and involvement in change process with psychological support (p. 321).

Bolman & Deal (1997) identified four categories of issues associated with major organizational change. They caution that change affects individuals' ability to feel effective, values, and in control. They recommend developing support, training, and chances to participate in the change process to avoid people who become a powerful anchor, making forward motion almost impossible.

The second category that Bolman & Deal identify is that change disrupts existing roles and working relationships, producing confusion and uncertainty. To assure success in the change process, structural patterns need to be revised and realigned to support the new direction.

The third category identified is that change causes conflict between winners and losers—those who benefit from the new direction and those who do not. Conflicts require the creation of arenas where issues can be renegotiated and opportunities to realign the political map.

The final category identified by Bolman & Deal (1997) is that some people will feel the loss of meaning. Bolman recommends transition rituals, mourning the past, and celebrating the future to provide individuals let go of old attachments and embrace the new ones. Bolman concludes that change requires a well-orchestrated, integrated design that responds to the needs for learning, realignment, negotiation, and grieving (Bolman & Deal, 1997, p. 339).

**First and second order changes.** According to Leithwood and Poplin (1992) school restructuring requires both first and second order changes. A first order change encompasses something that is already being done in the organization. Instructional leadership focuses administrators' attention on first order changes which include modest

changes like improving technical, instructional activities of the school through the close monitoring of teachers' and students' classroom work. First order changes are reversible, grounded in old culture, and non-transformational with no new learning. A lack of understanding first order changes leads to non-institutionalization of changes. The purpose of instructional leadership is to focus attention on first-order changes or changes in core technology. Core technology is defined as that transforms raw materials into finished products. Core technology has to have raw materials in students, activities that transform raw materials into desired ends, (knowledge and teaching skills) and underlying beliefs about the cause-and-effect relations that link materials, activity, and outcome (Dornbusch & Scott, 1975). Yukl (1998) defines core technology as a technical expertise and the capability to discover and exploit new uses of the technology.

Second order changes are more long-term changes in which the system itself changes by building a shared vision to improve communication and to develop collaborative decision-making processes. Second order changes support first order changes. In second order changes leaders decide or are forced to do something significantly or fundamentally different from what we have done before. Second order changes require a form of leadership that is sensitive to organizational building, such as developing shared vision, creating productive work cultures, distributing leadership to others, and other activities. The process is irreversible, transformational, requires new learning, new stories, new symbols, and new culture. Once the change process starts it is impossible to return to business as usual sills (Leithwood & Poplin, 1992; National Academy for Academic Leadership, 2012). School restructuring initiatives are primarily about second-order changes. They require leadership with a similar focus. Transformative

leadership creates collective action, empowers participants, facilitates the redefinition of people's mission and vision, renews commitments, and renews the restricting of systems for goal accomplishment (Leithwood & Poplin, 1992).

**Order of change.** Waters, Marzano, and McNulty (2003) developed a leadership framework that incorporated a model for the concept of the order or magnitude of change. In Waters et al., (2003) model of school leadership, first order change is change that is consistent with prevailing values and norms, meets with general agreement, and can be implemented using people's existing knowledge and skills. Second-order changes require that school leaders work more intensely with staff and community to facilitate new learning, develop new instruction approaches, conflicts with prevailing values, norms, and conflicts with "the way things are done here." Second order changes disrupt people's sense of security, cooperation, and cohesion of the school community. Second order changes confront expertise and competencies. They may throw people into a revolt. Base on the mental models of school that's stakeholders have some may view proposed change as first-order changes while others view changes as second-order change (Waters, Marzano, & McNulty, 2003, p. 7).

**Effective leadership during change.** Fullan (2004) declared that if today's leaders failed to act when the environment is radically changing may lead to extinction. In 2012, we live in a country that daily reduces funding for public education, has a growing charter and other alternative schools industry, and a growing industrial school market place competition (Herold, 2012). Fullan urges that leaders to understand change better to be able to influence but not control change for the better (Fullan, 2004, p. xiii). Fullan reviews five components of effective leadership during times of change, including



moral purpose, understanding change, building relationships, creating and sharing knowledge, and making coherence (Fullan, 2004). Fullan's themes are grounded in a comprehensive leadership theory, including how to become a leader, how do systems foster leadership development, and explains why leadership must be cultivate deliberately over time.

While the traditional leadership change theory provides helpful basic guides for school leaders, Fullan (2004) views organizational change as a more complex, rapid, unpredictable, nonlinear change that requires more sophisticated leadership. Fullan's change theory is modeled after the work of Heifetz and Linsky (2002) with a distinction between technical and adaptive change. He defines technical changes as putting in place solutions to problems for which they know the answers. They can be solved by people on high position. Technical problems are solved by experts with authority. Adaptive change is more difficult because it involves answering problems for which they don't have immediate solutions. Adaptive change involves changing values and behaviors or preferences often ingrained in people's heart and habits of the mind. They require experiments, new discoveries, new learning, and adjustments from numerous places in the organization or the community. Fullan acknowledges the dangers of adaptive change because it may conflict with people's beliefs, sense of comfort, competence, and can threaten their sense of identity and lead to resistance (Heifetz & Linsky, 2002 in Fullan, 2003, p. 29).

**Theoretical levels of change.** Spillane, Reiser, and Reimer (2002) identify three levels of the progress of social change using theory developed by Marris (1975). Marris (1975) identifies the first level of change as incremental or change which requires little or

no change. For example, requiring that all math courses be taught in the morning requires no change to the teacher's teaching repertoire. Level two changes may require some growth or new learning that can be integrated with the existing framework while the purpose and expectations remain the same. Level three changes require extreme makeovers that discredit existing schemas and frameworks (Marris, 1975 in Spillane et al., 2002, p. 415).

**Heifetz: theory of change.** The principle for managing change has significance for reforming education and creating change for students in poverty for whom up to now have been untouched by reform. After 30 years of school reform minority and poor children remain marginalized students (Elmore, 2010). Minority students live in poverty and tend to be clustered in low-performing schools staffed by the least qualified teachers (Haskins & Sawhill, 2007, Fall). The data show that in 2005-06, one-third of the Black students and a third of Hispanic students attended high-poverty schools compared with 4 percent of White students.

The following review of Heifetz's leadership theory and the use of adaptive leadership to move to the next practices in public school practices (Heifetz, Linsky, & Grashow, (2009). Ronald Heifetz (2009) developed a change theory that while applicable to the development of leadership theory also tests the outer limits of principals' and teachers' knowledge, their confidence in themselves as teachers/principal practitioners. Surprisingly Heifetz does not come from the world of school leadership, psychology, or business. Heifetz is a surgeon, a psychiatrist, and a Julliard-trained cellist who has chosen to focus on the practical problems of leadership (Flower, 1995).

Heifetz teaches a class at the Kennedy School of Government, *Exercising Leadership: The Politics of Change*. The class syllabus states that “the course applies theories to the practice of leadership within societies and organizations facing the adaptive challenges of a changing world” (Heifetz, 2012). The class clarifies the relationship among key concepts, like leadership, management, authority, power, influence, followership, citizenship to provide a coherent practical foundation. The class focuses on the following frameworks for the dynamics of change in social systems and strategies of action to mobilize collective attention and responsibility for tough challenges. Other strategies include how to generate innovation, orchestrate multi-party conflict, lead through crisis, gain, use, and negotiate with authority, and build a culture of long-term adaptability.

Heifetz, et al., (2009) define authentic leadership as “the practice of mobilizing people to tackle tough challenges and thrive” (p. 14). Adaptive leadership focuses on the need for change within organizations and encourages actions that disrupt the status-quo in order to incite forward momentum. At the core of adaptive leadership practice is the idea that if a system is broken, it must be diagnosed and remedied by taking risks and challenging the status quo in order to provoke change (Heifetz, Linsky, & Grashow (2009).

The theory recognizes that’s successful adaptation requires building on the past and observing what is expendable or extraneous as changes are made while recognizing the culture or the tradition of the organization. While adaption is grounded on experimentation and diversity for success, it also recognizes the need for loss and the need for time to change. Heifetz, Linsky, & Grashow (2009) emphasize the importance of

diagnosis of the system through observation and planning stages of adaptive leadership practice focusing on understanding the district's and the school's mission, strengths and weaknesses as the context for change. By diagnosing the adaptive challenge principals are able to identify gaps between the organizational values and contradictory behaviors (Heifetz, Linsky, & Grashow, 2009).

Heifetz & Linsky (2004) define leadership in education as a means of “mobilizing schools, families, and communities to deal with some difficult issues that people often prefer to sweep under the rug” (p. 33). The challenges of student achievement, health, and civic development generate real but thorny opportunities to demonstrate leadership every day for those in the roles of parents, teachers, administrators, or citizens in the community. Leadership means having to challenge people to live up to their words, to close the gap between espoused values and actual behavior (Heifetz & Linsky, 2004, p. 33). Leadership may mean pointing-out the elephant sitting on the table at a meeting or voicing the unspoken issues that everyone sees but no one wants to verbalize or mention (Heifetz & Linsky, 2004, p. 33). Often the elephant is race, poverty, how children learn, low-level traditional instruction, and the theory in practice rather than espoused theory. Leadership requires helping groups make difficult choices while giving something they value on behalf of something they care more about. Leadership means finding ways to empower people to face realities, such as budget cuts, achievement scores, high dropout rates, race, how children learn, or the gap between policy goals like NCLB and NCLB funding realities. Minority parents love their children and can be supportive networks for learning. Most leaders pass up the opportunities to exercise leadership. Most leaders stay

within their area of expertise. Exercising leadership would be personally difficult and professionally dangerous (Heifetz & Linsky, 2004, p. 34).

Leadership as defined by Heifetz & Linsky (2004) and reiterated by Elmore's (2010) belief that "resilient, powerful new beliefs that truly transform the way that children are treated in schools, are shaped by people engaging in behaviors or practices that are deeply unfamiliar to them and that test the outer limits of their knowledge, their confidence in themselves as teachers/principal practitioners."

**Leadership and authority.** Heifetz & Linsky (2004) contend that leadership is dangerous because leaders with authority are rarely authorized to lead (p. 34). People around you expect you to follow a set of behaviors, to meet their expectations and stay within your scope of authority. People who stick to their scope of authority are leaders. Authorization gives you the ability to use the following to implement adaptive change: 1. Direction; 2. Protection; 3. Orientation to role and to place; 4. Control of conflict, and 5. Maintenance of norms.

Leadership means challenging your authorization; however, leaders often meet resistance in the form of isolation or personal attacks (Heifetz, 2004). When a leader questions the values, beliefs, or habits of others, the leader may appear dangerous. Leaders place themselves on the line when they tell people what people need to hear rather than what they want to hear. A leadership myth is that leadership means having the knowledge and expertise to be a problem solver. Problems that are solved using the knowledge of experts or senior authorities are technical problems. Technical problems appeal to the mind, to the logic, and to the intellect. Adaptive challenges are problems that require leadership that experts cannot solve. The solutions for adaptive challenges lie

within people themselves rather than in technical answers. To solve adaptive problems leaders must change people's values, beliefs, habits, ways of working, or ways of life. Heifetz (2004) provides six principles for leading adaptive change (see Appendix K).

Most people expect the person in authority to take the work off their shoulders, 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.

**Challenges to change.** Heifetz identifies two types of challenges in change. They are the adaptive and the technical change. The technical is defined as those that can be solved by the knowledge of experts, whereas adaptive requires new learning. When the problem definition, solution, and implementation are clear, Heifetz calls this technical change. For the adaptive, change must come from the collective intelligence of the employees at all levels. So, together they learn their way toward solutions (Heifetz, 2010).

The adaptive change is the change leadership used by the principal to tackle the underlying of the school crisis and build school capacity to thrive in a new reality. During this period, teachers, staff, and some parents will put pressure on the principal to respond to their anxieties as the authoritative leader they were certified to be. As a principal leader with a change mission, the principal will ask the faculty to make the necessary but uncomfortable adaptive changes in their behavior and work. Change requires that leaders challenge teachers' familiar reality. Teachers will feel threatened as the principal pushes through major changes. In the process the faculty may try to bring the principal down. This is the dangerous component of change theory. Faculty who are not familiar with the

changes the principal is directing demand direction in an environment of turbulence and sometimes uncertainty. In an effort to reduce frustration and quell their own and others' fears, a principal may hunker down to protect the faculty from external threats and allow everyone to return to business as usual. They may fold by solving change anxieties with short-term solutions (Heifetz, Linsky, & Grashow, 2009). Rather than bunker in, leaders for change who practice adaptive leadership will use the opportunity that change anxieties present to hit the reset change button. They use the turbulence of the present to bring closure to the past and redefine the work people do. Change anxieties provide an opportunity to change culture by changing key rules of the work, reshape the organization, and redefine the work people do (Heifetz, Linsky, & Grashow, 2009).

One of the most important framings of adaptive leadership is the idea that leadership is not positional or based on authority but rather a practice that can be pursued by anyone. The authors explain that while leadership is not based on authority, it is also “radically different from doing your job really, really well” (Heifetz, Linsky, & Grashow, 2009, p. 23). Adaptive leadership focuses on the need for change within organizations and encourages actions that disrupt the status-quo in order to incite forward momentum.

**Political thinking to help principals exercise adaptive leadership.** Heifetz stresses that educational leaders need to be able to think politically. Leading adaptive challenges require that principals develop a strategy for learning. The strategy needs to be who needs to learn what and how. Heifetz, Linsky and Grashow (2009) provide several areas of focus in the diagnosis of the political landscape, an area in which many educators who use a meritocratic ideology and remain simple minded. The authors focus on uncovering loyalties and alliances, recognizing the values behind the actions of others

and assessing the losses and the risks associated with potential actions. The authors provide a rubric for assessing how adaptive their organization is (Heifetz, Linsky, & Grashow, 2009). They (2009) also identify the qualities of an adaptive organization, including sharing responsibility for the organization's future, expected independent judgment, developing leadership capacity, reflection, and continuous learning as institutionalized.

The following are highlights of political strategies as described by Heifetz. Personal relationships are crucial for successful leaders. Like politicians, school leaders must nurture personal relationships. The authors recommend the following essential aspects of political thinking to help principals exercise adaptive leadership:

1. Adaptive leadership is based on political thinking, don't do it alone. Involve partners that can expand your political base by developing alliances;
2. Keep the opposition close. Leadership means that you work as closely with your opponents as with your supporters. Leaders need most to understand who are those most upset by your agenda. Be sure that you bring in the uncommitted and those in the middle
3. Acknowledge their loss and difficulty: In asking people to come into your tent or to participate in adaptive change, you may be asking them to choose between two values. Leaders may be asking people to close the distance between their espoused values and their actual behavior. When people participate in adaptive change they must be disloyal to their roots. Leaders acknowledge the loss.



4. Accept casualties in order to make progress: Leaders who come into a school and make significant adaptive change that benefits the organization as a whole may clearly hurt some of those who thrived under the status quo.
5. Accept Responsibility for Your Piece of the Mess:
  - a. As a leader in the district or the school focused on change, you must accept responsibility for your contributions to creating any existing problem and in failing to address the problem in the past. (See Appendix L: Political Thinking to Help Principals Exercise Adaptive Leadership, Heifetz, 2004.)

Heifetz and Linsky (2004) assert that schools and districts should not expect the federal government or state government to provide direction, the need is for the kind of leadership that can fashion new and better responses to the local reality and the needs to come from many classrooms, districts, and communities. Each school district must discover the adaptations that will succeed in its environment and context. (Heifetz & Linsky, 2004).

Authority comes with the position for which principals are certified. State and district standards list the behaviors expected of principals. According to Heifetz & Linsky (2004), opportunities for exercising leadership do not depend on the position. Leadership comes from within and outside of the school. In Heifetz and Linsky's framework, the more authority you have the more risk and danger you encounter when you exercise leadership. The people around you, like teachers and other staff, expect you to follow the list of behaviors/standards in your job description as defined by the state and your contract as defined by the school district. If you improve achievement scores or maintain

an orderly environment, you will receive praise and rewards (Heifetz & Linsky, 2004). The more authority you have, the greater your risk to exercise leadership. People with authority are rarely authorized to exercise leadership. People who follow the rules of their contract or scope of their authority are called leaders. Heifetz & Linsky (2004) use the example of a superintendent who is faced by the complaints of teachers about their hard-driving and sometimes abrasive principal. The superintendent found a way to promote the principal up and out of the school. The move allowed the superintendent to restore equilibrium to the school; however, the school lost a principal with a 20-year track record of dramatically improving student achievement and retention in a high-poverty community. The school improvement was accomplished by pushing teachers beyond their current norms and expertise (Heifetz & Linsky, 2004).

Heifetz's leadership theory differentiates between leadership and authority and between technical answers and adaptive work (Flower, 1995). Heifetz's (2004) leadership theory would embrace disequilibrium in moderation, or a stage that creates enough discomfort to induce change into the next practices for the school to succeed in a new learning environment. It has to be organized properly so that the level of tension, conflict, and distress does not overwhelm people's learning capacity; however, it should not suppress conflict or maintain such a low level of disequilibrium that no real learning takes place. Disequilibrium would induce teachers to operate in relationship to other teachers, students, and principals rather than solo practitioners and other core instructional changes (Elmore, 2004).

Heifetz and Laurie (2001) contend that leaders are not shepherds protecting their flocks from the harsh context. On the contrary, leaders who truly care for their followers

expose them to the painful reality of their condition and demand that they fashion a response. Rather than giving followers false assurances that their best is good enough, leaders insist that followers surpass themselves. Leaders force disputes to the surface rather than avoiding conflicts (Heifetz & Laurie, 2001). Leadership requires skills tailored to an environment of urgency, high stakes, and uncertainty (Heifetz, Grashow, & Linsky, 2009).

Principals have to foster adaptation, helping followers develop the next practices that will enable the school to thrive in a new world, while they continue to use the best practices necessary for the current success. It is the leader's responsibility to use disequilibrium while keeping people in a state that creates enough discomfort to produce change but not so much that they fight, flee, or freeze (Heifetz, Grashow, & Linsky, 2009). The principal generates a participative leadership giving people at all levels of the school the opportunity to lead experiments that will help the school adapt to the changing times (Heifetz, Grashow, & Linsky, 2009). The participative leadership espoused by Heifetz has some similarities to the participative leadership identified by Spillane, Halverson, & Diamond (2001; 2002) but with more responsibility for solving school problems and challenging experiments.

Heifetz, Linsky, and Grashow (2009) provide actions that leaders should take to enact change, including how to make interpretations, how to design effective interventions, how to act politically, how to orchestrate conflict, and how to build an adaptive culture. In order to enact change, adaptive leaders view the organization adaptively rather than technically, think about the systemic rather than individual factors, and be willing to engage with elements of conflict and elements of that are more

compassionate about change (Heifetz, Linsky, & Grashow, 2009). Heifetz's theory of change is the change theory grounded in the McREL Principal Evaluation System.

#### **Four Major Evaluation Systems**

In order to develop a thorough understanding of how principals impact student outcomes as assessed by valid measures of principal practices (Camburn, Spillane, & Sebastian, 2006) a review of the four major evaluation systems is necessarily considered. (See Table 2.4). The principal evaluation systems considered are: The Marzano School Leadership Evaluation Model, which is based on five domains and 24 strategies; the Reeves' Leadership Performance Matrix, which assesses key dimensions of leadership with an online data management system (Reeves, 2009); The Vanderbilt Assessment of Leadership in Education (VAL-ED) is a 360 degree assessment instrument with 72 items and 36 teacher items that measure principal leadership in key processes and core components. Principals are assessed on 6 key processes and 6 core components (Porter, Goldring, Murphy, Elliot, & Cravens, 2006); and The McREL Evaluation System, focuses on responsibilities that are linked to higher levels of student performance with three sets of rubrics which have 21 leadership responsibilities and 66 related practices. The practices are aligned with a Balance Leadership Framework.

**Rubrics for principal evaluation systems.** Recommendations for rubrics for principal evaluation were included in an article by the New Leaders for New Schools [New Leaders] (2010) the authors provide four recommendations for improving principal evaluation systems. They suggest that 50 percent of the rubric for principal evaluation be based on student outcomes for student assessment results and measures of college readiness, attainment of reaching proficiency targets and growth increases in achievement

over time, and achievement growth increases of individual students over time. Teacher effectiveness should be 20 percent of the total principal evaluation for teachers who make effective gains in student outcomes. Improvement in the differential retention of teachers who are evaluated as effective should also be included in teacher effectiveness. The remaining 30 percent focus on principal actions. New Leaders (2010) recommends the following six domains of leadership action: 1. Vision for Results and Equity, including the principals' ability to articulate a vision, set high goals, and create an environment where students thrive; 2. Planning and operations which includes the principals' action to diagnose the school's situation, develop and implement actions plans, manage time and allocate resources in support of school goals; 3. Culture or the actions that principals take to build a culture of high expectations, align adult behavior and systems with that culture, and engage families; 4. Learning and Teaching includes actions that the principal takes to promote rigorous curriculum, high quality instructional practice, and the use of achievement data to drive improvement and the use of achievement data to drive improvement and interventions; 5. Staff development and management or the actions that principals take to manage human capital, support the professional growth of staff, evaluate staff, and develop a leadership team; 6. Personal leadership and growth or actions that principals take to support organizational learning, maintain resolve and focus, find solutions in response to challenge, and communicate effectively (New Leaders, 2010). The study also makes recommendations on how evaluations for managers and staff in district offices should be tied to the support and the success of principals and schools (New Leaders for New Schools, 2010).

The New Leaders' rubrics for principal evaluation provide an efficient framework to compare and contrast the four major evaluation systems one against the other. Additionally, upon review it is discovered that commonalities in substance clearly exist among at least two of the evaluation systems. For example, the Marzano School Leadership Evaluation Model (Marzano, 2003) is a version of the McREL evaluation model. The models are based on the common language of instruction, building collaboration among teachers, leaders, and central office administrators (Leithwood, Wahlstrom, & Anderson, 2010; Marzano, Water, & McNulty, 2005; Waters, Marzano, & McNulty, 2003). The frequency with which each of the four major evaluation systems are utilized, as well as a comparison between each, strategically situates the study-at-hand, whose research setting and design are based on the McREL principal evaluation system.

**The McREL principal evaluation system.** The research of Waters, Marzano & Mc Nulty (2003) provided the theoretical framework for the McREL Principal Evaluation System. The McREL contends that by benchmarking school leaders against the behaviors of highly effective principals, the system provides feedback to guide principals' professional growth and help them improve performance with raising student achievement (McREL, 2012). According to McREL's website, by benchmarking school leaders against the behaviors of highly effective principals, the evaluation system provides feedback to guide principals' professional growth and help them improve their performance while raising student achievement (McREL, 2012). The website implies that the system is not intended for all principals but only as a tool to help districts to recognize

excellence especially those principals have mastered critical competencies and can serve as exemplars, role models, and coaches.

The McREL Principal Evaluation System focuses principals on the responsibilities that are linked to higher levels of student performance, is grounded in a leadership framework rather than the standards of leadership and includes associated responsibilities, and has three sets of rubrics which are grounded in 21 leadership responsibilities and 66 related practices aligned with the Balanced Leadership Framework. The McREL is aligned with the ISLLC standards and is grounded in years of research (Marzano, R.J., Waters, J. T., & McNulty, B.A. 2005; Waters, J.T., Marzano, R.J., & McNulty, B., 2004).

In a study conducted by Waters, Marzano, and McNulty (2003), the following three findings were reported. The first finding was that instructional leadership was correlated with student achievement. The second finding was that the 66 leadership practices embedded in 21 leadership responsibilities had statistically significant relationships to student achievement. The third finding was that teacher perceptions of principal leadership, while statistically correlated to higher levels of student achievement, can be negatively correlated to achievement. Waters, et al, (2004) identified the following responsibilities: 1. Culture; 2. Order; 3. Discipline; 4. Resources; 5. Curriculum; 6. Instruction; 7. Assessment; 8. Focus; 9. Knowledge of curriculum; 10. Instructional assessment; 11. Visibility; 12. Contingent rewards; 13. Communication; 14. Outreach; 15. Input; 16. Affirmation; 17. Relationship; 18. Change agent; 19. Optimizer; 20. Ideals/beliefs; 21. monitors/evaluates; 22. Flexibility; 23. Situational awareness; and 24. Intellectual stimulation. The study also showed that when leaders focus on the wrong

school and/or classroom practices, they can also have a negative impact on student achievement (Waters, Marzano, & McNulty, 2004). The focus on change was based on Richard Elmore's finding that having the right focus on change is key to improving schools and increasing student achievement (Waters, Marzano, & McNulty, 2004). Holding schools accountable for performance depends on having people in schools with the knowledge, skill, and judgments to improve schools while increasing student achievement (Elmore, 2003, p.9).

### **Theoretical Framework**

The theoretical framework for this study draws from the major research on effective measurements of how principals effect student achievement (Beteille, Kalogrides, & Loeb, 2010; Camburn, Spillane, & Sebastian, 2006; Cravens, Golding, Porter, Polikoff, Murphy, & Elliott, 2010; Darling-Hammond, LaPointe, Meyerson & Orr, 2007; Goldring, Spillane, Huff, Barnes, & Supovitz, 2006; Halverson, Grigg, Prichett, & Thomas, 2005; Horng, Klasik, & Loeb, 2010; Huff, 2006; Kimbal, Milanoski, and McKinney, 2007; Kimball, Heneman, & Milanoski, 2011). In 2007, Kimbal, Milanoski, & McKinney (2007) conducted a study to develop a standards-based principal performance evaluation system. The study proposed a new evaluation system that would provide better performance feedback, clarify district expectations, and influence principals' priorities when compared to the old evaluation system. Surveys and interviews were conducted to explore principal perceptions of performance feedback, district expectations and utility of evaluation process. According to this study school districts do not have the empirical evidence on rubric-based principal performance evaluations that also incorporate new standards for leadership performance, such as the



Interstate School Leaders Licensure Consortium (ISLLC) and Standards for School Leaders (Council of Chief State School Officers, 1996). This study addressed the knowledge gap.

Grissom and Loeb (2010) conducted a study that identified the school leaders' organizational management skills that consistently predict student achievement growth and other measures of school success. Organizational management skills included the hiring and strategic retention of staff as well as managing budgets. Factor analysis of a 42-item task inventory distinguishes five skill categories, yet only one of them, the principals' organization management skills, consistently predicts student achievement growth and other success measures. Analysis of evaluations of principals by assistant principals confirms this central result. "Our analysis argues for a broad view of instructional leadership that includes general organizational management skills as a key complement to the work of supporting curriculum and instruction" (Grissom & Loeb, 2010, p. 1.).

The literature for value-added performance systems was also reviewed (Hanushek & Rivkin, 2010; Harris & Sall, 2006; Ladd, 1999; Sanders & Horn, 1998; Papay, 2011). Performance pay has often accompanied new principal evaluation plans.

This study also reviewed the four major principal evaluation systems which draw from the research on effective measurements of principal impact on student achievement. The study focuses on the work of Marzano School Leadership Evaluation Model (Marzano, Water, & McNulty, 2003; Marzano, Water, Leithwood, & Anderson, 2010; Marzano, Water, & McNulty, 2005). The Marzano School Leadership Model provides the framework for the McREL. The McREL system for principal evaluation was used to

develop a change system for services for English Language Learners (ELL) grounded in purposeful community, focus of leadership, and magnitude of change. According to Lundquist & Hill (2008), teaching English-Language-Learners is a responsibility that is implemented by the school principal as a change agent. The principal may use an instructional leadership team with an ELL teacher, administrators, and other teachers as members of the team, shifting the accountability from the ELL program to the whole school. Since teachers will be required to use new knowledge, values, norms, skills, cultural orientation, and other orientations or norms, this is categorized as a second order change process for which the principal is responsible as a change agent (Lundquist & Hill, 2008; Lundquist & Hill, 2009). The McREL evaluation model provides an ELL program management system rather than an ELL instructional program. A concern with the McREL principal evaluation system is that it may not measure

While the McREL is aligned to the Interstate School Leaders Licensure Consortium (ISLLC) Standards for School Leaders (Council of Chief State School Officers, 1996) the instrument may not distinctly measure organizational management skills.

**Sample district leadership framework.** In 2010 the sample district developed a set of beliefs to meet the needs of the district students, parents and broader community. In an effort to transform the school district, the board identified the following focuses: 1. Effective Teacher in Every Classroom; 2. Effective Principal in Every School; 3. Rigorous Instructional Standards and Supports; 4. Data-Driven Accountability; and 5. Culture of Trust through Action.

**District Leadership Development Department.** The district has created a Leadership Development Department that focuses on developing highly effective leaders who increase student achievement for every student in the district. The Leadership Development Department provides services for aspiring principals including a school leadership academy, a principal certification program with local universities, including principal certification with a focus on business, and a principal academy for collaborative engagement. Services for current principals include assistant principal mentoring for first year and second year assistant principals, principal interns, first year principals, and second year principals. The department also provides training and support for all leaders, including Crisis Prevention, Intervention, School Principal leadership framework, scholastic scheduling solutions, Shared Decision Making Committee, the summer leadership institute, and new and emerging leaders' institute. The district uses a consulting firm to assist the district in developing a master scheduling curriculum training project that maximizes instruction and student achievement.

**District principal recruitment.** The selected district established the Aspiring Principal's Institute (API) as a local initiative to recruit, prepare, and support a cadre of highly qualified aspiring principals ready to meet the district's need for effective urban school leadership in the 21st century. API prepares future principals to meet the challenges facing district secondary schools. As such, the program is a critical element of the district's leadership-development efforts within the ASPIRE (Accelerating Student Progress Increasing Results & Expectations) model.

**New and emerging leaders institute.** The District's New and Emerging Leaders Institute is a four week intensive workshop designed to address current topics in

educational leadership while meeting the needs identified by current trends in district data. McREL's Balanced Leadership Framework and its 21 leadership responsibilities and 66 associated practices provide a curricular framework that is aligned to the Texas Standards for Principals and the Educational Leadership Policy Standards, formerly known as the ISLLC Standards.

A local university program provides a master's in business educational administration (MBEA) as a collaboration between the district, the university's business school, the graduate school of education, and the university. The purpose of the program is to provide aspiring leaders with the business and management principles to effectively lead schools. The program is grounded in ISLLC standards, Texas Principal Standards, and the McREL's Balanced Leadership Framework.

### **Summary**

The No Child Left Behind Act (NCLB) of 2001 and its subsequent reauthorization in 2009 have been a significant catalyst to define ways and means by which to hold school principals accountable for student success. The metrics to measure and assess effective school leadership have driven the exponential growth related to principal performance evaluations' research and development. In tandem, the literature related to effective schools, student achievement, and the role of the principal in this endeavor has also increased. Particular principal performance evaluation systems and the related literature intersect to identify the background, mindset, and behaviors of principals in order to determine the degree to which a principal is effective as measured by student achievement. The principal performance evaluation instrument becomes the locus for identifying leadership mindset and behaviors.

This literature review included the historical foundation and development of effective school leadership, the role of professional standards, the post-school reform demands for identifying and measuring the mindset, qualities, behaviors, backgrounds, competencies, roles, and practices that set apart principals who are highly effective, effective, and less effective ones within the context of schools with low-income, high-minority, and high English Language Learning student enrollments.

### **Chapter III Method**

The purpose of this quantitative study was to explore and describe the characteristics, backgrounds, and leadership qualities of five elementary school principals identified as high-performing based on their respective campuses' student value-added achievement data. All of their schools shared the following characteristics:

- High proportions of students living in poverty as measured through federal Free & Reduced Cost Meal (FARM) qualification
- High proportions of Latino students
- High proportions of English Language Learners (ELL)
- High levels of student achievement as measured through value-added achievement data.

The research project made use of a survey grounded in a district's use of the McREL (Mid-Continent Research for Education & Learning) Balanced Leadership Framework (Waters & Cameron, 2007). A purposeful sample of the principals of five schools was selected from a large urban school district in the South based on both their campus' levels of student achievement as measured by value-added data, as well as the characteristics listed above.

#### **Research Questions**

In order to best ascertain an understanding of principals' characteristics, background, and leadership qualities, the research project was guided by the following research questions:

- What characteristics, backgrounds, and leadership qualities do value-added principals possess?

- What practices do value-added principals perceive they use most often?

The study examined and described the background, leadership qualities and practices of five elementary school principals using a survey grounded in one district's framework for outlining specific school leadership responsibilities. The five elementary school principals were identified based on their high levels of achievement serving the student populations outlined above.

### **Research Design**

Though educational researchers have devoted much attention to delineating and categorizing the varied responsibilities of school principals, comparatively less research has focused on how highly-effective principals devote their time and attention for maximum impact. In particular, the current body of research fails to distinguish how demonstrated best practices of principal leadership might vary in schools serving unique student populations. This study sought to provide a deeper understanding of the specific qualities and behaviors associated with effectiveness in schools fostering high levels of achievement for low-income, Hispanic, and ELL students.

This quantitative study used survey research methods (including questionnaires) with a purposive sample of five highly effective principals (Babbie, 1990; Dillman, 1978; Fowler, 2013; McNamara, 1994; Scheaffer, Mendenhall, & Ott, 1990). Survey research offers the researcher possible options to explain how the identified principal beliefs of effective practices are applied, but also for speedy turnaround in collecting important data (Creswell, 2003).

Principals were initially selected to participate in the study through a screening process based on both campus value-added student achievement data and other criteria.

The specific steps taken to identify participating principals are outlined in depth later in the “Participant Identification” section of this chapter.

Following their identification, participants were then asked to complete a survey instrument designed to elicit information on three key areas of analysis: principals’ formative biographical experiences and personal aims, their leadership mindsets, and the actual frequency and manner in which they exercise specific leadership behaviors.

- Participants were administered a questionnaire comprised of 19 questions focusing on the formative experiences and overarching goals that have fostered their success as principals. The questions asked within this section were both closed-ended (e.g. number of years of service as principal, prior teaching assignments) and open-ended in nature (e.g. description of respondents’ respective personal and professional goals, identification of key challenges). A copy of this section of the survey is included within Appendix D.
- Following their completion of the biographical section, respondents were then asked to complete a survey comprised of 21 questions designed to assess the importance principals placed on specific responsibilities of the McREL Balanced Leadership Framework. Greater detail on the specific areas of focus outlined within the 21 McREL responsibilities will be offered in the “Instrumentation” section of this chapter.
- In order to more easily facilitate both participants’ selections of responses and eventual analysis of the ensuing data, each McREL competency was re-phrased as an action-based question (e.g. “How important do you feel it is for



you to recognize and celebrate school accomplishment and acknowledge failures?") and then measured on a 5-point Likert style scale. Further elaboration on the rationale for converting each McREL competency into a 5-point scale is also outlined in the "Instrumentation" section.

- Finally, respondents were then asked to complete a survey comprised of 21 two-part questions assessing the frequency and manner in which principals utilized the individual McREL Balanced Leadership Framework responsibilities within their schools during the previous month. Using the same categories outlined in the preceding "Mindsets" section, respondents were initially presented with a question designed to ascertain how frequently they had applied identified behaviors in their daily practices during the previous month. (e.g. "As you reflect on your actions over the last month, how frequently did you protect teachers from issues and influences that would detract from their time and focus?") Respondents then had the opportunity to cite one or more examples (in an open-ended format) of how they had specifically applied the aforementioned competency within their schools.

While this study used some open-ended questions, the goal was to gather statistical descriptions by asking questions of a sample of five effective principals (Fowler, 2013). The aim of using survey research methodology was to tap the subjective feelings a sample of principals (Fowler, 2013). While survey research methods provided a first-effort opportunity to learn about effective principals, the data gathered in this study may be used to develop a full-sale probability sample survey. Surveys were utilized to explore principals' core leadership responsibilities (Babbie, 1990; Yin, 2007).

Quantitative methods were used to develop simple statistics from the survey responses including frequency distributions, measurements of central tendencies, and measures of variability (Fowler, 2013; Gall, Gall, & Borg, 2007).

The research project made use of a survey grounded in this large urban school district's use of the McREL (Mid-Continent Research for Education and Learning) Balanced Leadership Framework (Waters & Cameron, 2007) the previously cited McREL responsibilities referenced throughout the "Leadership Mindsets" and "Leadership Behaviors" sections of the survey were likely quite familiar to the respondents, as their school district had in turn adapted the framework in 2011 to create its own "School Leadership Appraisal System" document for use with principals. Though its title would seem to indicate otherwise, this document is utilized by the district not for appraisal purposes but instead as a framework for ongoing principal professional development (A copy of the district's "School Leadership Appraisal System" document is included as Appendix B). Permission was obtained to utilize the McREL framework in this study (see Appendix M); subsequently, surveys were distributed to participants on April 22, 2014 using a confidential online survey portal, and all responses were received within one week.

### **District Context**

The school district selected for this study is located in the southern portion of the United States of America and encompasses 301 square miles within a major metropolitan area. The district was selected because of the high enrollments of low-income, Latino and English Language Learners.

**District Demographics.** According to the state education agency, the aforementioned school district served an enrollment of 203,924 students in Early Childhood through twelfth grade in 300 schools and academic programs during the 2010-2011 academic year. The state's annual Academic Excellence Indicator System Report delineates the following district student ethnic composition:

**Table 1 2010-2011 District Student Composition by Ethnicity**

<u>STUDENT POPULATION</u>	<u>OVERALL PERCENTAGE OF DISTRICT</u>
African-American	26.6%
Asian	3.1%
Caucasian (White)	7.5%
Hispanic	61.9%
More Than One Race	0.7%
Native American	0.2%

Furthermore, the state has identified the following special populations within the selected district:

**Table 2 2010-2011 Student District Composition by Specialized Program**

<u>SPECIALIZED STUDENT POPULATION</u>	<u>PERCENTAGE</u>
<b>"At-Risk" Classification</b> (based on federal standards)	<b>64%</b>
<b>Gifted &amp; Talented</b> (as identified by district standards)	<b>14.3%</b>
<b>Limited English Proficient (LEP)</b>	<b>30.5%</b>
<i>Enrolled in Bilingual Classes</i>	21%
<i>Enrolled in ESL Classes</i>	7.5%
<b>Low-Income Status</b>	95.3%
<i>Federally Designated as Title I Based on Family Income</i>	80.6%
<i>Qualified to Receive Free &amp; Reduced Cost Meals (FARM) Based on Family Income</i>	
<b>Special Education</b>	<b>7.9%</b>

The district's budget for the 2010-2011 school year was more than 2.2 billion dollars. As of 2010, the school district employed approximately 24,440 staff members.

**District Priorities.** In 2010, the district publicly articulated a set of organizational priorities designed to better address the needs of its students, parents and broader community. The superintendent and board of education outlined the following five areas of focus:

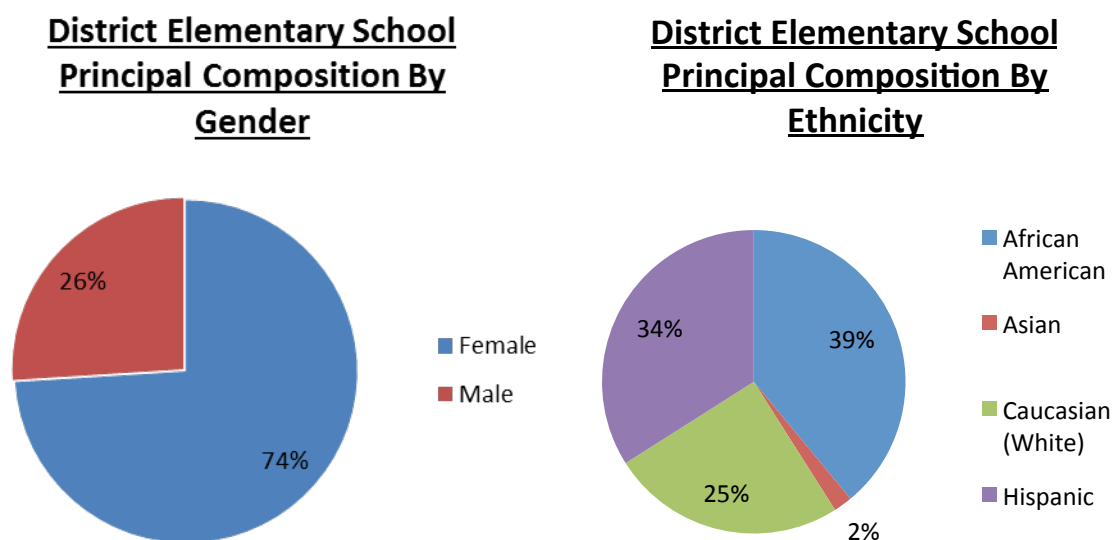
- An Effective Teacher In Every Classroom
- An Effective Principal In Every School
- Rigorous Instructional Standards & Support
- Data-Driven Accountability
- A Culture of Trust Through Action

The district's targeted focus on placing an effective principal in every school has translated to the introduction of new tools and opportunities for principal development, including the introduction of the district-wide School Leader Appraisal System based on the McREL framework. Given its specific emphasis on ensuring that every school be led by an effective principal, this environment is ideal for deeper study of how its most successful leaders achieve strong results.

### **Principals in the Sample District**

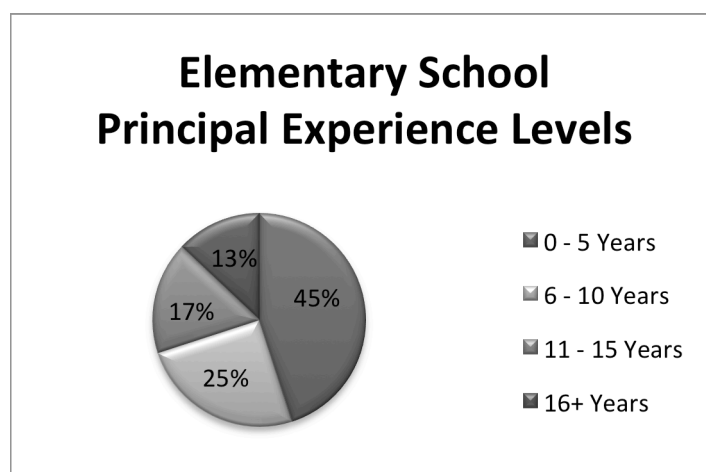
As of the 2010-2011 academic year, the district of study employed 173 elementary school principals.

**Figure 1 & 2 District Elementary School Principal Composition by Gender & Ethnicity**



**Principal Experience.** Elementary school principals in the aforementioned district varied dramatically in their amount of experience, ranging from less than one to more than 32 years. The average term of experience among elementary school principals during the 2010-2011 academic year was 7.5 years. The cohort of elementary school principals at that time fell into the following ranges of experience:

**Figure 3: District Elementary School Principal Experience Levels**



**Principal Educational Background.** As required by the state's educator certification board, 100 percent of elementary school principals held both formal state principal certification and master's degrees during the 2010-2011 academic year. Twelve percent of this group also possessed doctoral degrees.

The district's principal turnover rate immediately preceding the start of the 2010-2011 academic year was 27 percent (47 individuals). Of that number, 10 candidates were promoted within the district, 15 were removed from their position, 14 retired, and 8 accepted principal or other administrative positions in other districts.

### **Procedures**

In order to gain a better understanding of principals' characteristics, background, and leadership qualities exhibited by highly effective principals serving schools with large numbers of low income, Hispanic and ELL students I, the researcher, first identified those individuals who demonstrated high levels of performance in these contexts. I then developed and disseminated a series of survey tools to these identified participants, which would accurately measure the specific qualities that have fostered their professional success. Finally, I gained formal permission from both the aforementioned school district and the sponsoring university to pursue this research.

**Participant Identification.** In order to gain an in-depth understanding of a select group of highly effective principals and the specific mindsets, backgrounds, and leadership behaviors that have proven integral to their success, the researcher purposefully focused his analysis on a small number of individuals: 5 in total. This analysis was quantitative in nature. Participants for this study were selected based on

both their amount of experience in leading their particular campuses as well as the performance and characteristics of the schools they lead.

In order to identify those principals exhibiting the previously outlined characteristics, the researcher first identified those schools that demonstrated high levels of achievement with low-income, ELL, and Hispanic students. The identification of analyzed schools was conducted based on the following criteria:

- Schools' percentages of students eligible for free or reduced fee meals (FARM) must be 90% or greater.
- Schools' percentages of students officially designated as English language learners (ELL) must be 50% or greater.
- Schools' percentages of students officially designated as gifted and talented (G/T) must be 25% or less.
- The proportion of Hispanic students within schools' overall composition must be 90% or greater.

Utilizing these criteria, the researcher computed the school-wide measure of value-added academic growth over a three-year period. Value-added data for this study was obtained using the district's Education Value Added Assessment System (EVAAS), as originally designed by the SAS Institute. The district computes a composite score for each school using the following information:

- Mean NCE gain scores derived from the nationally normed Stanford 10 and Aprenda exams in targeted grade levels for a school.
- Scores from the state's criterion-referenced exam (TAKS) are then factored into the composite score.

- A detailed breakdown of the statistical methodology utilized by the district in calculating composite Value Added scores has been included as Appendix A.

Utilizing these scores, the researcher then created a ranked list of all eligible elementary campuses. This set of schools was then reduced to those campuses whose principals' tenure was at least three consecutive years and ranked among the top ten highest-performing campuses as measured through EVAAS throughout those three years.

Based on these criteria, the following elementary school campuses and principals were identified as subjects for the study:

**Table 3 Campus Student Demographic Data**

<u>CAMPUS</u>	<u>TOTAL NUMBER OF STUDENTS</u>	<u>PERCENTAGE OF HISPANIC STUDENTS</u>	<u>PERCENTAGE OF FARM (LOW- INCOME) STUDENTS</u>	<u>PERCENTAGE OF ELL (LEP) DESIGNATED STUDENTS</u>	<u>PERCENTAGE OF GIFTED &amp; TALENTED STUDENTS</u>
School A	773	99%	95%	66%	16%
School B	922	97%	93%	51%	20%
School C	776	95%	94%	55%	16%
School D (PK-8)	1071 *	94% *	94% *	60%	9%
School E	928	94%	93%	76%	13%
<i>NOTE: School D's data reflects its total enrollment as a Pre-Kindergarten through eighth grade campus. Its selection as a school of study was based exclusively on its Pre-Kindergarten through fifth grade student achievement data.</i>					

Throughout the study, each of these schools will here forth be referred to by its designated code name, and their associated principal will be referred to by the same letter at all times to maintain anonymity.

**Instrumentation.** In order to ascertain principals' specific beliefs and activities in regard to school leadership, the researcher administered a three-part survey instrument as previously described. The first section focusing on biographical data was designed



independently by the researcher. The second and third were developed through adaptation of the district's principal leadership framework document into a multi-part survey intended to elicit information on their mindsets and associated behaviors. According to McREL, mindset refers to the effects caused by implementation of change, which calls for new knowledge, challenging prevailing norms, or conflicts with expressed personal values. According to McREL, associated behaviors are defined as the actions necessary to implement change (McREL, 2007, p. 13). Mindsets evoke the sense of vision, and behaviors are associated with action. McREL is situated to connect vision with action (p. 3). Previous research on this topic includes work done by Heifetz, Fullan, Beckard, Pritchard, Hesselbein, Johnson, Kanter, Bridges Rogers, Nadler, Shaw, and Walton (p. 10).

As noted previously, the second and third sections of the survey assessed principal beliefs and behaviors related to the district's School Leadership Appraisal document. The tenets underlying the district's principal leadership framework stem from the work of Mid-Continent Research for Education & Learning (McREL) in their 2007 publication, *The Balanced Leadership Framework: Connecting Vision With Action* (Waters & Cameron, 2007). Within this text, the authors identify twenty-one core responsibilities (organized into three large-scale categories) that they assert are fundamental to effective leadership in an educational environment. According to McREL, responsibilities are defined as those areas in the operation of a school that are fundamental to effective school leadership. The areas of responsibility reflect prior research by Marzano (2000; 2003) and Waters, Marzano, and McNulty (2003) in their

work to identify the effects of classroom, school and leadership practices on student achievement.

**Table 4 McREL "The Balanced Leadership Framework" 21 Responsibilities**

<u>Purposeful Community</u>	<u>Focus</u>	<u>Magnitude</u>
<ul style="list-style-type: none"> <li>- Affirmation</li> <li>- Communication</li> <li>- Culture</li> <li>- Ideals / Beliefs *</li> <li>- Input</li> <li>- Relationships</li> <li>- Situational Awareness</li> <li>- Visibility</li> </ul>	<ul style="list-style-type: none"> <li>- Contingent Rewards</li> <li>- Discipline</li> <li>- Involvement in Curriculum, Instruction, &amp; Assessment</li> <li>- Focus</li> <li>- Order</li> <li>- Outreach</li> <li>- Resources</li> </ul>	<ul style="list-style-type: none"> <li>- Change Agent</li> <li>- Flexibility</li> <li>- Ideals / Beliefs *</li> <li>- Intellectual Stimulation</li> <li>- Knowledge of Curriculum, Instruction, &amp; Assessment</li> <li>- Monitor / Evaluate</li> <li>- Optimize</li> </ul>

*\* Ideals/Beliefs is purposefully listed in two categories due to its importance in both of these areas.*

### **Data Collection, Conversion, & Analysis**

Collection of required data occurred in multiple phases. Initially, the researcher engaged with representatives of the district's Research & Accountability division to formally request access to all elementary school campuses' 2010-11 campus value-added (EVAAS) performance data. Utilizing the "School Search Report" function within the SAS Institute data analysis portal, campuses were ranked in sequential order based on their three-year average growth index.

Following this phase, the researcher prepared to release the three-section online questionnaire and surveys to the five previously identified principals. As outlined above, prospective study participants were identified in collaboration with the district using its value-added EVAAS student achievement data. Once these individuals were identified, each was contacted directly to inform them of the study and request their voluntary participation. Following confirmation of their interest in participating, each was sent a digital consent form formally acknowledging their participation.

Once this consent was received, participants were sent an e-mail outlining the steps required to complete the surveys and questionnaire. Respondents were reminded that their confidentiality would be preserved at all times in the process, and that they could complete the three-part survey at their own pace. In addition, participants were offered access to a dedicated e-mail address in the event that they need assistance utilizing the online portal or require clarification of any questions. Respondents had approximately one week to complete the three-part survey.

Once all responses were received, data was organized through two mechanisms. Quantitative examination of the 5-point survey responses was conducted using a major online statistical analysis system. The program immediately offered basic statistical data on the numerical responses submitted by the participants, including mean and median for individual questions. In addition, the researcher paid special attention to the associative relationships between the numerical responses offered in the “Leadership Mindsets” section and their accompanying values in the “Leadership Behaviors” section. This analysis demonstrated whether respondents actually translated their belief in specific leadership mindsets into actual behaviors in their daily practice. This parallel data was then organized into charts on both the individual respondent and sample-wide levels that allowed for ongoing comparison and analysis.

Qualitative responses stemming from the leadership behavior section of the survey were organized and coded using Microsoft Excel in order to illustrate trends in respondents’ actions and perceptions. In particular, the researcher focused on the individual examples of leadership behaviors offered by respondents in the third section to analyze their alignment with the actual McREL responsibilities. This allowed for

meaningful comparisons between the specific manner in which different principals apply these same ideas.

### **Summary**

The purpose of this quantitative study was to explore and describe the characteristics, background, and leadership qualities of five elementary school principals identified as leaders in the highest value-added schools serving student populations with the following characteristics: High proportions of students living in poverty as measured through federal Free & Reduced Cost Meal (FARM) qualification; High proportions of Latino students; High proportions of English Language Learners (ELL); and, High levels of student achievement as measured through value-added achievement data. The study was conducted utilizing a mixed method approach in seeking answers to the delineated research questions. A large urban school district located in the southern region of the United States of America was identified from which the five participant principals that comprised the research sample were selected. A three-part survey instrument was completed by each participant, and the responses were analyzed to identify emergent themes, enumerate findings, and draw the conclusions of the research project.

## **Chapter IV**

### **Data Analysis and Findings**

The purpose of this quantitative study was to explore and describe the characteristics, background, and leadership qualities of five elementary school principals identified as leaders in the highest value-added schools with the following characteristics:

- High proportion of students living in poverty as measured through National School Lunch Program (NSLP) Free and Reduced Cost Meal (FARM) qualifications
- High proportion of Latino students;
- High proportion of students identified as English Language Learners (ELL);
- High levels of student achievement as measured through the selected district's value-added achievement data.

It employed survey research methodology through questionnaires and data reduction methods. In an effort to accurately obtain information, an exploratory research design, also known as Quan-qual, was employed. The initial quantitative data included the use of Education Value-Added Assessment System (EVAAS) student achievement data to identify those schools and principals demonstrating the highest levels of academic growth and achievement. (Appendix A)

In order to best ascertain an understanding of principals' characteristics, background, and leadership qualities, the research project was guided by the following research questions:

1. What characteristics, backgrounds, and leadership qualities do value-added principals possess?

## 2. What practices do value-added principals perceive they use most often?

### Participant Selection

The abovementioned selection protocols being followed, there were five participants selected. Each participant met all selection criteria with the most fundamental that each is among the top-ten value-added ranked elementary school principals in the selected school district. Only five schools from among the top-ten value-added ranked schools met the criteria established by the study. Table 4.1 lists the representative schools by three-year average growth index according to the district's value-added system.

**Table 5 Schools Selected to be Included in the Study**

<u>School</u>	<u>3 Year Average Growth Index</u>	<u>Actual Ranking</u>
School E	30.1	2 <sup>nd</sup>
*School A	29.7	3 <sup>rd</sup>
*School D	29.7	3 <sup>rd</sup>
School B	28.5	4 <sup>th</sup>
School C	23.1	8 <sup>th</sup>

Note: School A and School D were both tied for third place out of the top ten schools.

### Description of Participants

#### Participants' Education and Teaching Experience

The biographical information questionnaire distributed to each participant revealed several commonly shared experiences: The five research participants each had exclusively elementary school experience as both classroom teachers and administrators; all have served as bilingual teachers; and, they possess the same types of state certifications (elementary self-contained, bilingual and mid-management). Only one participant had an additional certification, early childhood certification; however, they

did not use this during their teaching experience. No participant possessed additional certifications in the areas of gifted and talented, English as a Second Language, or Special Education (see Table ).

**Table 6 Participants' Professional Certifications**

<u>Principal</u>	<u>K-5 Experience</u>	<u>Early Childhood Certification</u>	<u>Bilingual Teaching Exp.</u>	<u>Elementary Self- Contained Certification</u>	<u>Bilingual Certification</u>	<u>Mid- Management Certification</u>
A	X		X	X	X	X
B	X	X	X	X	X	X
C	X		X	X	X	X
D	X		X	X	X	X
E	X		X	X	X	X

The educational background for the participants was almost identical, with four of the five having attended the same local large university for their undergraduate degree in education. The fifth participant attended a large university within the same state and also received a degree in education. The participants' master's program matriculation in mid-management paralleled their undergraduate experience; four of five attended the same large local university, and the fifth participant attending a smaller local university. Additionally, the findings revealed that four of five participants' teaching career included grades Pre-Kindergarten – five, and the fifth participant's experience limited to grades Kindergarten – two. None of the participants have teaching experience beyond grade five (see Table 6).

**Table 7 Participants' Teaching Experience**

<b><u>Principal</u></b>	<b><u>Grade Level</u></b>	<b><u>Number of Years</u></b>	<b><u>Total Years of Teaching Experience</u></b>
Principal A	PK	1	7
	1	5	
	4	1	
Principal B	1	5	10
	5	5	
Principal C	K	1	5
	1	2	
	4	2	
Principal D	3	5	6
	4	1	
Principal E	K	4	7
	2	3	
<b>Average Teaching Experience</b>	<b>PK-5</b>	<b>35</b>	<b>7 (mean)</b>
	<b>Pre-K – 2</b>	<b>21</b>	<b>5.25 (mean)</b>
	<b>3 - 5</b>	<b>14</b>	<b>3.5 (mean)</b>

### **Participants' Pre-Principalship Administrative Experience**

All five participants' ascendency to the principalship included less than three years administrative experience such as an assistant principal or program coordinator.

Table 7 demonstrates the accelerated pace of each participants ascendency to the principalship. One participant credited another participant in this study as being instrumental in encouraging her to advance her studies and to work towards becoming an administrator.



**Table 8 Participants' Pre-Principalship Administrative Experience**

<u>Principal</u>	<u>Years of Assistant Principal Experience</u>	<u>Years in other Administrative Experience</u>	<u>Total Years of Administrative Experience</u>
Principal A	2	2 (as coordinator)	4
Principal B	3	0	3
Principal C	2	0	2
Principal D	3	0	3
Principal E	2	0	2
<b>AVERAGE</b>	<b>12</b>		<b>2.4 (mean)</b>
<b>EXPERIENCE</b>	<b>12</b>	<b>2</b>	<b>2.8 (mean)</b>

### Participants' Principalship Experience

Table 8 reveals that, among the five participants, none has less than eight years experience as principal at their current school. Two of five participant have served as principals at other schools: Principal B previously served as a principal of another school for two years, and Principal C had served 12 years as principal of another school before she was asked to move and help open a new school.

**Table 9 Participants' Tenure at Current School**

<u>Principal</u>	<u>Number of Years at their Current School</u>
Principal A	34
Principal B	8
Principal C	9
Principal D	9
Principal E	14
<b>TOTAL EXPERIENCE</b>	<b>74</b>
<b>AVERAGE EXPERIENCE</b>	<b>14.8</b>

### Participants' Typical Day

When asked to describe their typical day, all five participants describe their typical work day as consisting of the following areas of focus:

- a. Observing/coaching in classrooms
- b. Conducting/observing PLCs
- c. Overseeing the campus instructional program

When asked to identify an area in which they wished they had more time to devote more attention to, four out of the five stated that they wished they could increase their time in the classrooms in an effort to provide more coaching and feedback to their teaching staff. Only one respondent stated that she wished she had more time to devote to parents. All five were in agreement that the primary obstacles in finding this time were district requirements for additional paperwork and district meetings. Principal A stated, “I spend a lot of time overseeing the management of all departments. I am responsible for foodservice, custodial, staff, student discipline issues etc. I spend about 40% of my time on management and 60% on instructional issues.” Principal C wrote,

Spending more time in the classrooms with teachers, watching and giving feedback, is the area I always feel is not given enough time. Finding time to meet with individuals or teams is the area that we weave and fine-tune to make sure we are there for all staff. Sometimes the staff needs time to do their own work. There is never enough time for them to accomplish all they need to do. Commitments to other unexpected events will sometimes prevent me from spending more time in this area; however, I make an effort to say no to other things or people that pull me from this important part. I know that teachers want me in their rooms. Reports and meetings can wait.

As for their personal goals, three of the five wish to pursue their doctoral studies and hope to advance professionally beyond the principal role. One plans to retire and one cited a desire to open a business.

### **Data Analysis**

As stated in Chapter 1 of this research study, “While substantial research and development of these systems and instruments has occurred in order to produce them, there remains a dissonance between what are the presumed cognitive beliefs vis. mindset of principals as measured by the instruments and their actual behaviors. A challenge is presented, in which a better understanding of why this dissonance, this disconnect between principals’ mindset and behaviors exists.” (p.4)

McREL’s *The Balance Leadership Framework* was utilized to create the survey instrument and questionnaire distributed to the study’s participants. The McREL is divided into three guiding principles:

- 1) Managing Change
- 2) Focus on Leadership
- 3) Purposeful Community

The three guiding principles are comprised of 21 sub-units, referred to as responsibilities, and each was used as the basis for the survey distributed to the participants. The survey was divided into two parts: Part one -- the principals’ mindsets, What is their belief system as it pertains to these responsibilities; and, Part two -- the actual behaviors demonstrated by the principals. In an effort to help quantify this survey a number value was given to each one of the five possible responses on both the mindsets and behaviors survey. The following is an example to demonstrate how Likert scale was applied:

<u>Question</u>	<u>Not At All</u>	<u>Not Really</u>	<u>Undecided</u>	<u>Somewhat</u>	<u>Very Much</u>	<u>Total Score</u>
	(0)	(1)	(2)	(3)	(4)	

**Survey Rubric.** All participants having completed the survey, they were collected and a summary report created; wherein, each participant's response per survey item was compiled to identify frequency of responses. The responses were further disaggregated to compare the responses for each item as per specific McREL responsibility addressed; for each responsibility there were parallel items for Mindset and Behaviors (see Figure 2). The response frequencies were tabulated, and once completed the tabulations were compared to identify whatever disparity or difference may appear between how participant responded in Mindset section and Behaviors section. The differences per item were subsequently sorted, with those demonstrating greater difference to least difference.

Figure 2 Sample Survey Item

Section A: Managing Change											
Managing Change involves understanding the implications of change efforts on stakeholders and adjusting leadership behaviors accordingly											
Responsibility: CHANGE AGENT											
MINDSET					BEHAVIORS						
Question	<u>Not At All</u>	<u>Not Really</u>	<u>Undecided</u>	<u>Somewhat</u>	<u>Very Much</u>	Question	<u>Never</u>	<u>Rarely</u>	<u>Once In A While</u>	<u>Sometimes</u>	<u>Often</u>
How important do you feel it is to challenge the status quo and serve as an advocate for student achievement?						As you reflect on your actions over the <b>last month</b> , how frequently did you take actions designed to challenge the status quo and serve as an advocate for student achievement?					

The following sections delineate an analysis of each section of the survey and questionnaire as it relates to a McREL framework guiding principle and its associated responsibilities.

### Guiding Principle: Managing Change

**Change Agent.** Principal E, who was consistent in mindset and behavior, wrote, “Two weeks ago I facilitated a staff training session on the use of inquiry as an effective method for planning, instruction and assessment. I also included my Primary Years Program (PYP) teacher committee as co-presenters. My staff has traditionally used teacher-centered approaches so the use of inquiry is a shift for them. In order to move the process along, I asked that each teacher select on inquiry method and commit to implementing it. My administrative team committed to looking for this method and providing specific feedback on it.” She also went on to write, “I met with parents this

week during our monthly coffee talk to discuss the benefits of learning two languages. My community traditionally supports early transition and exiting of our English Language Learners (ELL) students so I presented the dual language research and 21<sup>st</sup> century job descriptions that highlighted the importance of bilingualism.” Principal B who actually scored herself lower in the behavior part of the survey than in the mindset part of the survey wrote, “My 5<sup>th</sup> grade teachers were administering the same old exams that they have been giving in the past. I sat down with them during their Professional Learning Community (PLC) time and showed them the data. I had to explain to them that if we do not change our practice we will continue to get the same results. They were so content in doing the same old thing year after year and it just wasn’t working anymore.” Principal D who was aligned in both mindset and behaviors stated that she had to take the initiative to reduce the number of area required tests in order to make sure that her teachers were allowed the time to teach. While there was a decrease of two points from the mindset part of the survey to the actual behaviors in the area of change agent the specific comments provided to support their actual behaviors demonstrated that their seemed to be a clear understanding that a school leader has to take actions designed to challenge the status quo and serve as an advocate for student achievement.

**Table 10 Change Agent**

Responsibility  Change Agent  Mindset	Description  How important do you feel it is to challenge the status quo and serve as an advocate for student achievement?	<u>Not At All</u>  (0)	<u>Not Really</u>  (1)	<u>Undecided</u>  (2)	<u>Somewhat</u>  (3)	<u>Very Much</u>  (4)	<u>Total Score</u>
		0	0	0	1	4	19
Change Agent  Behavior	Over the last month, how frequently did you take actions designed to challenge the status quo and serve as an advocate for student achievement?				Principal D	Principals A,B,C,E	
		0	0	0	3	2	17
						Principals B,C,D	Principals A,E
Total Points							-2

**Table 11 Change Agent: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• Had to re adjust my testing calendar.</li> <li>• I define processes to create new and better ways to improve school and classroom practices. I work with my administrative instructional team to ensure that best practices are implemented in every classroom.</li> <li>• Took the initiative to reduce the number of area required tests in order to make sure our teachers were allowed the time to teach.</li> <li>• Two weeks ago I facilitated a staff training session on the use of inquiry as an effective method for planning, instruction &amp; assessment. I also included my PYP teacher committee as co presenters. My staff has traditionally used teacher-centered approaches so the use of inquiry is a shift for them. In order to move the process along I asked that each teacher select one inquiry method and commit to implementing it. My adm team committed to looking for this method &amp; providing specific feedback on it. As always we frame all instructional methods around the TADS instrument.</li> <li>• Met with parents this week during our monthly "coffee talk" to discuss the benefits of learning 2 languages. My community traditionally supports early transition &amp; exit of our ELL students so I presented dual language research and 21st century job descriptions that highlighted the importance of bilingualism</li> <li>• My 5th grade teachers were administering the same old exams that they have been giving in the past. I sat down with them during their PLC and showed them with data that we had to change the way we were doing things or we were going to receive the same results. They were so content in doing the same old thing year after year and it just wasn't working anymore.</li> </ul>

**Flexibility.** Only two of the principals had a direct connection between their mindset and their behaviors. Principal A who did not have a disconnect stated, “I work hard to manage change by empowering the school community to adapt to new conditions and changes. I assist daily in ensuring that there exists a clear understanding of new curriculum, policies, and testing and evaluation requirements.” The other principal whose behavior also matched her mindset wrote, “Teachers may or may not agree with the amount of time they needed to change to continue with instruction. Sometimes benchmarking is not always what they want.” Principal D who went down one category from her mindset to behavior wrote, “I had to make a decision that might come with consequences; however, I know it is the best thing for my campus right now.” Interestingly, Principals B and E whose behavior was most different from their mindset wrote no comments.



Table 12 Flexibility

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Flexibility	<u>Mindset</u> How important do you feel it is to adapt your leadership behavior to the needs of the current situation even if it may fuel dissent?	0	0	0	1	4	19
					Principal D	Principals A,B,C,E	
Flexibility	<u>Behavior</u> Over the last month, how frequently did you adapt your leadership behavior to the needs of the current situation even if it might have fueled dissent?	0	2	1	0	2	12
			Principals B,E	Principal D		Principals A,C	
Total Points							-7

**Table 13 Flexibility: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>Teachers may or may not agree with the amount of time they needed to change to continue with instruction. Sometimes benchmarking is not always when they want.</li> <li>Literacy focus and the balance of math instruction had to match the curriculum and testing.</li> <li>I work hard to manage change by empowering the school community to adapt to new conditions and changes. I assist daily in ensuring that there exists a clear understanding of new curriculum, policies, and testing and evaluation requirements.</li> <li>In response to the previous example I gave in Question 1, I had to make a decision that might come with consequences, however I know it is the best thing for my campus right now.</li> </ul>

**Ideals and Beliefs.** Principal D who demonstrated the greatest dissonance between her mindset and her actual behavior wrote no comments. Principal A who scored herself lower on the behavior than on mindset wrote the following, “The strong beliefs of high expectations and standards are communicated to all stakeholders through meetings, focus groups, newsletters etc. We promote our beliefs of a safe and orderly environment, time on task, and clear and focused mission.” She went on to write, “School-wide committees are set up to inform the school community of expectations and to clarify changes that need to be shared through parental engagement throughout the community.

Table 14 Ideals and Beliefs

<b>Responsibility</b>	<b>Description</b>	<b><u>Not At All</u> (0)</b>	<b><u>Not Really</u> (1)</b>	<b><u>Undecided</u> (2)</b>	<b><u>Somewhat</u> (3)</b>	<b><u>Very Much</u> (4)</b>	<b><u>Total Score</u></b>
<b>Ideals and Beliefs</b>	How important do you feel it is for you to communicate and operate your school from your strong ideas and beliefs about school and schooling?	0	0	0	1	4	19
	<b>Mindset</b>				Principal D	Principals A,B,C .E	
<b>Ideals and Beliefs</b>	Over the last month, how frequently did you communicate strong ideas and beliefs about school and schooling to your school community?	1	0	0	2	2	14
	<b>Behavior</b>	Principal D			Principals A,B	Principals C,E	
<b>Total Points</b>							-5

**Table 15 Ideals and Beliefs: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• Students are expected to be in school everyday and need to attend tutorials to be having more school time.</li> <li>• Parents may or may not agree with the consequences of denial of act. of their children if they did not reach expected outcomes.</li> <li>• The strong beliefs of high expectations and standards are communicated to all stakeholders through meetings, focus groups, newsletters etc. We promote our beliefs of a safe and orderly environment, time on task, and clear and focused mission.</li> <li>• School wide committees are set up to inform the school community of expectations and to clarify changes that need to be shared through parental engagement throughout the community.</li> <li>• During last week's early dismissal I shared a PowerPoint presentation with my staff that depicted the evolution of our teaching &amp; learning since we began our IB journey 3 years ago. I compiled pictures of the classroom environment, student work, instructional strategies, teacher PLC meetings, PD topics and student enrollment.</li> <li>• During our GREAT program, when the community is invited to read to our children, i spoke to our parents about the importance of attending school everyday. Some of our parents treat school as a daycare situation</li> </ul>

**Intellectual Stimulation.** Once again, Principal D who scored herself low on both mindset and behavior wrote no comments. Principals C and E who were aligned in how they answered both mindset and behavior were the principals that wrote comments. Principal C wrote about one of the practices which most concern her at her current school. “Retention of students is not always the answer. As we prepare to have students ready this is one area we have to make sure teachers understand that retention is not always the answer. We must have intervention as much as possible before we recommend students for special education. There are many different ways to have Tier III students interact with others in order to help them achieve.” Principal E expressed the following, “I usually facilitate our Wednesday early dismissal teacher meetings and learning sessions. The topics have been around the essential elements, objective driven lessons, backward design planning, inquiry-based learning, and rigor. It should be noted that both of these principals express a desire to pursue their doctorates.

**Table 16 Intellectual Stimulation**

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Intellectual Stimulation Mindset	How important do you feel it is for you to facilitate discussion of the most current theories and practices as a part of the regular school culture?	0	1	0	0	4	17
			Principal  D			Principals  A.B.C.E	
Intellectual Stimulation Behavior	Over the last month, how frequently did you facilitate discussion of the most current theories and practices with your faculty and staff?	0	1	0	2	2	15
			Principal  D		Principals  A,B	Principals  C,E	
Total Points							-2

**Table 17 Intellectual Stimulation: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month</i>
<ul style="list-style-type: none"> <li>• Retention of students is not always the answer. As we prepare to have students ready this is one area we have to make sure teachers understand that retention is not always the answer.</li> <li>• Intervention as much as possible before we recommend students for special education. Many diff. ways to have Tier III students interact with other ways to help them achieve.</li> <li>• Differentiation and small grouping. Flexible grouping is what we are all constantly trying to do in our school.</li> <li>• Teachers and the administrative team are inspired to develop innovating strategies based on current practices. Staff development is supported on an ongoing basis to enhance instruction using the most effective school practice.</li> <li>• I usually facilitate our Wednesday early dismissal teacher meetings/ learning sessions. The topics have been around the essential elements, objective-driven lessons, backward design planning, inquiry-based learning, and rigor.</li> </ul>

**Knowledge of Curriculum, Instruction, and Assessment.** Knowledge of Curriculum, Instruction, and Assessment is one of the areas in which principals scored themselves high in both mindset and behavior and in which there was no difference in the number between the two. Principal D who scored herself higher on the behavior than on the mindset wrote the following comment, “I currently share an individual who is dedicated to provide information regarding new rulings on state testing and accountability standards.” Principal B who actually scored herself lower on behavior than on mindset wrote the following, “During our breakout sessions we were discussing what differentiation looked like. There were many resources brought in by different gurus. I was able to purchase some of the materials in order to help my teachers with this concept.” Principal C who was aligned in mindset and behavior and who scored very high on both seemed to outsource or delegate this responsibility as was documented by her following comments, “I reached out to the professional development department to have Ms. X send the Teacher Development Specialists (TDS) people present the DATA DIG to my teachers and to work with my staff on that piece. I also worked with a representative from Mentoring Minds to come out during an early release day to have my teachers inserviced on the wheel.”

Table 18 Knowledge of Curriculum, Instruction, and Assessment

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Knowledge of Curriculum, Instruction, and Assessment  Mindset	How important do you feel it is for you to be knowledgeable about current curriculum, instruction, and assessment practices?	0	0	0	1	4	19
					Principal  D	Principals  A.B.C.E	
Knowledge of Curriculum, Instruction, and Assessment  Behavior	Over the last month, how frequently did you actively seek out external information or knowledge about current curriculum, instruction, and assessment practices?	0	0	0	1	4	19
					Principal  B	Principals  A,C,D,E	
Total Points							0

**Table 19 Knowledge of Curriculum, Instruction, and Assessment: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• I reached out to the PD department to have Dianne Alvarez send the TDS people to present the DATA DIG to my teachers and work with my staff on that piece</li> <li>• Also worked with a representative from mentoring minds to come out during early release to have my teachers inserviced on the wheel.</li> <li>• I assist teachers in instructional strategies and assessments by providing ongoing professional development.</li> <li>• I currently share an individual who is dedicated to provide information regarding new rulings on state testing and accountability standards.</li> <li>• Three weeks ago I took my kinder team and teacher specialists to another school to see how their kinder team dramatically improved their STANFORD scores in one year. The principal and her team shared their planning protocol, their data analysis process and how they aligned their literacy lessons / workstations/ interventions.</li> <li>• During our break out session we were discussing what differentiation looked like. There were many resources brought in by different gurus. I was able to purchase some of the materials in order to help my teachers with this concept.</li> </ul>



**Monitor and Evaluate.** Monitor and Evaluate is another responsibility in which the principals scored themselves high on both mindset and behaviors. It is one of the only areas of responsibilities in which all principals wrote comments. Principal B who is the only one who dropped in her behavior versus mindset score wrote, “As we begin to take the district level assessments (DLAs) and benchmarks, I took every student data and with the help of the teachers we put these students into groups to better serve them. We then reflected upon how many times we test and what the implications for student learning was.” Principal A wrote, “Through daily walkthroughs and observations, I monitor the consistency of the implementation of research based practices that improve instruction and impact student achievement.” Principal C wrote, “During my walkthroughs, the calendar developed by myself and my administrative team has been very effective. We meet weekly to compare and to calibrate what we are seeing out in the classrooms. I-Station reviews and fluency checks have been ongoing in accordance with our assessment calendar and this has been very effective for keeping a firsthand look at the success of all of our students. Lesson planning and attending team meetings have allowed me to see the overall planning and then implementation in the classroom.” Principal D described her monitoring and evaluating as, “It is the principal’s responsibility to monitor and evaluate everything that goes on in the school. You are the sole person who can change the learning environment, the curriculum, and school personnel.” Principal E wrote, “I conduct classroom and Professional Learning Community (PLC) observations every week. Moreover, I develop a weekly schedule and send to all of the staff every Monday. If the schedule includes upcoming grade level common assessments then I attend their PLC meeting to listen to their data reports, instructional adjustments and interventions.”

**Table 20 Monitor and Evaluate**

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Monitor and Evaluate  Mindset	How important do you feel it is it for you to monitor the effectiveness of school practices and their impact for student learning?	0	0	0	0	5	20
						Principals  ALL	
Monitor and Evaluate  Behavior	Over the last month, how frequently did you monitor the effectiveness of school practices and their impact for student learning?	0	0	0	1	4	19
					Principal  B	Principals  A,C,D,E	
Total Points							-1

**Table 21 Monitor and Evaluate: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• During my walkthroughs, the calendar myself and my admin team developed has been effective. We meet weekly to compare and calibrate what we are seeing out in the classrooms.</li> <li>• Istation reviews and fluency checks have been ongoing in accordance with our assessment calendar and this has been very effective for keeping a firsthand look at the success of all of our students.</li> <li>• Lesson planning and attending team meetings have allowed me to see the overall planning and then implementation in the classroom.</li> <li>• Through daily walkthroughs and observations, I monitor the consistency of the implementation of research based practices that improve instruction and impact student achievement.</li> <li>• It is the principal's responsibility to monitor and evaluate everything that goes on in the school. You are the sole person who can change the learning environment, the curriculum, and school personnel.</li> <li>• I conduct classroom &amp; PLC observations every week. Moreover, I develop a weekly schedule and send to all staff every Monday. If the schedule includes upcoming grade level common assessments then I attend their PLC to listen to their data reports, instructional adjustments &amp; interventions.</li> <li>• As we began to take district DLA's and benchmarks, I took every student's data and with the help of the teachers put them into groups to better serve the students. We then reflected upon how many times we test and what the implications for student learning was.</li> </ul>

**Optimize.** Principal B who had the greatest dissonance between her mindset score and her behavior score chose not to write any comments. Principal A whose behavior matched her mindset wrote, “We have implemented new reading and math programs and I have provided professional development on an ongoing basis to inspire teachers to gain knowledge and confidence to promote innovations.” Principal C who also scored herself lower in her behavior than in her mindset wrote, “I inspire and lead by being a part of our Professional Learning Community (PLC) and by being a part of the staff basketball game. I also attend extracurricular activities and this also allows me to be part of the team. Serving as a tutorial teacher lets mu staff know... I am tired just like them and I am here working tutorial weekdays and SATURDAYS. I also support them by cheering them on and celebrating their successes.

Table 22 Optimize

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Optimize Mindset	How important do you feel it is for you to inspire your team and lead new and challenging innovations?	0	0	0	0	5	20
						Principals  ALL	
Optimize Behavior	Over the last month, how frequently did you actively inspire your team and lead new and challenging innovations?	0	0	1	2	2	16
				Principal  B	Principals  C, D	Principals  A, E	
Total Points							-4

***Share specific examples (if applicable) of when you exercised this behavior over the last month.***

- Through attending team meetings. In PLC we are able to participate as team members
- Being a part of the staff basketball game and attending extracurricular act. Also allows me to be part of the team. Serving as a tutorial teacher lets my staff know... I am tired just like them and I am here working a tutorial weekdays and SATURDAYS.
- Supporting them and cheering them and celebrating their successes.
- We have implemented new Reading and Math programs and I have provided professional development on an ongoing basis to inspire teachers to gain knowledge and confidence to promote innovations.
- Inspiring my staff to come in and work with their students during spring break.
- I met with my teachers last Wednesday to conduct an IB GALLERY WALK and then I spoke to them about our upcoming IB verification visit. I reflected on how we have evolved over the past 3 years & I encouraged them to "shine" during the observations & interviews. I also asked 3 teachers to stand & share how they had prepared for the visit.

**Guiding Principal: Focus on Leadership**

**Contingent Rewards.** This is another area of responsibility in which the respondents scored themselves high on both mindset and behavior. This was also one of the areas in which there was no point difference between the two and was also one of the areas in which all principals wrote comments. Principal B who scored herself lower on behavior than on mindset wrote, “Every month we have a teacher of the month award that teachers get nominated for. They receive a gift card and a plaque from the administrators in front of the entire staff.” Principal E who scored her behavior higher than her mindset wrote, “During our International Baccalaureate (IB) Gallery Walk I recognize the teachers who shared their student work and last week we held our monthly teacher attendance drawing. We put the names of teachers with perfect or near perfect attendance into a hat and pulled one out. The winner gets a \$50 gift card from a local store. Two weeks ago we held our monthly “character” recognition ceremony for students. Every month each teacher selects one student who best exemplifies the IB Attitude of the month in a general assembly setting. I also recognize one staff member who best reflects the same IB attitude.” Principal A wrote, “I recognize the accomplishments and hard work of all stakeholders by rewarding them publicly, organizing receptions, newsletters sent to parents and recognizing them daily every time I have an opportunity.” Principal C recognizes her staff by “Announcing on the morning announcements who led the chairing of the basketball game. Also, being able to put in the weekly E-Bulletin the success of the benchmarks of the teachers and the leaders of the grade levels in attendance is a way to recognize teachers.” Principal D states that she always makes it a point to personally congratulate her teachers when they have some type of academic success. That is her best part of the week.

**Table 23 Contingent Rewards**

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Contingent Rewards	How important is it for you to recognize and reward individual accomplishments?	0	0	0	1	4	19
					Principal  E	Principals  A,B,C,D	
Contingent Rewards	Over the <b>last month</b> , how frequently did you recognize and reward individual accomplishments?	0	0	0	1	4	19
					Principal  B	Principals  A, C,D,E	
Total Points							0

**Table 24 Contingent Rewards: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• Being able to announce on the morning announcements who led the chairing of the basketball game. Being able to put in the weekly e bulletin the success of the benchmarks of teachers.</li> <li>• Leaders of the grade levels in attendance. High turnout of parent teacher conf. The parents attending the Coffee with the Principal. Individual teachers that had the projects in the GT expo. Recognize the office Staff for leading the CHILI COOKOFF</li> <li>• I recognize the accomplishments and hard work of all stakeholders by rewarding them publicly, organizing receptions, newsletters sent to parents and recognizing them daily every time I have an opportunity.</li> <li>• I always make it a point to go and personally congratulate my teachers when they have some type of academic success. That is the best part of my week.</li> <li>• During our IB GALLERY WALK I recognized the teachers who shared their student work and last week we held our monthly teacher attendance drawing. We put the names of teachers with perfect or near perfect attendance into a hat &amp; pulled one out. The winner gets a \$50 gift card from SAMs CLUB.</li> <li>• Two weeks ago we held our monthly "character" recognition ceremony for students. Every month each teacher selects one student who best exemplifies the IB ATTITUDE of the month in a general assembly setting. I also recognize one staff member who best reflects the same IB ATTITUDE.</li> <li>• Every month we have a teacher of the month award that teachers get nominated for. They receive a gift card and a plaque from the administrators in front of the entire staff.</li> </ul>



**Learning Environment.** Principal B who once again had the greatest disconnect between her mindset and her behavior chose not to write any comments. Principal E who had a slight drop in her behavior score wrote the following, “This is not always easy to do because teachers have so many pressing things to do. However, I often ask my support team to alleviate some of the non-essential items like travel arrangements, professional development registrations, planning teacher coverage, making copies etc. whenever possible. I also build in extra planning time on early dismissal Wednesdays.” Principal C who scored high on both mindset and behavior wrote, “I support their time by having substitutes cover teachers’ classes during the day while the DATA DIG presentation happened. Parent teacher conferences are covered with the help of instructional assistants. I make sure that all materials were ready for the District Level Assessments (DLAs). I make sure that all equipment is working and all resources are available. I ensure that there are no interruptions during the day from the office or parents and make sure that all incentives for attendance are delivered.”

Table 25 Learning Environment

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Learning Environment  Mindset	How important do you feel it is to protect teachers from issues and influences that would detract from their time and focus?	0	0	0	0	5	20
					0	Principals  ALL	
Learning Environment  Behavior	Over the <u>last month</u> , how frequently did you protect teachers from issues and influences that would detract from their time and focus?	0	1	0	1	3	16
			Principal  B		Principal  E	Principals  A, C,D,	
Total Points							-4

**Table 26 Learning Environment: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• Having subs cover their classes during the day while the DATA DIG presentation happened. Parent teacher conf. covered with the help of AIDES. Making sure all materials were ready for the DLA Having the subs covering classes where teachers were absent. Taking students that were sent for pullouts.</li> <li>• Making sure equipment is working. All resources are available. No interruptions during the day from office or parents. Making sure that all incentives for attendance are delivered.</li> <li>• I do my best to maximize instruction daily and stay focused on the learning environment. Our school schedule maximizes instructional time.</li> <li>• I try to minimize all external pressures that can take away from their focus which is student learning such as all the district mandated teacher observations.</li> <li>• This is not always easy to do because teachers have so many pressing things to do. However, I often ask my support team to alleviate some of the non-essential items like "travel arrangements, PD registration, planning teacher coverage, making copies, etc. whenever possible I also build in extra planning time on early dismissal Wednesdays.</li> </ul>

**Focus.** Interestingly, Principal D who scored herself the lowest in both mindset and behavior wrote the following, “My staff is aware of my expectations and do not need frequent reminders. Frequent reminders would serve to diminish their professionalism.” Principal B who was the next lowest on behavior chose to not write any comments. Principal E who was consistent in mindset and behavior but who did not choose the highest rating number wrote, “The last time we discussed goals was during the Middle of the Year (MOY) conferences.” Principal C who also was consistent in both mindset and behavior but who scored herself in the highest category wrote, “During the weekly E-Bulletin I always write a policy reminder. In team meetings we discuss the importance of being at tutorials if you volunteered. Standards of having students reading and meeting their goals are discussed as well as data walls, lesson plans, etc.”

Table 27 Focus

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Focus  Mindset	How important do feel it is that clear and aligned personnel goals are established and that these goals be kept at the forefront of the schools' attention.	1	0	0	1	3	16
		Principal  D			Principal  E	Principals  A,B,C	
Focus  Behavior	Over the <u>last month</u> , how frequently did you establish and remind staff of clear and aligned personnel goals?	0	1	1	2	1	13
			Principal  D	Principal  B	Principals  A,E	Principal  C	
Total Points							-3

**Table 28 Focus: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• During the weekly e bulletin I always put a policy reminder. In team meetings we discuss the importance of being at tutorials if you volunteered. Standards of having students reading and meeting their goals. Data walls, lesson plans etc...</li> <li>• I ensure that teachers establish rigorous and concrete goals to ensure student learning. I emphasize the importance of maintaining focus on school goals.</li> <li>• My staff is aware of my expectations and do not need frequent reminders. Frequent reminders would serve to diminish their professionalism.</li> <li>• The last time we discussed goals was during the MOY conferences</li> </ul>

**Involvement in Curriculum, Instruction, and Assessment.** Principal D once again chose the lowest scale on both mindset and on behavior. Again she chose not to write any comments. It should be noted that in her biographical responses she also chose not to write anything past five years for either professional priorities or goals or priorities or goals for your school. Principal B who once again scored herself lower in behavior than in mindset also chose not to write any comment. The other participants did write comments. Principal A wrote, “I participate in professional development with teachers and consistently communicate learning goals.” Principal C stated, “Some of the District Level Assessments (DLAs) and the new accountability will give teachers especially the new ones some challenges. Helping new teachers get the urgency of getting all students on target is critical. Making sure all objectives are covered and assessed and then analyzed to get an outcome is also critical.” Principal E chose to respond in the following manner, “My International Baccalaureate (IB) coordinator and math specialist have led discussions with teachers about curriculum, planning and assessment. However, I always open the sessions by establishing the purpose and then I remain and participate in the sessions. The accountability session on the four indices is one session that I did lead recently.”

**Table 29 Involvement in Curriculum, Instruction, and Assessment**

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Involvement in Curriculum, Instruction, and Assessment  Mindset	How important do feel it is that clear and aligned personnel goals are established and that these goals be kept at the forefront of the schools' attention.	1	0	0	1	3	15
		Principal  D			Principal  B	Principals  A ,C, E	
Involvement in Curriculum, Instruction, and Assessment  Behavior	Over the <u>last month</u> , how frequently did you establish and remind staff of clear and aligned personnel goals?	1	0	1	2	1	12
		Principal  D		Principal  B	Principals  A,E	Principal  C	
Total Points							-3

**Table 30 Involvement in Curriculum, Instruction, and Assessment: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• Some of the DLAs and the new accountability will give teachers especially the new ones some challenges. Helping new teachers the urgency of getting all students on target is critical.</li> <li>• Making sure all objectives covered are assessed and then analyzed to get an outcome.</li> <li>• I participate in professional development with teachers and consistently communicate learning goals.</li> <li>• My IB coordinator and math specialist have led discussions with teachers about curriculum, planning &amp; assessment. However, I always open the sessions by establishing a purpose &amp; then I remain &amp; participate in the sessions. The Accountability session on the 4 indexes is one session that I did lead recently.</li> </ul>

**Order.** Only Principal A did not have a difference between her behavior and her mindset score. She scored herself high in both areas. She wrote, “I consistently enforce policies and procedures to maximize students’ learning. I ensure that a safe and orderly environment contribute to students’ achievement.” Principal D stated that it is during the spring semester when she revisits dismissal procedures since tutorials and athletics can change the dismissal practices. She also stated that they were working on tweaking the lockdown procedures at her campus through drills. Principal E wrote, “We have a handbook that describes all of our procedures and policies. My secretary usually communicates reminders to those who may need them.”



**Table 31 Order**

<b>Responsibility</b>	<b>Description</b>	<b><u>Not At All</u> (0)</b>	<b><u>Not Really</u> (1)</b>	<b><u>Undecided</u> (2)</b>	<b><u>Somewhat</u> (3)</b>	<b><u>Very Much</u> (4)</b>	<b><u>Total Score</u></b>
<b>Order Mindset</b>	How important do you think it is to establish a set of standard operating procedures and routines?	0	0	0	1	4	19
					Principal  D	Principals  A ,B, C, E	
<b>Order Behavior</b>	Over the <u>last month</u> , how frequently did you establish a set (or sets) of standard operating procedures and routines?	0	0	3	1	1	13
				Principals  B, D, E	Principal  C	Principal  A	
<b>Total Points</b>							-6

**Table 32 Order: Open-Ended Responses**

<b><i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i></b>
<ul style="list-style-type: none"> <li>• Even though I have been in my school for a number of years a new program or activity will cause putting in place a procedure. The Mechanical Bull for Rodeo was brought in. A schedule was set up. A form had to be sent home to make sure parents gave their children permission to participate.</li> <li>• Testing is always an area where we need to prepare staff veteran and new to the testing environment. Setting up early is important so that they get ready.</li> <li>• I consistently enforce policies and procedures to maximize students' learning. I ensure that a safe and orderly environment contribute to students' achievement.</li> <li>• Spring semester is when we revisit dismissal procedures since tutorials and athletics can change our dismissal practices.</li> <li>• We are tweaking our lockdown procedures on our campus through drills</li> <li>• We have a handbook that describes all of our procedures &amp; policies. My secretary usually communicates reminders to those who may need them.</li> </ul>

**Outreach.** Principal B is consistent in having a significant, at least a two scale difference, between her mindset (which is always higher) and her behavior. She once again did not write any comments. Principals A and D who were consistent in their scoring and who scored themselves high in this category both wrote comments. Principal A wrote, “I consistently engage stakeholders in family and community initiatives and in contributing to student achievement.” Principal D wrote, “Discussing how to grow our pathway to law program to include more students and time on campus with our business partner. Partnering with another business organization to celebrate earth hour and building a raised garden with two other local organizations.”

**Table 33 Outreach**

<b>Responsibility</b>	<b>Description</b>	<b><u>Not At All</u> (0)</b>	<b><u>Not Really</u> (1)</b>	<b><u>Undecided</u> (2)</b>	<b><u>Somewhat</u> (3)</b>	<b><u>Very Much</u> (4)</b>	<b><u>Total Score</u></b>
<b>Outreach</b>	How important do you feel it is for you to serve as an advocate and spokesperson of the school to all stakeholders?	0	0	0	0	5	20
<b>Mindset</b>						Principals	
						All	
<b>Outreach</b>	Over the <b>last month</b> , how frequently did you serve as an advocate and spokesperson of the school to stakeholders?	0	1	0	2	2	15
<b>Behavior</b>			Principal		Principals	Principals	
			B		C, E	A, D	
<b>Total Points</b>							-5

**Table 34 Outreach: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>Recently at the State of the Schools I spoke about our district to diff. business people I met there and sat with some were construction people.</li> <li>At a LULAC event I met with different people and talked about our school and district.</li> <li>I consistently engage stakeholders in family and community initiatives and in contributing to student achievement.</li> <li>discussing how to grow our pathway to law program to include more students and time on campus with our business partner Jones Day</li> <li>Partnering with Doubletree to celebrate earth hour</li> <li>Building a raised garden with Urban Harvest and church organization</li> <li>I host a "coffee talk" with parents every first Thursday of the month. Topics this week were IB benefits for students &amp; parents &amp; then I took them on a gallery walk to see IB student work.</li> </ul>

**Resources.** The responsibility of providing adequate resources and professional development is another area in which all five participants scored themselves high on both mindset and on behaviors. It is also another area in which all five chose to write comments. Principal A, “I emphasize teacher involvement in professional development to focus on improving classroom effectiveness. I ensure that teacher resources are available daily.” Principal B, “Teachers order any resource that they feel will help their students. It could be something individually or for the entire class as long as they have a purpose for it. Every third Wednesday, we have professional development either by an outside consultant, the administrative team or by individual teachers.” Principal C wrote, “This past month we had to give our teachers the DATA DIG presentation, the testing materials oath and professional development on the materials for testing.” Principal D stated that she sent different teams to different types of professional development and that she always tries to provide all requests from her teachers from t-shirts to encourage the students to special treats to teaching supplies. Principal E wrote, “I shared information about literacy and the Scholastic classroom library with my leadership team last week and told them to conduct an inventory of the state of our libraries. I also included my librarian and my librarian also placed a large order to replace old books.” The level of understanding or interpretation of both resources and professional development is to be noted.

**Table 35 Resources**

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Resources	How important do you think it is to provide teachers with the materials and professional development necessary for the execution of their jobs?	0	0	0	0	5	20
						Principals  All	
Resources	Over the <b>last month</b> , how frequently did you provide teachers with materials and professional development?	0	0	0	2	3	18
					Principals  C, E	Principals  A,B,D	
Total Points							-2

**Table 36 Resources: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• This past month we had to give our teachers the DATA dig presentation. Also the testing materials, oath. Professional development on the materials for testing.</li> <li>• I emphasize teacher involvement in professional development to focus on improving classroom effectiveness. I ensure that teacher resources are available daily.</li> <li>• I took my middle school math department to A+</li> <li>• Sent teachers to Kilgo</li> <li>• I always try to provide all requests from my teachers from t-shirts to encourage our students, special treats, or teaching supplies.</li> <li>• I shared info about literacy &amp; the scholastic classroom library with my leadership team last week &amp; told them to conduct an inventory of the state of our libraries. I also included my librarian in this discussion. Then they completed a req for English &amp; Spanish classroom libraries &amp; my librarian also placed a large order to replace old books.</li> <li>• Teachers order any resource that they feel will help their students. It could be something individually or for the entire class as long as they have a purpose for it. Every third Wednesday, we have professional development either by an outside consultant, the administrative team or individual teachers.</li> </ul>

**Guiding Principle: Purposeful Community**

**Affirmation.** Principal D who once again had the biggest drop between her mindset score and her behavior score chose not to write any comments. Principal C who has served as principal at two different schools wrote, “Affirmation is very important. Every week I write something on the weekly E-Bulletin and I speak and write about the actions we are taking that are successful. I also use the school marquee to announce what we are doing. Our events are published on our school website. Newsletters and announcements go out to the community.” Only Principal A addressed the part of acknowledging failures when she wrote, “As I continue to do classroom walkthroughs, I acquire information that assists me in clarifying how actions contribute to success or failure. I emphasize the importance of success and do my best to inspire teachers to focus on student achievement.”

**Table 37 Affirmation**

<b>Responsibility</b>	<b>Description</b>	<b><u>Not At All</u> (0)</b>	<b><u>Not Really</u> (1)</b>	<b><u>Undecided</u> (2)</b>	<b><u>Somewhat</u> (3)</b>	<b><u>Very Much</u> (4)</b>	<b><u>Total Score</u></b>
<b>Affirmation</b>	How important do you feel it is for you to recognize and celebrate school accomplishment and acknowledge failures?	0	0	0	0	5	20
<b>Mindset</b>						Principals	
						All	
<b>Affirmation</b>	Over the <b><u>last month</u></b> , how frequently did you recognize and celebrate school accomplishment and acknowledge failures?	0	0	1	2	2	16
<b>Behavior</b>				Principal	Principals	Principals	
				D	A, B	C,E	
<b>Total Points</b>							-4

**Table 38 Affirmation: Open-Ended Responses**

<b><i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i></b>
<ul style="list-style-type: none"> <li>• Very important, every week on the weekly e bulletin I speak and write about the actions we are taking that are successful. On the school marquee, I announce what we are doing. Our events are published on our school website. Newsletters and announcements go out to the community.</li> <li>• Attending the State of the Schools. Attending the principal meeting. Attending team, PLC and faculty meetings. Meeting with parents, Meeting with the Spark Park people.</li> <li>• As I continue to do classroom walkthrough, I acquire information that assist me in clarifying how actions contribute to success or failure. I emphasize the importance of success and do my best to inspire teachers to focus on student achievement.</li> <li>• Last Wednesday i presented an IB ppt that reflected all of the steps toward IB authorization that we have taken over the past 3 years. It was entitled "We've come a long way, baby..."</li> </ul>

**Communication.** Principal B, “Strong communication is already built in to the systems we have in place.” Principal C, “Weekly E-Bulletins, announcements, Team PLC and faculty meetings. Daily I interact with all staff in their classrooms. Cafeteria. Dismissal. One on one feedback whether informal or formal.” Principal D, “Daily as I do dismissal duty. Daily as I do passing period for every 7 periods. Daily as I monitor morning duty and lunch duty.” Principal E, “I develop a weekly schedule every Monday that describes all the week’s events such as upcoming testing, field trips, early dismissal agenda, budget meeting times, PLC topics etc.” As per their comments, there does not appear to be a strong line of communication with students on behalf of these teachers other than morning announcements, being visible during dismissal or other duty areas where administrators are more in the role of supervising safety than in a role of developing relationships with their students. The same could be said for their teachers. While the district in which these research subjects has a relatively new teacher appraisal system which requires a lot of personal time communicating with teachers it is interesting to note that this was not mentioned by any of the five subjects.



**Table 39 Communication**

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Communication Mindset	How important do you feel it is for you to establish strong lines of communication with teachers and among students?	0	0	0	0	5	20
						Principals  All	
Communication Behavior	Over the <b>last month</b> , how frequently did you seek to establish strong lines of communication with teachers and among students?	0	0	1	1	3	17
				Principal  B	Principal  A	Principals  C,D,E	
Total Points							-3

**Table 40 Communication: Open-Ended Responses**

<b><i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i></b>
<ul style="list-style-type: none"> <li>• Weekly e bulletins. Announcements, Team PLC and faculty meetings. Daily I interact with all staff in their classrooms. Cafeteria, Dismissal.</li> <li>• One on one feedback whether informal or formal.</li> <li>• Daily as I do dismissal duty.</li> <li>• Daily as I do passing period for every 7 periods</li> <li>• Daily as I monitor morning duty and lunch duty.</li> <li>• I develop a weekly schedule every Monday that describes all the week's events such as upcoming testing, field trips, early dismissal agenda, budget meeting time, PLC topics, etc.</li> <li>• Every Monday students tune into our "satellite 4" TV announcements. Teachers watch this weekly news on their SMART BOARDS. The news is led by students but the topics come from my master calendar.</li> <li>• Strong communication is already built in the systems we have in place.</li> </ul>

**Culture.** It is interesting to note that the following comments were written regarding the principals' understanding of the definition of culture. Principal A wrote no comments. Principal B, "Our beliefs are already shared and have been established. Beliefs are fostered every time someone walks in the door and needs feedback. It is in our culture." Principal C wrote, "We always plan our monthly calendar to include celebrations such as Black History Month, Rodeo, and Teacher of the Year celebrations. We also have coffee with the principal and this month had our Family Reading Literacy Night." Principal D, "Had a school-wide chili cook off and offer planning periods for staff members to collaborate." Principal E, "In anticipation for our upcoming International Baccalaureate (IB) verification visit, I have purposefully planned our early dismissal agendas around the big IB ideas. I have worked closely with my PYP committee and each member has worked diligently to divide duties and act as their grade level spokesman. For example, one developed a classroom environment checklist for teachers, one helped to gather all the important documents for our visitors etc."

**Table 41 Culture**

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Culture Mindset	How important do you feel it is for you to foster shared beliefs and a sense of community and cooperation?	0	0	0	0	5	20
						Principals  All	
Culture Behavior	Over the <u>last month</u> , how frequently did you foster shared beliefs and a sense of community and cooperation?	0	0	0	2	3	18
					Principals  A,B	Principals  C,D,E	
Total Points							-2

**Table 42 Culture: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>We always plan our monthly calendar to include celebrations. Black History Month, Rodeo, TOY teacher of the Year celebrations.</li> <li>Coffee with the Principal and this month our Family Reading literacy night</li> <li>Had school-wide chili cook off</li> <li>Offer planning periods for staff members to collaborate.</li> <li>In anticipation of our upcoming IB verification visit, I have purposefully planned our early dismissal agendas around the big IB ideas. I have worked closely with my PYP committee &amp; each member has worked diligently to divide duties and act as their grade level spokesman. I.e. One developed a classroom environment checklist for teachers, one helped to gather all the important documents for our visitors, etc.</li> <li>Our beliefs are already shared and have been established. Beliefs are fostered every time someone walks in the door and needs feedback. It is in our culture.</li> </ul>

**Input.** Input is another area of responsibility in which there was not a point difference between the mindset and behavior part of the survey. Principal B wrote, “There are not many opportunities where administrators make their own decisions. Scheduling assessments, events, parent conferences are all made with the input of teachers.” Principal E writes, “I seldom work alone. Every Monday I meet with my leadership team and I share information and present problems. They provide me with ideas, feedback, teacher perceptions and solutions. Over time they have begun to initiate solutions which are just what I want them to do. Sharing power creates opportunities for building leader capacity.” It should be noted that in her professional goals Principal E writes that her desire is to pursue her doctorate and to support other principals.

**Table 43 Input**

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Input Mindset	How important is it for you to involve teachers in the design and implementation of important decisions?	0	0	0	1	4	19
					Principal  E	Principals  A,B,C,D	
Input Behavior	Over the <b>last month</b> , how frequently did you involve teachers in the design and implementation of important decisions?	0	0	0	1	4	19
					Principal  C	Principals  A, B, D, E	
Total Points							0

**Table 44 Input: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• During the team meetings and Plc their feedback is important. SDMC feedback is implemented.</li> <li>• I often set expectations for teachers to assure meaningful leadership and decision making roles.</li> <li>• Brought teachers together to discuss how we could improve academics in the last few weeks before state testing.</li> <li>• Brought teachers together to discuss how we could improve student safety.</li> <li>• I seldom work alone. Every Monday I meet with my leadership team &amp; I share information &amp; present problems. They provide me with ideas, feedback, teacher perceptions &amp; solutions. Over time they have begun to initiate solutions which is just what I want them to do. Sharing power creates opportunities for building leader capacity.</li> <li>• There are not many opportunities where administrators make their own decisions on their own. Scheduling assessments, events, parent conferences are all made with the input of teachers. When we are going to do what all have teacher input.</li> </ul>

**Relationships.** Principal B once again had the greatest change in moving from what she marked on the mindset part of the survey as compared to the behavior part of the survey. Again, she chose not to write any comments. Principal A, who actually marked herself higher in the behavior as in the mindset, wrote, “I consistently monitor to manage the strengths and interests of staff to improve student performance.” Principal C, who actually marked herself lower in behavior, remarked, “Recognizing teachers as a group or individually is something that teachers value. Giving them personal professional time, giving their ideas life and or putting in a system that they have recommended has been very fruitful.” Principal D who marked herself in the highest ranking in both mindset and behavior wrote, “Helped a teacher find day care and schooling for her foster children. Working with a teacher who has a mother who is dying abroad. Had a teacher who was hospitalized.” Principal E who was consistent in her mindset and behavior marks wrote, “Not my strongest quality. I rely on my secretary and leadership team quite often for news of this type. However, every morning my secretary gives me birthday cards to sign for staff and I write them a personal greeting. My leadership team also brings me up to speed on staff news during our daily lunch meetings. For example, I just found out that one of my teachers has cancer and has been going through chemo. I visited her after school to wish her the best and she seemed genuinely appreciative.”

**Table 45 Relationships**

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Relationships  Mindset	How important is it for you to demonstrate an awareness of the personal aspects of teachers and staff as well as external relationships?	0	0	0	2	3	18
					Principals A, E	Principals B,C,D	
Relationships  Behavior	Over the <u>last month</u> , how frequently did you demonstrate an awareness of the personal aspects of teachers and staff as well as external relationships?	0	0	1	2	2	16
				Principal  B	Principals  C, E	Principals  A, D	
Total Points							-2

**Table 46 Relationships: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>Recognizing teacher as a group or individually is something that teachers value, Giving them personal professional time. Giving their ideas life and or putting in a system that they have recommended has been very fruitful.</li> <li>I consistently monitor to manage the strengths and interests of staff to improve student performance.</li> <li>Helped a teacher find day care and schooling for her foster children.</li> <li>Working with a teacher who has a mother who is dying abroad.</li> <li>Had a teacher who was hospitalized.</li> <li>Not my strongest quality. I rely on my secretary &amp; leadership team quite often for news of this type. However, every morning my secretary gives me birthday cards to sign for staff &amp; I write them a personal greeting. My leadership team also brings me up to speed on staff news during our daily lunch meetings. For example, I just found out that one of my teachers has cancer &amp; has been going thru chemo. I visited her after school to wish her the best &amp; she seemed genuinely appreciative.</li> </ul>



**Situational Awareness.** Situational awareness was one of the areas of responsibility that had the greatest difference between how principals scored themselves in the mindset part of the survey versus the behavior part of the survey. Both Principals B and D who marked very much in the mindset and then not really on the behavior wrote no comments. Principals A and E were consistent and both marked somewhat in mindset and behavior. Principal A wrote, “I participate in grade level collaborative meetings to promote trust and to ensure that the teams impact the school in a positive way.” Her response doesn’t really address the question of how important is it for you to be aware of the details and the undercurrents in the running of the school and uses that information to address current and potential problems. Principal E wrote, “Bullying seems to be on the increase in the upper grades. I met last week with our school counselor to see how this problem could be addressed. She suggested a student assembly with her, the administrators, and the teachers. The topics will include a video, role playing and a review of the law and the student code of conduct.” Her comments lend themselves towards the actual description of this area of responsibility.

Table 47 Situational Awareness

Responsibility	Description	<u>Not At All</u> (0)	<u>Not Really</u> (1)	<u>Undecided</u> (2)	<u>Somewhat</u> (3)	<u>Very Much</u> (4)	<u>Total Score</u>
Situational Awareness	How important is it for you to be aware of the details and the undercurrents in the running of the school and uses that information to address current and potential problems?	0	0	0	2	3	18
					Principals A, E	Principals B,C,D	
Situational Awareness	Over the <u>last month</u> , how frequently did you use your understanding of your school’s unique climate and dynamics to address current and potential problems?	0	2	0	2	1	12
			Principals B, D		Principals A, E	Principal C	
Total Points							-6

**Table 48 Situational Awareness: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• I participate in grade level collaborative meetings to promote trust and to ensure that the teams impact the school in a positive way.</li> <li>• Bullying seems to be on the increase in the upper grades. I met last week with our school counselor to see how this problem could be addressed. She suggested a student assembly with her, adm. &amp; teachers. The topics will include a video, role playing and a review of the law &amp; the student code of conduct. We will hold this assembly after spring break</li> </ul>

**Visibility.** Visibility was one of the areas of responsibilities in which respondents scored themselves high in both mindset and behavior and had an overall close score.

Principals A and B chose not to write any comments. Principal C wrote, “Daily as stated earlier. Everyday being here early and at the door or dismissal. Meeting with teachers in classrooms. Working tutorials. Being here on SATURDAYS.” Principal D wrote, “Daily. I talk to my teachers and students about their concerns or their family or just how they are doing in general.” Principal E wrote, “Because I’m in the classrooms regularly as well as the cafeteria, I talk to students often. As the discipline administrator for 4<sup>th</sup> grade, I frequently talk to students about their choices and consequences. Teacher talk is also quite regular but it is generally related to school business.”

**Table 49 Visibility**

<b>Responsibility</b>	<b>Description</b>	<b><u>Not At All</u></b> <b>(0)</b>	<b><u>Not Really</u></b> <b>(1)</b>	<b><u>Undecided</u></b> <b>(2)</b>	<b><u>Somewhat</u></b> <b>(3)</b>	<b><u>Very Much</u></b> <b>(4)</b>	<b><u>Total Score</u></b>
<b>Visibility</b>	How important is it for you to have quality contact and interactions with teachers and students?	0	0	0	0	5	20
<b>Mindset</b>						Principals	
						ALL	
<b>Visibility</b>	Over the <b><u>last month</u></b> , how frequently did you have quality contact and interactions with teachers and students?	0	0	0	1	4	19
<b>Behavior</b>					Principal	Principals	
					A	B, C, D, E	
<b>Total Points</b>							-1

**Table 50 Visibility: Open-Ended Responses**

<i>Share specific examples (if applicable) of when you exercised this behavior over the last month.</i>
<ul style="list-style-type: none"> <li>• Daily as stated earlier. Everyday being here early and at the door or dismissal. Meeting with teachers in classrooms. Working tutorials.</li> <li>• Being here on SATURDAYS</li> <li>• Daily, I talk to my teachers and students about their concerns or their family or just how they are doing in general.</li> <li>• Because I'm in classrooms regularly as well as the cafeteria, I talk to students often. As the discipline adm for 4th grade, I frequently talk to students about their choices &amp; consequences. Teacher talk is also quite regular but it is generally related to school business.</li> </ul>

### **Comparison of Mindsets and Behaviors by Guiding Principles**

Phase one of the data analysis having been completed, I was next compelled to compare and contrast the data to more specifically identify emergent themes as suggested by the trends in the data. Utilizing the point scale applied to each survey item, the cumulative mindset scores and the behavior scores were compared to identify if any difference existed. Table 30 summarizes these trends.

The data suggests that the guiding principles are not too far from each other when comparing the differences between the mindset and behavior scores for each of its areas of responsibilities. In order to arrive at this finding, each of the accumulated points per the guiding principles' seven areas of responsibilities were summed. This calculations yielded the following combined scores: Purposeful Community, -19; Focus on Leadership, -24; and, Managing Change, -26.

**Table 51 Comparison of Mindsets and Behaviors by Guiding Principle**

<b>Guiding Principle</b>	<b>Responsibility</b>	<b>Mindset Score</b>	<b>Behavior Score</b>	<b>Difference</b>
Managing Change	Change Agent	19	17	-2
	Flexibility	19	12	-7
	Ideals and Beliefs	19	14	-5
	Intellectual Stimulation	17	15	-2
	Knowledge of Curriculum, Instruction, and Assessment	19	19	0
	Monitor and Evaluate	20	19	-1
	Optimize	20	16	-4
Focus on Leadership	Contingent Rewards	19	19	0
	Learning Environment	20	16	-4
	Focus	16	13	-3
	Involvement in Curriculum, Instruction, and Assessment	16	12	-4
	Order	19	13	-6
	Outreach	20	15	-5
	Resources	20	18	-2
Purposeful Community	Affirmation	20	16	-4
	Communication	20	17	-3
	Culture	20	18	-2
	Input	19	19	0
	Relationships	18	16	-2
	Situational Awareness	18	11	-7
	Visibility	20	19	-1

### **Sorting Mindsets and Behaviors by Responsibilities**

The next step in analyzing the data involved sorting all twenty-one McREL responsibilities in a descending order by difference. Table 31 delineates the descending order of differences by McREL area of responsibility.

The data suggests flexibility and situational awareness as being the two areas with the greatest discrepancy between the mindset and behavior scores with order, ideals and beliefs, and outreach being in the second group of responsibilities with the greatest discrepancy. The areas of responsibility which demonstrated no discrepancy between the principals' scoring between mindset and behaviors are contingent rewards, input and knowledge of curriculum, instruction, and assessment. It is interesting to note that the three areas of responsibility which scored the lowest in the area of mindset are focus (16), involvement in curriculum, instruction, and assessment (16), and intellectual stimulation (17). Although nine areas were scored a perfect 20 by the participants in the area of mindset, only culture (-2), monitor and evaluate (-1), and visibility (-1) actually were close in number to the scores given on the behavior part of the survey.

**Table 52 Sorting Mindsets and Behaviors by Responsibility**

<b>Area of Responsibility</b>	<b>Mindset Score</b>	<b>Behavior Score</b>	<b>Difference</b>
Flexibility	19	12	-7
Situational Awareness	18	11	-7
Order	19	13	-6
Ideals and Beliefs	19	14	-5
Outreach	20	15	-5
Affirmation	20	16	-4
Involvement in Curriculum, Instruction, and Assessment	16	12	-4
Learning Environment	20	16	-4
Optimize	20	16	-4
Communication	20	17	-3
Focus	16	13	-3
Change Agent	19	17	-2
Culture	20	18	-2
Intellectual Stimulation	17	15	-2
Relationships	18	16	-2
Resources	20	18	-2
Monitor and Evaluate	20	19	-1
Visibility	20	19	-1
Contingent Rewards	19	19	0
Input	19	19	0
Knowledge of Curriculum, Instruction, and Assessment	19	19	0

**Alignment of Participants' McREL Ranking and Matching Scores**



The first criteria for participant selection maintained they were among the top ten elementary school principals in the selected school district, based on EVAAS scores. Table 32 compares the participants' EVAAS score with their cumulative matching scores.

The data suggests that there is a definite disconnect between what principals' score themselves on mindsets (what they actually think they are doing or believe should be done) and their actual behavior. Principal B only matched her mindset to her actual behaviors a total of three times for a percentage rate of 14%. The principal with the highest rate of connecting both her mindset and behavior scores was Principal C with a 67% meaning that she connected her mindset and behavior answers on the same responsibility 14 times. It must be noted that the percentage rate of connecting mindset to behavior does not show a relationship to how the principals' schools scored on their 3-year average cumulative growth index in their Education Value-Added Assessment Scores (EVAAS).

**Table 53 Alignment of Participants' McREL Ranking and Matching Scores**

Principal	Total Number of Responsibilities	Number of Times Participants Had The Exact Score On Both Mindset and Behavior	Percentage of Matching Scores	3 Year Average Cumulative Growth Index in EVAAS Scores
				Ranking
A	21	12	57%	28.7
				(3 <sup>rd</sup> )
B	21	3	14%	28.5
				(4 <sup>th</sup> )
C	21	14	67%	23.1
				(8 <sup>th</sup> )
D	21	13	62%	29.7
				(3 <sup>rd</sup> )
E	21	12	57%	30.1
				(2 <sup>nd</sup> )
Table 4.28				

### **Emergent Themes**

After completing the data analysis, six themes emerged. Each theme is derived from a comparison of all survey and questionnaire data. Each theme will be addressed in Chapter Five. The six themes are:

- 100 percent had exclusively elementary school experience as both classroom teachers and administrators;
- 100 percent served as bilingual teachers with state certifications in elementary self-contained, bilingual and mid-management;
- 100 percent had undergraduate degrees in education;
- 80 percent of the principals had teaching experiences in both lower grades and upper grades within the elementary school setting;
- The average principalship tenure was 8 years with 2.8 years at current campus;
- There is a definite disconnect between what principals' score themselves on perceived mindsets (what they actually think they are doing or believe should be done) and their perceived actual behavior as effective principals.

The above named six themes will form the foundation of the conclusions and recommendations for future study of this research project.

## **Chapter V**

### **Findings and Conclusions**

The principal performance evaluation system currently utilized by the large urban district that is the site of this study, while solidly grounded in research and best practices, nonetheless regularly prompted discussions among central and campus level administrators. They were curious that the leadership framework upon which the evaluation system was built included the notion of vision into action, and how was that manifested among principals. Thus, the reason for the topic of this research project – would an exploratory study of this framework and its manifestation in the lives of principals provide a deeper understanding for providing guidance and professional development for principals. The research project provided a rich opportunity to contextualize the characteristics and behaviors of five principals of high English Language Learner schools who have earned the distinction of highly-effective, based on a large urban district's evaluation system. The metrics of the district's evaluation system defined highly-effective based on student achievement measures. However, it was the ongoing conversations among district administrators, both central and campus level, which included curiosities regarding what these principals value and if their behaviors are aligned to said values that provided the focus and decision to conduct this research. Central to the research project was a desire to identify if principals' behaviors were grounded in convictions that reflect the district's vision and goals, or if principals were adequately astute to recognize the behaviors necessary to result in higher student achievement. The theoretical framework of the district's evaluation system guides how certain leadership responsibilities are ordered and grouped, and there existed a desire and curiosity to affirm or challenge the evaluation system's structure. The findings revealed

that while the evaluation system addressed pertinent leadership responsibilities, there is a disconnect in several areas between what principals may express as a value and their actual behaviors. In comparing this dissonance to the evaluation system's framework it seems apparent that much exists to be done; wherein, the district's vision and goals are better appropriated by principals. Finally, while not within the framework of the research project, there remains a curiosity: if this dissonance exists among principals who have earned the distinction of highly-effective, what must it be like among principals who have not earned such a distinction; with better alignment of vision and practices, what potential opportunity exists to further increase student achievement.

The purpose of this quantitative study was to explore and describe the characteristics, background, and leadership qualities of five elementary school principals identified as leaders in the highest value-added schools with the following characteristics:

- High proportions of students living in poverty as measured through federal Free & Reduced Cost Meal (FARM) qualification
- High proportions of Latino students
- High proportions of English Language Learners (ELL)
- High levels of student achievement as measured through value-added achievement data.

The research project made use of a survey grounded in a district's use of the McREL Leadership Framework. A purposeful sample of the principals of five schools was selected from an urban school district in the southern United States.

### **Research Questions**

In order to best ascertain an understanding of effective principals' characteristics, background, and leadership qualities, the research project was guided by the following research questions:

- What characteristics, backgrounds, and leadership qualities do value-added principals possess?
- What practices do value-added principals perceive they use most often?

The study examined and described the background, leadership qualities and practices of five elementary school principals using a survey grounded in one district's framework for outlining specific school leadership responsibilities. The five elementary school principals were identified based on their high levels of achievement serving the student populations outlined above.

### **Summary of Purpose**

There is a need for a study to explore and meaningfully identify the characteristics, backgrounds, and qualities of school leadership. While principal leadership has been acclaimed as one of the single most important factors student achievement and high performing schools, there are no psychometric definitions and measurements that meaningfully identify and differentiate performance levels of school leadership. In the past, the research and the practice have labeled school principals as aspiring, novice, or experienced based on seniority (Cravens, Golding, Porter, Polikoff, Murphy & Elliott 2010). Cravens et al. (2010) propose the need for the development of a criterion-referenced instrument that measures leadership behaviors; however, the standard-setting process may be used to assess principals based on their responsibilities, which sets apart those that are highly effective and effective from the less effective ones.

According to the authors (Cravens et al., 2010) the psychometric literature supports the standard setting process that establishes performance standards and identifies cut scores on a continuum of measured performance standards that define what behaviors and responsibilities a person need to exhibit. The authors propose that cut scores operationalize the performance standards separating the highly effective from the less effective based on how they perform on standards assessed in the evaluation process (Golding, Porter, Polikoff, Murphy & Elliott, 2010). Could such a process of setting performance standards be a practical instrument for assessing leadership effectiveness for school principals? Golding et al. (2010) propose the need to identify and measure performance standards and levels for assessing school leadership effectiveness. The No Child Left Behind Blueprint focuses on states and districts to identify, define and develop definitions for effective teacher, effective principal, highly effective teacher and highly effective principals based in a significant part on student growth and also including other measures like classroom observations of practice while ensuring that students in high-needs schools are being led by effective leaders (DOE, p. 14).

### **Summary of Procedures**

This quantitative study sought to learn about effective principals and their practices in schools fostering high levels of achievement for low-income, Hispanic, and ELL students. A purposeful sample of five participants were then asked to complete a multi-section survey instrument designed to elicit information on three key areas of analysis: principals' formative biographical experiences and personal aims, their leadership mindsets, and the actual frequency and manner in which they exercise specific leadership behaviors.

While survey research provides a first-effort opportunity to learn about effective principals, the data gathered in this study may be used to develop a full-scale probability sample survey. The data from a sample of five principals provided an opportunity to study a cohort of five principals to gather information on the perceptions of this professional group during the period of 2013-2014. The survey provided open-ended and forced-choice questions; however, even the open-ended questions were narrowed by the professional literature and training. In other words principals may know the answers to the survey or know what they are expected to say based on knowledge acquired by principals through professional literature, staff development, and conferences. This may influence a principal's responses on a survey. In the end the principals' responses are just their perceptions. This study focuses on the perceptions of a sample of five principals as a particular population.

### **Ethical Considerations**

Based on the concerted effort to maintain participant and school confidentiality at all times during the data collection and analysis process, the researcher was confident that no breaches of academic ethics occurred in the course of this study. All activities were monitored and approved by both a faculty advisor and the University of Houston Committee for the Protection of Human Subjects and the school district office of research (see Appendix C).

### **Limitations**

The researcher acknowledges a few potential limitations to the reliability and/or validity of this study. While the researcher works in the same district as the



participants, every effort was made to use the highest level of ethical behavior. While the sample size of this study was too small to generalize any of the data reported, it provided a first-effort opportunity to learn about effective principals from a small sample; the data gathered in this study may be used to develop a full-scale possibility sample survey. Finally, a concern with open-ended survey questions is always that the respondents may provide answers that they perceive will satisfy the researcher or make responses that they perceive the researcher wants to hear.

### **Summary of Findings**

The data analysis revealed six themes. Each theme is derived from a comparison of all survey and questionnaire data, which provided a first-effort opportunity to learn about effective principals; however, it is necessarily noted that these findings do not reflect a full-scale sample survey. The six themes are:

- 100 percent had exclusively elementary school experience as both classroom teachers and administrators;
- 100 percent served as bilingual teachers with state certifications in elementary self-contained, bilingual and mid-management;
- 100 percent had undergraduate degrees in education;
- 80 percent of the principals had teaching experiences in both lower grades and upper grades within the elementary school setting;
- The average principalship tenure was 8 years with 2.8 years at current campus;

- There is a definite disconnect between what principals' score themselves on perceived mindsets (what they actually think they are doing or believe should be done) and their perceived actual behavior or practices as effective principals.

## **Discussion**

**Finding 1: 100 percent of participants had exclusively elementary school experience as both classroom teachers and administrators.** Characteristics and background of all participants was unanimous; the participants only experience as teacher and administrator had been in the elementary school setting. The Southern Regional Education Board (2012) reported that principals need a different set of preparation and field-based experiences to acquire the skills and competency necessary to succeed. Such principals need special knowledge and skills to work with faculty and to create a learning environment for students who often have greater needs. It is difficult to develop exemplary school literacy programs if one has had little experience as a teacher and knows little about best practices in literacy (Borda, 2009).

**Finding 2: 100 percent of principals served as bilingual teachers with state certification in elementary self-contained, bilingual and mid-management.** The value of having leaders competent in understanding the needs of English Language Learners is prominent in the literature. A Blueprint for Reform (2010) includes special mention of the English Language Learner students stating that "America's schools are responsible for meeting the educational needs of an increasingly diverse student population...that help schools meet the special educational needs of children working to learn the English language" (DOE, 2010). It includes a continued commitment to improving programs for English Language Learners' success and builds the knowledge base about what works.

This study's finding and the sample literature suggest that specialized preparation, teaching experience, and certification may benefit English Language Learners, and be considered an important characteristic, background, and leadership quality that value-added principals possess.

**Finding 3: 100 percent had undergraduate degrees in education.** There is little evidence of any relationship between school performance and principal education or pre-principal work experience (CALDER, 2009; Eberts and Stone, 1988; NAESP, 2009). Research conducted by Spillane (2006) suggests that the principal's undergraduate major may have a direct effect to student achievement. For example, if a principal has an undergraduate major in math, math achievement scores tend to be higher in the principal's school. It stands to reason that an undergraduate degree in bilingual education would produce higher achievement scores in schools where the principal has an undergraduate degree in that content area. This study's finding and the sample literature suggest that possessing an undergraduate degree in education may benefit English Language Learners, and be considered an important characteristic, background, and leadership quality that value-added principals possess; inasmuch as these principals as teachers would substantively qualify as high-effective teachers.

**Finding 4: Eighty percent of the principals had teaching experiences in both lower grades and upper grades within the elementary school setting.** The Southern Regional Education Board (2012) reported that principals need a different set of preparation and field-based experiences to acquire the skills and competency necessary to succeed. Such principals need special knowledge and skills to work with faculty and to create a learning environment for students who often have greater needs. It is difficult to

develop exemplary school literacy programs if one has had little experience as a teacher and knows little about best practices in literacy (Borda, 2009).

**Finding 5: The average principalship tenure was 8 years with 2.8 years at current campus.** The principals in this study as effective value-added administrators with an average overall tenure of 8 years are among a minority. They represent a positive net effect of a principal's tenure on student achievement. The literature suggests that schools perform better when they are led by experienced principals (Borda, 2009). In particular, a principal may not have his or her full impact on a school until after having led the school for several years; however, principal turnover is a common phenomenon nationwide. Data from a nationally representative survey report that 21% of public school principals left their job from one year to the next, and among cohorts of newly hired principals 20-40% remains after six years. Principal turnover is particularly common at low performing schools, schools located in high poverty communities, and schools with more minority and limited English proficiency students (Branch et al., 2008; CALDER, 2009; Coelli & Green, 2012; Miller, 2013). Many schools, particularly schools with disadvantaged student populations, face high rates of principal turnover driven, in part, by principals' desires to move to schools that they find more appealing (Loeb et al., 2010). Principal turnover has negative effects on average achievement and particularly large negative effects on the achievement of students attending high poverty schools (Beteille, Kalogrides, & Loeb, 2012; Gates et al., 2006). It has been demonstrated that principals with the experience and skills found to be related to effectiveness are less likely to be working in high-poverty and low-achieving schools raising equity concerns about the distribution of effective principals (Branch, Hanushek, & Rivkin, 2012). The

preponderance of the literature suggests that high-poverty, high-limited English proficiency students do not enjoy sustained principal leadership. The participants of this study all represent a contradiction to this notion, with each classified by the district's performance system as effective and value-added principals, and representing average principal tenure of eight years. This finding may well suggest a direct association between principal tenure characteristics and student achievement, especially among English Language Learners.

**Finding 6: There is a definite disconnect between what principals' score themselves on perceived mindsets (what they actually think they are doing or believe should be done) and their perceived actual behavior as effective principals.** The survey results report that when the twenty-one responsibilities delineated in the McREL are compared by domain, Mindset compared to Behaviors, the participants' overall responses were aligned between fourteen percent (lowest) and sixty-seven percent (highest). No participants' cumulative responses in each domain, Mindset or Behaviors, were aligned 100%. This lack of 100% alignment presumes a disconnect between the participants' mindset (values and beliefs about what should be done) and their perceived actual behaviors, and this notion of disconnect may carry a negative connotation; however, when this disconnect is contextualized a different reality presents itself.

A different view of instructional leadership emphasizes organizational management for instructional improvement rather than day-to-day teaching and learning. On its face this reconceptualization may appear to underestimate the importance of classroom instruction (Hornig & Loeb, 2010). Principals channeling significant time and energy to becoming instructional leaders in their schools are unlikely to see improvement

unless they also increase their capacity for organizational management (Grissom & Loeb, 2010). While principals as former teachers come equipped with instruction skills, they rarely understand the management of complex organizations (Grissom & Loeb, 2011). This notion is demonstrated in participants' comments, when asked about how they spend their time each day, and in response to research question two, their perceptions regarding their most important practices. The participants' comments suggest that activities that appear non-instructional are less important than direct instructionally oriented activities.

## **Conclusions**

The survey results revealed numerous interesting findings; at first glance, some of them appeared to suggest characteristics, backgrounds, or leadership qualities that help define an effective value-added principal. A deeper analysis revealed that, in fact, from the initial six findings of this study, two, when taken together and two on their own merits can be substantiated when compared to the literature, and which present themselves as topics for future research. This study provided a first-effort opportunity to learn about effective principals; however, it is necessarily noted that these findings do not reflect a full-scale sample survey.

The findings related to the participants' each possessing an undergraduate degree in education, and holding bilingual, elementary, and mid-management certifications (Findings 2 and 3) when considered in tandem and through the lens of the literature may suggest significance. Consistently, throughout the literature, it is stated that principals with certain degrees or certifications do not necessarily establish one to be an effective principal. The Southern Regional Education Board supports the importance of field-based experiences. It is the knowledge, skills, convictions, and documented prior success

that serve as the foundational trajectory for establishing oneself as an effective and value-added principal. However, the relation between undergraduate degree content and student achievement has been confirmed by Spillane (2006).

Finding five, which addressed principal tenure suggests a significant characteristic, background, and leadership quality. When compared to the literature regarding the nationwide experience of high principal turnover, especially in high poverty, high English Language Learner (ELL) settings, the participants are the exception. They have continued to serve as principal in a high ELL setting, even after having first serving as principal at another campus. Their total average principal tenure is eight years, and the current campus tenure is 2.8 years; their tenure suggests longevity to establish practices and procedures, which are sufficient to positively impact student achievement, especially among ELL students. Low student achievement and principal turnover in low socioeconomic schools has been cited by research (Ronfeldt, Loeb, & Wyckoff, 2012). The principal tenure of the participants reflects the statements made throughout the literature, which suggest that stability is a significant factor to counter the ill effects of turnover borne by disadvantaged students. The participants' stability suggests a significant characteristic, background, and leadership quality among effective, value-added principals serving English Language Learners.

The final finding identified in this study appears misleading. One might initially presume that a disconnect between participants' responses in the Mindsets domain and the Behaviors indicates that something is amiss, that such a disconnect suggests principals are inconsistent, fickle, and lack integrity.

Further reflection and review of the literature and data suggest differently.

Reviewing the five McREL areas of responsibilities that reflect the greatest disconnect based on participant responses and the related literature, It is suggested that this finding is consistent with characteristics, backgrounds, and leadership qualities of principals whose values and beliefs represent principals' mindset reflected in the following statement:

In essence, the principal's leadership style must strike a balance between being very firm about non-negotiables – clear expectations will be established so that all students and staff can do their best work better, and the principal will relentlessly provide supports and follow up to ensure they are implemented – and demonstrating genuine engagement with others, humility, and relationship-building (New Leaders, 2010).

On the other hand, a review of espoused theory and theory in use provides an explanation grounded in leadership relations (Argyris & Schon, 1996). Espoused theory is what an employee may tell a manager that she does. In reality the theory in use is what one does. The subordinate must have the relationship with the supervisor to openly discuss what they think and feel in order to be able to openly discuss (Bolman & Deal, 2003). Mindsets may be compared to espoused theory while behaviors may be equated to theories in use. In a politicized work environment like the sample district with a 27 percent principal turnover rate, as in this district, one cannot assume that relationships between principals and supervisors are trusting relationships in which principals openly discuss administrators' behaviors in interviews or surveys.

The participants consistently commented on their commitment to best instructional practices and student achievement for all; however, did not dismiss their



responsibilities to the district, or state and federal guidelines. Their concerns for providing a well-ordered, well-equipped, and safe environment indicate their awareness of those organizational management functions that must necessarily be effectuated in order to provide an optimal learning environment and experience for teachers and students. The disconnect, this study suggests, is among the very characteristics, backgrounds, and leadership qualities that define an effective value-added principal.

While not a specific finding of this study, it is important to note that the survey instrument may serve a valuable function to alert chief executive leadership to the idiosyncrasies between principals' responses. For example, participants considered themselves change agents and possessing a robust understanding of change theory; however, their responses indicate it is not so much their knowledge of change theory as much as following practices of the majority of their colleagues. As posited by McREL, it is the challenge to have leaders make the connection between vision and action. There exists a need to better develop a foundational theoretical understanding of each area of responsibility, as well as an understanding and adoption of the vision at-hand. Finally, there is a need to address the sample district's relation of a 27% principal turnover to the principals' mindsets and behaviors.

### **Implications for Further Research**

This research project introduces an opportunity to further discover how particular principal practices of value-added principals are aligned and reflect their own success as a teacher among teachers. Which principals possess a history as a highly-effective teacher, and how do these principals utilize their own experiences to nurture and guide instruction?

This research project provided a first-effort opportunity to learn about effective principals. The research project might be replicated as a full-scale sample survey in order to potentially add statistically significant knowledge about the subject.

### **Implications for Practice**

The findings for this study may suggest the following for school officials and district administrators to consider:

Finding one: There appears to be an importance of **elementary school experience as both classroom teachers and administrators** for effective principal instructional practices.

Finding two: The importance of a strong practice knowledge-based extending from the classroom to the content area, to certification, and to management in like-environments appears to be important with effective-bilingual school.

Finding three: There is a need to understand the relation of the principal's undergraduate major to student achievement.

Finding four: There appears to be a need to better understand the relation between a principal's teaching experiences in multiple grade levels within the elementary school setting and effective elementary school principal practices.

Finding five: There appears to be a need to better understand the relation between school achievement and the principal's tenure.

Finding six: There is a need for school administrators to more thoroughly understand the relations between the theoretical foundations and the practices of the McREL instruments in context of district operations.

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## Appendix A

### EVAAS Technical Description



### Technical Description of HISD Teacher Value-Added Metrics

#### Introduction

This document describes how SAS implements Houston Independent School District's policy decisions when calculating cumulative gain index values and composites for teachers in the tested subjects and/or grades.

While the following text provides a specific example of a teacher's various value-added measures, the key policy decisions can be summarized as follows:

- A multi-year trend is calculated for an individual subject and grade for up to three years.
- A cumulative gain index is calculated across grades for a subject.
- All teacher value-added measures are centered on the overall district average for that year, subject, and grade.
- A composite is calculated for multiple subjects and grades for up to three years.
- The composite for teachers includes only the subjects for which the teacher has a value-added measure in the current year.
- The composite for teachers weighs each subject/grade/year equally.
- The composite for teachers uses the *most appropriate and robust* statistical approach possible in the calculation of the value-added estimate and associated standard error.

#### For Teachers with STAAR EOG Testing

If a teacher has taught grades three through eight in math, reading, language, science, and social studies with the STAAR or Stanford test, the following example shows a multiple-year trend, cumulative gain index within a year, and an overall composite across subjects and grades.

**Example 1: Available Data for a Sample Teacher across Subjects and Grades**

Year	Subject	Grade	Value-Added Gain	HISD District Gain	Standard Error
2010	Science	8	4.20	-0.65	2.00
2010	Reading	7	3.50	1.30	1.50
2011	Reading	8	0.50	-1.20	1.40
2011	Math	8	4.50	2.00	1.60
2012	Math	7	1.50	1.20	1.30
2012	Reading	8	-0.30	0.50	1.20
2012	Math	8	3.80	1.80	1.50

#### Calculating Gains for the Above Examples

For the teacher in Example 1, a multi-year trend can be calculated using the two years of data for this teacher in a specific subject and grade, eighth-grade math. The multiple-year trends in HISD will use re-estimated value-added gains and standard errors for years prior to the current year. This re-estimation will take into account current year student-level information to provide the most precise and reliable estimate of the prior year using all available information for that teacher in the year being analyzed. Each year used in

## Appendix B School Leadership Appraisal



### THE SCHOOL LEADERSHIP APPRAISAL RUBRIC

Name: \_\_\_\_\_

School: \_\_\_\_\_ School Year: \_\_\_\_\_ Date Completed: \_\_\_\_\_

Evaluator: \_\_\_\_\_ Evaluator's Title: \_\_\_\_\_

SCHOOL LEADER RESPONSIBILITIES ASSOCIATED WITH MANAGING CHANGE				
Managing Change involves understanding the implications of change efforts for stakeholders and adjusting leadership behaviors accordingly.				
a. Change Agent is willing to end actively challenges the status quo and serve as an advocate for student achievement.				
Not Demonstrated (Comment Required)	Developing	Effective	Accomplished	Distinguished (Comment Required)
	<input type="checkbox"/> Identifies necessary change initiatives through analysis of a variety of data.	... and <input type="checkbox"/> Defines processes and protocols to create or adopt new and better ways to improve school and classroom practices.	... and <input type="checkbox"/> Leads the implementation of research-based initiatives even though outcomes may be uncertain.	... and <input type="checkbox"/> Leverages the influence of opinion leaders to strategically target and frame change initiatives. <input type="checkbox"/> Advocates for new and innovative ways of schooling.
b. Flexibility: Adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.				
	<input type="checkbox"/> Understands that different change initiatives may be perceived differently by various stakeholders. <input type="checkbox"/> Understands how differing perceptions of initiative impact their implementation.	... and <input type="checkbox"/> Encourages teachers and staff to express opinions and perceptions, even if they are contrary to those held by individuals in positions of authority.	... and <input type="checkbox"/> Adapts leadership style to the needs of specific situations. Creates and uses transition teams during times of change to <input type="checkbox"/> Assist individuals in transferring into the new ways of doing things. <input type="checkbox"/> Adapt quickly to changing environments and contexts.	... and Improves collective efficacy by <input type="checkbox"/> Effectively managing change. <input type="checkbox"/> Empowering the school community to adapt to contextual conditions.
c. Ideals and Beliefs: Communicates and operates from strong ideals and beliefs about school and schooling.				
	<input type="checkbox"/> Possesses well-defined ideals and beliefs about schools and schooling that align with district non-negotiable goals.	... and <input type="checkbox"/> Clarifies needed changes by sharing beliefs about school, teaching, and learning with teachers and staff. <input type="checkbox"/> Demonstrates behaviors that exemplify stated beliefs about school and schooling. <input type="checkbox"/> Recognizes limits to ability to communicate with community.	... and <input type="checkbox"/> Creates demand for change by communicating ideals and beliefs throughout the community. <input type="checkbox"/> Creates opportunities to implement change that exemplifies ideals and beliefs. <input type="checkbox"/> Leads staff in efforts to communicate ideals and beliefs throughout the community.	... and <input type="checkbox"/> Extends and promotes ideals and beliefs about schools and schooling throughout the community. <input type="checkbox"/> Persists in the face of challenges to effectively sustain positive change. <input type="checkbox"/> Inspires staff to communicate the school's ideals and beliefs throughout the community.

## Appendix C District Consent Form



### HOUSTON INDEPENDENT SCHOOL DISTRICT

HATTIE MAE WHITE EDUCATIONAL SUPPORT CENTER  
4400 WEST 18th STREET • HOUSTON, TEXAS 77092-8501

TERRY B. GRIER, Ed.D.  
*Superintendent of Schools*

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Carla J. Stevens  
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Tel: 713-556-6700 • Fax: 713-556-6730

February 24, 2014

Samuel Sarabia  
8310 Glenvista  
Houston, Texas 77061

Dear Mr. Sarabia:

The Houston Independent School District (HISD) is pleased to approve the study "Defining the Standards and Measurement of the Skills of Effective Principals". The study is being conducted in partial fulfillment of doctoral degree requirements at the University of Houston. The purpose of the study is to examine and describe the backgrounds, leadership qualities, and practices of five elementary school principals identified as highly effective in fostering student achievement. The projected date of study completion is May 31, 2014.

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

- The target population is principals at J. P. Henderson, Lyons, Moreno, and Rodriguez elementary schools as well as Pilgrim Academy. Campuses selected demonstrated high levels of growth, considering their low-income, Hispanic, and limited English proficient student populations. In addition, selected campuses employed the same individual as its principal over the past three years.
- Voluntary consent is required of principals to participate in the study.
- Selected principals will be administered a two-part survey to assess their leadership mindsets and leadership behaviors. The survey should take approximately 20 minutes to complete.
- Value-added student achievement data for selected campus will also be used in the study.
- The researcher must follow the guidelines of HISD and the University of Houston regarding the protection of human subjects and confidentiality of data.
- The HISD Department of Research and Accountability will monitor this study to ensure compliance to ethical conduct guidelines established by the Department of Health and Human Services, Office for Human Research Protection (OHRP) as well as the disclosure of student records outlined in Family Educational Rights and Privacy Act (FERPA).
- In order to eliminate potential risks to study participants, the reporting of proposed changes in research activities must be promptly submitted to the HISD Department of Research and Accountability for approval prior to implementing changes. Noncompliance to this guideline could impact the approval of future research studies in HISD.
- The final report must be submitted to the HISD Department of Research and Accountability within 30 days of completion.

Any other changes or modifications to the current proposal must be submitted to the Department of Research and Accountability for approval. Should you need additional information or have any questions concerning the process, please call (713) 556-6700.

Sincerely,

Carla Stevens

CS: vh  
cc: Herlinda Garcia  
Cecilia Gonzales

Elena Martinez-Buley  
Diana Castillo

Adriana Castro

## Appendix D

### Principal Surveys and Questionnaire



#### SCHOOL LEADER SELF-APPRAISAL PART I: LEADERSHIP MINDSETS



Each of the questions below is designed to gauge the level of importance you place on specific components of the McREL leadership framework in your daily practice as a principal.

Please respond to each question based on how important YOU actually feel each component is in your leadership of your school.

#### SECTION A: MANAGING CHANGE

**Managing Change** involves understanding the implications of change efforts on stakeholders and adjusting leadership behaviors accordingly.

COMPETENCY	QUESTION	<i>Not At All</i>	<i>Not Really</i>	<i>Undecided</i>	<i>Somewhat</i>	<i>Very Much</i>
Change Agent	How important do you feel it is to challenge the status quo and serve as an advocate for student achievement?					
Flexibility	How important do you feel it is to adapt your leadership behavior to the needs of the current situation even if it may fuel dissent?					
Ideals & Beliefs	How important do you feel it is for you to communicate and operate your school from your strong ideas and beliefs about school and schooling?					
Intellectual Stimulation	How important do you feel it is for you to facilitate discussion of the most current theories and practices as a part of the regular school culture?					
Knowledge of Curriculum, Instruction, and	How important do you feel it is for you to be knowledgeable about current curriculum, instruction, and assessment practices?					



## SCHOOL LEADER SELF-APPRAISAL PART II: LEADERSHIP BEHAVIORS



Now that you have identified your own beliefs related to leadership, you will now be asked to reflect on how often you have actually exercised specific behaviors in your practice as a principal. Each of the questions below is designed to gauge the frequency with which you have exercised specific behaviors outlined in the McREL leadership framework in your daily practice as a principal.

Please respond to each question based on how frequently YOU exercised the specific behavior.

### SECTION A: MANAGING CHANGE

**Managing Change** involves understanding the implications of change efforts on stakeholders and adjusting leadership behaviors accordingly.

COMPETENCY	QUESTION	<i>Never</i>	<i>Rarely</i>	<i>Once in a While</i>	<i>Sometimes</i>	<i>Often</i>
Change Agent	As you reflect on your actions over the <b>last month</b> , how frequently did you take actions designed to challenge the status quo and serve as an advocate for student achievement?					
SHARE SPECIFIC EXAMPLES OF WHEN YOU EXERCISED THIS BEHAVIOR OVER THE LAST MONTH. * * *						

COMPETENCY	QUESTION	<i>Never</i>	<i>Rarely</i>	<i>Once in a While</i>	<i>Sometimes</i>	<i>Often</i>
Flexibility	As you reflect on your actions over the <b>last month</b> , how frequently did you adapt your leadership behavior to the needs of the current situation even if it might have fueled dissent?					



## **SCHOOL LEADER SELF-APPRAISAL**

### **PART III: BIOGRAPHICAL QUESTIONNAIRE**

1. When did you decide to become a principal?
2. What or whom influenced your decision?
3. What is your undergraduate educational background?
4. What is your graduate (master's and/or doctoral) educational background?
5. Were there any additional academic or training experiences that were formative in your development as an educational leader? If so, please describe them.
6. Describe the people who have been most influential in your life in the following areas: PERSONALLY
6. Describe the people who have been most influential in your life in the following areas: EDUCATIONALLY
6. Describe the people who have been most influential in your life in the following areas: PROFESSIONALLY
7. Have you ever left the education profession?
7A. If so, what made you come back?
8. What year did you begin serving as principal of your current campus?
9. Prior to your appointment as principal of your current school, had you ever served as principal of another school?
9A. If so, how many years had you previously served as a principal prior to commencing your role at your current school?
10A. Prior to your appointment as principal of your current school, had you served as an assistant principal or vice principal? If so, for how long?
10B. Prior to your appointment as principal of your current school, had you served as an instructional (magnet, Title I, etc.) coordinator? If so, for how long?
10C. Prior to your appointment as principal of your current school, had you served as a counselor or dean? If so, for how long?
11. Prior to becoming a school administrator, how many years did you spend as a full-time classroom teacher?
12. How many years did you teach on each of the following grade levels?
13. How many years have you taught in each of the following classroom contexts?
14. What have been the greatest highlights or achievements of your career as a principal?
15. What have been the greatest challenges you have faced as a principal?
16. Describe a typical day in your work as a principal. How do you allocate your time?
17. What parts of your job do you wish you had more time for? What prevents you from dedicating your desired amount of time to this area?
18. What are your professional priorities or goals in the following timeframes?
19. What are your priorities or goals FOR YOUR SCHOOL in the following timeframes?

### Appendix E NPBEA Standards

Standards	Description of Standards
1	The administrator has an understanding of and demonstrates competence in the teacher standards.
2	A school administrator is an educational leader who promotes the success of all students by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.
3	The administrator manages by advocating, nurturing, and sustaining a school culture and instructional program conducive to pupil learning and staff professional growth.
4	The administrator ensures management of the organization, operations, finances, and resources for a safe, efficient, and effective learning environment.
5	The administrator models collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.
6	The administrator acts with integrity, fairness, and in an ethical manner.
7	The administrator understands, responds to, and interacts with the larger political, social, economic, legal, and cultural context that affects schooling.

## Appendix F State Standards

Standard Letter	Standard Title	Description of Standard
a	Principal Certificate Standards	The knowledge and skills identified in this section must be used by an educator preparation program in the development of curricula and coursework and by the State Board for Educator Certification as the basis for developing the examinations required to obtain the standard Principal Certificate. The standards also serve as the foundation for the individual assessment, professional growth plan, and continuing professional education activities required by §241.30 of this title (relating to Requirements to Renew the Standard Principal Certificate).
b	Learner-Centered Values and Ethics of Leadership	A principal is an educational leader who promotes the success of all students by acting with integrity and fairness and in an ethical manner.
c	Learner-Centered Leadership and Campus Culture	A principal is an educational leader who promotes the success of all students and shapes campus culture by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.
d	Learner-Centered Human Resources Leadership and Management	A principal is an educational leader who promotes the success of all students by implementing a staff evaluation and development system to improve the performance of all staff members, selects and implements appropriate models for supervision and staff development, and applies the legal requirements for personnel management.
e	Learner-Centered Communications and Community Relations	A principal is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.
f	Learner-Centered Organizational Leadership and Management	A principal is an educational leader who promotes the success of all students through leadership and management of the organization, operations, and resources for a safe, efficient, and effective learning environment.
g	Learner-Centered Curriculum Planning and Development	A principal is an educational leader who promotes the success of all students by facilitating the design and implementation of curricula and strategic plans that enhance teaching and learning; alignment of curriculum, curriculum resources, and assessment; and the use of various forms of assessment to measure student performance.
h	Learner-Centered Instructional Leadership and Management	A principal is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a campus culture and instructional program conducive to student learning and staff professional growth.

Chief Council of State School Officers (1996).

## Appendix G ISLLC Standards

Standard	Description of Standard
1	A school administrator is an educational leader who promotes the success of all students by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.
2	A school administrator is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.
3	A school administrator is an educational leader who promotes the success of all students by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.
4	A school administrator is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.
5	A school administrator is an educational leader who promotes the success of all students by acting with integrity, fairness, and in an ethical manner.
6	A school administrator is an educational leader who promotes the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.

## Appendix H

### Overview of Four Major Principal Evaluation Systems

Model	General Information	Training and costs	Alignment	Research
Marzano School Leadership Evaluation Model	<p>Integrated with the Marzano Causal Teacher Evaluation Model</p> <ul style="list-style-type: none"> <li>Based on 5 domains and 24 strategies: <ul style="list-style-type: none"> <li>Data-driven focus on student achievement</li> <li>✓ Continuous improvement of instruction</li> <li>✓ Guaranteed and viable curriculum</li> <li>✓ Cooperation and collaboration</li> <li>✓ School climate</li> </ul> </li> </ul> <p>Supported by the iObservation online data management system</p>	Not available	According to the National Comprehensive Center on Teacher Quality there is a crosswalk between Marzano and ISLLC standards.	<ul style="list-style-type: none"> <li><i>Investigating the Links to Improved Student Learning</i> (Louis, Leithwood, Wahlstrom, &amp; Anderson, 2010)</li> <li><i>What Works in Oklahoma Schools</i>, (Marzano Research Laboratory, 2011)</li> <li>Meta-analysis of School Leadership, <i>School Leadership that Works</i> (Marzano, Waters, &amp; McNulty, 2005)</li> <li>The Marzano Study of School Effectiveness, published in <i>What Works in Schools</i> (Marzano, 2003)</li> </ul>
McREL's Principal Evaluation System	<p>Focuses principals on the responsibilities that are linked to higher levels of student performance.</p> <ul style="list-style-type: none"> <li>The tool follows a framework (rather than standards of leadership) and includes associated responsibilities <ul style="list-style-type: none"> <li>Three sets of rubrics, which have as their basis 21 leadership responsibilities and 66 related practices, align with the Balanced Leadership Framework</li> </ul> </li> </ul>	<p><b>Implementation orientation</b> takes two days, is conducted on-site, and costs \$8,000 plus travel expenses.</p> <ul style="list-style-type: none"> <li>Can be presented as a train-the-trainer model</li> <li>Can be combined with the Teacher Evaluation System in a 3-day training for \$12,000.</li> </ul> <p>✓ Implementation follow-up involves 3 webinars throughout the year, ongoing technical support, and personal assistance from a consultant.</p> <p>✓ An online data management tool is available to integrate student</p>	<p>Based on the research-based Balanced Leadership Framework (attached).</p> <ul style="list-style-type: none"> <li>Vendor publishes a comparison and crosswalk of the Evaluation System's alignment with ISLLC standards</li> </ul>	<p><b>Change Theory:</b> Heifetz, R. &amp; Linsky, M. (2002). <i>Leadership on the Line: Staying Alive through the Dangers of Leadership</i>. Boston: Harvard Business School Publishing. ISBN: 9781578514373.</p> <p><b>Meta-analysis:</b> Marzano, R.J., Waters, J.T., &amp; McNulty, B.A. (2005). <i>School leadership that works: From research to results</i>. Alexandria, VA: Association for Supervision and Curriculum Development.</p> <ul style="list-style-type: none"> <li><b>Waters, J.T., Marzano, R.J., &amp; McNulty, B. (2003).</b> <i>Balanced leadership: What 30 years of research tells us about</i></li> </ul>

		achievement data and collect, manage, and report observation data. o Subscriptions range from \$250-\$300/principal/year , based on total number of subscriptions purchased.		<i>the effect of leadership on student achievement.</i> Aurora, CO: Mid-continent Research for Education and Learning. Leadership: Rath, T. & Conchie, B. (2008). Strengths Based Leadership: Great Leaders, Team and Why
Vanderbilt Value-Added	Assesses principal performance by gathering information through surveys completed by principals, teachers, and principal supervisors, providing a 360° assessment. • Supervisor and principal surveys have 72 items and teacher surveys have 36 items that measure principals' leadership in each of the key processes and core components. Teacher surveys take 20-25 minutes to complete and can be available in hard copy or online. • Focuses on learning-centered leadership behaviors that influence teachers, staff, and student achievement. • Assesses principals on 6 key processes and 6 core components.	Three-phase model of training: • Phase 1: Prepare and Organize takes 1 day with 25 participants per trainer • Phase 2: Implementation lasts 1 day with 25 participants per trainer • Phase 3: Analyze and Professional Growth takes 1 day • Costs are applied per principal or assistant principal and include all necessary materials, scoring and reporting. • Licensing and training costs are not available online.	<ul style="list-style-type: none"> <li>• The vendor states that the diagnostic profile that is created from the assessment is aligned with ISLLC standards.</li> <li>• A crosswalk was comparing VAL-ED to ISLLC standards was available online (attached).</li> </ul>	Investigating the validity and reliability of the Vanderbilt Assessment of Leadership in Education, Authors: Andrew Porter, Morgan Polikoff, Ellen Goldring, Joseph Murphy, Stephen Elliott, & Henry May, <i>Elementary School Journal</i> , 2010. • Developing a psychometrically sound assessment of school leadership: The VAL-ED as a case study, Authors: Andrew Porter, Morgan Polikoff, Ellen Goldring, Joseph Murphy, Stephen Elliott, & Henry May, <i>Educational Administration Quarterly</i> , 2010

<p>Reeves' Leadership Performance Matrix</p>	<ul style="list-style-type: none"> <li>• Assesses on the following key dimensions of leadership:               <ul style="list-style-type: none"> <li>o Resiliency</li> <li>o Personal Behavior                   <ul style="list-style-type: none"> <li>o Student Achievement</li> </ul> </li> <li>o Decision Making</li> <li>o Communication</li> <li>o Faculty Development</li> <li>o Leadership Development</li> <li>o Time/Task/Project Management</li> <li>o Technology</li> <li>o Professional Development</li> </ul> </li> <li>Supported by the observation online data management system</li> </ul>	<ul style="list-style-type: none"> <li>• An overview session takes two days and costs \$14,057 for up to 60 participants.               <ul style="list-style-type: none"> <li>• There are three Implementation Options available to users:                   <ul style="list-style-type: none"> <li>o Option 1 includes the 2-day overview session plus 1 day of rubric customization and 1 day of implementation support - \$23,357</li> <li>o Option 2 includes the 2-day overview session plus 2 days of rubric customization, 2 days of implementation support, and 4 implementation support webinars - \$42,307</li> <li>o Option 3 includes the 2-day overview session plus 2 days of rubric customization, 4 days of implementation and monitoring support, and 4 implementation and monitoring support webinars - \$53,607</li> </ul> </li> <li>• An online data management tool is available to integrate student achievement data and collect, manage, and report observation data.                   <ul style="list-style-type: none"> <li>o Subscriptions range from \$250-\$300/principal/year, based on total number of subscriptions</li> </ul> </li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• The vendor states that the Leadership Performance Matrix is consistent with ISLLC.</li> <li>• The Florida Department of Education produced a crosswalk of the Matrix with ISLLC standards (attached)</li> </ul>	
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## Appendix I

### Grissom and Loeb's (2010) Five Principal Leadership Dimensions/42 Job Tasks

Dimensions	Job Tasks
Instruction management	Using data to inform instruction; Developing a coherent educational program across the curriculum; Using assessment results for program evaluation; Formally evaluating teachers and providing classroom observation; Utilizing school meetings to enhance school goals; Planning professionals development for teachers; Implementing professional development; Evaluating curriculum; Informally coaching teachers; Directing supplementary after-school or summer programs Releasing or counseling out teachers; Planning professional development for prospective
Internal relations	Developing a relationship with students; Communicating with parents; Attending school activities (e.g. sports events); Counseling parents or students; Counseling staff about conflicts with other staff; Informally talking with teachers about students; Interacting socially with staff.
Organizational Management	Developing safe school environments; Dealing with concerns from staff; Managing budgets & resources; Hiring personnel; Managing personnel Managing school-related schedule; Maintaining campus facilities; Managing non-instructional staff; Interacting/networking with other principals;
Administration	Managing school schedules; Managing student discipline; Fulfilling compliance requirements and paperwork; Implementing standardized tests; Managing student services (e.g. records and reporting); Supervising students (lunch duty); Managing student attendance-related activities; Fulfilling special education requirements; and
External Relations	Communicating with the district to obtain extra resources; Working with the local community; Utilizing district communications to enhance fundraising (Grissom & Loeb, 2010)



**Appendix J**  
**Vanderbilt Assessment Skills**

Vanderbilt Assessment Skills	
<u>Core Components</u>	<u>Key Successes</u>
<ul style="list-style-type: none"> <li>• High Standards for Student Learning</li> </ul>	<ul style="list-style-type: none"> <li>• Planning</li> </ul>
<ul style="list-style-type: none"> <li>• Rigorous Curriculum</li> </ul>	<ul style="list-style-type: none"> <li>• Implementing</li> </ul>
<ul style="list-style-type: none"> <li>• Quality Instruction</li> </ul>	<ul style="list-style-type: none"> <li>• Supporting</li> </ul>
<ul style="list-style-type: none"> <li>• Culture of Learning &amp; Professional Behavior</li> </ul>	<ul style="list-style-type: none"> <li>• Advocating</li> </ul>
<ul style="list-style-type: none"> <li>• Connections to External Communities</li> </ul>	<ul style="list-style-type: none"> <li>• Communicating</li> </ul>
<ul style="list-style-type: none"> <li>• Performance Accountability</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring</li> </ul>

## Appendix K McREL Balanced Leadership Framework Overview

### 3 Guiding Principles

#### Managing Change

- Increase understanding and identifying leadership responsibilities that correlate with student achievement.
- Increase awareness of change theory and the view of change
- Increase knowledge and use of tools and activities for effectively leading change.
- Increase knowledge about research-based leadership responsibilities and leading change.

#### Focus on Leadership

- Understand the relationship between choosing the right focus and student achievement.
- Understand research-based school and classroom practices and student-level characteristics and how they relate.
- Increase knowledge about research-based leadership responsibilities associated with choosing the right focus.

#### Purposeful Community

- Understand the relationship between a purposeful community and student achievement.
- Understand the characteristics of purposeful community and how they relate.
- Garner knowledge and deepen understanding about how to establish and develop a purposeful community.
- Increase knowledge about research-based leadership responsibilities associated with a purposeful community.

### 21 Leadership Responsibilities

- *Culture*: fosters shared beliefs and a sense of community and cooperation.
- *Order*: establishes a set of standard operating procedures and routines.
- *Discipline*: protects teachers from issues and influences that would detract from their teaching time or focus.
- *Resources*: provides teachers with the materials and professional development necessary for the successful execution of their jobs.
- *Curriculum, instruction, and assessment*: is directly involved in the design and implementation of curriculum, instruction, and assessment practices.
- *Knowledge of curriculum, instruction, and assessment*: is knowledgeable about current practices.
- *Focus*: establishes clear goals and keeps these goals at the forefront of the school's attention.

- *Visibility*: has high-quality contact and interactions with teachers and students.
- *Contingent rewards*: recognizes and rewards individual accomplishments.
- *Communication*: establishes strong lines of communication with teachers and students.
- *Outreach*: is an advocate and spokesperson for the school to all stakeholders.
- *Input*: involves teachers in the design and implementation of important decisions and policies.
- *Affirmation*: recognizes and celebrates school accomplishments and acknowledges failures.
- *Relationship*: demonstrates empathy with teachers and staff on a personal level.
- *Change agent role*: is willing and prepared to actively challenge the status quo.
- *Optimizer role*: inspires and leads new and challenging innovations.
- *Ideals and beliefs*: communicates and operates from strong ideals and beliefs about schooling.
- *Monitoring and evaluation*: monitors the effectiveness of school practices and their impact on student learning.
- *Flexibility*: adapts his or her leadership behavior to the needs of the current situation and is comfortable with dissent.
- *Situational awareness*: is aware of the details and undercurrents in the running of the school and uses this information to address current and potential problems.
- *Intellectual stimulation*: ensures that faculty and staff are aware of the most current theories and practices in education and makes the discussion of these practices integral to the school's culture.

### Appendix L

#### Heifetz Six Principles for Leading Adaptive Change

Number	Principle	Description
1	Get on the balcony	Leaders need to have distance to see the “big picture”
2	Identify the adaptive change	<p>Leader needs the ability to identify adaptive change when it is called for</p> <p>Must address it in order to turn it around</p> <p>Confront the brutal facts (Jim Collins, 2001)</p>
3	Regulate distress	<p>Do not overwhelm but provide enough tension to maintain urgency</p> <p>Challenge unproductive norms</p> <p>Ask questions rather than give answers</p>
4	Maintain disciplined attention	<p>Must be able to identify distractions and refocus the work</p> <p>Attention on tough issues</p> <p>People tend to slide back into old behaviors unless focus is maintained</p> <p>Reframing issues get at the heart</p>
5	Give work back to people	<p>Getting others to assume responsibility</p> <p>Instill confidence in others through encouragement and support</p> <p>Be part of the change</p>
6	Protect voices of leadership from below	<p>Protect rather than squelch those who risk speaking up</p> <p>Hear all voices including dissenters</p>

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(Heifetz, 1997).

## Appendix M

### McREL Permission Letter



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Samuel D. Sarabia  
8310 Glen Vista  
Houston, TX 77061

#### Permission to Use McREL Material

April 21, 2014

Permission is hereby granted to Samuel D. Sarabia to adapt in the dissertation that he is writing the following material which was created by McREL:

The School Leadership Appraisal Rubric: Houston Independent School District School Leadership Appraisal System

The Balanced Leadership Framework Connecting Vision with Action

We understand that the table will be adapted as part of the dissertation. The instrument should be marked as to the source of the material and include the statement "Adapted with permission from McREL International's principal evaluation rubric." The bibliography should include a full citation as follows:

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Please send McREL a copy of the completed dissertation for our records.

Sincerely,

Maura McGrath  
Knowledge Management Specialist

McREL International

Denver, CO

Charlotte, NC

Eastville, NC

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McREL International