PRINCIPALS' PERSPECTIVES ON HOW TRANSFORMATIONAL,

INSTRUCTIONAL, AND MANAGERIAL LEADERSHIP PRACTICES INFLUENCE

TEACHER EFFECTIVENESS AND STUDENT ACHIEVEMENT

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

In Partial Fulfillment
Of the Requirements for the Degree

Doctor of Education
in Professional Leadership

by

Julie A. Fernandez

May 2012

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Approved by Doctoral Thesis Committee:

_____
Dr. Angus J. MacNeil, Co-Chairperson

_____
Dr. Steven Busch, Co-Chairperson

_____
Dr. Michael W. Emerson, Committee Member

_____
Dr. Robert McGowen, Committee Member

_____
Dr. Robert H. McPherson, Dean
College of Education

May, 2012

Dedication

For Rob,

You have always encouraged me to pursue aspirations I never thought I could achieve. You are the one person in my life who saw my potential and sacrificed time, money, and your technical support to help me realize my dreams. You are my best friend and I love you more than you can ever imagine. Thank you for your love and patience with me during this process.

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First, I thank God for leading me to and through this achievement. I am humbled by Your grace. I hope whatever I do from this point on in my life is for Your Glory and not mine.

The Lord is my strength and shield. I trust him with all my heart. He helps me, and my heart is filled with joy. I burst out in songs of thanksgiving. Psalm 28:7

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An Abstract
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ABSTRACT

In the context of a global school reform movement, defining the extent of a principal's influence on teacher effectiveness and student achievement is essential. A principal must be more than a manager, but also a transformational and an instructional leader. This concurrent mix methods study incorporated guided interviews and an online survey related to campus leadership priorities. An analysis of the data from both sources searched for common themes. The interviews and surveys allowed principals to reflect on the practices and cultural changes in leadership practice.

This study found discrepancies in the responses of the principals when compared to current research within the concepts of cultivating leadership and managing people and resources. The principals' responses reflected the high stakes challenges they meet every day with limited time and funding. This discrepancy brings into question whether the current functions demanded of principals in conjunction with the education reform movement is feasible.

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

Chapter 1

Many educational professionals agree that one of the toughest jobs in education is that of a campus principal. The pressure from global school reform movements has filtered down onto the shoulders of campus principals. While teacher effectiveness is the number one influence on student achievement, principal leadership is crucial for overall school improvement. The effect of either direct or indirect leadership on student achievement and learning is a quarter of the total school effect on student achievement levels (Leithwood, Louis, Anderson & Wahlstrom, 2004). When schools are required to improve accountability ratings, the campus principal is responsible for making sure the focus of the campus vision, goals, and climate are on high expectations for student achievement. The traditional image of a school principal whose primary purpose was to manage buses, books, and boilers is long gone. The era of accountability has driven the job description to include transformational, instructional, and managerial leadership knowledge and skills. The Wallace Foundations (2012) suggests principals have five key responsibilities:

1. Shaping a vision of academic success for all students; one based on high standards.

2. Creating a climate hospitable to education in order that safety, a cooperative spirit, and other foundations of fruitful interaction prevail.

3. Cultivating leadership in others so that teachers and other adults assume their part in realizing the school vision.

4. Improving instruction to enable teachers to teach at their best and students to learn at their utmost.

5. Managing people, data, and processes to foster school improvement. (p.4)

These functions can be included in the broader dimensions of transformational, instructional, or managerial leadership. Current demands for higher accountability have created the need for effective principals to balance all three categories of leadership in order to maintain a high achieving school environment equitable for all students. Each of the proficiencies has many sub-components that work together to make a cohesive vision of school improvement. Effective principals are masters at sustaining all the proficiencies and including all stakeholders in a common effort of improving learning for all students. Dissecting the daily priorities and practices of effective principals and duplicating these practices in struggling schools is critical in the ever-demanding scope of the school reform movement. Their behaviors in all three categories of leadership may hold the key to understanding why some schools are successful while others are not. Breaking down the leadership practices in transformational, instructional, and managerial leadership may shed light on how educational equity is possible.

Statement of the Problem

The global school reform movement has made school accountability the uppermost priority. Within this movement, there is the objective of improving campus leadership to influence student achievement. Current school leaders understand that their role of being merely managers is evolving into including transformational and instructional skills, driven by increased demands for higher student achievement. With over 50% of high school principals leaving their positions after serving five years, it is

imperative that research explores the expectations and functions of principals and its effects on principal retention rates (Fuller & Young, 2009). This level of turnover has a negative effect on student achievement and teacher morale (DeAngelis & White, 2011). Therefore, it is necessary to study the key functions and behaviors of effective principals, to understand how to duplicate these behaviors, and to improve principal retention rates.

Purpose of the Study

The intent of this concurrent mixed methods study is to explore the perspectives of how effective principals prioritize key aspects of their jobs. In this study, principals were interviewed and their responses measured to determine the extent of the relationship between principal's behaviors and their perspectives on transformational, instructional, and managerial leadership roles. At the same time, other principals will be prioritizing the leadership roles through an online survey. The reason for combining both quantitative and qualitative data is to understand fully principals' leadership perspectives.

Research Questions

1. How does a principal's knowledge of transformational practices promote teacher effectiveness and lead to results in student achievement?

2. How does a principal's knowledge of instructional practices promote teacher effectiveness and lead to results in student achievement?

3. How does a principal's knowledge of managerial practices promote teacher effectiveness and lead to results in student achievement?

Definition of Terms

1. Academic Excellence Indicator System (AEIS) - pulls together a wide range of information on the performance of students in each school and district in Texas

every year. This information is put into the annual AEIS reports, which are available each year in the fall. The performance indicators are:

- Results of Texas Assessment of Knowledge and Skills (TAKS*); by grade, by subject, and by all grades tested;

- Participation in the TAKS tests;

- Exit-level TAKS Cumulative Passing Rates;

- Progress of Prior Year TAKS Failers;

- Results of the Student Success Initiative;

- English Language Learners Progress Measure;

- Attendance Rates;

- Annual Dropout Rates (grades 7-8, grades 7-12, and grades 9-12);

- Completion Rates (4-year longitudinal);

- College Readiness Indicators;

  o Completion of Advanced / Dual Enrollment Courses;

  o Completion of the Recommended High School Program or Distinguished Achievement Program;

  o Participation and Performance on Advanced Placement (AP) and International Baccalaureate (IB) Examinations;

  o Texas Success Initiative (TSI) – Higher Education Readiness Component;

  o Participation and Performance on the College Admissions Tests (SAT and ACT), and

  o College-Ready Graduates;

Performance on each of these indicators is shown disaggregated by ethnicity, sex, special education, low income status, limited English proficiency status (since 2002-03), at-risk status (since 2003-04, district, region, and state), and, beginning in 2008-09, by bilingual/ESL (district, region, and state, in section three of reports). The reports also provide extensive information on school and district staff, finances, programs, and student demographics.

2. No Child Left Behind- The No Child Left Behind Act of 2001 (NCLB) is a United States Act of Congress concerning the education of children in public schools.

   NCLB was originally proposed by the administration of George W. Bush immediately after he took office. [4] The bill, shepherded through the Senate by co-author Senator Ted Kennedy, received overwhelming bipartisan support in Congress.

   NCLB supports standards-based education reform, based on the belief that setting high standards and establishing measurable goals can improve individual outcomes in education. The Act requires states to develop assessments in basic skills to be given to all students in certain grades, if those states are to receive federal funding for schools. The Act does not assert a national achievement standard; standards are set by each individual state.

3. Professional Learning Communities (PLCs)- "Educators committed to working collaboratively in ongoing processes of collective inquiry and action research to achieve better results for the students they serve. Professional learning communities operate under the assumption that the key to improved learning for

students is continuous, job-embedded learning for educators" (DuFour, DuFour, & Eaker, 2008, p. 14)

4. Race to the Top- A United States federal program, which offers grants to states reforming their educational systems. Race to the Top asks States to advance reforms around four specific areas:

- Adopting standards and assessments that prepare students to succeed in college and the workplace and to compete in the global economy;

- Building data systems that measure student growth and success, and inform teachers and principals about how they can improve instruction;

- Recruiting, developing, rewarding, and retaining effective teachers and principals, especially where they are needed most; and

- Turning around our lowest-achieving schools.

Awards in Race to the Top will go to States that are leading the way with ambitious yet achievable plans for implementing coherent, compelling, and comprehensive education reform. Race to the Top winners will help trail-blaze effective reforms and provide examples for States and local school districts throughout the country to follow as they too are hard at work on reforms that can transform our schools for decades to come.

5. Socioeconomic status (SES) - Social class refers to the hierarchical distinctions between individuals or groups in societies or cultures.

Limitations

Due to the complexity and variety of educational situations, and the small number of principals who participated in both the interviews and survey, this research study may

not be used as a generalization of the best practices for all principals wanting to improve

their schools.

Chapter 2

Review of the Literature

Education policy in the United States is increasing the pressure on schools to provide equitable achievement results for all children.   National and state agendas such as The Goals 2000: Educate America Act of 1994, the Improving America's Schools Act (IASA) of 1994, the Elementary and Secondary Education Act of 1965, and No Child Left Behind Act (NCLB) of 2001 call for equal treatment, access and outcomes for all students (Lunenburg &Ornstein, 2008). In response, the United States Department of Education has placed improved school leadership as among its top priorities. This is evident by making the development, reward, retention, and equitable distribution of effective principals as part of the requirements for states seeking funding from the $4.35 billion Race to the Top program. School district stakeholders now have a strong incentive to focus on preparing, recruiting, and retaining principals as one strategy to boost student academic achievement.

Researchers associated with the Wallace Foundation, found that the influence of student achievement is strongly influenced by the campus principal (Simkin, Charner, & Suss, 2010). "Nearly 60 percent of a school's influence on student achievement is attributable to the principal and teacher effectiveness: principals account for as much as a quarter and teachers over a third of a school's total impact on achievement" (Shelton, 2010 p.1). The responsibilities of a campus principal have expanded to include roles beyond management of employees, materials, and schedules. The push for higher accountability with limited time and allocated funding has developed an educational perfect storm where the campus principal must be able to transform low performing

campuses into high achieving systems with shared vision and focus on student achievement. "The principal's job description has expanded to a point that today's school leader is expected to perform in the role of 'chief learning officer,' with ultimate responsibility for the success or failure of the enterprise" (Bottoms & ONeill, 2001 p.5). The principal must have a strong knowledge base in instructional innovations and curriculum to ensure equity for all students.   Therefore, an effective school principal on any level must be highly proficient in the areas of management, transformation, and instruction. Research through the Wallace Foundation has theorized five key knowledge and skills every principal must have to be successful:

1. Shaping a vision of academic success for all students, one based on high standards;

 2. Creating a climate hospitable to education in order that safety, a cooperative spirit and other foundations of fruitful interaction prevail.

3. Cultivating leadership in others so that teachers and other adults assume their parent in realizing the school vision.

4. Improving instruction to enable teacher to teach at their best and students to learn their utmost; and

5. Managing people, data, and processes to foster school achievement (Wallace Foundation, 2012, p. 4).

All of these skills interact with each other to create picture of a leader whose purpose is to lead a school appropriate for all children to reach their full potential. The skills are generalized into three categories of leadership, i.e. transformational, instructional, and managerial leadership proficiencies. All of the categories are specific

in its goal and expectations for school improvement, and all are interdependent upon the other to make a school successful.

The nature of a school leader

Based on 43 interviews with school leaders, Mark Goldberg believed that the concept of leadership took more than one form and has many characteristics, but five qualities stood out. "These leaders held a bedrock belief in what they were doing; they had the courage to swim upstream in behalf of their beliefs; they possessed a social conscience, particularly on issues of racism and poverty; they maintained a seriousness of purpose, holding high standards and devoting years of service to their causes; and they exemplified situational mastery, the happy marriage of personal skills and accomplishment" (Goldberg, 2001 p.5). It is true that the job as a campus principal is not for the faint of heart. It requires a strong mental, physical, and emotional fortitude that requires a conviction on what is important, equitable student achievement. In his book, *The Moral Imperative of School Leadership* (2003), Michael Fullan further defines an effective leader as "one who catalyzes commitment to and vigorous pursuit of a clear and compelling vision, stimulating higher performance standards" (p.10).

The need for a strong and effective campus principal/leader was highlighted in a 1977 U.S. Senate Committee Report on Equal Education Opportunity (U.S. Congress, 1977) as the "most important and influential individual in an school. It is the principal who sets the tone of the school, climate for teaching, the level of professionalism and morale of teachers, and the degree of concern for what students may or may not become" (p.56). Effective, dedicated principals who have a clear vision for high standards for all students lead high achieving schools. A school seldom transforms from low achieving to

differences among teachers and their ability to produce achievement gains in their students. "If teacher effects are normally distributed, these findings would suggest that the difference in achievement gains between having a 25th percentile teacher (a not so effective teacher) and a 75th percentile teacher (an effective teacher) is over one third of a standard deviation (0.35) in reading and almost half a standard deviation (0.48) in mathematics"(Nye, et al., p. 253).

In a meta-analysis completed by Marzano, Waters, & McNulty (2005), from available studies from 1970 to 2005, they computed the correlation between the leadership behavior of the principal in the school and the average academic achievement of students in the school to be .25, which takes into account that the principal is considered average in an average school. If the principal develops his/her skills through professional development or seminars on leadership offered by the district, he/she could help raise the school's average achievement level to a higher level. Parents, teachers, and students participating in a school led by an effective principal could possibly see a substantial increase of student performance. Campus leaders' contribute indirectly to student achievement by influencing the teachers, students, and parents or the features of their organization (Leithwood et al., 2004). School leadership, through formal and informal processes, shapes the nature of school conditions by creating a strong vision, by strengthening school culture, and by creating professional teacher communities that build capacity (Leithwood, et al., 2004).

Principal tenure at a specific campus also has an effect on student achievement. Prior research reflects the impact of school leadership on student achievement by facilitating a vision and culture that enhances teacher motivation (Deal, 1993; Senge,

1990, Leithwood, et al., 2004). Therefore, changing administrators disrupts school

cultures by causing instability of campus routines and culture. In many district

throughout the United States, 50% of high school principals leave their positions within

five years (Fuller & Young, 2009).   It is estimated that half of beginning principals of all

levels leave their positions within five years (Cuban, 2010). Austin Independent School

District located in Austin, Texas estimates that 64% of high school principals leave

within three years and 84% of principals leave their jobs within five years (Cuban, 2010).

The effect of such high turnover has a negative effect on teachers, students and the

community. Principals do leave due to retirement or dismissed due to poor performance,

but there is little evidence to explain why there is such a large turnover rate beyond those

reasons.

It is evident that principals who assume leadership of a low performing school

must take into consideration their role as a transformer. Before a school can change its

course of downward achievement levels, campus leadership must take drastic efforts in

the change progress. This change process begins with the principal who walks in the

doors with a strong vision and the ability to communicate it so that all stakeholders will

commit to the change process.

Student achievement and accountability

An emerging trend from the inception of state-mandated student testing is the

linkage between teacher effectiveness and student achievement. During the 1990's

politicians and educational policy makers have lead the effort to use teacher appraisals as

the focus of school improvement (Ellett &Teddlie, 2003).   Improving public schools has

been a political hot topic, and many federal and state representatives have used this issue

as a key point of their platforms. The complicated issue of improving student

achievement on state mandated tests in reading and mathematics with the constraints of

finances on both the federal and state levels has made education reforms difficult.

Policymakers, school administrators and the business community all agree that changes

must be made in the US education system; however, the debate on what changes need to

be made is unclear.

Texas has begun to implement a standards based approach to school improvement

holding districts and teachers accountable for student achievement. In a study by

Hansen, Marsh, Ikemoto, and Barney (2007), they interviewed district leaders in Texas

and cited an array of actions taken by the districts in response to pressures from the state

and federal levels. The district leaders all shared common goals for resource allocations

focused on providing for the needs of students, building capacity for teaching and

learning, and creating financial incentives rewarding teachers based on test scores and

other indicators of student performance. Many policymakers believe that calculating

teacher effectiveness based on students' scores in reading and math and using the results

of these calculations to evaluate, reward and remove teachers is the right course of action

(Baker, Barton, Darling-Hammond, Haertel, Ladd, Linn, Ravitch, Rothstein, Shavelson,

& Shepard, 2010).

The use of state mandated tests as an indicator of improved student performance

has had a negative effect. Principals and teachers, knowing that their jobs and incentives

are related to state test scores tend to limit instructional focuses on the objectives that will

be tested therefore, lowering the standards of overall student achievement. President

Obama referred to this issue as "lowballing expectations for our kids," adding "the

solutions to low test scores is not lowering standards" (Peterson & Lastra-Anadon, 2010). Although using state standardized test scores of students is one way to judge a teacher's effectiveness, such scores are only part of a comprehensive review.

Validity of student assessments as measures of a school's effectiveness

The literature supporting or opposing the use of standardized testing as a measure for teacher and principal effectiveness extends to both extremes. The Bill and Melinda Gates Foundation funded the research by the Measures of Effective Teaching (MET) to review effective measurements of teacher effectiveness. Within this study, support for the use of state assessments was cited, however, the need to include other supplemental assessments to assess a student's higher-order conceptual understanding before making a final judgment for teacher effectiveness was suggested (2009). Furthermore, the MET Policy Brief states, "the teachers with the highest value-added scores on state tests also tend to help students understand math concepts or demonstrate reading comprehension through writing" (2009, p. 4). Teacher effectiveness should not only include value-added methods but teacher appraisals should also include classroom observations and teacher reflections; teacher knowledge of pedagogical content; student perceptions of the classroom instructional environment; and teacher's perception of working conditions and instructional support at their schools (MET, 2009).

Other researchers have questioned the assumption that student test scores are reasonable measures of educational output. The inference that student achievement scores is an indirect measurement of teacher effectiveness has some flaws. Koretz (2008) maintains that student scores on state mandated tests are fallible statistically as they include measurement error, and they are vulnerable to corruption or inflation. He also

asserts that achievement tests do not measure attributes that are important to society, such as "an interest in and respect for learning, motivation to tackle cognitively difficulty tasks, and intellectual curiosity" (p. 6).

        The issue of controlling score results is another factor in determining whether student achievement scores are valid measures of teacher effectiveness. Similar gain scores are difficult to compare. Test questions are not weighted the same in standardized tests. Standardizing raw test scores by recentering, and rescaling to convert scores to a bell-shaped curve, or converting to grade-level equivalents by comparing outcome with the scores in a nationally representative sample may skew results year by year (Ballou, 2002). Koretz (2008) contends teachers can inflate scores by transferring achievement by only emphasizing material that is tested. Stecher and Barron (1999) reported incidents of teacher time on instruction was higher in subjects that were being tested that school year opposed to subjects that were not being tested. Teachers use coaching to customize instructional strategies to align to the tasks expected on the tests. Therefore, the student's knowledge of the content of the subject matter skews the test results and inflated gains can be clouded (Koretz, 2008). A number of factors can attest to the incidents of inflated gains in standardized testing. These factors could include student selection, scale score conversion errors, administration conditions, administration dates compared to norming dates, practice effects and teaching to the test (Linn, 2000). Linn also suggests ways to improve the validity of using student assessment as a method of evaluating teacher effectiveness. To overcome the negative effects, he suggests that safeguards be included for all students in the assessments. Safe guards such as the use of multiple indictors instead of a single test, emphasis on the comparison of performance

from year to year rather than school to school, and use of value- added systems that will provide school with a chance to show improvement.   Linn also suggests that schools should recognize, evaluate, and report the degree of uncertainty in the results and evaluate the intended positive and possible negative effects of the system (p. 29).

Equitable student achievement

The ultimate goal in the educational reform movement is equity. Children in high-poverty and low-achieving schools get the short stick when it comes to the quality and experience of their principals and teachers. Longitudinal data in a study conducted by Horng, Kalogrides, and Loeb (2009) indicated that low-income students, students of color, and low-performing students are more likely to attend a school that has a first year principal, a principal with less than average years of experience, a principal without a master's degree, or a principal that went to a less-selective college preparatory program compared to their more advantaged counterparts.   Principals who ranked themselves as low on the organizational management dimension (Grissom & Loeb, 2009) typically lead schools with high populations of minority and economically disadvantage students.

The influences of student socioeconomic advantage or disadvantage on learning, measurement error, the non- random sorting of teachers across schools, and of student to teachers in classrooms within schools may result in misidentifying many teachers as either effective or ineffective (Baker, et. al., 2010). It is common for the most experienced, highly effective teachers to teach in schools with students from middle to upper-middle class socio-economic groups, and many times, they are assigned to classes with high-achieving students. It has also known that teachers with little experience or those that are considered ineffective are teaching in low SES schools and work with low-

performing students. Low-income and minority students are disproportionately taught by under-qualified teachers. Kain and Singleton (1996) cited African American and Latino children are often taught by teachers who scored poorly on the Texas Examination of Current Administrators and Teachers (TECAT). It is not true however that all teachers in a low-performing, low-SES, and with high populations of minority students in urban schools are low performing. In a study by Poplin, Rivera, Durish, Hoff, Kawell, Pawlak, Soto Hinman, Straus, and Veney (2011), they studied 31 highly effective teachers in nine low-performing schools in Los Angeles County. These teachers all had characteristics that were similar. Strictness, instructional intensity, movement in the classroom, traditional instructional practices, exhorting virtues, and strong and respectful relationships were common among all of the teachers classified as highly effective. All of the teachers' experience levels, age, race, and education background were diverse. According to the National Board of certification, based on the teachers' certifications and degrees, would not fit the definition of highly qualified. However, these teachers have students who have consistently made academic growth. What these teachers did have in common was a strong confidence in what they did in the classroom, and they did not use the students' background as an excuse for not learning. These teachers were realistic about their goals and did not limit them to having their students to just passing the state tests (Poplin, et al., 2011). This example of highly effective teachers in low-performing schools is contrary to the popular belief that all teachers in low-performing schools are inadequate. It is the responsibility of the principal to recruit and hire effective teachers and not settle for anything less than highly qualified professionals.

The push for districts to turn around low-performing schools has become a goal of President Obama's School Improvement Grant, which is allocating $3.5 billion toward this effort. "It is not surprising that these failing schools serve mostly poor families (the median school had 78 percent eligibility for free or reduced-price lunch) and minority students (86 percent are black or Hispanic). Almost 60 percent of the schools are urban, and almost half are high schools" (Manwaring (2011b). The Obama administration recommends two models for school improvement: turnaround and transformational. The turnaround model begins with replacing the principal and, at many times, more than half the staff of a low-performing school. Since there is a shortage of qualified teachers and administrators available due to a struggling economy, this is a challenging task. With over 74% of failing schools eligible for improvement grants, many are opting for the transformational model that would call for a comprehensive overhaul of instruction and evaluation systems (McLester, 2011). This change also includes replacing the current principal, overhauling evaluation systems and professional development, extend learning time, and creating a community school, operational flexibility, and a comprehensive instructional program (Manwaring, 2011a). The push for an accelerated change initiative is critical where the new principals must have flexibility, strong vision for the school, frequent observations of the teaching practices, and "courageous conversations" with staff about data and instructional improvement (McLester, 2001). Transforming low-performing schools begin with the school leader, and implemented by the teachers, community, and students. The principal's job is to hire highly qualified teachers and to lead these teachers to confront their beliefs and change their instructional practices for the good of all students.

Principal as transformational leader

James MacGregor Burns (1978) proposed the theory of transformational

leadership as a process to reach a higher level of motivation by leaders and followers

working together. "Transformational leaders are able to inspire followers to change

expectations, perceptions, and motivations to work towards common goals through their

ability to communicate their vision. They are able to communicate a collective vision,

which inspires their followers to look beyond their self-interests for the good of the group

(Turner, Barling, Epitropaki, Butcher, & Milner, 2002). A transformational leader's goal

is to develop the values and motivations of those who follow into a deeper level of

commitment so they are able to cope with new and fluctuating situations as they emerge.

(O'Brien, Murphy, & Draper, 2008) "Transformational leaders achieve superior results

by focusing on the four I's, idealized influence, inspirational motivation, intellectual

stimulation, and individual consideration" (Bass & Avolio, 1994, p. 3).   The purpose for

transformational leadership is to achieve improved results, higher productivity, and better

performance.

Applying the concept of transformational leadership in the organizational

structure of public education may be the answer to the ever-growing challenges of a 21st

century schoolhouse. Leithwood (1994) believed the application of the concept of

transformational leadership in public schools usually manifests during eras of school

change, reform, and restructuring. Cotton (2003) concluded from his vast literature

reviews that "researchers find that transformational leadership is positively related to

student achievement and is more effective than the deal-making between principal and staff that characterizes the transactional approach alone" (p.61). It also results in increased capacities and commitment by the stakeholders and leads to extra effort and greater productivity (Burns, 1978; Bass & Avolio, 1994). In a study conducted by Leithwood and Jantzi (1999), they concluded, "Transformational leadership had strong direct effects on school conditions (.80) which, in turn, had strong direct effects on classroom conditions (.62). Together, transformational leadership and school conditions explain 17% of the variation in the classroom conditions, even though the direct effects of transformational leadership on classroom conditions are negative and non-significant" (p. 467).

Leithwood and Jantzi (2000) also identified seven components of the transformational model: individualized support, shared goals, vision, intellectual stimulation, culture building, rewards, high expectations and modeling. As the roles and responsibilities of campus principals develop, Leithwood and Jantzi's components have been used as a basis of effective leadership in schools. Hallinger (2003) narrowed the scope of transformational leadership as a "bottom-up focus to school improvement and second-order target for change" (p. 337). Based on the research of Leithwood and Jantzi (2000), and Hallinger (2003), The Wallace Foundation identified the five key responsibilities that every effective principal must have:

1. Shaping a vision of academic success for all students, one based on high standards;

2. Creating a climate hospitable to education in order that safety, a cooperative spirit, and other foundations of fruitful interaction prevail.

3. Cultivating leadership in others so that teachers and other adults assume their role in realizing the school vision.

4. Improving instruction to enable teachers to teach at their best and students to learn their utmost; and

5. Managing people, data, and processes to foster school achievement." (Wallace Foundation, 2012, p.4).

"Shaping a vision; creating a climate hospitable to education, and cultivating leadership," are related to the theory of transformational leadership. A central theme to all the research findings is the concept of the transformational leader creating, communicating, and facilitating a concise vision. Bennis and Nanus (1985) identified a common approach use by transformational leaders to accomplish their objectives is being visionaries. Bennis and Nanus (1985) describe the development of a vision as "To choose a direction, a leader must first have developed a mental image of a possible and desirable future state of the organization. This image, which we call a vision, can be vague as a dream or as precise as a goal or mission statement. The critical point is that a vision articulates a view of a realistic, credible, attractive future for the organization that is better in some important ways than what now exists" (p.89). Effective leadership is about cultivating a shared vision that is promoted by the leadership team and where all are held accountable for the school's success (Shelton, 2010). A shared vision results in all stakeholders reflecting on their core values, committing to the vision, and creating coherence in the overall program (Lambert, 2002, Hallinger, 2003). The results of a survey conducted by McCoach, Goldstein, Behuniak, Reis, Black, Sullivan, and Rambo (2010), suggest an association between school climate, culture, and student achievement.

A key strategy in the process of campus leaders to improve the cultures of teaching, learning and achievement in their schools is the alignment of structures and cultures with vision and direction. "They repositioned their schools internally through changing expectations, aspirations, structures, and cultures so that they were able to build and sustain performance. They increased effectiveness through a sustained focus upon raising the quality of teaching and learning whilst at the same time raising the levels of individual and collective efficacy and involvement of staff" (Day, Leithwood & Sammons, 2008 p. 68). Research has found that higher-performing schools provide greater autonomy and authority to teacher teams, parents, and students. Collective leadership has a stronger influence on student achievement than individual leadership (Louis, Leithwood, Wahlstrom, & Anderson, 2010).   Effective principals make a conscious effort to build the leadership capacity of their teachers with the hope of guaranteeing the school would continue to succeed long after they have left (Dufour, Dufour & Eaker 2008). Lambert (2002) defines leadership capacity as "a broad-based, skillful participation in the work of leadership" (p.38).   Therefore, leadership isn't isolated in the front office, but the power is attributed to anyone that inspires higher levels of personal commitment and the accomplishment of the organization's goals (Luneburg &Ornstein, 2008).   Leadership capacity to bring about sustainable school improvement can take on different forms such as teacher study groups, professional learning communities, action research teams, and leadership teams. Giving teachers an opportunity to become active rather than reactive agents in school improvement distributes knowledge and skills of instructional practices. It is still up to the principal,

however, to establish a strong, achievement-oriented school culture with clear expectations for student learning, attendance, and behavior (Wallace Foundation, 2010).

Principals with strong transformational leadership abilities can enable teachers to feel more committed to school improvement and willing to be innovative in their instructional practices. Marks and Printy's (2003) research suggest that the difference between transformational and instructional leadership is indistinct since each overlap, striving for the ultimate goal of improving instruction for all students. They believe in a more integrated approach in which a principal "elicits high levels of commitment and professionalism from the teachers and works interactively with teachers in a shared instructional leadership capacity" (p 393).

Principal as instructional leader

The fourth key responsibility of an effective principal according to the Wallace Foundations (2012) is "Improving instruction to enable teacher to teach at their best and students to learn their utmost" (p.4). The concept of campus principals as instructional leaders has expanded due to the emphasis on accountability, which is determined by state student assessments as mandated by NCLB. Principals are expected to define and promote high expectations and emphasize research-based strategies to improve teaching strategies and student achievement (Wallace Foundation, 2012). This education expertise relies upon a principal's ability to understand the fundamentals of learning and teaching. Lunenburg and Ornstein (2008) believed that "most conceptions of instructional leadership allocate authority and influence to formal administrative roles, usually the building principal (p. 115). Leithwood (1994) referred to instructional leadership as a series of behaviors designed to affect classroom instruction through coaching,

supervision, and staff development. In a wider context, instructional leadership is everything a school principal does to support student learning and teacher instructional effectiveness.

The instructional leadership models developed in the early 1980's from research on effective schools. Leadership focus was focused on coordinating, supervising, and developing curriculum and instruction in the schools (Bamburg &Andrews, 1990). Research directed at the concept of instructional leadership between 1980 and 2000 highlighted behaviors on the part of principals that lead to school improvement. Hallinger (2003) documented, "Instructional leadership influences the quality of school outcomes through the alignment of school structures (e.g., academic standard, time allocations, curriculum) with the school's mission" (p.333). Since principals play many roles on a school campus such as managerial, political, institutional, human resources, and symbolic, critics of instructional leadership disagree if this is the sole reason for a school's improvement.

The ultimate endeavor of the principal is to improve instruction so all students can learn to their highest potential. The basis of this core belief that all students can learn must be the catalyst for analyzing data, creating goals, planning, coordinating and evaluating curriculum, resourcing personnel strategically, and planning teacher professional development. Effective principals analyze multiple sources of data to identify and improve instructional practices, and they take responsibility for the overall quality of the school's instructional program (Wilson, 2011). (p. 606). However, Lunenburg and Ornstein (2008) argue that principals alone cannot address all the factors that influence instructional decision-making; therefore, it is essential for the principal to

distribute decision-making to the teachers when possible to create a culture of shared success.

A study conducted by Blase and Blase (2000) surveyed 800 teachers about their perspectives of effective instructional leadership and how the campus principal enhanced their instructional practices. The feedback from the teachers indicated two major themes: the principal's "talking with teachers to promote reflection and promoting professional growth" According to the data, effective instructional leaders "valued dialog that encouraged teachers to critically reflect on their learning and professional practices" (p. 133). Teachers considered this type of leadership had a positive effect on their motivation, satisfaction, self-esteem, sense of security, and feelings of support. In terms of professional growth, the responses by the teachers showed that principals who promoted professional growth used six strategies:

1. Emphasizing the study of teaching and learning,

2. Supporting collaboration efforts among educators,

3. Developing coaching relationships among educators,

4. Encouraging and supporting redesign of programs,

5. Applying the principles of adult learning, growth, and development to all phases of staff development, and

6. Implementing action research to inform instructional decision-making. (p.135)

 Based on these strategies, the principal assumes the role as a facilitator of instructional practices in a community of learners.

In their book *Professional Learning Communities at Work* (2008), DuFour et al. base their perspective of instructional leadership in the development of Professional

Learning Communities (PLC). The definition of a PLC is "educators committed to working collaboratively in ongoing processes of collective inquiry and action research to achieve better results for student they serve" (p. 14). A PLC operates under the belief that the key for improved learning for students is "continuous, job-embedded learning for educators (p. 14). DuFour, et al, identified six characteristics of PLCs as

1. Shared mission, vision, values, and goals all focused on student learning,

2. A collaborative culture with a focus on learning,

3. Collective inquiry into best practice and current reality,

4. Action orientation: Learning by doing,

5. A commitment to continuous improvement, and

6. Results orientation. (p. 15-16)

The challenge to the PLC concept is sustaining the vision and goals in a rapidly changing world that demands more from teachers and administrators. The commitment of the shared values, maintaining a collective focus for student learning, and working collaboratively in an effort to improve teaching and learning must be sustained every day in the schools (Lieberman, 2011).

Another aspect of instructional leadership on the part of the principal is gauging the needs of the students and teachers and using resources strategically. For a principal to build a school-wide vision of instructional improvement, there must be a plan for allocating resources. Allocating human capital correctly assures all teachers are accurately dedicated to teach specific populations of students, subjects based on their expertise. Hiring and retaining quality teachers is essential as a part of an instructional leader. Looking for the "right fit" for every position, maintaining strong professional

development, and providing the needed resources for the instructional strategies that ensures student success is critical for instructional leaders to accomplish.   Teachers' perceptions of school leadership and teacher autonomy and discretion are key factors in shaping their willingness to do their best work and to commit to staying in the teaching profession (Fiore & Whittaker, 2005).

Instructional leaders provide the resources teachers and students need to use in learning experiences i.e. books, technology, and other materials based on the school's vision and goals. This is the budgeting aspect of instructional leadership and can be the most challenging part of a principal's job in an economy that is devaluing public education. There is the question of whether putting more resources in the classroom equates with higher student achievement.   When Greenwald, Hedges and Laine (1996) synthesized data from 30 years of research studies, they concluded that increasing resources would positively influence student achievement. Elliott (1998) supported the conclusions of Greenwald, et al. in her study which indicated that "per pupil expenditures indirectly increase student achievement, especially in science, by giving students access to educated teachers who use effective pedagogies in their classrooms" (p.223). Therefore, strong instructional leaders are also skilled fiscal leaders. The focus of budget decisions must relate to the vision and goals of the school and community.

The role of a principal as instructional leader and manager is closely connected. What a principal does with the personnel and materials that are on campus must be aligned with the overall vision of school improvement.   It is not enough to know how curriculum and instruction works but how to manage the resources provided to accomplish the bigger picture.

Principal as manager

"It's all in the details," best sums up the role as the principal as manager. The Wallace Foundation referred to this key responsibility as "managing people, data, and processes to foster school improvement" (p. 12). In this context, principals need the leadership skills to plan, implement, support, advocate, communicate, and monitor the school improvement process (Wallace, 2012). This part of the job is where everything from facility management to student discipline becomes the daily routine. Lunenburg and Ornstein (2008) believe there is a distinction between leadership and management:

This distinction usually entails allocating management with responsibilities for policy implementation, maintaining organizational stability, and dealing with day to day routines of the job such as providing and distributing financial and material resources, managing school facility, managing the student body, maintaining effective communications with education stakeholders, reducing disruptions to the instructional program, mediating conflicts and attending to political demands of the school or school district. Leadership in contrast, entails responsibilities for policymaking, organizational change, and other more dynamic processes of work. (p. 115)

Horng, Klasik, & Lobeb (2009), studied the amount of time principals devoted to specific areas of their job. According to their calculations, principals spent 30% of their time on administrative activities including student supervision, scheduling, and compliance issues; 20% was spent on organizational issues such as personnel and budgeting, and only 10% of their time on instructional-related activities such as classroom observations and professional development. The managerial aspect of school

leadership focuses on the functions, tasks, or behaviors of the principal in order to make the school run smoothly (Leithwood & Duke, 1999). While it can be argued that all of the managerial tasks a principal must perform daily are important, the push for high accountability has driven policy makers to focus on teacher effectiveness as determined by state and local teacher evaluation systems. The campus principal evaluates the level of a teacher's effectiveness. The principal's function as the agent of school improvement in terms of management is through performance management of the staff, not limited to teacher evaluations. Therefore, it is critical that the principal as manager is also proficient at determining whether a teacher is effective in classroom instructional practices or not. The responsibility of assuring the public that highly qualified teachers are teaching the children in the school is the one function of a principal's job that requires expertise in all the areas of leadership: transformational, instructional, and managerial.

Principal as evaluator

For a principal to be proficient in teacher evaluations, he/she must be able to balance all of the aspects of leadership. As transformational leader, he/she should be grounded in their vision of what is right for students in their school. As instructional leader, he/she must be well versed in the wide range of teaching strategies that are research based and driven by student demographic and academic data. As a manager, the principal should know the legal processes of mentoring, retaining, non-renewing, or terminating professional staff. The pressure by all stakeholders to retain strong teachers and eliminate ineffective teachers is formidable. Therefore, the role of principal as evaluator of teachers incorporates all aspects of transformational, instructional, and managerial knowledge and skills.

The principal must have a strong sense of the campus vision and goals, an extensive knowledge of effective teaching strategies, and an ability to monitor and coach teachers. There are many ways a principal can evaluate teacher effectiveness. Types of evaluations are divided into two categories, summative or formative. Summative evaluations are for making consequential decisions while formative evaluations are for enhancing the professional skills of the teacher (Danielson & McGreal, 2000). Public officials tend to support more summative evaluations over formative since it is appropriate for screening out unsuitable teaching candidates and ineffective teachers. The data gained from summative evaluations fulfills the legal aspect of teacher evaluations. Formative, on the other hand, gives constructive feedback, recognizes outstanding instructional practices, and provides ideas for professional development which teachers and administrators can readily support (Danielson & McGreal, 2000). Typical teacher evaluations are limited to the act of teaching and are documented through classroom observations. If most teacher evaluations are based on classroom observations, then it is plausible that only a small sample of teacher effectiveness can be witnessed since most school administrators can only visit classrooms for prolonged periods three or four times a year (Tucker & Stonge, 2005).

Specific guidelines for teacher behavior and student outcomes can be created for typical classroom conditions in core subjects such as Reading, Mathematics, Social Studies, Science or where lesson structure can be generalized and student achievement tests can be administered. The research on teacher effects on student achievement and other education outcomes in non-core subjects is limited. Much of the current research uses student achievement data in reading and mathematics, therefore no empirical

evidence exists that this time (Prince, Schuermann, Guthrie, Witham, Milanoswski, & Thorn, 2009).   Observing student growth and understanding in core classroom scenarios is easier when evaluating student achievement is anticipated in a set time limit. Yet, it is difficult to find one standard assessment process that fits all teaching situations and grade levels.

Teaching non- traditional courses in music, arts, technology, physical education, and vocational courses may not fit the typical teacher appraisal format or reward system. Not to mention, teacher appraisers may not be knowledgeable of appropriate instructional methods in all subject areas.   Therefore, it is important to review the different teacher evaluation techniques and the impact they have on student achievement. The key point is to find a system that can influence all students and give them the equal opportunity to have a qualified and effective teacher.

Most of the new teacher appraisal formats include formal observations of the teachers. Formal observations are structured around an assessment instrument that measures teachers' performance based on a matrix (Donaldson, 2009).   Goldrick discerned that (2002) "teacher evaluation typically has been designed as a personnel action, not as a tool for instructional improvement. Though evaluation serves as a mechanism for assessing job performance, in practice it is often cursory, subjective, and based upon insufficient observation" (p. 2).   Observations are short snap shots of instructional time that may or may not reflect the complete teaching ability of an instructor. Observations also do not take into account the differences between a novice teacher and a teacher with many years of experience. Due to the limitations of observation instruments, school administrators default to treating all teachers as

essentially the same, both in terms of effectiveness and need for development (Weisberg, Sexton, Mulhern, & Deeling, 2009).

Principals tend to gather teacher performance data from formal and informal observations, reports from parents, and student achievement scores. Weighing all of this data in some cases subjectively can skew teacher performance feedback. Principals may differ in levels of sophistication in data collection and how they interpret the data, they receive (Jacob & Lefgren, 2008). If the principal's judgment is based solely on observations, formal or informal, of teachers' behavior and students' behaviors, the administrator's own conception or model of effective teaching behavior may limit the reliability of the observation instrument (Medley & Coker, 1987). If the goal of the observation evaluation is to promote professional growth and student achievement, then the methods involved in the evaluation must be expanded (Weems & Rogers, 2010).

To combat inconsistent assessment of teacher observations, administrators have included performance-based teacher appraisals to the toolbox of teacher feedback procedures. This method includes observations but also assesses the teacher's instruction against an articulated set of performance standards. The goal of this evaluation process is to move teacher evaluation from an input-based process into an outcome-driven one (Donaldson, 2009).   A purposeful, performance-based evaluation system measures teaching outcomes, not simply teaching behavior. Appraisals that are designed and integrated with curriculum and professional standards can accomplish more than assuring basic competence. They measure effectiveness of teachers at various points in their careers, identify highly skilled teachers, offer specific recommendations to improve teaching, inform professional development, and demonstrate accountability for student

achievement that can be measured. This process would include student academic performance as a variable for teacher overall appraisals (Goldrick, 2002). Professional development that is tightly linked to performance standards and differentiated based on individual teacher needs should also be included in this process (Weisberg et al., 2009).

The responsibility of determining whether a teacher is highly effective is dependent upon the campus principal. The urgency of using teacher appraisals effectively is important if principals want to improve student achievement over long periods. The roles of the teacher in the learning process have changed over the past years, as has the perception of how students learn best (Ellett & Teddlie, 2003). Principals as both transformation and instructional leaders have the difficult task of determining which teachers have the ability and skills to teach students successfully based on their knowledge of instruction and the needs of the students. Jacob and Lefren (2008) observed that principals are quite good at identifying those teachers who produce the lowest and highest standardized achievement gains but are less able to distinguish among teachers in the middle of the distribution. Principals were only able to identify 49% of the teachers as being better than the median teacher in their school is.

Unfortunately, determining the characteristics of an effective teacher can be subjective. One study asserts that based on a qualitative review of the literature, principals are not accurate evaluators of teacher performance. Principals have a difficult time effectively evaluating teacher performance ranging from a lack of knowledge of the subject, to disinclination, to upset working relationships (Peterson, 2000). "Twelve studies from 1921 to 1959 reached the same conclusion: the correlation between the average principal's ratings of teacher performance and direct measures of teacher

effectiveness were near zero" (Medley & Coker, 1987, p. 242.) A recent study of teacher appraisals detected that principals have admitted to inflating performance ratings for some of their teachers (Weisberg, et al., 2009). An example of the ineffectuality of administrators to effectively rate teacher effectiveness was an extensive research effort spanning 12 districts and four states and reported survey responses from approximately 15,000 teachers and 1,300 administrators that cumulated in research called "The Widget Effect." The writers of the survey responses reported that 94 % of teachers receive one of the top two ratings and less than 1% was rated unsatisfactory. "Despite uniformly positive evaluation ratings, teachers and administrators both recognize ineffective teaching in their schools. In fact, 81% of administrators and 58 % of teachers say there is a tenured teacher in their school who is performing poorly, and 43% of teachers say there is a tenured teacher who should be dismissed for poor performance" (Weisberg, et al., 2009, p. 6). The responses from these surveys may indicate that the relationships between the appraiser and teacher or the administrators' personal experience may affect the outcome of the results. The results along with other research finding have pushed school districts and state education boards to recreate teacher appraisals to include student assessment data. The need to redesign teacher appraisals to reflect objective and subjective data of teacher performance is being completed to help predict future productivity (Harris & Sass, 2009).

Figure 2-1 Instructional, Transformational, and Managerial Leadership Connections to Teacher Evaluations
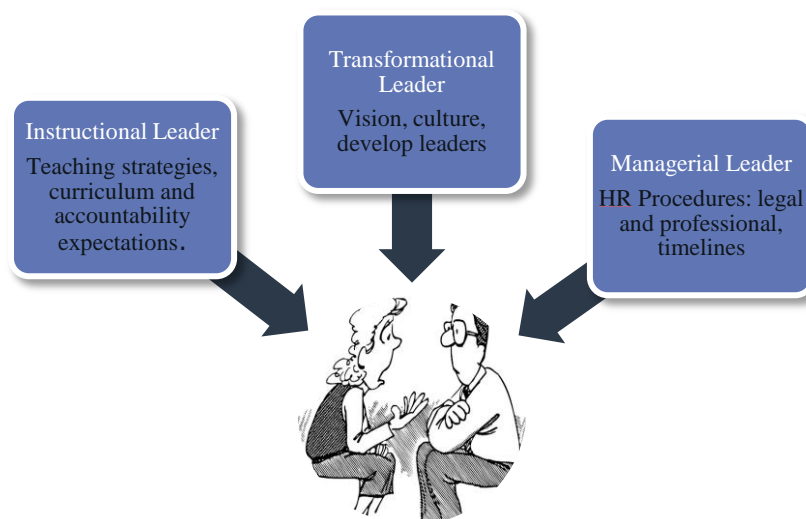
Conclusion

The metamorphosis of the school principal over the past twenty years from manager to transformational and instructional leader is wide reaching in its impact on student achievement. It is not enough for a campus leader to make sure that the lights are on, teachers are in the classrooms, and school supplies are available. They should be the torchbearers of school reform on the front lines of the battle. Their key responsibilities are to transform failing schools into learning fortresses filled with skilled teachers and able-bodied learners working together for the common purpose of high achievement for all. The expectations are for principals to have a mindset for all things instructional, from teaching strategies to curriculum. They should also be up-to-date on all the methods of hiring, developing, and evaluating their teachers with the overall goal of higher student achievement on student assessments. The national trend of aligning student achievement to the performance of principals and teachers is changing the face of public education. The question remains: can one person do it all?

Chapter 3

Methodology

This chapter outlines the procedures, for examining the perspectives of campus principals' interpretation of transformational, instructional, and managerial leadership. This chapter includes a description of the research design, setting, procedures, instruments, analysis, and limitations of this study.

Description of Research Design

This concurrent mix methods research incorporated guided interviews and an online survey in which the topics were predetermined. Five open-ended questions were directed to five principals along with the responses of 60 principals' to an online survey related to campus leadership priorities. An analysis of the data from both sources searched for common themes and trends. An exploration of similarities and differences in terms of leadership priorities and practices was derived from the interviews of five campus principals. The researcher used a standardized open-ended interview approach where the exact wording and sequence of questions were determined in advance. Principals answered the same open-ended questions in the same sequenced order. The interview allowed the principals the opportunity to reflect on practices and to discuss cultural changes in leadership practices (Marshall & Rossman, 1989). The interviews allowed the principals to respond to the questions based on their own experiences and point of view concerning the topics. The five campus principals gave specific examples of how they demonstrate the key aspects of transformational, instructional, and managerial leadership on their campuses. This method reduced the researcher's effects and bias (Johnson & Christensen, 2008).

The responses from the interviewed principals were interrelated to survey results of 60 principals. The surveyed principals prioritized key aspects of transformational, instructional, and managerial leadership from most important to least important. (see Appendix C)

1. Shaping a vision of academic success for all students;
2. Creating a climate hospitable to education;
3. Cultivating leadership in others;
4. Improving instruction and;
5. Managing people, data, and process to foster school improvement.

Research Question

1. How does a principal's knowledge of transformational practices promote teacher effectiveness and lead to results in student achievement?

2. How does a principal's knowledge of instructional practices promote teacher effectiveness and leads to results in student achievement?

3. How does a principal's knowledge of managerial practices promote teacher effectiveness and leads to results in student achievement?

Setting

For the purpose of this study, five campus principals volunteered to be interviewed and their identities were documented with predetermined codes to maintain confidentiality of the results, e.g. P1, P2, P3, etc. Principals from each campus level were represented i.e., one elementary, one elementary/ middle, junior high, and two high school principals.

Three of the principals were associated with a large school district located in the Gulf Coast region of Texas, which encompassed 301 square miles within a major metropolitan area and is the seventh-largest public-school system in the nation and the largest in Texas. The school district had a diverse population of students comprised of 298 campuses: 170 elementary, 42 middle, 55 high schools, and 31 combination campuses and included over 200,000 students. The representative demographics of the district was 61% Hispanic, 7.8% Caucasian, 26.5% African American, 2.9% Asian, and 0.3% Native American. Of the student population, 79.2% qualified as Economically Disadvantaged and 30.7% met the qualifications as Limited English Proficient. 829 teachers and 125 administrators served this diverse population of students with an average experience of 11.5 years. During the 2010-11 school year, this district earned a Texas Education Agency (TEA) ranking as an Acceptable District as documented on the Academic Excellence Indicator System (AEIS) report.

The other two principals were associated with a large school district located in a suburban area in the Gulf Coast region of Texas which encompassed 348 square miles with 55 campuses: 25 elementary schools, 16 intermediate/junior high schools, and 10 high schools, and included over 52,400 students. The representative demographics of the district were 28.1% Hispanic, 60.8% Caucasian, 6.8 % African American, 3.6% Asian, and 0.7% Native American. Of the student population, 35.9 % qualified as Economically Disadvantaged and 12.2 % met the qualifications as Limited English Proficient. 3,194 teachers and 210 administrators served this population with an average experience of 10.3 years. During the 2010-11 school year this district earned a TEA ranking as a Recognized District as documented on AEIS report.

The principals who responded to the online survey worked in urban and suburban school districts located in the Gulf Coast region of Texas during the 2010-11 school year.   The researcher of this study contacted over 150 principals by email and invited them to fill out the survey online.

Subjects

All of the school principals who volunteered to participate in the interviews had over three years' experience as school principals and had been at their current assignment over one year. Three of the principals led schools that earned a TEA ranking as "Exemplary or Recognized and two principals led schools that were ranked "Academically Acceptable" as documented on their campus AEIS report during the 2010-11 school year.

The principals who responded to the online survey varied in years of experience from zero to over 20 years of experience both in their current level of authority and campus assignment.   All of the principals that responded work in either urban or suburban school districts located in the Gulf Coast region of Texas.

Procedures

The University of Houston, Committee of the Protection of Human Subjects, granted approval of this study (See Appendix A). To remove all identifiers that might indicate individual schools or districts, the interviewed principals' schools, districts, and names were replaced by predetermined codes to maintain an anonymous procedure for reviewing the data. Five campus principals volunteered to participate in this research study. Each principal signed a "Consent to Participate in Research" form before the interview was conducted. (See Appendix B)

Interviews.

The principals received the form "University of Houston Consent to Participate in Research" that fully explained the purpose of the study, procedures, confidentiality, risk and discomforts, benefits, alternative, publication statement and the agreement for the use of audio tapes. This form also included the "Subject Rights" and all the principals initialed each page and signed the consent form before the interviews were conducted. They received the five predetermined questions the day before the interview to help them be prepared to respond with accurate reflections. Three principals' responses were audio recorded and transcribed. Two principals requested to respond to the questions in writing. All of the principals received a copy of their interview transcript and given an opportunity to make revisions.

The single interviews took place either at the principals 'campus or by telephone, at a day and time that was convenient to their schedule. The interview consisted of four questions relating to the principal's professional experience:

1. How many years have you been an educator?

2. Describe your educational history.

 3. How long have you been a principal?

4. How many years have you lead at your current school?

Each principal was asked five open ended questions relating to their leadership practices.

 1. How do you create a shared vision that builds and sustains success for all students?

2. What elements are necessary that contributes to a school climate that engages all stakeholders?

3. How do you distribute leadership and build relationships to foster school improvement?

4. What influences staffing decisions?

5. How do you prioritize/ delegate tasks to build and sustain school improvement?

Survey.

The sample population was selected through convenience sampling of principals known to the researcher and through a network of other principals. The survey was distributed through Survey Monkey, an online survey website, to over 150 campus principals in the Gulf Coast region of Texas. This survey reflected the five key aspects of effective school leadership. To determine the demographics of the surveyed principals, the respondents disclosed the type of school they lead i.e. elementary, middle/junior high, or high school, and the number of years they have been a campus principal. Then, each principal ranked the importance each aspect of school leadership, i.e. shaping a vision of academic success for all students; creating a climate hospitable to education; cultivating leadership in others; improving instruction; and managing people, data and process to foster school improvement. Copy of the survey is found in Appendix C.

Instruments

The instruments, used in this research study, were the interview questions for the five principals created by the researcher to complement the participatory survey posted online at Survey Monkey.com. The interview questions included questions about the principal's educational history and experience along with five questions relating to

effective campus leadership practices. The survey was created online at the Survey Monkey website. The researcher used a question bank for this study based on the Wallace Foundation research findings in its article, *The School Principal as Leader: Guiding Schools to Better Teaching and Learning* (2012).

Analyses

Transcripts from the interviews were analyzed in three stages. The first phase of the data analysis was transcribing all of the principals' statements related to each question. Specific terms that were common among all of the principals were identified and categorized to isolate discrete themes. During the second phase, important words and phrases were organized as possible key features of effective leadership practices and the consequences of the practices. Finally, the results were translated into generalizations about principal leadership practices.

The survey results were cross-sectional and it determined the statistical significance of the priorities of principals in terms of their key responsibilities.

Limitations

Due to the complexity and variety of educational situations and the small number of principals who participated in both the interviews and survey, this case study may not be used as a generalization of the best practices for all principals wanting to improve their schools.

Chapter 4
Results

The intent of this concurrent mixed methods study was to explore the current

perspectives of how effective principals prioritize key aspects of their jobs. To answer the

following questions, responses of the principals in the interviews and survey were

interrelated:

   1. How does a principal's knowledge of transformational practices promote

   teacher effectiveness and lead to results in student achievement?

   2. How does a principal's knowledge of instructional practices promote teacher

   effectiveness and leads to results in student achievement?

   3. How does a principal's knowledge of managerial practices promote teacher

   effectiveness and leads to results in student achievement?

Each of the five principals was interviewed to measure the relationship between

principal's behaviors and their perspectives on transformational, instructional, and

managerial leadership roles. Other principals prioritized the leadership roles involved in

the principalship through an online survey.

Interviews

   Subjects' Demographics.

Five principals participated in the interviews about principal behaviors associated

with transformational, instructional, and managerial leadership roles. The first principal

(P1) was an elementary principal in a 2011 Texas Recognized school of over 1000

students, grades Pre-Kindergarten to 5th grade during the 2010-11 school year. This

school is located in a large urban school district. This principal had 24 years of total

experience in public education including three years as a campus principal at this assignment.

The second principal (P2) led an elementary/middle charter school, grades Pre-Kindergarten through eighth grade, in a larger urban school district. This school was a 2011 Texas Exemplary and National Blue Ribbon School during the 2011-12 school year with over 590 students. The principal had 32 years of total experience in public education with nine years as a principal and five years at this assignment.

The third principal (P3) led a 5A High School, grades nine through twelve, in a large suburban school district and was a 2011 Texas Academically Acceptable ranked school during the 2010-11 school year and had an enrollment of over 3,000 students. The principal had 12 years of total public school experience with five years as a principal including two years at this position.

The fourth principal (P4) led a middle school grades six through eighth grade with over 700 students during the 2011-12 school year. The school was ranked as a 2011 Texas Recognized school and was located in a large urban school district. This principal had 13 total years of public school experience with six years as a campus principal with three years at this assignment.

The fifth principal (P5) led a 5A high school located in a large suburban school district serving over 2500 students during the 2011-12 school year. This school was ranked as a Texas Academically Acceptable school. This principal had 21 years' experience as a public educator including 14 years as a principal with seven years at this assignment. The data in Table 4-1 and Figure 4-1 provides a summary of these ranges of experience.

Table 4-1

Experience and school level

Subjects	Total Years Ed. Experience	Total Years As Principal	Total Years at Current Position	School Level
P1	24	3	3	Elementary
P2	32	9	5	Elem./Middle
P3	12	5	2	High
P4	13	6	3	Middle
P5	21	14	7	High
Average	20.4	7.4	4	

Figure 4-1 Experience of Principals Participating in Interviews
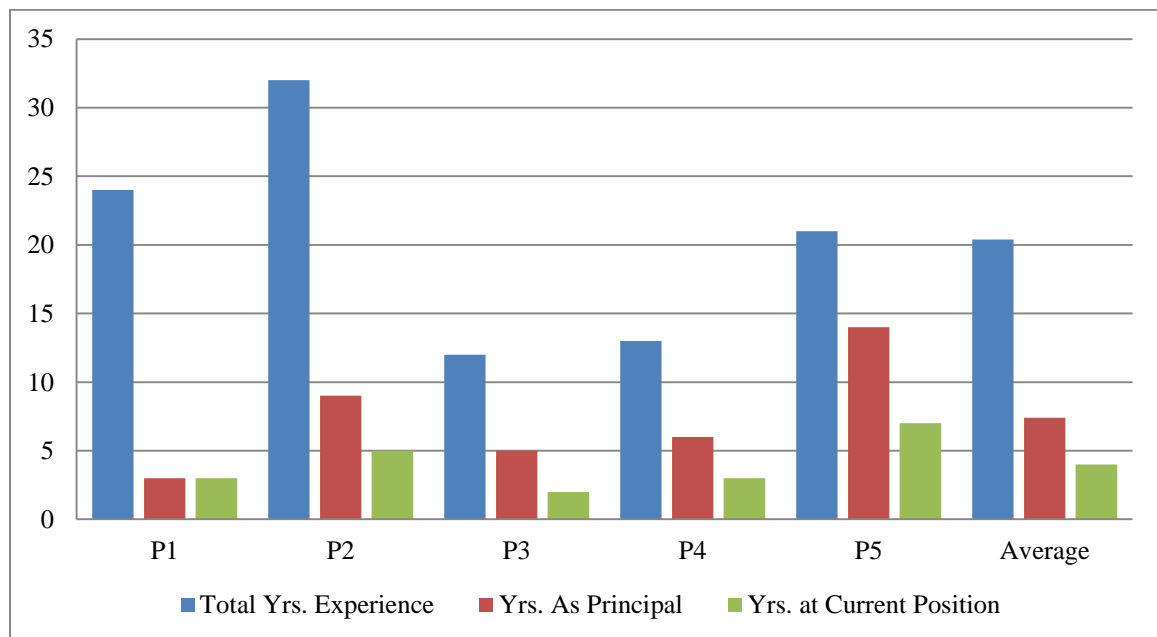
Interview Procedures

Three subjects were interviewed either in person or over the telephone, and their responses were tape-recorded. Two principals preferred to respond to the questions in writing and sent their responses to the researcher through email.   All of the principals were asked the same questions:

The interview first consisted of four questions relating to the principal's professional

experience:

1. How many years have you been an educator?

2. Describe your educational history.

3. How long have you been a principal?

4. How many years have you lead at your current school?

Then the principals were asked questions about their perspectives of school leadership

practices and functions.

1. How do you create a shared vision that builds and sustains success for all

students?

2. What elements are necessary that contributes to a school climate that engages

all stakeholders?

3. How do you distribute leadership and build relationships to foster school

improvement?

4. What influences staffing decisions?

5. How do you prioritize/ delegate tasks to build and sustain school

improvement?

Questions one, two and three were created to ascertain the principals' knowledge

and behaviors associated with transformational leadership. Questions four was created to

ascertain the principals' knowledge and behaviors associated with instructional

leadership. Question five was created to ascertain the principals' knowledge and

behaviors associated with managerial leadership. The principals' responses to the

questions were transcribed and commonalities and themes were compiled from their

responses. The important words and phrases were organized as possible key features of effective leadership practices and the consequences of the practices. The following themes were common for each question.

Interview Results

    Theme one: vision.

    In response to the first question, "How do you create a shared vision that builds and sustains success for all students?" the principals related that the most important aspects sustaining a vision of success were communication and creating a shared vision.

- "Communication is paramount in creating a shared vision. You must be constantly reminding everybody what the vision is."

- "Use them to communicate the vision to everyone to get buy in."

- "Collaborating together also assists in sustaining shared vision because it is not coming from me, but it is a group effort."

- "I use my site-based team a lot for meetings and help them to create the direction that we have. I also use them to communicate that vision to get buy in."

- "Collaboration is setting goals and working out what needs to be fixed is also key."

- I use department chairs, teacher advisory committee, student leadership team, campus improvement team and the individual teachers to review data and develop a plan for improvement. I then review all information, make adjustments as necessary and then communicate the plan to all stakeholders."

The second part of their perception of developing a vision is the importance of follow-through. Principals who believed in the vision they created, demonstrated it daily, and continue to communicate it to all stakeholders.

- "Know who you are, you have to know your beliefs."

- "I think a big part of that too is being visible and showing people that you are not only saying the vision but you believe it and you live it every day that helps them follow that lead."

- Communication is paramount in creating a shared vision and constantly reminding all stakeholders of the vision. Being consistent is the key."

The third sub-theme was the importance of knowing your staff, even before you hire them.

- "I took 30-45 minutes to interview everyone (when I first came to the school) about their history her and their philosophy of education- what they wanted from this school."

- "Know your players, know your staff."

- Implementing change is also difficult no matter how small or big so having hard evidence such as research on what works for improving student achievement is always helpful to me in sustaining the share vision while implementing something new."

The data in Table 4-2 and Figure 4-2 provide a summary of these ranges of responses of the most common themes related to vision.

Table 4-2 Count of Participants' Responses of Common Themes Related to Vision

	Communication	Shared vision	Know your staff	Visibility
Subjects				
P1	2	2	2	0
P2	0	0	2	1
P3	2	1	0	1
P4	3	3	0	0
P5	1	1	0	0
Total	8	7	4	2

Figure 4-2 Count of Participants' Responses of Common Themes Related to Vision
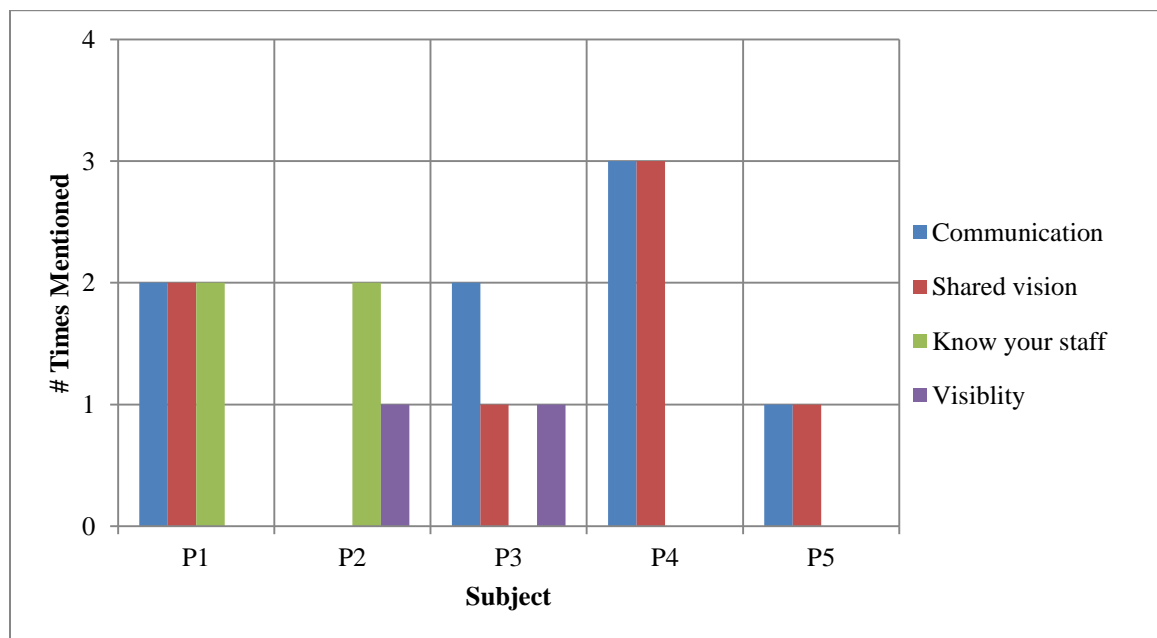
Theme two: school climate.

In response to the second question, "What elements are necessary that contributes to a school climate that engages all stakeholders?" the principals shared a common theme of visibility. Principals believed they needed to be visible by students, teachers, and parents communicating the vision for student success.

- "Instructional leaders are visible and preaches his vision and shares his vision as often as he can,"

- "I have to be out and visible also have to be willing to ask anyone to do anything that I am not willing to do myself. I think it is important for me to show them that first I am a teacher and I can get down into the trenches and get muddy like everyone else."

Another theme related to a positive school climate was mutual respect and building relationships. This is the opportunity the principals provided to teachers and staff to be responsible and professional along with celebrating the successes they experience. The goal being that each person on campus was valued and respected.

- "The school should be looked at as being positive, safe, and nurturing."

- "An attitude and ability to build relationships."

- "We do celebrations and kudos in staff meeting and in weekly briefs out so all of those pieces of keeping folks first, and showing them there is nothing you are too good for, and that they remember that you have been where they are, and you will go back there if you need to is really important."

- "It is not about you the principal, the leader; you can't get a big head. It's not the title, principal needs to serve, to serve others. It is the little things."

- "It is the little things- knowing you care, and then showing that you care, and making sure you have time to communicate."

- "They key is the staff. Their attitude and ability to build relationships is critical."

- "It is respect in everything from administration to teacher, to teacher to administration; teacher to student; administration to student. You know that

people feel they aren't apart of the process they won't be successful so that is

critical."

The data in Table 4-3 and Figure 4-3 provide a summary of these ranges of responses of

the most common themes related to culture.

Table 4-3

Count of Participants' Responses of Common Themes Related to Climate

	Share Power	Respect	Build Relationships	Visibility
Subjects				
P1	1	2	0	2
P2	0	1	2	1
P3	1	1	0	0
P4	0	0	0	0
P5	1	0	1	0
Total	3	4	3	3

Figure 4-3 Count of Participants' Responses of Common Themes Related to Climate
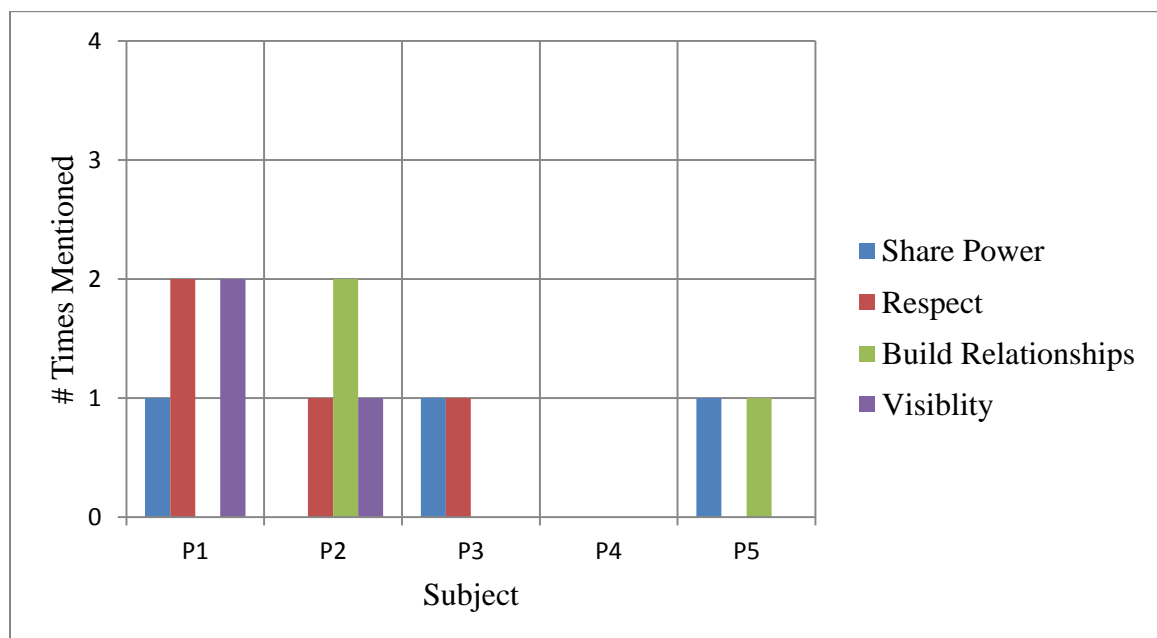
Theme three: building leadership capacity.

With the growing list of responsibilities and expectations of school reform, the principals all felt that distributing leadership and building relationships to foster school improvement was very important. Creating ways to empower teachers and staff was especially important to two principals.

- "I am always looking to build capacity and making sure I am pushing people to do more and more."

Another principal saw distributing leadership and building capacity as a significant part of the role of a leader. This leadership role was beyond assigning teachers extra duties and responsibilities, but an intentional effort to provide leadership academies to prospective administrators.

- "Know teachers that need encouragement to grow as possible administrators."

- "Having delineated roles for different people so that being sure that everybody has an opportunity to have their voice heard but also to use their strengths in the process."

- "We have team leaders for every grade level and enrichment…Besides team leaders, none of the team leaders are lead teachers, so I look for everyone else and pick those lead teachers out of them."

- "Giving teachers a chance to be professional because the will stretch as far as you put the bar but if you lay it on the floor, they will sit down."

- "First you got to hire good teachers. You got to hire well and they are strong and intelligent people they want to do more."

- "When you go into PLCs and talk to people and you give them leadership roles."

- "Knowing when a teacher that is sharp, that is looking bored, you go, 'You need to go back to school. I am giving you information to be administrator.' and giving her administrative duties to make sure she has a special project."

- "First of all sharing power, having delineated roles for different people so that being sure that everybody has an opportunity to have their voice heard but also to use their strengths in the process. Helps it also finding opportunities to add more and more people to the mix."

- "So I will use administrators, counselors, department heads, - those folks. But I also look for those people who aspire to be in those positions to assume some leadership roles as they are up and coming."

- "I do leadership academies after school- we do on a campus level. If you are interested in being an AP or interested in being a counselor, we are going to have a meeting after school and we talk them through it depending on where we are. We talk about what it going to take as far as schooling to them there, what the job entails, and then once we get the idea, we have them sign up on 'So you think you want to be an administrator or counselor?'"

- "You need to surround yourself with people you trust and have the same work ethic as yourself. I work with my administrative team by doing book studies and attending professional development together."

- "I have also been working on building more relationships with teacher leaders by empowering them to be chair persons of certain committees and giving them more of a leadership role in dealing with their colleagues."

- "I assign specific departments of duties to specific administrators depending on their strengths. For example, one of my Aps was a science teacher and thus she is in charge of the science department, etc."

- "I have committees above and they are my advisors. It creates a lot of individuals involved and they are part of the team. Once you have buy, in the staff will move the students forward."

The data in Table 4-4 and Figure 4-4 provide a summary of these ranges of responses of the most common themes related to building leadership capacity.

Table 4-4

Count of Participants' Responses of Common Themes Related to Building Leadership Capacity

	Empowerment	Development	Look for Strengths
Subjects			
P1	1	0	0
P2	0	1	1
P3	2	1	1
P4	2	2	1
P5	0	0	0
Total	5	4	3

Figure 4-4 Count of Participants' Responses of Common Themes Related to Building Leadership Capacity
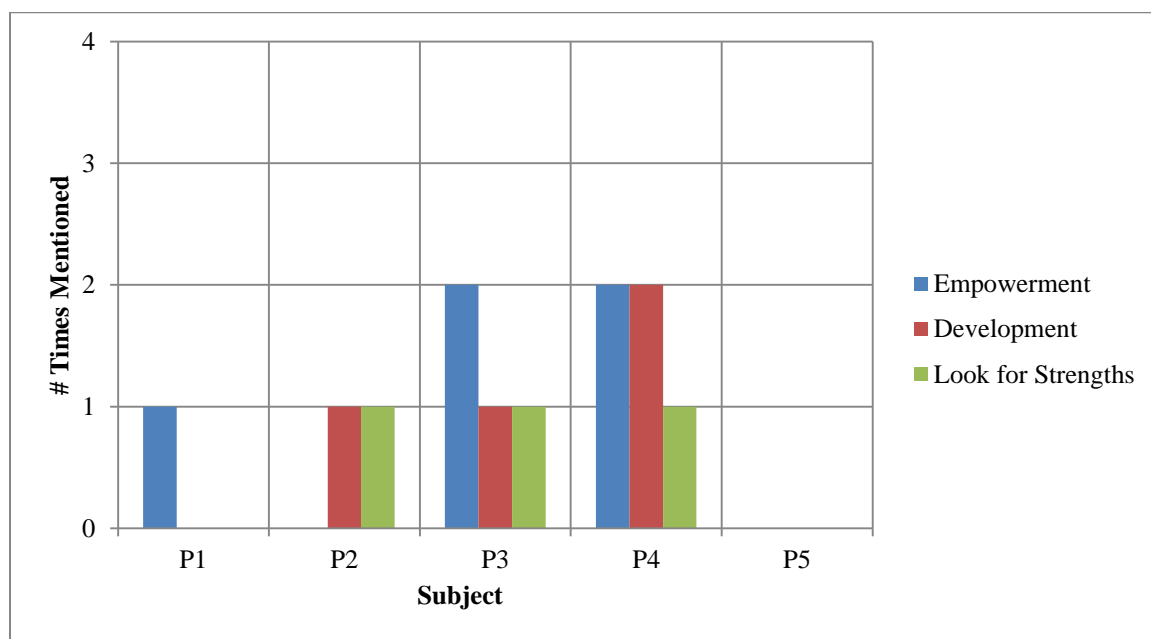
Theme four: staffing decisions.

When the principals were asked, "What influences staffing decisions?" all responded with similar themes, "What kids need." They all looked for teachers and staff who believed in what is best for the students in the school and capable of building relationships that foster student success.

- "The kids first and what the kids need, the team that they are on second, and then thinking about the school and the parents because I do have a very large parent engagement at this school."

- "We require of everyone is that they are ESL certified and they are GT certified."

- "I can't work out their ability to communicate. They seem closed off I can't work out whether they are going to be a learner along with their kids and work in the direction we need to. We can't build an attitude."

- "I am a snob when it comes to your resume and your grade point average. The first thing I am going to look up is your GPA and if you are middle school it really matters in your content and GPA. If you don't have a strong content, you are not going to be a strong teacher because you are going to worry about content."

- "I think teachers who balance things well, make good teachers."

- "Do they have a heart for kids, can they build relationships with kids that will maintain a positive classroom environment."

- "I am on a diverse campus and I try to create a professional staff that looks like our student body as much as possible," "Having people more or less mirror the student population is important to me."

- "First and foremost, it is the money! After that I look at the vacancies I have to fill and if that position is really needed. It depends on the needs of the students year to year."

- "Needs on the campus and the ability to build relationships with kids."

The data in Table 4-5 and Figure 4-5 provide a summary of these ranges of responses of the most common themes related to staffing decisions.

Table 4-5

Count of Participants' Responses of Common Themes Related to Staffing Decisions

	Student Needs	Demographics	GPA/ Content Knowledge	Certification
Subjects				
P1	3	1	0	1
P2	0	0	3	0
P3	2	1	0	0
P4	1	0	0	0
P5	1	0	0	0
Total	7	2	3	1

Figure 4-5 Count of Participants' Responses of Common Themes Related to Staff Decisions
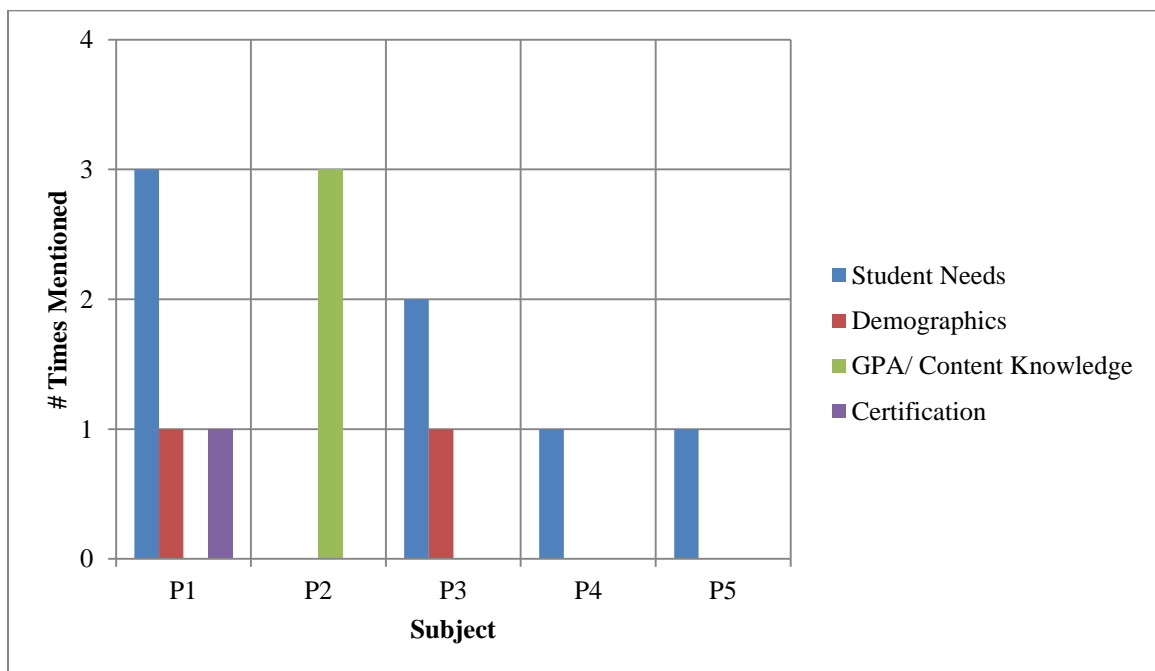
Theme five: task delegation.

Finally, when it came to how these principals prioritize or delegate tasks to build and sustain school improvement, the principals talked about reviewing the needs of the students and finding professionals that can provide solutions to the needs.

- "Well, we have to look at what our data is and not just at the beginning of the year."

- "I have a game plan in my head that it is these kids and these grade levels and these subjects."

- "Having meetings every week to find out what is going on and talking to the kids in the cafeteria and in the hallways and everything and letting them know I know what they are doing. And it is just is involving everyone into the process."

- "You can't do it by yourself so you have to prioritize the tasks. You look for what will give you the most bang for your buck. I dedicate my computer teacher to do all of my Title I work. My reading teacher does all of my testing. My middle school administrator who has a half of a schedule, she teaches up to 1:00 and from 1-3 she does administration. So sometimes I push a little too much because I am afraid I am burning them out because I am always looking for something new, but not to take the place of but to add."

- "I take the lead on the big overall things. I have 12 assistant principals there is a lot to go around. But if there needs to be a big voice, somebody that is out front in the community, that is me. And that through conversations with my staff, that my administrative team shares my vision and how I like it to be communicated. It

is almost like they get the little piece and I try to be everywhere I can be to give that voice out there."

- "I have to remind myself on a daily basis that instruction is the priority and putting out the fires during the day is second unless it is an emergency. I end each day reviewing my calendar and making a list of what needs to be done tomorrow. After the list is done, delegates to appropriate staff members to handle. Meeting with your leaders frequently is also a way to delegate and sustain school improvement."

Meetings with teachers seemed to be the common process for delegating duties and responsibilities. Four of the principals discussed how during meetings they discussed the mission and vision of the school and related duties to this purpose. They delegated duties to teachers so they felt a part of the process and because, at times, were more knowledgeable about the issues therefore more capable of managing the change.

- "We do this as a team. We meet every other week to discuss issues and needs for the campus. The people closest to the issues make the recommendations and it approved unless it is pretty wild."

. The data in Table 4-6 and Figure 4-6 provide a summary of these ranges of responses of the most common themes related to task delegation.

Table 4-6

Count of Participants' Responses of Common Themes Related to Task Delegation

	Meetings	Student Data	Involving others	Program Specific
Subjects				
P1	1	1	1	1
P2	0	1	0	8
P3	1	0	2	0
P4	2	0	1	0
P5	1	1	2	0
Total	5	3	6	9

Figure 4-6 Count of Participants' Responses of Common Themes Related to Task Delegation
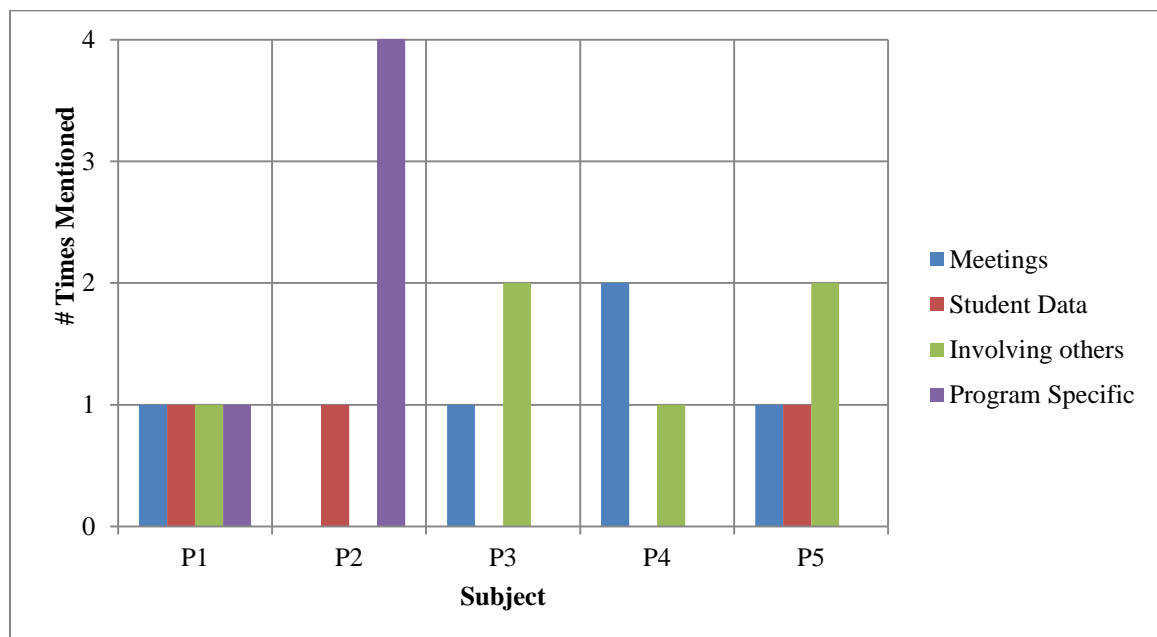
Outliers.

Two of the five principals mentioned budgetary issues as a factor for hiring teachers or making teacher assignments. Both principals articulated how they have to manage staffing based on funding. "First and foremost is money!" said one principal when asked how he maked staffing decisions. The other principal shared his concerns

about funding when considering what programs the school offers in relation to creating a shared vision that builds and sustains success for all students. "When there is a budget cut, I tell the last person I would cut is my librarian. Sorry, you can't get rid of your librarian. That is the heart of the school."

Another outlier was associated to building leadership capacity. One principal repeated eight times how he believed building leadership capacity was related to assigning teachers to program specific areas such as Title I coordinator, GT coordinator, etc.

Online Survey

Subjects' demographics

Sixty school principals responded to the online survey. Thirty-five were elementary principals, 13 were middle or junior high principals, and 12 were high school principals. Of the principals that responded. 58.3% were elementary principals (N = 35, 58.3%). The data in Table 4-7 provide a summary of these ranges.

Table 4-7

Frequency and Percentage of Participants Responses by Schools' Grade Level

School Type	f	% of Total
Elementary	35	58.30%
Middle School/ Junior High	13	21.70%
High School	12	20.00%
Total	60	100%

Participants self-reported their years of experience as a campus principal. Twenty-two principals had been principals from zero-three years (N=22, 36.7%); 14 had four to seven years of experience (N= 14, 23.3%); 11 had eight to eleven years of experience (N= 11, 18.3%); six had 12-15 years of experience (N=6, 10%); three had 16-20 years of

experience (N=3, 5%); and four had over 20 years of principalship experience (N=4, 6.7%). The majority of the participants had three years or less experience as a principal (N = 22, 36.7%). The data in Table 4-8 and Figure 4-8 provide a summary of these ranges.

Table 4-8

Frequency and Percentage of Participants Responses by Principals' Years of Experience

Years of Experience	*f*	% of Total
0-3 years	22	36.70%
4-7 years	14	23.30%
8-11 years	11	18.30%
12- 15 years	6	10%
16-20 years	3	5.00%
More than 20 years	4	6.70%
Total	60	100%

Survey Procedures

An online survey distributed through the researcher's email address through convenience sampling to principals across the Gulf Coast region of Texas to access. The invitation to complete the online survey was as follows:

I am Julie Ann Fernandez and a graduate student at the University of Houston. As part of my research for my Ed.D in Educational Leadership, I am sending a brief survey to school administrators who are currently campus principals. The research study will explore the key features of campus principals' perspectives on transformational, instructional, and managerial leadership. Research participation is voluntary and entails completing a three question online survey. If you would like to participate by taking the voluntary survey, please click on the link below.

http://www.surveymonkey.com/s/6H3ZW3K

Thank you

This email inviting principals to volunteer to complete the survey was sent to over 150

principal. It was anticipated that only 50 principals would respond to the survey, but 60

principals volunteered to complete the online survey. The purpose of the survey was to

determine the similarities and differences to the interview responses of the five principals

in relation to how principals view the priorities of the functions of campus principals.

Survey Results

Each principal ranked the importance of the key functions of a school principal

from most important, second most important, third most important, fourth most

important, to least important. The key functions of a school principal were taken from

the Wallace Foundation (2012) article entitled, "*The School Principal as Leader:*

Guiding Schools to Better Teaching and Learning." The functions the principals ranked

by the participants were:

1. Shaping a vision of academic success for all students;

2. Creating a climate hospitable to education;

3. Cultivating leadership in others;

4. Improving instruction; and

5. Managing people, data, and process to foster school improvement.

Sixty percent of the responding principals (N =36, 60%) considered "Shaping a

vision of academic success for all students" as the most important function of a school

principal. The third most important function was "Creating a climate hospitable to

education" with 35.6% (N= 21, 35.6%) of the principals responding to this choice. The

fourth most important function was "Improving instruction," with 35% (N =21, 35%) of the principals responding. The principals considered "Managing people, data and process to foster school improvement from the fourth to the least important function of a school principal with 32.2% responding (N =19, 32.2%). Forty-five percent (N= 27, 45%) ranked "Cultivating leadership in others" as the least to the fourth most important function. (See Appendix D for Table 4.9) Two principals responded to the survey by emailing the researcher and commenting that all of the functions of a principal's job were important and to rank them was a difficult task. The data in Figure 4-7 provide a summary of these ranges.

Figure 4-7 Frequency and Percentage of Participants' Responses by Ranking Importance of School Principals' Key Functions
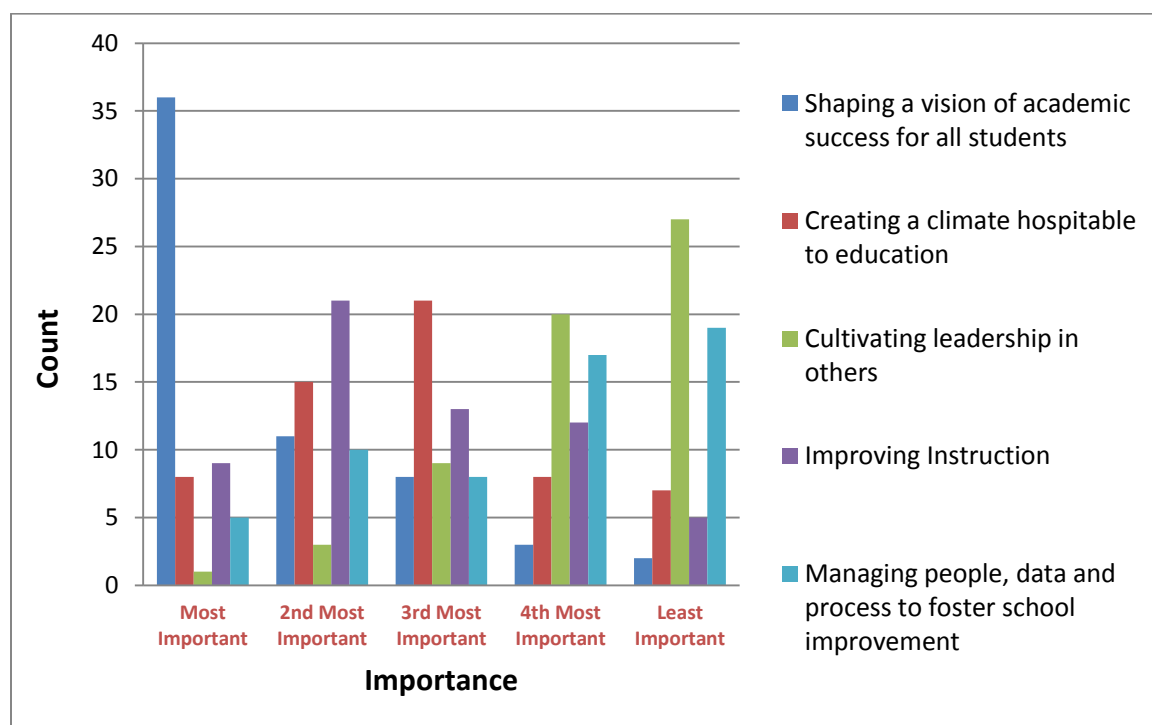
The next chapter, Chapter 5, discusses the overview of the study, discussion of the results, implications for school leaders, and suggestions for further research.

Chapter 5

In the context of school reform, a principal's job functions increase with every mandate set by state and federal agencies. Principals must have the ability to manage each role and delegate duties to be able to lead a school with increasing student achievement goals. The daily expectations of a principal's job combine all of the knowledge and skills as transformational, instructional, and managerial leadership. Principals need to have a strong knowledge of how to focus all stakeholders to a common vision of school improvement along with being up to date on instructional innovations and managing people, budgets, and the other nuances of school life. Each aspect of leadership affects the other. This chapter will include an overview of the study, discussions of the data in conjunction with the current academic literature, implications for school leadership, and implications for further study.

Overview of the Study

The purpose of this concurrent mixed methods study was to explore the current perspectives of how effective principals prioritize key aspects of their jobs. In the study, responses from a combination of interviews and a surveys were used to measure the relationship between principal's behaviors, their perspectives on transformational, instructional, and managerial leadership functions, and how they prioritize them in order to influence teacher effectiveness and student achievement. The intent of the study was to match principals' view of their key functions as a campus leader to what they do within the parameters of their daily duties. The role of a principal in the context of the

global school reform movement has expanded and the new leadership expectations have the possibility of shaping the nature of schools that influences student achievement through the creation of a strong vision, culture, leadership capacity, strong hiring practices, and the delegation of duties.   The responses from the principal interviews and survey results both demographically and by categorizing the themes of their responses. The three research questions explored in this study were:

1. How does a principal's knowledge of transformational practices promote teacher effectiveness and lead to results in student achievement?

2. How does a principal's knowledge of instructional practices promote teacher effectiveness and leads to results in student achievement?

3. How does a principal's knowledge of managerial practices promote teacher effectiveness and leads to results in student achievement?

Discussion of Results

How does a principal's knowledge of transformational practices promote teacher

effectiveness and lead to results in student achievement?

The concept of transformational practices at a school was evident by the results of both the interviews and survey. As Leithwood, et al. (2004) indicated in their study that school leadership through formal and informal processes shape the nature of school conditions such as creating a strong vision and culture, principals in this study revealed their focus on developing, promoting, and maintaining a shared vision for student achievement as their highest priority. With 60% of the principals' surveyed selecting "Shared vision of academic success for all students" as their most important function on

their campuses; it correlated with the comments made by the principals during the interviews. As cited by Bass and Avilio, (1994) as ways principals achieve superior results by focusing on the "Four I's" i.e. idealized influence, inspirational motivation, intellectual stimulation and individual consideration, many of the interviewed principals related their practices for developing commitment to the vision of school improvement. The principals discussed how they reinforce their vision by collaborating on school improvement issues, celebrating successes, and building strong relationships. The importance of creating and communicating a shared vision with all stakeholders was the recurrent theme throughout the interview responses. They also connected the vision to how they use that vision to set campus goals and create a data-driven climate. It was surprising that with the current emphasis on PLCs in most school districts, only one of the principals referred to this concept as an element that contributes to a school climate or vision that engages all stakeholders, or as a way to distribute leadership to foster school improvement.

Another central theme derived from the principals' interviews and survey was the practice of cultivating leadership. Principals in the survey indicted this theme as the least important to the fourth most important function of leadership and it was unclear whether the interviewed principals understood the concept of cultivating leadership. Building leadership capacity is done to bring about sustainable school improvement, and can take on different forms, from teacher study groups, professional learning communities, action research teams to leadership teams. Many of the principals referred to assigning teachers to duties directly connected to the additional paperwork required by the principal for accountability purposes. Teachers who maintain the Title I or Gifted and Talented

managed the accountability and policy required paperwork. Only two principals implied

a goal of looking for possible leaders or developing leadership academies for future

school administrators and counselors. This could mean that principals saw "building

leadership capacity" as something related to systems rather than people.

How does a principal's knowledge of instructional practices promote teacher

effectiveness and leads to results in student achievement?

The data from the interviews and survey concerning a principal's knowledge of

instructional practices to promote teacher effectiveness and leads to results in student

achievement were interpreted as not as important as transformational leadership

functions. The principals responding in the survey viewed instructional leadership as the

fourth most important (35.0%) however; this was statistically close to the function of

creating a climate hospitable to education (35.6%). Principals who responded to the

interview questions spent more time discussing staffing issues related to hiring the right

teacher and promoting the vision of the school rather than developing teachers through

observations and professional development as the results from the Wallace Foundation

study (2012) found. In the Wallace study, 83% of the principals surveyed considered

keeping track of teachers' professional development and monitoring teacher's work in the

classroom as the most important function of a principal in relation to improving

instruction. However, the Wallace study also indicated, "Learning-focused principal is

intent on helping teachers improve their practice with directly or indirectly with the aid of

school leaders like department chairs and other teaching experts (p. 12)."   Only one

principal interviewed commented on how he used professional development through

book studies and trainings to foster school improvement. Principals participating in the

interviews often implied their need for teacher leaders to support the efforts of school improvement. One principal indicated the emphasis of teacher leaders especially in the areas of Gifted and Talented and at risk children served through Title I. Another principal cited the use of committees of teachers as advisors to foster school improvement.

How does a principal's knowledge of managerial practices promote teacher effectiveness and leads to results in student achievement?

According to a study by Horng, et al. (2009), campus leaders spend 50% of their time on organizational or managerial duties during a school day. When reviewing the survey data, there is a discrepancy between the data by Horng, et al. and the responses by the principals in this research study. The principals viewed managerial tasks as the least important of their functions as campus leaders (32.2%). So this begs the question, are principals doing what they consider important during a typical school day? A principal stated during the interview, "I have to remind myself daily that instruction is the priority and putting out the fires during the day is second unless it is an emergency." Another principal complained that the new teacher appraisal system in the school district is requiring him to spend more time observing teachers and giving them feedback, but less time actually addressing instructional issues in PLCs or participating in special education planning meetings. It is apparent that principals want to spend more time on transformational and instructional leadership initiatives but tend to submit to the daily demands of student discipline, district, state, and federal accountability paperwork, and managing personnel issues. This is where a principal's expertise on delegating tasks to staff or teachers is essential. "I take the lead on the big overall things. I have 12 assistant

principals- there is a lot to go around. But if there needs to be a big voice, someone out front in the community, that is me," describes one principal on how he delegates duties.

Conclusion

Principal turnover has increased over the past ten years. It can be attributed to a number of issues such as large numbers of baby boomer principals approaching retirement, or increasing accountability and reform agendas intensifying the job (Mascall & Leithwood, 2010). Principals are expected to do more with less budget and higher accountability. It is estimated that half of beginning principals leave their positions within five years (Cuban, 2010). In a study of principal retention from 1996-2008, Fuller and Young (2009) discovered, "High school retention rates are strikingly low for all schools—just over 50% of newly hired principals stay for three years and less than 30% stay for five years" (p.3). Austin, Texas school officials revealed a high school principal turnover rate of 25% yearly while other urban school districts tend to have a 20% average turnover rate. Research has shown that increased turnover rate of school principals does affect student achievement and teacher morale (DeAngelis &White, 2011).

It may be implied that the reason for principals leaving the profession or the challenges of improving low performing schools may be related to the change of expectations of school leaders. Being transformational, instructional, and managerial leaders in time of high accountability and low budgets makes the job difficult at best. The answer may lie in the ability of a campus principal to delegate tasks and share leadership. However, if principals do not have the benefit of having an assistant principal or other administrator to assist in the key functions, then they are forced by the urgency to get tasks done on time to delegate to classroom teachers, which may have some

pitfalls. Teachers are already complaining about the increase of paperwork associated with their positions and without any incentive of financial benefits; finding teachers with the dedication to school improvement and those who are open to sacrificing personal and professional time to "do the right thing." In either situation, the principal must be realistic in the managing the demands of the job and continue to strive for professional expertise as a well-rounded practitioner of transformational, instructional, and managerial leadership functions.

Implications for School Leadership

The implications for practice within the field of campus leadership lie within the development of future principals. Principals must be able to understand how each category of leadership, i.e. transformational, instructional and managerial is linked to the other (see Appendix E). While the breakdown of each category may seem overwhelming, the challenge of successfully delegating responsibility effectively is apparent. How can a principal develop their leadership skills and cultivate leaders on their campus? This could be an issue of understanding time management and implementing shared leadership. Balancing the different functions of leadership and understanding how each function is interrelated to the other is important if total school improvement is to happen.

Principal preparation programs must strive to explore the practical details of the job that extends beyond the study of theory. Strong emphasis on the daily practices of effective principals and how they multi-task all of the expectations of their leadership is not only necessary, but it is imperative if a new campus leader wants to survive this new age of school reform. Despite research findings to the contrary, principals are expected

to turn low-performing schools into high-performing schools in less than two years. Leadership theory is helpful in this process but instruction on the practical aspects of the job from experienced school administrators necessary for survival. New or aspiring administrators should have many opportunities to observe effective principals on the job and have these principals mentor them during the first few years of their appointment. Many successful principals would admit that they would not have been as productive without the support of a network of experienced peers who listened to challenges and shared their expertise. Darling-Hammond (2007) conveyed a similar conclusion when she described an exemplary principal preparation program would include the following aspects:

- An emphasis on instructional leadership,

- Opportunities to solve real-world leadership problems and receive feedback from peers and professors,

- Support from peers as well as formal mentoring and advising by accomplished principals,

- Internships that allow the principal candidate to do real work, and

- The recruitment of candidate from the ranks of the most accomplished teachers. (Wallace Foundation, 2009, p.10)

Another implication of this study is interpreting the consequences of principal turnovers and the practice of promoting assistant principals, sometimes prematurely. If the shortage of viable candidates for a principal position is limited to assistant principals who have limited teaching experience and limited leadership experience, this might cause further issues in maintain high student achievement rates. Most assistant principals

focus their daily practices on managerial type tasks, tasks that principals typically delegate such as, state testing preparation, special education meetings, campus facilities, and student discipline. Promoting an assistant principal with limited experience as a transformational or instructional leader, may affect the quality of the school's reform. Much like the issue of placing inexperienced teachers with the lowest performing students, placing new principals in challenging schools is failure waiting to happen.

Another implication of this study is considering whether one principal is appropriate and feasible in this age of global school reform and high accountability. It was apparent by the comments made by the principals in this study that they had a difficult time understanding how to cultivate leadership. This has caused some principals to try and "do it all" since they feel they are ultimately responsible for all results. How has the job of the campus principal changed and become so complicated where burnout is common on all levels? Will the high expectations on campus principals, increase of principal turnovers, and limitations of viable candidates to replace principals cause a paradigm shift and ultimately redesign the leadership on school campuses to encompass more than one leader?   As seen in the public sector, managers are specialized based on their leadership talents. There may be an evolution of schools leadership encompassing three leaders instead of one. One leader who specializes in transformational practices, one who manages the instructional issues, and one who focuses on the managerial aspects of the school. Would a system such as this improve student achievement at even a higher level?

The job of the principal is difficult even in the best of situations. It is a job filled with demands from every stakeholder from the superintendent to the students. Changes

are needed in the preparation of school leaders that guides aspiring and practicing campus principals to improve practices, avoid burn out, balance leadership responsibilities, and strive for equitable student achievement.

Implications for Further Research

The findings from this research study have provided many areas of future research. The critical area surrounds the issue of principal burnout and retention. Future research could distinguish the reasons for high principal turnovers rate. This would mean taking a close look at principal preparation programs and analyzing whether the curriculum is applicable for the needs of campus leaders today. It could also argue whether the global school reform movement has affected principal retention by increasing accountability and limiting resources available to school leaders to accomplish the goals they must attain.

Another option that future research can take is exploring how principals cultivate leadership. The principals interviewed in this study had different perceptions of what cultivating leadership entailed. Finding what principals do to distribute leadership or delegate tasks to other personnel on their school campuses may be informative in understanding why principals tend to keep much of the work in their control.

Finally, another potential topic for future studies could focus on how principals develop, communicate, and sustain a strong instructional vision that leads to overall school reform. New principals coming into low-performing schools must walk in the door with a predetermined vision of school success. Identifying effective turn around principals and examining their methods of communication may clarify specific behaviors that lead campuses on the road to high student achievement.

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APPENDIX A
APPROVAL FROM THE UNIVERSITY OF HOUSTON HUMAN SUBJECT
RESEARCH COMMITTEE

APPENDIX B
CONSENT TO PARTICIPATE IN RESEARCH FORM

UNIVERSITY OF HOUSTON
CONSENT TO PARTICIPATE IN RESEARCH

PROJECT TITLE:
PRINCIPALS' PERSPECTIVES ON HOW TRANSFORMATIONAL,
INSTRUCTIONAL, AND MANAGERIAL LEADERSHIP PRACTICES INFLUENCE
TEACHER EFFECTIVENESS AND STUDENT ACHIEVEMENT

You are being invited to participate in a research project conducted by Julie A. Fernandez from the Department of Education Executive Ed.D Program at the University of Houston. This research is a part of a dissertation is being conducted under the supervision of Dr. Angus MacNeil and Dr. Steven Busch.

NON-PARTICIPATION STATEMENT

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

PURPOSE OF THE STUDY

The purpose of the study is to discover how principals prioritize instructional leadership best practices to ensure teacher effectiveness and high student achievement. This study will include interviews of five principals who are currently leading high performing schools. The interviews will take place during a one-month period however; each interview will last approximately 1 hour for each principal.

PROCEDURES
You will be one of approximately five subjects to be asked to participate in this project. The single interview will take place either at your campus or by telephone, at a day and time that is convenient to your schedule. The actual interview should not take more than one hour of your time.
You will be asked five questions about your instructional leadership practices. I will send you the five questions the day before the interview so you can feel prepared. I will tape record your responses and transcribe them for your review. You will be asked to read your transcript and make changes if you feel your answer did not completely reflect your current practices.

CONFIDENTIALITY

Every effort will be made to maintain the confidentiality of your participation in this project. Each subject's name will be paired with a code number by the principal investigator. This code number will appear on all written materials. The list pairing the subject's name to the assigned code number will be kept separate from all research materials and will be available only to the principal investigator. Confidentiality will be maintained within legal limits.

RISKS/DISCOMFORTS

There should be not foreseeable risks, discomforts or inconveniences during this study.

BENEFITS

By answering these questions about your instructional leadership practices, you may have an opportunity to reflect on your commitment to school improvement. This activity may also help you better articulate your vision to all shareholders on your campus.

ALTERNATIVES

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

PUBLICATION STATEMENT

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

AGREEMENT FOR THE USE OF AUDIO TAPES

If you consent to participate in this study, please indicate whether you agree to be audio taped during the study by checking the appropriate box below. If you agree, please also indicate whether the audio tapes can be used for publication/presentations.

- ☐ <u>I agree</u> to be audio taped during the interview.
    - ☐ I agree that the audio tape(s) can be used in publication/presentations.
    - ☐ I do not agree that the audio tape(s) can be used in publication/presentations.
- ☐ <u>I do not agree</u> to be audio taped during the interview.

CIRCUMSTANCES FOR DISMISSAL FROM PROJECT

Your participation in this project may be terminated by the principal investigator

- if you do not keep study appointments;
- if you do not follow the instructions you are given;
- if the principal investigator determines that staying in the project is harmful to your health or is not in your best interest;
- if the study sponsor decides to stop or cancel the project

SUBJECT RIGHTS

1. I understand that informed consent is required of all persons participating in this project.

2. All procedures have been explained to me and all my questions have been answered to my satisfaction.

3. Any risks and/or discomforts have been explained to me.

4. Any benefits have been explained to me.

5. I understand that, if I have any questions, I may contact Julie A Fernandez at (281) 345-9001. I may also contact Dr. Angus MacNeil or Dr. Steven Busch, faculty sponsor, at 713-743-3902.

6. I have been told that I may refuse to participate or to stop my participation in this project at any time before or during the project. I may also refuse to answer any question.

7. ANY QUESTIONS REGARDING MY RIGHTS AS A RESEARCH SUBJECT MAY BE ADDRESSED TO THE UNIVERSITY OF HOUSTON COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS (713-743-9204). ALL RESEARCH PROJECTS THAT ARE CARRIED OUT BY INVESTIGATORS AT THE UNIVERSITY OF HOUSTON ARE GOVERNED BY REQUIREMENTS OF THE UNIVERSITY AND THE FEDERAL GOVERNMENT.

8. All information that is obtained in connection with this project and that can be identified with me will remain confidential as far as possible within legal limits. Information gained from this study that can be identified with me may be released to no one other than the principal investigator and Dr. MacNeil and Dr. Busch. The results may be published in scientific journals, professional publications, or educational presentations without identifying me by name.

I HAVE READ (OR HAVE HAD READ TO ME) THE CONTENTS OF THIS CONSENT FORM AND HAVE BEEN ENCOURAGED TO ASK QUESTIONS. I HAVE RECEIVED ANSWERS TO MY QUESTIONS. I GIVE MY CONSENT TO PARTICIPATE IN THIS STUDY. I HAVE RECEIVED (OR WILL RECEIVE) A COPY OF THIS FORM FOR MY RECORDS AND FUTURE REFERENCE.

Study Subject (print name): _____

Signature of Study Subject: _____

Date: _____

I HAVE READ THIS FORM TO THE SUBJECT AND/OR THE SUBJECT HAS READ THIS FORM. AN EXPLANATION OF THE RESEARCH WAS GIVEN AND QUESTIONS FROM THE SUBJECT WERE SOLICITED AND ANSWERED TO THE SUBJECT'S SATISFACTION. IN MY JUDGMENT, THE SUBJECT HAS DEMONSTRATED COMPREHENSION OF THE INFORMATION.

Principal Investigator (print name and title): _____

Signature of Principal Investigator: _____

Date: _____

APPENDIX C
PRINCIPAL SURVEY INSTRUMENT

[SURVEY PREVIEW MODE] New Survey - Google Chrome

www.surveymonkey.com/s.aspx?PREVIEW_MODE=DO_NOT_USE_THIS_LINK_FOR_COLLECTION&sm=rfezOL8GJ1CSapj6d6erLy8xyN%2bkorzb

New Survey

Exit this survey

*1. Type of school assignment

◯ Elementary

◯ Middle School/Junior High

◯ High School

*2. How long have you been a school principal?

◯ 0-3 Years

◯ 4-7 Years

◯ 8-11 Years

◯ 12-15 Years

◯ 16-20 Years

◯ More than 20 Years

[SURVEY PREVIEW MODE] New Survey - Google Chrome

www.surveymonkey.com/s.aspx?PREVIEW_MODE=DO_NOT_USE_THIS_LINK_FOR_COLLECTION&sm=rfezOL8GJ1CSapj6d6erLy8xyN%2bkorzb

*3. Please rank the importance of the following key functions of a school principal. (Fill in your rank order in the spaces provided using the numbers 1 through 5 with 1 indicating most important and 5 indicating least important.) Mark one rank for each statement.

	Most Important	2nd Most Important	3rd Most Important	4th Most Important	Least Important
Shaping a vision of academic success for all students	◯	◯	◯	◯	◯
Creating a climate hospitable to education	◯	◯	◯	◯	◯
Cultivating leadership in others	◯	◯	◯	◯	◯
Improving Instruction	◯	◯	◯	◯	◯
Managing people, data and process to foster school improvement	◯	◯	◯	◯	◯

Done

APPENDIX D
FREQUENCY AND PERCENTAGE OF SURVEY PARTICIPANTS'' RESPONSES

Figure 5-1 Frequency and Percentage of Survey Participants' Responses

Function of a School Principal	Most Important		2nd Most Important		3rd Most Important		4th Most Important		Least Important		Rating Average
	f	Percent	*f*	Percent	*f*	Percent	*f*	Percent	*f*	Percent	
Shaping a vision of academic success for all students	36	61.0%	11	18.3%	8	13.6%	3	5.0%	2	3.3%	1.73
Creating a climate hospitable to education	8	13.6%	15	25.0%	21	35.6%	8	13.3%	7	11.7%	2.85
Cultivating leadership in others	1	1.7%	3	5.0%	9	15.3%	20	33.3%	27	45.0%	4.15
Improving Instruction	9	15.3%	21	35.0%	13	22.0%	12	20.0%	5	8.3%	2.72
Managing people, data and process to foster school improvement	5	8.5%	10	16.7%	8	13.6%	17	28.3%	19	31.7%	3.59
Total	59	100.0%	60	100.0%	59	100.0%	60	100%	60	100%	

APPENDIX E
DIAGRAM OF RELATIONSHIP OF KEY FUNCTIONS OF PRINCIPALS

Transformational

- Develop and promote vision
- Climate
- Cultivating leadership
- Defining goals

Effective Principal

Instructional

- Knowledge of curriculum/instruction
- Professional development
- Coaching and Supervision
- Promoting collaboration
- Resourcing Strategically

Managerial

- Budgeting
- Evaluating teachers and staff
- Schedules
- Accountability
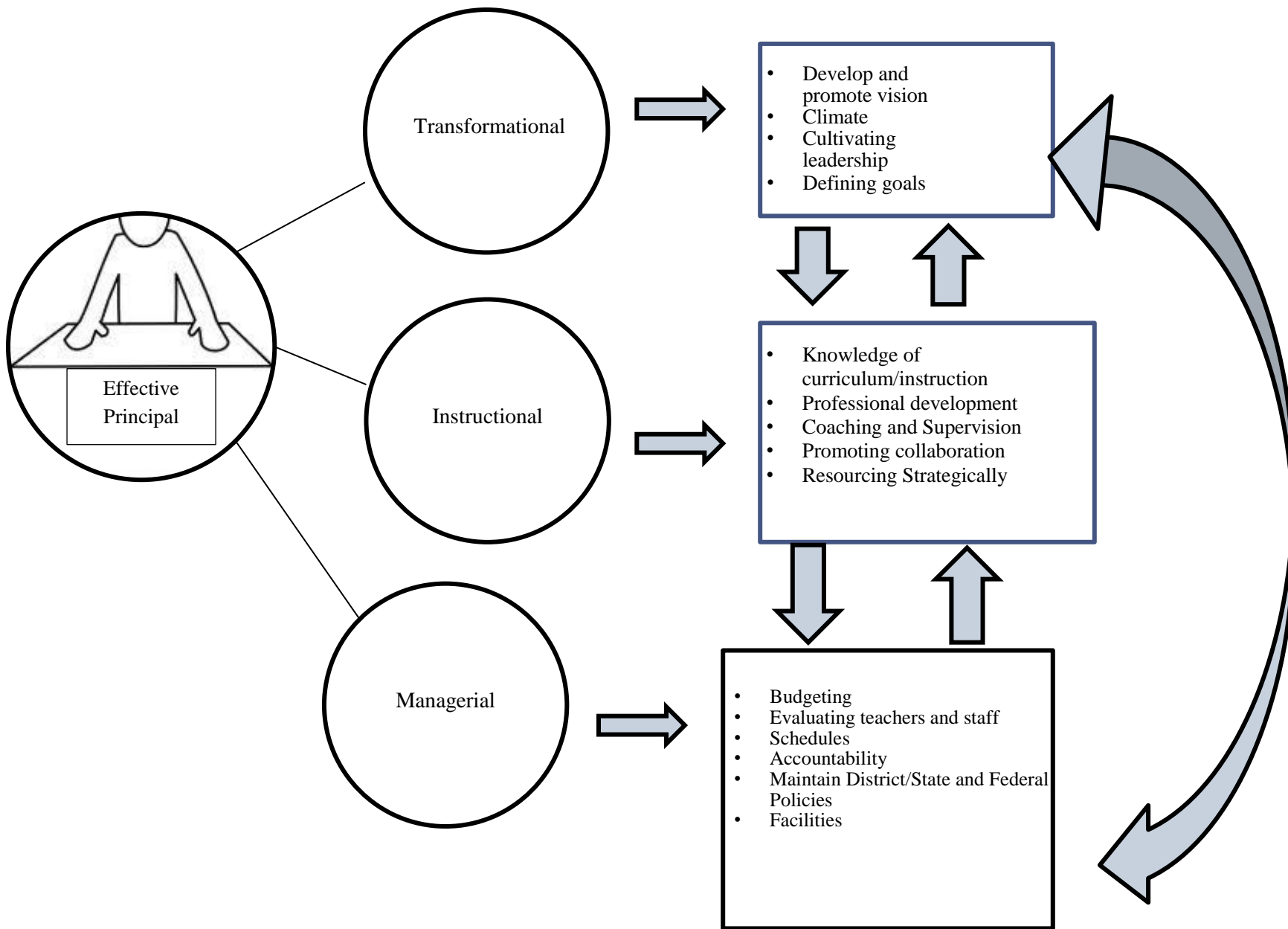- Maintain District/State and Federal Policies
- Facilities

Figure 5-2 Diagram of Relationship of Key Functions of Principals