

Running head: PRINCIPAL BEHAVIORS IN HIGH POVERTY "A" SCHOOLS

MAKING THE GRADE: BEHAVIORS OF ELEMENTARY PRINCIPALS LEADING HIGH
POVERTY "A" RATED SCHOOLS

A DISSERTATION
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DEDICATION

I dedicate this dissertation to my wife and my children who inspire me to act with integrity in all facets of my life, and to my parents for providing me the foundation to strive for excellence with each opportunity that is presented.

ABSTRACT

DISSERTATION/THESIS/RESEARCH PAPER/CREATIVE PROJECT:

Making the Grade: Behaviors of Elementary Principals Leading High Poverty “A” Rated Schools

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Today’s school leaders are faced with many responsibilities. From budgeting and staffing to evaluations and data-driven conversations, principals work in complex environments in the 21st century. Schools serving great proportions of students in poverty have challenges including academic, less formal parental support, meeting emotional, physical, and basic needs, all the while building school performance.

The purpose of this study was to investigate the behaviors of principals in K-5 elementary schools in Indiana in high poverty, high-performing schools. In an effort to focus on a set of administrative behaviors, Marzano, Waters, and McNulty’s (2005) work was the foundation for this study. Their meta-analysis occurred across schools and districts of a variety of sizes, and socioeconomic statuses. In contrast, this mixed method study identified behaviors exclusive to high poverty schools with demonstrated success. Research on specific leadership styles and the translation into classroom performance in high poverty, high achieving contexts was lacking.

Principals and teachers were asked to complete a 92-item questionnaire on administrator behavior (Marzano, et al., 2005). Both subgroups responded that administrators showed strengths in outreach, optimizing resources, and visibility within the school.

The qualitative study focused on the daily behaviors of the school leader to identify trends in their leadership behaviors. Nine administrators were selected to participate in the qualitative study. Through the analysis of the instrument and principal interviews, several themes emerged. Administrators stated that the role of the school leader was to: 1) develop the culture through high expectations, 2) recognize importance of visibility in the school setting, 3) build the affect and work ethic of the school administrator, 4) form relations with parents and community members, and 5) mitigate the effects of poverty with the expectations that all students can learn. This study illustrated how school administrators' behaviors influenced high poverty schools to perpetuate growth, success, and long-term cultural shifts. School leaders need to be visible in the classroom, interact with teachers about student data, create high expectations for faculty and students, and build on their understanding of state accountability to create high poverty, high achieving schools.

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CHAPTER ONE

INTRODUCTION

The need for highly effective instruction in schools was catapulted into the national spotlight in the 1983 document *A Nation at Risk*. Through federal policies and reports such as *A Nation at Risk* and *No Child Left Behind*, educators across the country constantly balance the implementation of educational policy with day-to-day tasks to educate America’s children. With the *No Child Left Behind Act* (2001), the level of accountability consistently increased in schools across the country. Indiana was no exception. As the development of technology advanced, the world became a smaller place with the impact of globalization in business and in education. Results became the number one indicator of success. But how was success measured by each state’s education agency? Additionally, what were the necessary instructional behaviors that principals should exhibit to propel schools toward desired success?

The topic for this study is important to help support elementary principals in Indiana who are working toward new expectations in teacher evaluation, school accountability formulas, and building a professional learning community. Furthermore, the purpose of this study provides an in-depth analysis of principal responsibilities that promote positive academic results based on new Indiana evaluation system in schools with free/reduced lunch rates greater than 50%.

NCLB required each state to administer a standardized test in grades 3-8 and once in high school. Schools were also required to have an additional local assessment to measure success. In Indiana, for example, success is measured not only by the End of

Course Assessments in high school English 10 and Algebra I, but also with the third grade IREAD test. The grade three IREAD test measures student reading performance through a series of questions related to phonics, vocabulary development, and comprehension of fiction and non-fiction texts. It is given each March and then again in the summer to retest those students who were unable to pass. The results of the test dictate whether a student moves to the fourth grade reading curriculum. Additionally, the state implemented a statewide teacher evaluation system called RISE. RISE is an annual evaluation utilized to assess teachers and administrators in the planning, instruction, and leadership within the school. On the state of Indiana RISE Web Site, the explanation for RISE was posted, “If we want to dramatically improve education in Indiana, we must re-imagine the systems and policies that collectively shape the learning experience for students. Our future depends on changing course now” (*Rise Evaluation and Development System: FAQ*, n.d.).

Like Indiana, each state has built an accountability system in response to federal legislation. State assessment data were used in states to label highly effective schools. Schools across the country provided successful educational opportunities. How did some schools create success, yet others struggle to make the necessary requirements outlined by state or federal requirements? Reeves (2004) attested that effective leadership made the difference in successful schools. He stated that leadership mattered in schools and that leadership effectiveness includes both personal predispositions and acquired knowledge and skills.

Statement of the Problem

Today’s educational system equates success and academic performance. All areas of the American public school system, as we know it today, from school accountability to

teacher evaluation, include performance assessment based on a standardized test score. Extensive research has been conducted by many researchers on school leadership, but educational research on specific leadership styles and the translation into classroom performance is lacking. Furthermore, in my analysis of the research of school success, defined by the standardized state assessments, I found limited research on the role of instructional leaders in the development of successful elementary schools with high poverty rates.

Purpose of the Study

This study was designed to advance the knowledge and precepts of instructional leadership at the elementary school level. High test scores, teacher evaluation, and rating schools' letter grades provided statistical evidence in which conclusions could be made about instructional leadership. But what support is required to help prepare current and future elementary administrators to be successful in the role of elementary principal? Research on instruction exists on developing characteristics needed for the elementary principal using 21st century skills.

However, a lack of research existed on whether those characteristics are effective for the role of elementary principal in high poverty schools, as opposed to more advantaged schools. In addition, stakeholders also had a belief system on how an effective school leader should operate. This complicated the understanding of what specific skill set was needed for administrators to lead high poverty, high achieving schools.

The Food and Agricultural Organization (FAO) of the United Nations defined poverty as, “the lack of, or the inability to achieve, a socially acceptable standard of living” (Bellu & Liberati, 2005, p. 2). According to the *Federal Register*, the 2011 poverty guidelines, the

poverty line for a family of four living in the 48 contiguous states and Washington D.C. was \$22,350 (2011). Utilizing the base for a family of four, the maximum income a family of four could make and qualify for free meals was 130% of the poverty level (\$28,665). To receive reduced lunch meals, the maximum amount of income a family of four could have in the home was \$40,793. Poverty touched many facets of education including lunch status, Title One funding, and achievement, and was far too complicated a notion to take up in the scope of this dissertation. As described in chapter 3, in this study, schools that have enrollments of 50% or greater of students participating in the free/reduced lunch program were considered high poverty.

Mass Insight Education and Research Institute conducted, researched, and published a document titled *The Turn Around Challenge: Why America’s Best Opportunity to Dramatically Improve Student Performance Lies in Our Worst-Performing Schools* (2007). The institute reported that in order to turnaround a school the focus must be on the people. “States, districts, schools, and outside partners must organize themselves to attract, develop, and apply people with skills to match the needs of struggling students and schools” (p. 4). In order to attract the right people to the job, schools must know what are the skills needed and, more importantly, how to employ those skills once they are in the position.

Significance of the Study

With the implementation of a standards-based curriculum and accountability measured by high stakes assessment, schools across the country established precedent by the performance on their state assessment. With the development of cut scores and benchmarks, schools were compared against these measures, and one another. Since this

time, schools have been challenged with how to show growth and academic progress. Schools with higher poverty rates seemed to struggle more in showing progress.

The Indiana Department of Education created a state-wide accountability system based on performance growth on state assessments. To illustrate progress on standardized tests, schools in Indiana earned a letter grade from A to F. The Indiana model, first employed during the 2011-2012 school year, created a public scrutiny of schools based on these letter grades. Schools that were labeled with an “A” rating were identified as high achieving schools. In an effort to further understand how the “A” schools produced such high performance, I performed a study of leadership in high performing high poverty schools. As this dissertation will demonstrate, these schools utilized many strategies to show an increase in performance, including hiring instructional leaders to create pathways to success.

Research Questions

The research questions addressed in this study are as follows:

1. How do teachers rate their principal as an instructional leader, and what qualities do they identify as the most beneficial to have in an instructional leader?
2. How do principals rate themselves compared to the teachers’ rating in relationship to their ability to lead in specific behaviors?
3. In high poverty, high achieving schools in Indiana, how do school leaders describe their behavior?
4. Between transactional and transformational leadership, which leadership style tends to be more prevalent among administrators?

Delimitations

Similar to all scholarly work, several limitations should be considered when reading and interpreting this study.

1. Only elementary schools in the state of Indiana were eligible for the study.
2. Based on the 2011-2012 release of letters grades from the Indiana Department of Education, schools with a letter grade of “A” were considered for the study.
3. Of the 561 schools that received an “A” status, there were 32 schools (5.62%) that earned an “A” and had a free/reduced lunch status between 75-100%. In order to increase the sample size, the high poverty measure included schools with a free/reduced lunch rate between 50-74%. Therefore, elementary schools with at least half of its student population receiving free/reduced lunch and also earned an A were eligible for participation in the study.
4. Only the administrators that completed the quantitative survey and indicated they would be interested in a follow-up were asked to participate in the qualitative component of the survey.
5. Only elementary schools where the principal continued to be employed beyond the 2011-2012 school year were considered for the qualitative component.
6. The instrument was distributed to the elementary principals with the request the survey be given to 10 teachers. No other identifiers were required of the teachers.

Definitions

In order to fully understand the purpose of this study, a few key terms need defined:

- *Free/Reduced*: referred to the students who were eligible to receive financial assistance for textbook rental and school meals (IDOE, 2014).

- *IDOE*: stands for Indiana Department of Education.
- *Instructional leadership* reflects actions a principal takes to promote student growth and learning (Flath, 1989).
- *ISTEP+*: state required assessment given each spring to students in grades 3-8 (IDOE, 2014).
- *Leadership*: the use of noncoercive influence to direct and coordinate the activities of the members of an organized group toward the accomplishment of group objectives (Stogdill, 1963).
- *Letter grades*: referred to the actual rating a school received based on the cut score and growth score of the school’s performance on the state assessment. Letter grades were A, B, C, D, F (IDOE, 2012).
- *Poverty line*: specific dollar amount a family earns to be identified as living in poverty (Federal Register, 2011).
- *RISE*: Indiana state model for teacher evaluation. All Indiana educators were expected to develop a new evaluation system. Schools could adopt RISE, modified RISE-meaning schools could make small adjustments to state model, or develop its own model with approval from the IDOE.
- *Stakeholders*: defined as a person (or group) that has an interest in the activities of an institution or organization.
- *Title One*: largest federal education-funding program. It provides funding for high poverty schools to help students who are behind academically or at risk of falling below grade level. Indiana schools received over 256 million

dollars during the 2011 fiscal year (United States Department of Education, 2011).

Summary

The one constant amidst change in education was change itself. Educators, families, policy makers, and the community expected success in education. As growth, change, and paradigms shifted from year to year, decade-to-decade, and generation-to-generation the focus for the last 20 years has been on standardized testing based on content standards. Yet, the question remains on what or who impacts the educational improvement for schools in high poverty to reach the expected performance and growth targets? Instructional strategies, teacher excellence, and family/home support were all areas in which research has been conducted in urban, rural, and suburban areas.

Research lacked in how the school principal contributed to the educational change and, specifically, what responsibilities were most prevalent in successful schools, as identified by academic testing. Chapter Two details the history of the school principal, the reform movements, roles of the school administrator, transformational and transactional leadership, and the responsibilities within the leadership of the school principal. Chapter Three outlines the methodology utilized for the mixed method study. Chapter Four provides the results from the study, including themes that emerged. Chapter Five responds to the research questions posed for this study.

CHAPTER TWO

REVIEW OF LITERATURE

In order to fully understand the need for research to be conducted on administrative responsibilities in high achieving high poverty schools, it was necessary to develop a thorough understanding of the elementary school leader and different concepts of leadership. In this chapter, an exploration of the history of education, from the beginning of the common school movement to the development of the school administrator, was examined. Pivotal concepts in historical education were addressed. While the role of the school administrator became further defined in the 1900s, specificity in school reform was built in the 1980s. The *Nation at Risk* (1983) describes how school administrator shape reform. As national reform efforts emerged, emphasis was placed on increasing the results of school performance, which led to the need of defining the role of leadership specifically. The final pages of this chapter examined two leadership theories in education—transformational and transactional leadership.

Historical Perspectives

The First Common School System: Horace Mann Era

In an 1816 letter to Charles Yancey, United States President Thomas Jefferson wrote, “If a nation expects to be ignorant and free in a state of civilization, it expects what never was and never will be.” Jefferson was one of the first to propose public tax dollars to be used for educating all children within a community. Unfortunately, the community was not ready for what was seen as radical ideas for education. Forty years later, leaders such as Horace Mann and Henry Barnard launched what was known as the common school

movement and the first public school system. During his tenure as Secretary of the State Board of Education in Massachusetts, Horace Mann provided the contextual framework for the development of public education for our young country (Osgood, 1997). Horace Mann, then a lawyer and serving as the presiding officer of the state senate, was the one to receive the bill to request an eight-person board appointed by the governor. The board was established, and Horace Mann was elected Secretary of Education (Mudge, 1937).

To provide historical perspective of the “Horace Mann Era” in which this educational movement occurred, it should be referenced that the railroad and telegraph were additional inventions that were creating an economic force in the United States. This was important as the changes in technology that coincided with the common school movement began to shape the need for education as well. These changes in technology created the ability to communicate more effectively among states within the union. Prior to the creation of this movement, education had been directed under the church, not the government. With an increase in technological advances, the need for education to match the progress was also necessary. Mr. Mann had to convince the citizens within the community that public education presented in this facet was necessary, and he shared this view despite criticism from the press (Mudge, 1937). In his speeches, which were often given in homes, he claimed the need for hiring better-trained teachers and then the development of two normal schools for training teachers—with a third following in the second year. Mudge wrote,

People saw that he was in earnest; they saw as they had never seen before the situation in the Commonwealth relative to the education of its children. No one had previously gathered the facts; and few, had they been given the facts, could have presented them with like effect. His enthusiasm for his work was boundless but his task was no easy one (p. 164).

The actual word “principal” appeared in Mann’s report to the Massachusetts School Board in 1841, but the actual leadership of a school principal did not occur for another 60 years (Matthews & Crow, 2003). The principal role did emerge from the teaching ranks, but was often an additional responsibility of a veteran teacher in the early years. The teacher served the students and also managed the day-to-day operations of the school. While the role of the principal teacher was not an instrumental role in the early common school movement, there were specific responsibilities set forth by The Common School Teachers’ Association. Those responsibilities included functioning as the head of the school, regulating classes and course instruction, classifying pupils, keeping the school cleaned, and instructing assistants. Each of these responsibilities was in addition to a teaching assignment.

Mann served as Secretary of Education for 12 years. Each year an annual report was presented, and these reports proved to be some of the most valuable volumes of educational history, thus providing the context of educational thought back then and still to this day. As the role of the principal became more defined, Mann’s statement to the Massachusetts system rang true. One of the most compelling anecdotes that came from his reflection, as Secretary was the visionary leadership of what education should look like for all students. In this final volume, Mann wrote:

Massachusetts system of schools knows no distinction of rich and poor, of bond and free, or between those who, in the imperfect light of this world, are seeking, through different avenues, to reach the gate of heaven. Without money and without price, it throws open its doors, and spreads the table of its bounty, for all the children of the State. Like the sun, it shines, not only upon the good, but upon the evil, that they may become good; and, like the rain, its blessings descend, not only upon the just, but upon the unjust, that their injustice may depart from them and be known no more (p. 336).

Mann’s concept of education provided a baseline for how education would be valued and perceived for years to come. Despite his thoughts of how education should look over two hundred years ago, the challenges recorded by Mann continued to be the challenges of the years in the 1900s and even today. Mann’s concept of education provided all an opportunity for education and the creation of the first state board of education. This was the first involvement of politics in education. Through his experience in government, he was able to help create the leadership structure for education. Mann’s vision of education laid the ground work for contemporary leaders in schools.

The Era of the School Administrator

At some point between the late 1840s to the early 1900s, the school principal went from being a word that described a head teacher to being a specific person in charge of the school—without a teaching assignment (Pierce, 1935). Part of the need for this position in the school setting arose due to the new compulsory laws. By the turn of the 20th century, 37 states had laws for children to attend school. In just ten years, 72% of all children were in schools (Graham, 1974). With increasing numbers of students attending schools, school leadership became important to manage students at a larger scale. For example, during the 1830s, the school superintendent was also defined, and provided another element of leadership support in the governance of the schools.

The responsibilities of the school principal were included modeling effective instruction and covering classes in the event of absences. They also supported the newer teachers with curriculum and instructional delivery, as well as management techniques of day-to-day efforts in the classroom. Finally, the principal was responsible for school program organization, and the evaluation of employees and reports (Elsbee, 1939). Due to

the increased attendance as a result of compulsory laws, the number of principals also increased twofold during the 1920s (Glans, 1994).

With an increase of principals and the ongoing demands of management, the focus of quality school principals first occurred in the 1940s. The W.K. Kellogg Foundation of Battle Creek, Michigan, had been supportive in community improvement projects to improve quality life. The Foundation board members noted a lack in many of these projects a lack of leadership from the school administration. In fact, they stated “school administrators—key people in village affairs—were almost completely unprepared for the role demanded of them by the townspeople” (Moore, 1957, p. 2.).

In the following months of Kellogg foundation’s work, many different processes were started—all in the name of improving school administrators. The formation of an organization titled National Conference of Professors of Educational Administration (NCPEA) was organized to study and research the importance and role of administration. Moore stated that three important elements came from the NCPEA: 1) the creation of a foundation interested in the process of developing school leaders; 2) dreams and hopes discussed by professors about the future of administrators; 3) unity and a developed purpose for the field of administration. The project was created in 1950 and the “Cooperative Program in Educational Administration” (CPEA) was founded (Moore, 1957).

Topics were then established by the program including how to prioritize the demands of the school administration and what competencies those in administrative roles needed. These topics included the adjustment of the superintendent and principal role. The results of the project from CPEA found that administration needed to be overhauled through a research based approach for administration programs. The school administrator

would develop a practical approach based on the theory after a few years. The results also showed that the administrator was a manager and instructional leadership was to be a primary responsibility, referred to as supervision. The third finding also demonstrated the importance of communication. The administrator needed to be able to communicate to both staff and community members (Moore, 1957).

Between the 1940s and 1970s, several studies were conducted on student achievement, specifically examining secondary education. The Educational Policies Commission first released *Education for All American Youth* in 1944 and then rereleased in 1952. The report contained with suggestions for improving secondary education. When rereleased, the focus turned to improving secondary education and discussed the importance of having an effective leader (EPC, 1944; 1952).

President Lyndon B. Johnson also introduced legislation during his 1964 *State of the Union Address*. Famously known as the “The War on Poverty”, Johnson introduced legislation that would expand the role of government in education and health care to help reduce poverty in America. As a result, Congress passed the Economic Opportunity Act of 1964.

The United States can achieve its full economic and social potential as a nation only if every individual has the opportunity to contribute to the full extent of his capabilities and to participate in the working of our society. It is, therefore, the policy of the United States to eliminate the paradox of poverty in the midst of plenty in this Nation by opening to everyone the opportunity for education and training, the opportunity to work and the opportunity to live in decency and dignity. (PL 88-452, 1964, p. 608).

The Coleman Report

A 1966 study, *Equality of Educational Opportunity*, examined the socioeconomic and racial equality in educational settings across the country. It was concluded by Coleman

(1966) that the socioeconomic and educational backgrounds were the most important variables in student success and was the number one factor in student achievement. Regarded as one of the largest studies in United States history, the researchers studied over 600,000 students to understand what variables had the most important impact to student achievement (Coleman, 1966). The report, known as *The Coleman Report*, had little emphasis on administrative leadership or instruction.

However, the study found that student background and socioeconomic status had the most significant impact on student performance. While the study examined the differences in race and segregation, poverty was a common thread throughout the study. “Whatever may be the combination of non-school factors—poverty, community attitudes, low educational level of parents—which put minority children at a disadvantage in verbal and nonverbal skills when they enter the first grade, the fact is the schools have not overcome it” (Coleman, 1966 p. 21).

The effects of teacher quality were discussed in the report. Students whose achievement were most impacted by the school structure were minority students. In essence, the quality of the school was more important to minority students for academic success than the Caucasian students. “This indicates that it is for the most disadvantaged children that improvements in school quality will make the most difference in achievement” (Coleman, 1966, p. 22). This furthered the issue of race and poverty in the public school system to ensure equality and equity in educational programming.

A Nation At Risk—All at Risk

During the 1970s, educational leadership at the school level gained attention by the federal government. A 1977 U.S. Senate Committee Report on Equal Educational

Opportunity identified, for the first time, the principal as an influential person in a school. Within the report, the United States Congress stated that the principal was the one who set the leadership of school, which consequently, set the climate, tone, and level of professionalism in teaching. The link between the school and the community was the responsibility of the school administrator, and the way the principal performed in the community impacted the attitude of the community’s perspective of the school. “If a school is a vibrant, innovative, child-centered place, if it has a reputation for excellence in teaching, if students are performing to the best of their ability, one can almost always point to the principal’s leadership as the key to success” (U.S. Congress, Senate Committee on Equal Educational Opportunity, 1970, p. 50). The work of the late 1970s led to further examination of education in the 1980s.

In April 1983, Chairman of The National Committee on Excellence in Education, David Pierpont Gardner, wrote the following in the letter prefacing the findings from the committee work to Secretary of Education the Honorable T. H. Bell:

Our purpose has been to help define the problems afflicting American education and to provide solutions, not search for scapegoats. We addressed the main issues as we saw them, but have not attempted to treat the subordinate matters in any detail. We were forthright in our discussions and have been candid in our report regarding both the strengths and weaknesses of American education (Gardner, 1983).

The Committee was created by Secretary Bell to examine the quality of education in America. The report shared not only concern for industry and commerce, but also about intellectual, moral, and spiritual strengths of our country. In the report, the findings concluded:

The people of the United States need to know that individuals in our society who do not possess the levels of skill literacy, and training essential to this new era will be effectively disenfranchised, not simply from the material rewards that accompany competent performance, but also from the chance to participate fully in our national life (1983, p. 10).

According to Goldberg (1984), the report made five recommendations, with the final recommendation focusing on school leadership. Goldberg stated that the commission addressed the role not only of the principal, but also the superintendent, state, local, and federal government, and the ability to have the quality leaders necessary in carrying out the reform measures. However, this was not the only report in the 1980s that emphasized the struggle in education.

While not noted as a pivotal report of reform, the 1986 Carnegie Forum on Education and the Economy provided a much more focused acknowledgment about leadership traits needed for school administrators. This report noted the lack of competent educational administrators established. Murphy and Forsyth (1999) developed a list of traits that were missing from the leaders of the 1980s. Some of these skills included few quality candidates for administrative positions, little collaboration between school districts and university programs, and lack of quality educational leadership. What followed was yet another commission created to focus on educational leadership. The commission was initiated through the University Council for Educational Administration (UCEA), and what followed was a 1987 document titled *Leaders for America's Schools*. Thirty-five recommendations were included in the report. One recommendation was the closing down 40% of the university preparation programs. Others recommendations included the creation of a National Board on Educational Administration, an equal partnership be developed with public schools in preparing administrators, and the development of

professional development as an important role in the ongoing support of current administrators (Griffiths, Stout, & Forsyth, 1988).

Today’s Administrator

The Kellogg Foundation first used the term instructional leadership in the 1950 study. Yet, the concept of instructional leader was not developed beyond evaluator of teachers until Edmond’s study (1979). He concluded that effective schools, in almost all cases, had leaders who were focused on instruction. Ubben, Hughes, and Norris (2011) suggested that instructional leadership was a complex set of relationships between the principal and his or her belief system. The authors further emphasized that the most important belief the principal could hold is that all children can learn; this guiding principle empowers the staff and the students. Ubben, Hughes, and Norris (2011) also commented that the community and school district also impacted the administrator’s instructional leadership and values.

Additionally, the 1970s report from Congress, later supported by work such as Cordeiro and Monroe-Kolek, emphasized that the change in principal leadership from manager to instructional leader. Cordeiro and Monroe-Kolek (1996) confirmed that one of the five keys to successful schools making connections with the community was the leadership of the school principal. Without principal leadership as one of the five factors established, the ability to form a successful partnership for the sake of the students was not possible. The building principal must know the community in order to provide that leadership.

Public Law 103-382 was approved on October 20, 1994, known as the Improving America’s School Act of 1994. This was a reauthorization of ESEA. This act was important

for several reasons. It put an emphasis on state standards, student assessments, and was considered the largest overhaul of existing federal funding, as it was a consolidation of many federally-funding programs (Kress, Zechmann, & Schmitten, 2011). The 1990s were focused on state standards and laid the groundwork for the accountability era. Federal accountability increased when President George W. Bush signed the 2001 No Child Left Behind (NCLB) law. The role of the building principal was once again changed and challenged.

NCLB was created based on four basic principles: a) increased accountability for states, school districts, and schools; b) choice for parents and students—specifically families who have students attending low-performing schools as created by the regulations set forth; c) flexibility in how federal education dollars were used by states and local educational agencies; d) an emphasis on reading, specifically for the youngest of students through Scientifically Based Reading Research (SBRR) (NCLB, 2002).

With the implementation of NCLB over the last ten years, an increase in accountability, state standards, and a reactive approach to low-test scores have enveloped schools across the country (Hursh, 2005). Emphasis was placed on school administrators to be proactive in instructional support or follow the consequences set forth by their states. For example, Indiana’s accountability model for schools provided sanctions to schools if they failed to demonstrate Adequately Yearly Progress (AYP). if a school went three consecutive years in not making AYP, they were labeled as a school in corrective action, and had the following consequences: 1) offer school choice for families to attend a school that was making AYP; 2) offer supplemental educational services (SES) provided by an outside agency; 3) complete one of the following corrective actions: replace staff, adopt a

new curriculum, change management, extend the school day or school year, or restructure the internal organization of the school (Wiley, Mathis, & Garcia, 2005). Schools were required to provide action in this model and report the steps taken in each year through five years of corrective action.

Section 2113 of the No Child Left Behind Act outlined the need for programs to provide support to teachers or principals in the form of mentoring, intensive professional development (NCLB, 2001). Section 2113.13 further expanded on effective leadership:

Providing assistance to local educational agencies for the development and implementation of professional development programs for principals that enable the principals to be effective school leaders and prepare all students to meet challenging State academic content and student academic achievement standards, and the development and support of school leadership academies to help exceptionally talented aspiring or current principals and superintendents become outstanding managers and educational leaders (NCLB, Section 2113, 2001).

Provisions as the ones mentioned above placed additional accountability from the state level to the local level of educational governance. During this implementation of *No Child Left Behind*, states ushered in changes to meet NCLB. Indiana accountability efforts were overhauled. Indiana exemplified one of the most stringent school reforms policies with the election of Dr. Tony Bennett. In an *Indianapolis Star* article, reporter Scott Elliott wrote about the aggressiveness that occurred in Bennett’s leadership as superintendent.

Change came fast and furiously — a new voucher program, an expansion of charter schools, limits on teacher unions, testing-linked teacher evaluation, a new third grade reading requirement and the first-ever execution of a state law allowing state takeover of troubled schools. (November 7, 2012).

From 100% Pass Rate to A-F Matrix

Beginning in 2011, the Duncan administration began offering waivers to states for the No Child Left Behind accountability model. Secretary of Education Arne Duncan testified on Capitol Hill in February of 2011 that the waiver had strengthened flexibility for

at-risk students, improved the professional development of teachers and administrators, and had created more innovation (Brenchley, 2011). With an application submitted in November 2011, Indiana was among the first to have its waiver granted. The Indiana Department of Education (IDOE) adopted new standards for administrators, and wrote that the building level administrator standards were the most current research on effective educational leadership. They also indicated tying school improvement to student achievement and teacher effectiveness “requires an unapologetic focus on the principal’s role as driver” of this achievement (Indiana DOE Waiver Application, 2011).

Furthermore, the IDOE wrote it was one of the nation’s leaders in educational reform.

As part of ‘Putting Students First,’ Indiana established the most expansive school choice system in the nation’s history. For the first time, all Indiana schools—traditional public, public charter, and private or parochial—are competing for the same students and the accompanying funding. As a result, there are new pressures on the system to ensure every school and LEA continues to improve both their student proficiency levels across all subgroups and their overall grade (US Department of Education *ESEA Flexibility Request*, 2011, p. 44).

All of these challenges, as dictated within the Indiana NCLB waiver application, added additional pressure on the role of the building principal. With the waiver process organized through the Obama administration in 2011, states across the country applied for waivers to implement policy changes. The agreement would release the decade-old mandate that stated 100% of students would be proficient in reading and math by 2013-2014. Waivers were given to states that tied teacher evaluation to student performance, created a new accountability system, and developed stringent career and life readiness goals (McNeil, 2012). Under the waiver, the Indiana Department of Education replaced the Adequate Yearly Progress (AYP) measures with “ambitious and achievable” goals.

In the waiver, it was stated that every school must earn a state letter grade of an A- or failing that, improve two letter grades to earn no worse than a C- by 2020 (Indiana DOE Waiver Application, 2011). In fact, Indiana officials implored themselves as leaders in the United States on reform within the application as exemplified by the IDOE vision: “The academic achievement and career preparation of all Indiana students will be the best in the United States and on par with the most competitive countries in the world” (p. 30).

Indiana’s A-F Model

Indiana Superintendent of Public Education Dr. Tony Bennett led the charge in the development of the Indiana school accountability model. The Indiana Department of Education created an A-F Letter Grade Model that was based on a combination of achievement and growth (*A-F Accountability, 2011*). GPA points, (1-4), were awarded to schools based on achievement levels. Schools that had student achievement percentage in the 90s, for example, earned a 4.0. Each school earned a baseline achievement score in both Language Arts and Mathematics. The two scores were added together and divided by two to create an achievement GPA.

Schools could earn bonus points or penalty points through the growth model. Four bonus points could be earned based on two subgroups: Top 75% performers and Bottom 25% performers. Students were placed in a cohort based on performance the previous year. Students were compared within their cohort to be categorized as Low Growth, Typical Growth, or High Growth. Students in third grade did not receive a growth label due to taking ISTEP+ for the first time.

Once students were labeled with Low Growth, Typical Growth, or High Growth, schools were given a percentage of students who showed high growth. If enough students

were shown to exhibit high growth in the Top 75% category or the Bottom 25% category, a bonus point was awarded. A bonus point was awarded for 1) High Growth Language Arts for Top 75%; 2) High Growth Mathematics for Top 75%; 3) High Growth Language Arts for Bottom 25%; and 4) High Growth Mathematics for Bottom 25%. Schools could earn 0 to 4 bonus points based on these results.

Critics of the Indiana A-F model were frustrated with how students were ranked low, typical, or high growth. In a 2012 article, the Superintendent of Lafayette Community Schools Ed Eiler explained a flaw in the system. “Under the new system, students can achieve very high scores on the ISTEP, but still be labeled “low growth,” potentially harming the school’s letter grade. He also says the new growth scores are not fair to use in evaluating teachers or schools because the testing itself is not designed for this purpose” (Stokes, 2012, para. 17). The bonus and penalty points were just one faction of the school accountability system that diminished the ability for elementary schools who were high achieving to earn high letter grades.

Up to two penalty points could be awarded based on an excess number of students who had low growth. There were no subgroups in the penalty area. All students were one group, and if too many students showed low growth within the school in Language Arts, a penalty point was issued. The same process was used for Mathematics. The growth model provided incentive and penalty for schools that were unable to demonstrate growth based on the model provided by the state. The formula was then used to determine the final letter grade for each elementary school, and letter grades were made public. With a new accountability model that was intricately defined based on student growth and

performance, principal leadership was necessary. The next section of this literature review defines leadership and the research conducted around educational leadership.

Principal Leadership

Leadership Defined

Jago (1982) stated in his research that over the last 75 years, thousands of empirical investigations have been conducted on leadership. There is a proliferation of leadership definitions. Therefore, it was necessary to identify a working definition of leadership for the purpose of this dissertation. The definition, provided by Stogdill (1963), helped identify the term leadership through the lens of both an act and the process of exerting leadership. This definition clarifies the challenge of identifying a set of traits or styles that made the research of leadership so complex. From the perspective of leadership as an act, he stated it was a set of qualities and characteristics attributed to the person who was able to use them for influence. In relationship to the process, he identified it as “the use of noncoercive influence to direct and coordinate the activities of the members of an organized group toward the accomplishment of group objectives” (p. 108).

Leadership has a broad definition, while the context provided within the historical section of the literature review demonstrated. Eye (1976) defines the principal role as “a person who has mastered the skills of coordinating educational purposes, teaching strategies, service personnel, time distribution, public interpretation, and the evaluative demands of one designated school unit within a total school system” (p. 189). The roles mentioned by Eye provided principals with an understanding of the skills necessary to master.

It was necessary to also examine what leadership means specific to an educational context. Four elements of leadership were identified by educational leadership researcher Rost (1991). In his text titled *Leadership in the Twenty-First Century*, he concluded that leadership involved influence, it occurred among both leaders and followers, leaders intended to make and/or provide change, and the changes looked toward increase student ownership and accountability. For the efforts of this research, Rost’s specific definition of leadership was used: “Leadership is an influence relationship among leaders and followers who intend real changes that reflect their shared purposes” (p. 102). Moving from Eye’s definition of the principal to Rost’s definition of leadership, an examination of several leadership theories must be analyzed to better understand the context in which principals make decisions daily.

Another leadership expert was highly renowned for his seminal book on power and the theories of transformational and transactional leadership. The idea of leadership through the concepts of motivation and power was specifically addressed. Burns (1978) wrote, “I define leadership as leaders inducing followers to act for certain goals that represent the values and the motivations—the wants and needs, the aspirations and expectations—of both leaders and followers” (p. 19). He further identified that the leader of an organization was “a very special, very circumscribed, but potentially the most effective of power holders, judged by the degree of intended ‘real change’ finally achieved” (p. 19).

Marzano, Waters, and McNulty (2005) examined principal behaviors associated with student achievement. In their words: “Our basic claim is that the research over the last 35 years provides strong guidance on specific leadership behavior for school

administrators and that those behaviors have well-documented effects on student achievement” (p. 7). Marzano, Waters, and McNulty’s research on leadership behaviors over the least 35 years has provided a foundation for principals to utilize for practical application. Yet, there was still an influence in how those behaviors are used. While there are many types of leadership styles, two main styles juxtaposed themselves into a necessary focus of school leadership—transactional and transformational leadership. As explored below, each of these leadership theories espouses specific principal behaviors.

Transactional Leadership

“Transactional leaders aim to maintain the status quo by rewarding subordinates’ efforts and commitment” (DeHoogh, DenHartog, & Koopman, 2005, p. 840). Leaders who operate from the philosophy of transactional leadership influence subordinates through task-focused behaviors, including providing expectations, rules, and procedures.

Transactional leadership was most often found in organizations where goals and structures were clear, and focus was emphasized on control and compliance to rules. According to DeHoogh, DenHartog, and Koopman (2005), transactional leaders were less likely to “emerge in dynamic circumstances because they tend to be less engaging, choosing to monitor exchange relationships with employees and maintain the status quo rather than focusing on change” (p. 843). Simply put, transactional leaders influence employees through the use of punishments and rewards (Hood, 2003).

Burns (1978) indicated that transactional leadership includes the following skills to operate in this theory: “Pragmatic, transactional leadership requires a shrewd eye for opportunity, a good hand at bargaining, persuading, reciprocating” (p. 169). Burns wrote that all of these characteristics focused on the asset of power, specifically the exchange of

valued commodities. Employees worked hard for rewards given within a system. Within the theory of transactional leadership, a subset of skills existed under the idea of autocratic leadership and democratic leadership.

Autocratic Leadership. Autocratic leadership occurs when leaders exerts high levels of power over his or her employees or subordinates. Autocratic leaders make all decisions (Gustainis, 2004). Gustainis went on to define three other main characteristics including that the leader (1) is concerned with task accomplishment; (2) keeps his distance from subordinates; (3) motivates through fear and punishment. Under an autocratic leader, subordinates experience suppressed autonomy and are given few opportunities for making suggestions. Most people do not like being treated this way therefore, autocratic leadership is associated with high levels of absenteeism and staff turnover (Gustainis, 2004).

Democratic Leadership. “Democratic leadership is behavior that influences people in a manner consistent with and/or conducive to basic democratic principles and processes, such as self-determination, equal participation, and deliberation” (Gastill, 1994, p. 957). Democratic leadership can be rationalized through the lens of authority, responsibility, and decision-making. Researchers indicate a difference between leadership and authority; authority refers to the leader providing the ability for a group of people to make administrative decisions. Leadership, on the other hand, is the ability for the leader to guide people toward the process to make a decision. This connects to responsibility and decision making. A democratic leader works to involve all members in the decision-making process. In demanding and challenging times, the leader does not have to make the decision, but remind the team of the importance of finding a solution as it was part of their

collective responsibility (Nagel, 1987).

A leader who operates in a democratic leadership style should ensure proper authority and that the release of responsibility exists. Additionally, he or she should devote time developing and implementing appropriate and meaningful processes for decision-making. High-quality deliberations around a topic help create solutions, so long as the appropriate processes implemented. “Democratic leadership aids the deliberative process through constructive participation, facilitation, and the maintenance of healthy relationships in a positive emotional setting” (Gastill, 1994, p. 960).

Transformational Leadership

Hood (2003) defined transformational leadership as “a process that motivates followers by appealing to higher ideals and moral values. Transformational leaders are able to define and articulate a vision for the organization and then inspire followers to carry it out” (p. 264). This leadership style focuses on the visionary skills of the leader, and not an exchange of work for rewards. Transformational leaders operated from high levels of morality such as integrity and justice (Bass, 1985). In addition to these values, Bass and Avolio (1994) believed that three areas existed within this type of leadership: (1) charisma, (2) intellectual stimulation of members, and (3) individual consideration. Ubben, Hughes, and Norris (2001) also described transformational leadership from an inspirational perspective, specifically noting that transformational leaders inspire all members of the organization to work toward the school’s purpose. Ross and Gray (2006) concluded by stating that transformational leadership “enhances an organization by raising the values of members, motivating them to go beyond self-interest to embrace organizational goals, and redefining their needs to align with organizational preferences” (p. 800).

In order to be an effective transformational leader, the leader must be prepared with the skills to conduct long-range planning. The transformational leader must also be able to read the changing of situations, know how to organize seen and unforeseen variables in the culture and properly place them within the constraints of the vision, and having employees take heart on the belief systems set forth (Hanson, 2003).

“Transformational theory presses leaders to think positively and convinces people that together they can leap tall buildings with a single bound” (p. 183). In order to convince individuals they are capable of doing things they may not think they are capable of completing, an administrator utilizes charismatic and distributed leadership principles.

Charismatic Leadership. Surfacing as a newer theory within the last thirty years, researchers identified charismatic leadership as a theory in which the leader transforms organizations by not focusing on the leader’s self-interest, but organizing ideas and committing resources to the best interest of the group. This type of leadership not only inspires the employees to work alongside the leader, but allows for the mission and vision to be heard and seen through theoretical and applicable practice. Additionally, a sense of trust, commitment, and confidence existed within the context of the employee’s perception of the leader (Shamir, House, & Arthur, 1993).

In the research conducted by Shamir, House, and Arthur (1993), they found that one of the reasons why charismatic leadership had a profound effect on employees was the ability of the leader to move the employees through Maslow’s Hierarchy. Maslow’s Hierarchy identifies five needs that humans strive to meet. Listed in a hierarchy, with the most physiological needs being met first, Maslow Hierarchy includes: physiological (air, water, nutrients); safety; belonging and love; esteem (person feels valued); self-

actualization (maximizes gifts bestowed to him/her) (Hagerty, 1999). For example, before feeling safe, a person must have food and water.

The leader also helps guide and train employees to move from a narrow self-interest focus to a global perspective and to consider and best interest of the team, moving towards self-actualization. The school leader demonstrates this global perspective through a specific mission and vision for the employees. “Articulation of a vision and a mission by charismatic leaders presents goals in terms of the values they represent. Doing so makes action oriented toward the accomplishment of these goals more meaningful to the fellow in the sense of being consistent with his or her self-concept” (Hagerty, 1999, p. 583).

Distributed Leadership. Based in the originations of organizational theory in the 1960s, distributed leadership first found its roots with McGregor’s Theory X and Y. This theory stated X leaders viewed employees as lazy, avoidant of work, and created a distrust of people. Y leaders, on the other hand, viewed employees as honest and industrious. These employees took initiative, and leaders were more willing to distribute authority to individuals (Burns, 1978). In addition to this work, Elmore (2000) created a framework that helped understand the idea of distributed leadership within the confines of instructional improvement. The five leadership domains included policy, professional, system, school, and practice. What was fundamental of Elmore’s work was the separation of responsibility from the leader to the authority and responsibility of the work to all those who were invested in the process. Copland (2003) defined distributed leadership as the “collective activity, focused on collective goals, which comprises a quality or energy that is greater than the sum of individual action” (p. 377-378). It was important to note that the idea of collective activity was not a task equally divided among people, but rather tasks that

were stretched over all people with different roles in each process.

Two other concepts help fully explain distributed leadership. One was the spanning of tasks, responsibilities, and power boundaries between traditionally defined organizational roles. In other words, the workforce cooperatively works together on specific tasks. The second concept rests upon utilizing employees who have the skills necessary to complete a task (Copland, p. 378). For example, a principal may ask a classroom teacher to conduct an in-service on setting up a writer's workshop based on the skill set of that teacher. This is in contrast to a less collaborate form of leadership (e.g. autocratic) where the principal may be the one to share this information.

The Difference between Transactional and Transformational Leadership

With basic definitions- and theory about transactional and transformational leadership, in this section I differentiate between the two. According to Bass (1994), transactional leadership focuses on the relationship between leaders and followers as a two-way process of exchange and mutual influence. Leaders accumulate power through their positions and their personalities. However, their authority was limited by the way the followers adhered to the authority. In regards to transformational leadership, Bass (1998) presented the viewpoint of the leader as the driving force of relationship building. He stated that the leaders initiated relationships, which raised followers to new levels of morality and motivation. Transactional leadership conjured a managerial image, while transformational leadership invoked pictures of extraordinary, inspirational individuals.

The difference between fulfilling and changing expectations was at the heart of the distinction. Transactional leaders were viewed as those who operated within the Classical

Theory (Hanson, 2003). In other words, the transactional leader operated from a top down approach and had a system of protocols to be followed.

In contrast, transformational leaders changed organizational culture by introducing beliefs and goals—often based upon the values of the group, and traditional group roles and responsibilities were adjusted. Bass stated that this form of leadership went beyond traditional forms of transactional leadership. Transactional leadership accentuated corrective action, mutual exchanges, and rewards only when performance expectations were met. On the other hand, transformational leaders trust their subordinates and gave them space to breathe and grow. Essentially, transformational leadership was viewed as a developmental process and constructivist form of leadership for the employees and the organization as a whole.

Role of the School Administrator

Smith, Maehr, and Midgley (1992) conducted research on five main roles in which the principal invested time. Each of the following roles was a category that the school administrator rated as time spent in improving the school. Those behaviors included defining the mission, managing curriculum, supervising teaching, monitoring student progress, and promoting the instructional climate. While each of these overarching roles affected the job of the school administrator, how the job was conducted was based on the leadership styles and behaviors of each administrator. The authors noted, “The critical issue in this research is how personal (individual difference) and contextual issues relate to principal administrative behavior” (p. 112). In their study, a 14% variance existed in how personal responsibilities impacted administrative behaviors.

In order to fully understand the duties of the school administrator, it was necessary

to utilize research from Marzano, Waters, and McNulty (2005) and juxtapose those responsibilities among not only the two main leadership theories examined—transactional and transformational—but cross-reference them with the Educational Leadership Constituencies Council (ELCC), as these standards were approved by the National Council for the Accreditation of Teacher Education (NCATE). The complex duties of the school administrator are outlined by professional organizations, and school leaders need to see the correlation among theory, practice, and application. These standards were developed based upon the Interstate Leaders Licensure Consortium (ISLLC) Standards. The ELCC was a set of standards developed to guide new and experienced administrators in traits required for successful school leadership. These specific sets of standards were widely accepted across the country as a systematic way to assess and evaluate the administration role in public education. In order to better understand Table 2.1, an explanation of the ELCC standards and the five responsibilities that yielded the largest gain in student achievement follow.

Table 2.1: Leadership Matrix—Marzano Behaviors with Types of Leadership Overlaid with ELCC Standards

Leadership Styles		ELCC Standards		
		ELCC Standard 1 Widely-Shared Vision of Learning	ELCC Standard 2 Culture/Instruction and Program for Students/Staff	ELCC Standard 3 Management of Safe Learning Environment
Transactional Leadership	<i>Description</i>	<p>Transactional leadership was most often found in organizations where goals and structures were clear, and focus was emphasized on control and compliance to rules. According to DeHoogh, DenHartog, and Koopman (2005), transactional leaders were less likely to “emerge in dynamic circumstances because they tend to be less engaging, choosing to monitor exchange relationships with employees and maintain the status quo rather than focusing on change” p. 843).</p> <p>Ross and Gray (2006) surmised transformational leadership by stating it “enhances an organization by raising the values of members, motivating them to go beyond self-interest to embrace organizational goals, and redefining their needs to align with organizational preferences” (p. 800).</p>	<p>“Transactional leaders aim to maintain the status quo by rewarding subordinates” efforts and commitment” (DeHoogh, DenHartog, Koopman, 2005, p. 840).</p>	<p>Leaders who operate from the philosophy of transactional leadership influence subordinates through task-focused behaviors, including providing expectations, rules, and procedures.</p>
	<i>Marzano</i>	1. Affirmation; 19. Resources	3. Contingent Rewards	16. Order

Leadership Styles		ELCC Standards		
		<u>ELCC Standard 1</u> Widely-Shared Vision of Learning	<u>ELCC Standard 2</u> Culture/Instruction and Program for Students/Staff	<u>ELCC Standard 3</u> Management of Safe Learning Environment
Transformational Leadership	<i>Description</i>	<p>“Superior leadership performance—transformational leadership—occurs when leaders broaden and elevate the interests of their employees, when they generate awareness and acceptance of the purposes and mission of the group, and when they stir their employees to look beyond their own self-interest for the good of the group” (Bass, 1990, 21)</p> <p>Hood (2003) defined transformational leadership as “a process that motivates followers by appealing to higher ideals and moral values. Transformational leaders are able to define and articulate a vision for the organization and then inspire followers to carry it out” (p. 264).</p>	<p>“The school leader must attend to the needs of and provide personal attention to individual staff members, particularly those who seem left out (individual consideration).</p>	<p>Bass (1990) stated that organizations who have transformational leaders manage the organization better because they do not operate in a passive management-by-exception. Employees were noted as stating they exerted little effort with those types of leaders.</p>
	<i>Marzano</i>	<p>5. Culture; 8. Focus; 12. Involvement in Curriculum, Instruction, and Assessment; 15. Optimizer</p>	<p>2. Change Agent; 11. Intellectual Stimulation; 13. Knowledge of Curriculum, Instruction, and Assessment; 21. Visibility</p>	<p>6. Discipline</p>

Leadership Styles		ELCC Standards		
		ELCC Standard 4 Collaboration with Faculty & Community Members	ELCC Standard 5 Act of Integrity, Fairness And Ethics	ELCC Standard 6 Response of Contexts in Politics, Social, Culture
Transactional Leadership	<i>Description</i>	“Whether the promise of rewards of the avoidance of penalties motivates the employees depends on whether the leader has control of the rewards and penalties, and on whether the employees want the rewards or fear of the penalties (Bass, 1990, p. 21).	“This type of transactional leader sets goals, clarifies desired outcomes, exchanges rewards, and recognition for accomplishments, suggests or consults, provides feedback, and gives employees praise when it was deserved” (Marzano, Waters, McNulty, 2005, p. 14).	Howell and Avolio (1993) noted that the difference between manage by exception-active and manage by exception-passive lies in the timing of the intervention. Passive leaders ‘wait until the behavior has created problems before taking action’ (p. 756).
	<i>Marzano</i>		14. Monitoring/Evaluating	10. Input
Transformational Leadership	<i>Description</i>	“The followers’ self-esteem is reinforced by the transformational leader by expressions of confidence in the followers. High expectations are set by the transformational leader, which induces greater commitment to the effort (Bass, 1998, p. 23).	“Transforming leadership is elevating. It is more but not moralistic. Leaders engage with followers, but from higher levels of morality; in the enmeshing of goals of and values both leaders and followers are raised to more principled levels of judgment” (Burns, 1978, p. 455)	The transformational leader must also be able to read the changing of situations, know how to organize seen and unforeseen variables in the culture and properly place them within the constraints of the vision, and having employees take heart on the belief systems set forth. “Transformational theory presses leaders to think positively and convinces people that together they can leap tall buildings with a single bound” (p. 183).
	<i>Marzano</i>	4. Communication	7. Flexibility	20. Situational Awareness 18. Relationships

Leadership Styles		ELCC Standards
		<u>ELCC Standard 7</u> Educational Leadership with Internship Experience
Transactional Leadership	<i>Description</i>	“However, subordinates of transactional leaders are not necessarily expected to think innovatively and may be monitored on the basis of predetermined criteria. Poor transactional leaders may be less likely to anticipate problems and to intervene before problems come to the fore, whereas more effective transactional leaders take appropriate action in a timely manner (39).(Aarons, 2006, p. 1163)
	<i>Marzano</i>	
Transformational Leadership	<i>Description</i>	“Transformational leadership used concepts of individualized consideration, idealized influence, inspirational motivation, and intellectual stimulation. These were known as the “4 I’s” (Murphy and Drodge, 2004, p. 73)
	<i>Marzano</i>	17. Outreach

ELCC Standards

The ELCC standards were created to address and prepare educators who value the importance of preparing students to be productive citizens. Adapted from the ISLCC Standards, the ELCC standards provided a partnership among the schools, the district, and the community work together to develop a successful program for lifelong learning. Each of the eight guidelines provided perspective and structure for the role of the school administrator. The following are the standards outlined in the policy document. A more thorough description of the standards can be found in the Appendix A.

Utilizing the constructs set forth by the ELCC standards and the research of the two main leadership theories, the 21 responsibilities set forth by Marzano, Waters, and McNulty (2005) were then categorized to illustrate how these responsibilities best fit within the daily responsibilities of the school administrator. While important to note that all 21 responsibilities were identified in both transactional and transformational leadership, and other readers may see the responsibilities within other standards, the author selected where the responsibilities went based upon the research of the leadership theory and the functions of each standard. In Table 2.1, only six responsibilities were identified in transactional leadership.

It can be concluded that for student achievement to exist, the school leader must operate out of transformational leadership more often than transactional leadership. However, the data upon which Table 2.1 were across schools and

districts of a variety of sizes and socio-economic statuses. Therefore, this account is broadly generalizable across the US but does not reveal specific leaders behaviors of principals serving in high poverty, high achieving school; the current dissertation addresses this disparity.

Principal Responsibilities

According to Bass (1998), the culture of an organization are based on beliefs and values held by its members. “Organizational culture is the ‘glue’ that holds the organization together as a source of identify and distinctive competence” (p. 62). Simply put, the shared values of an organization persist over time and create the culture in which norms operated. Therefore, the school administrator, as mentioned earlier by Burns, was dealt the main responsibility for forecasting the vision of the school.

“Leaders need to be attentive to the rites, beliefs, values, and assumptions embedded in the organizational culture. They can help or hinder efforts to change the organization, when it must move in new directions as a consequence of changes in the internal and external environment of the organization” (Bass, 1998, p. 63).

Understanding the historical perspective of the principal position was pertinent to where education stands today. It was necessary to investigate the specific behaviors that principals invested in to support the instructional leadership of day-to-day operations of student learning. Waters, Marzano, and McNulty (2003), consolidated their 30-year research into 21 leadership responsibilities that were significant to student achievement. “Effective leaders understand how to balance

pushing for change while at the same time, protecting aspects of culture, values, and norms worth preserving" (p. 2).

Of those culture, values, and norms worth preserving, the researchers found a substantial relationship between leadership responsibilities and student achievement. In fact, the researchers found that the leaders who invested in improving their responsibilities in these 21 areas could see an increase of 10 percentage points in student achievement. Of the 21 areas that provided the highest effect size for an increase in student achievement, the top five responsibilities were discussed: an understanding of situational awareness (.33 effect size), intellectual stimulation (.32 effect size), input (.30 effect size), change agent (.30 effect size), and culture (.29 effect size). Each of these behaviors is further explained below.

Situational Awareness. Marzano et al. (2005) defines situational awareness as the building administrator attending "the details and the undercurrents in the running of the school, and uses this information to address current and potential problems" (p. 4). The authors provided specific behaviors that principals must engage in to develop an understanding of situational awareness. This included predicting what could go wrong in a given day, understanding the informal groups within the school culture, and understanding issues that may surface to create discord within a school. For example, "the school leader demonstrates the responsibilities of situational awareness when he studies the schedule in an attempt to identify hidden problems that it creates for teachers and students" (p. 61).

McEwen (2003) also explained this idea through what was defined as a

change master. McEwan emphasized that the principal must look to the future and anticipate problems that may occur. “Thinking ahead allows breathing room, time to consider the alternatives, and the luxury of developing an action plan to minimize the impact on day-to-day operations” (p. 79). Additionally, the building administrator must institute a process that allows for situational awareness to develop effectively. By processing situations systematically with the staff through the use of quality tools, the building administrator is able to build upon shared values, strengthen teams, generate ideas, share critical information, and resolve conflict (McEwen, 2003).

Intellectual Stimulation. The second highest behavior associated with increased student achievement was intellectual stimulation. Intellectual Stimulation referred to the extent to which the building administrator worked to ensure that staff knew the most up-to-date best practices and research-based strategies for student learning. Whitaker (2012) described this principal behavior as developing teachers. He indicated, “outstanding principals know that their primary role is to teach the teachers” (p. 41). He further expounded in order to teach teachers one cannot do this from behind the principal desk. “They [the most effective principals] make time to focus on instruction—proactively visiting classrooms and improving teaching—to reduce discipline issues” (p. 44). Principals need spend time in classrooms, modeling strategies for staff members, and providing feedback to all teachers—both effective and ineffective.

Input. “Input refers to the extent to which the school leaders involve teachers in the design and implementation of important decisions and policies” (Marzano, Waters, & McNulty, 2005, p. 51). The authors indicated that behaviors that exhibited this leadership skill included opportunities for staff to be involved in developing school policies, serving on leadership teams, and shared decision making. McEwen (2003) described this type of behavior as bonding people together as a community of learners. She described this process enabling each to be part of the community of leaders, and everyone agreed to accept responsibility of the school mission and vision. “Highly effective principals recognize the power adhered in building a community of learners” (p. 59). The ability for leaders to tap staff expertise in the school creates an interdependent and empowers all to take an active role in the success of the school.

Change Agent. Administrators who were change agents defied status quo. A change agent makes change by challenging current practices in an effort to create new behaviors to increase student achievement (Marzano, Waters, & McNulty, 2005). Authors Loeb, Horng, and Klasik (2010) discovered that time spent on instructional programming—activities including developing professionally, evaluating curriculum, and using assessment results for changes in program evaluation and development—had a positive correlation with staff perception of educational environment and teacher satisfaction in general.

The challenge acting as an agent of change is the time it takes to create a positive change. Whitaker (2012) reported that it could take anywhere from three

to nine years to create substantive change within a school. According to Whitaker, this was a frustration of many principals, as they believe that students should not "be in an underperforming setting for any length of time and certainly not for years" (p. 58).

Culture. Hanson (2001) defined Culture:

Schools also have their own unique cultures that are shaped around a particular combination of values, beliefs, and feelings. These school cultures emphasize what is of paramount importance to them as they strive to develop their knowledge base in a particular direction, such as producing outstanding football teams, high SAT scores, disciplined classrooms and skilled auto mechanics, or sending kids to college who come from inner-city urban schools. Although the culture of a school is not visible to the human eye, its artifacts and symbols reflect specific cultural priorities (p. 641).

The culture of a school was the fifth of the 21 responsibilities of the school leader. By having a strong culture, the principal was able to develop a community of educators that were cohesive, promoted self-worth and connectedness, and had a shared vision among all staff members in the school (Marzano, Waters, & McNulty, 2005). Childress and Seen stated, "To truly change the [school], you need to change the culture" (p. 7). McEwen (2003) described the building leader as a culture builder. Within the overarching description of culture builder, she challenged the administrator to develop core values, communicate those values clearly, reward and cheer those who support the culture, and build the culture that people want to co-create. She wrote, "To be a Culture Builder is to engineer the development of a culture that has as its fuel, caring, concern, collegiality, humor, collaboration, communication, and character, combined with accountability, responsibility, and achievement" (p. 101).

Additional Behaviors Noted. In addition to these five behaviors, Marzano, Waters, and McNulty (2005) discovered a strong correlation existed among the following behaviors and student achievement: flexibility, discipline, outreach, and monitoring/evaluating. Each of these behaviors also supported the increase in student achievement and a culture of success within the school. The school administrator who exhibited flexibility adapted leadership styles to the needs of the specific situation. In other words, the effective administrator tended to operate with multiple leadership styles pending a given situation. McEwen (2003) shared that using the wrong approach can irritate or derail needed improvements. Therefore, the building administrator must have a keen awareness of leadership styles and know which to employ in a given situation.

In addition to flexibility, the building administrator must ensure instructional time is free of interruptions—both external and internal. By providing a structured discipline to increase student time on task, the building administrator must protect staff to preserve instructional time. Along with discipline, the administrator must also work to increase outreach within the community without it being a distraction to the school. Specific responsibilities identified for the behaviors of outreach included ensure that the school complied with mandates and advocated with parents, community, and school district (Marzano, Waters, & McNulty, 2003).

Finally, the last of the behaviors identified yielding high academic success was monitoring/evaluating. Whitaker (2012) surmised, “Effective leaders don’t waste their time or energy trying to persuade everyone that the new system will

work better than the old. Instead, they provide a scaffolding of procedures and techniques that help the timid to feel secure” (p. 75). He further maintained a professional belief that giving feedback and providing guidance on instruction increases the professional practices of the staff. McEwen (2003) echoed this sentiment by stating that administrators who were deemed highly effective did not expect the teachers to improve by themselves. Instead, supporting teachers instructionally through a hands-on leadership style produced an improvement in teaching practices.

Marzano, Waters, and McNulty (2005) provided 21 responsibilities of the building leader in creating effective student achievement. While all 21 responsibilities yielded results worthy to be considered in the study, those, which foreshadowed the highest instructional gain, were discussed, based on the meta-analysis conducted by the authors. Unknown is if and how these responsibilities transfer to impoverished context.

Indiana Student Demographics

According to the National Center for Education Statistics, 1,040,765 students were enrolled in public schools in the state of Indiana during the 2011-2012 school year. Nearly 28% of these students were identified as minority. Of all Indiana students, 47.82% of students participated in the Free Lunch Program under the National School Act from the federal government (NCES, 2011). With nearly 50% of all students in the state of Indiana experiencing some level of poverty, the explicit focus on such contexts is essential to understanding effective leadership.

Scholars have considered high achieving, high poverty schools. Of particular note, the 90/90/90 study focused on schools that were achieving in the 90th percentile, had a free/reduced lunch of at least 90%, and had minority population of at least 90%. The research focused on the instructional practices and strategies that were utilized by the teaching staff in the 228 elementary and secondary schools (Reeves, 2003). The research identified five practices that characteristics that were found in common in the schools studied: 1) a focus on academic achievement; 2) clear curriculum choices; 3) frequent assessment of student progress and multiple opportunities for improvement; 4) an emphasis on non-fiction writing; 5) and collaborative scoring of student work.

Each of these five areas focused on classroom instruction, and specifically, emphasized the need for improvement. “The comprehensive accountability system in use by these schools forced every school to identify five areas in which they measured improvement” (Reeves, 2003, p. 3). The focus on improvement was important as many students attended school in kindergarten with limited readiness skills needed based on academic requirements within standards. Reeves stated that ongoing, frequent assessments that informed instruction were preferred. Reeves went on to state that the techniques were replicable, persistent, and consistent (2003). Furthermore, the success of the 90/90/90 schools was identified; little attention was paid to leadership. Thus, a need existed to understand specific responsibilities of the school principal as the instructional leader, and how do those responsibilities translate to effective change high achieving, high poverty contexts.

Summary

This chapter provided historical context of the school principal from the creation of schools to today’s school leader. Additionally, the literature review provided information on two specific types of leadership: transactional and transformational. Within each of these types of leadership, the literature review detailed evidence of traits that were characteristic of each.

The literature review also provided specific examples of behaviors that school leaders use in high-performing schools. However, research was limited in understanding the specific behaviors school leaders utilize when leading high poverty, high achieving schools. Chapter three focuses on the methodology to respond to the proposed research questions, and address the gap in the literature discussed.

CHAPTER THREE
RESEARCH METHDOLOGY

This chapter lays out the methodology utilized to investigate my research questions. The purpose of this study was to investigate behaviors of principals in schools with a free/reduced lunch rate of 50% or greater that earned an “A” on the 2011-2012 Indiana Department of Education A-F model. The intent was to identify which principal behaviors were the most successful in high poverty, high achieving schools. Table 3.1 displays the questions and data sources for the study.

Table 3.1: Research Questions

Research Question	Instrument Utilized	Data Gathered
How do teachers rate their principal as an instructional leader, and what qualities do they identify as the most beneficial to have in an instructional leader?	Quantitative Instrument	Analysis of responses that were organized into the 21 behaviors; ranked 21 behaviors from administrator responses and teacher responses.
How do principals rate themselves compared to the teachers' rating in relationship to their ability to lead in specific behaviors?	Quantitative Instrument	Reported the rankings of 21 behaviors from teacher and administrator perspective and commonalities identified.
In high poverty, high achieving schools in Indiana, how do school leaders describe their behavior?	Qualitative Interview	Analysis of school leader responses from those interviewed.
Between transactional and transformational leadership, which leadership style tends to be more prevalent among administrators?	Qualitative Interview	Analysis of each school's responses; administrator responses utilized for trend creation.

Research Design

I designed a mixed-method study (Creswell, 2005) that was split into two phases. Phase one was quantitative in nature while the second phase was qualitative. One of the benefits of a mixed-method research approach was the ability to respond to a broader array of questions. In particular, the qualitative phase added insight into the quantitative responses given (Creswell, 2005).

Quantitative studies were designed to show the relationship between one category or another. The benefit of this type of research is a synthesis of data across the state of Indiana. To this end, phase one consisted of a series of questions to 186 elementary principals in the state of Indiana. Only principals who led schools with a free/reduced lunch rate of 50% or greater and earned an “A” on the Indiana Department of Education A-F model was eligible. Phase two utilized a qualitative approach in further examining the leadership of multiple elementary school leaders. The schools leaders were selected based on completing the survey, indicating an interest in a follow-up study, and holding a principal position during the 2011-2012 school year.

This study utilized both the quantitative process and the qualitative process due to the complementary nature of this particular topic. “Results from one method are used to elaborate on results from the other method” (Migiro and Magangi, 2011, p. 3759). There were many advantages for this particular method of study. Migiro and Magangi stated that some of those benefits included the ability to triangulate data—in essence using data from multiple methods of collection to identify trends— identified comparisons from quantitative data and qualitative data, and enhance the findings. Data sets were examined further, inferences were made, and common trends were identified. The primary benefit of

the mixed-method study was to understand behaviors across high achieving, high poverty schools, and then provides an in-depth analysis of specific day-to-day practices within the school setting.

Phase 1: Quantitative Study

Sample

The 2011-2012 letter grade data were obtained from the Indiana Department of Education. There were approximately 1,364 elementary schools in the state of Indiana during the 2011-2012 school year. Table 3.2 below breaks down the number of elementary schools in 2011-2012 that received a letter grade of “A” based on the percentage of students receiving free/reduced lunch support in the same year. In examining the table, a little over 5% of all schools who earned an “A” had a free/reduced lunch rate of 75% or greater. In fact, only 33.28% of schools who earned an “A” had half or more of its students participating in the free/reduced lunch program.

Table 3.2: “A” Rated Schools in Indiana by Free/Reduced Lunch Categories

% of Free/Reduced Lunch	Number of Elementary Schools with “A” Rating within F/R Lunch Category	% of “A” Schools within each F/R Lunch Category
0-24%	148	26.33%
25-49%	227	40.39%
50-74%	154	27.59%
75-100%	32	5.69%
Total	561	100%

From the information provided, data were organized to identify 186 elementary schools that received a letter grade of an “A” for the 2011-2012 school year and had a free/reduced lunch at or greater than 50%. All 186 elementary schools were selected for the study. Within each of the 186 school selected, the building principal was asked to

respond to the survey (discussed below). Data were collected from one building principal and up to 10 teacher leaders in each school. Fewer than 10% of the teachers selected responded to the survey. There was a principal survey and a teacher survey that was given to each group of participants.

Quantitative Instrument

The 92-item questionnaire designed by Marzano, Waters, & McNulty (2005) was utilized to operationalize the 21 qualities of effective leadership. Marzano identified large numbers of responsibilities and respondents were asked to rank their effectiveness in relationship to achievement for each behavior. The 92 questions were given to building administrators to rank order on a Likert scale of 1-4 meaning “This does not characterize me or my school” to “This characterizes me or my school to a great extent” (Marzano, Waters, McNulty, 2005, p. 161). A four-point Likert scale was selected to avoid respondents rating principal responsibilities in the middle or a neutral response. The survey focused on ranking principal responsibilities that were most likely to have an effect on *why* the school received an “A” ranking in student achievement through use of a Likert Scale. An example question within the survey reads: “The changes I am trying to make in my school will represent a significant challenge to the status quo when they are implemented.” The protocol and full instrument can be found in Appendix B and C.

This study was created to find out whether principals and teachers in effective Indiana schools embody the 21 behaviors from the Marzano, Waters, McNulty (2005) work. The 21 behaviors identified in the meta-analysis included: 1) affirmation; 2) change agent; 3) contingent rewards; 4) communication; 5) culture; 6) discipline; 7) flexibility; 8) focus; 9) ideals/beliefs; 10) input; 11) intellectual stimulation; 12) involvement in curriculum,

instruction, and assessment; 13) knowledge of curriculum, instruction, and assessment; 14) monitoring/evaluating; 15) optimizer; 16) order; 17) outreach; 18) relationships; 19) resources; 20) situational awareness; 21) visibility.

Variables

The IDOE assigned letter grades based on a school’s student performance and growth. Growth was calculated based on the student’s previous year’s school, and each student was labeled high, typical, or low growth based on the cohort who also scored the same score the previous year (see chapter 2 for further details). Different variables were utilized in each school setting, and there was not a specific way to identify which schools received an “A” based on performance or which schools received an “A” based on growth. In many cases, a combination of both performance and growth was calculated. A copy of the Indiana Department of Education issued sample report from 2011-2012 are included in Appendix D.

The teachers were asked to answer survey questions based on the administrator’s leadership during the 2011-2012 school year. Each school’s demographic information was also collected from IDOE.

The 92 survey items were aggregated to find a mean for each of Marzano’s 21 responsibilities. Each responsibility had a range of 3-6 questions that were averaged.

Quantitative Analysis

Descriptive statistics and bivariate relationships were ascertained. Results were reported for both the administrator and teacher groups. The leadership constructs were subjected to a non-parametric t-test, Mann-Whitney test, and ANOVA based on the years of experience of administrators. Results from teachers and administrators were also

compared.

One drawback of the quantitative component of the study was the inability to fully understand the culture of the school. Open-ended responses allowed focus on a specific group of respondents to provide more in-depth knowledge, which created the opportunity for more specific probing on how the responsibilities specifically impacted student achievement. Weiss (1995) stated that qualitative study responses “cannot be easily categorized, their analysis will rely less on counting and correlating, and more on interpretation, summary, and integration” (p. 3). Weiss also stated that the benefit of a qualitative study was that interviews provided information that cannot be gathered in any other format. This was certainly the case for the next step in this specific research design.

Phase 2: Qualitative Study

The qualitative component of this study provided self-reported behaviors that administrators attributed to their school receiving an “A”. The study identified responsibilities that were most likely to attribute to the “A” rating, and what responsibilities had little or no impact from the perspective of the results returned.

The qualitative component of the study created an opportunity to further examine the responsibilities within the day-to-day operations of the school. Interviews with the principals provided the ability to compare data from the quantitative to the qualitative sections, analyze tangible evidence within specific strategies that may come from administrator responsibilities, and offered further recommendations for future studies.

Sample

Upon receiving the surveys from the quantitative component, nine principals volunteered for further study. Respondents were selected based on the following criteria:

(1) responded to the quantitative study; (2) served as principal during the 2011-2012 school year.

Qualitative Instrument

Each interview consisted of two sections. The first section was comprised of open-ended questions which provided an opportunity to get to know the interviewee. For example, interview questions included information about years of experience in education, years of experience, school currently teaching, etc. See Appendix E and F for the interview protocol and instrument.

The second interview section focused on principal responsibilities. Questions were focused on strengths and weaknesses of the individual, how the responsibilities impacted, from his/her perspective, the success of the school’s ability to earn and/or maintain the “A” status. The instrument was a semi-structured protocol, and asked questions based on themes from the literature review and the research questions posed. In some cases, the principal demonstrated leadership styles and perspectives through documents, photographs, or other evidence submitted evidence upon the conclusion of the interview.

Procedures

All interviews were scheduled through a phone call or email to the principal. Individual phone interviews with each of the nine professionals were conducted via phone. Interviews averaged one hour. All interviews were conducted over the phone, recorded, and transcribed.

Qualitative Analysis

Miles and Huberman (1984) used what was called descriptive codes to identify trends from qualitative data. These codes allowed identification of potential trends from

the data. The data were analyzed then codes were revised. Additionally, codes help support a clean and adequate analysis. “Whether codes are prespecified or developed along the way, clear operational definitions are indispensable, so that they can be consistently applied by a single researcher over time...” (p. 60). When utilizing the process, the initial creation of 19 different codes within the data occurred. This process allowed commonalities to be identified, and created a shared understanding of the research collected.

After coding interviews, additional categories were created and memos were created. Findings were developed from those memos. Miles and Huberman (1984) wrote, “Memos are always conceptual in intent. They do not report data, but they tie different pieces of data together in a cluster, or they show that a particular piece of data is an instance of a general concept” (p. 69). Memos were generated from the data collected within the coding, and trends emerged from the process. Those findings are presented in Chapter Four.

The qualitative component of this study provided the ability to dig deeper into the rationale and day-to-day responsibilities of the instructional leader of the elementary school. With the quantitative data collected by both administrators and teachers, it was possible to rank order the responsibilities that were identified by the school sample. The qualitative component builds a foundation around each of the responsibilities to provide in-depth information about how the building leader supports the school setting in achieving the letter grade of an “A” for the school. Creswell (2003) stated that the data could be weighted in different means or emphasis. For the purpose of this study, the quantitative and qualitative information gathered was of equal importance within this

research study. However, the qualitative data collected could not have been solicited or refined without the quantitative information being sought first.

Within each school, there were also criteria in the selection of those who were interviewed. Due to the scope of the study, classroom teachers were not interviewed in the qualitative component of the study. The opinions of the principals interviewed were based on their own experiences working in the educational setting for the 2011-2012 school year. No other variables were considered in selection.

School names, cities, administrator names, and teacher names were changed for the purpose of this study. Quotations were edited for length and clarity. No other changes were made to interview transcripts.

Limitations of the Study

Due to the A-F model being new for the 2011-2012 school year, changes in the A-F model have occurred in following school years. Only schools that participated in the 2011-2012 administration or were a feeder school to those schools participating in ISTEP+ were included in this study. Another limitation of this study was that the schools identified to participate in this study were only elementary schools within the state of Indiana—results may not apply to secondary schools or schools outside the state. For the qualitative component, principals that chose not to respond with the quantitative component of the study were not included for an interview. It is possible that the most engaged principals were the ones that responded to continue in this study.

CHAPTER FOUR

RESULTS OF THE STUDY

The purpose of this study was to identify administrator behaviors that supported a high achieving, high poverty school. The survey focused on identification of instructional leadership behaviors. Interviews were conducted with school principals to provide a more in-depth understanding of leadership behaviors of school leaders in high poverty, high achieving schools. The data from the quantitative and qualitative study were analyzed to build understanding of the school leader’s role and responsibilities.

The mixed-method study addressed the following research questions found in Table 3.1. This chapter is organized to include the: (1) demographics/participants of the study, (2) quantitative findings, (3) qualitative findings, and a (4) synthesis of the findings.

Quantitative Findings

In September 2013, 186 school administrators in the state of Indiana received electronic requests to participate in this study. These 186 schools that were recognized as high poverty and high achieving based on results from the 2011-2012 school year. Of the 186 schools that were asked to participate, 33 administrators completed the survey (18% response rate). An additional 42 teachers completed the survey. A weekly reminder was given during the month of September and October.

Eight of the administrators surveyed were male, and 25 of the administrators were female. Twelve of the administrators surveyed had five years of experience or less as of the 2011-2012 school year, and eight of those administrators were in their first year of leading the schools. According to the Indiana Department of Education, the average years of experience of all administrators in the state of Indiana was 21.42 years. Of the 42

teacher respondents, three were identified as male, and seven had taught five years or less. Average years of experience for all teachers in the state of Indiana were not available.

Administrator Results

Table 4.1 shows the results alphabetized by responsibility. Highest rated responsibilities are bolded, and lowest ranked are italicized.

4.1—Administration Mean Comparison Table

	Administrator				Administrator		
	Mean	N	Std. Deviation		Mean	N	Std. Deviation
Affirmation	3.60	33	.37	<i>Intellectual Stimulation</i>	3.22	32	.53
Culture	3.65	33	.36	Knowledge of CIA	3.55	33	.43
Change Agent	3.38	32	.41	Monitoring/Evaluation	3.52	32	.36
Communication	3.79	33	.30	Order	3.53	33	.36
Contingent Rewards	3.32	33	.50	Optimizer	3.76	33	.19
Discipline	3.50	33	.36	Outreach	3.86	33	.26
Focus	3.44	33	.42	Resources	3.53	33	.37
Flexibility	3.55	32	.39	Relationships	3.57	32	.41
<i>Input</i>	3.29	33	.48	Situational Awareness	3.50	32	.38
Ideals/Beliefs	3.71	32	.34	Visibility	3.81	33	.26
<i>Involvement in CIA</i>	3.26	33	.53				

Notes: *CIA stands for curriculum, instruction, and assessment.

Of the 21 responsibilities rated within the questionnaire, the administrators rated (1) outreach, (2) visibility, (3) communication, (4) optimizer, (5) ideals/beliefs, and (6) culture as their most important responsibilities. The lowest rated responsibilities were (1) input, (2) involvement in curriculum, instruction, and assessment, and (3) intellectual stimulation.

Teacher Results


Table 4.2 shows the results alphabetized by responsibility for teachers. After items were averaged together, results were ranked. Highest rated responsibilities are bolded, and lowest ranked are italicized.

4.2—Teacher Mean Comparison Table

	Administrator				Administrator		
	Mean	N	Std. Deviation		Mean	N	Std. Deviation
Affirmation	3.00	42	.87	Intellectual Stimulation	3.14	41	.57
Culture	3.14	42	.75	Knowledge of CIA	3.20	42	.73
Change Agent	2.95	41	.57	Monitoring/Evaluation	3.27	41	.61
Communication	3.11	42	.85	Order	3.11	42	.85
Contingent Rewards	3.03	43	.68	Optimizer	3.30	42	.66
Discipline	3.11	42	.69	Outreach	3.41	42	.72
Focus	3.26	42	.71	Resources	3.17	42	.70
Flexibility	2.97	41	.78	<i>Relationships</i>	<i>2.85</i>	41	.93
<i>Input</i>	<i>2.90</i>	42	.91	Situational Awareness	3.15	41	.77
Ideals/Beliefs	3.16	41	.73	Visibility	3.20	42	.90
<i>Involvement in CIA</i>	<i>2.82</i>	43	.78				
Notes: *CIA stands for curriculum, instruction, and assessment.							

Of the 21 responsibilities rated within the questionnaire, the teachers rated (1) outreach, (2) optimizer, (3) monitoring/evaluation, (4) focus, (5) knowledge of curriculum, instruction, and assessment, and (6) visibility as the most important responsibilities. The responsibilities the teaching staff rated not as characteristic of their principal included (1) relationships, (2) involvement in curriculum, instruction, and assessment, and (3) input. Table 4.3 demonstrated the responsibilities highest and lowest rated by both teachers and administrators.

4.3—Ranked Responsibilities by Teachers and Administrators

	Administrators	Teachers	
	Highest Ranked	Outreach*	Outreach*
	Visibility*	Optimizer*	Optimizer*
	Communication	Monitoring/Evaluating	Monitoring/Evaluating
	Optimizer*	Focus	Focus
	Ideals/Beliefs*	Knowledge of CIA*	Knowledge of CIA*
	Culture*	Visibility*	Visibility*
	Affirmation	Resources	Resources
	Relationships	Ideals/Beliefs*	Ideals/Beliefs*
	Flexibility	Situational Awareness	Situational Awareness
	Knowledge of CIA*	Culture*	Culture*
	Order	Intellectual Stimulation	Intellectual Stimulation
	Resources	Communication	Communication
	Monitoring/Evaluating	Discipline	Discipline
	Discipline	Order	Order
	Situational Awareness	Contingent Rewards	Contingent Rewards
	Focus	Affirmation	Affirmation
	Change Agent	Flexibility	Flexibility
	Contingent Rewards	Change Agent	Change Agent
	Input	Input	Input
	Involvement in CIA	Relationships	Relationships
Lowest Ranked	Intellectual Stimulation	Involvement in CIA	
	<i>*Note: Teachers and administrators both rated responsibility as one of top ten most used.</i>		

It was also noted that the standard deviation of the results from the teacher survey was greater overall than those from the administrative results. This indicated that there was greater variance in the perceptions of the teachers in how administrators were running schools. Additionally, the teachers had lower average results than the administrators. One potential reason of the discrepancy was the teachers lack of understanding of the spectrum of duties the school principal. Another plausible rationale for the discrepancy was that the instrument was designed for administrators as a way to self-assess, while the teachers were evaluating the administrator. In a 1985 article, Manasse stated that the biggest difference among ratings occurred with curriculum progress, redirection of student behavior, and interpersonal skills.

Descriptive Results

The data were disaggregated based demographics including years of experience in education and gender. All administrator subgroups ranked a few behaviors as having the most impact. Those included ideals/belief, optimizer, outreach, and visibility. Educators with more years of experience (16 years plus) believed that focus, ideals/belief, and monitoring/evaluation were critical to the role of the school leader. Administrators with two years or more of experience reported that outreach (3.67) and visibility (3.59) were the most important behaviors in school leadership. In fact, all administrator groups' average response for visibility was greater than 3.50 with only outreach as a more important behavior at 3.63. The complete results from this disaggregation can be found in the Appendix G. In an effort to examine how leadership between the genders was affected, the results showed there was little discrepancy on leadership behaviors whether the leader was male or female. In fact, the only difference in the top five ranked behaviors showed females felt that focus was a more important skill and males felt monitoring/evaluating was. These differences were subjected to bivariate tests in a later section.

The Marzano, Waters, McNulty (2005) study also correlated each responsibility in relationship to student achievement. Table 4.4 itemized the list of responsibilities from Marzano, Waters, and McNulty and compared them to how the administrators and teachers in the study rated the responsibilities.

4.4—Responsibility Comparison Table

	Marzano, Waters, McNulty (2005)	Administrators	Teachers
Highest Ranked	Situational Awareness	Outreach	Outreach
	Flexibility	Visibility	Optimizer
↓	Discipline	Communication	Monitoring/Evaluating
	Outreach	Optimizer	Focus
Lowest Ranked	Monitoring/Evaluating	Ideals/Beliefs	Knowledge of CIA
	Culture	Culture	Visibility

Of the top six responsibilities, those who completed the survey agreed with Marzano, Waters, and McNulty (2005) that outreach was an important factor in school success. The authors identified outreach as “the extent to which the leader is an advocate and a spokesperson for the school to all stakeholders” (p. 58). The administrative respondents agreed with the researchers about culture being an important responsibility as well. Culture was identified as a primary tool the leader utilizes to help elicit change within the school. Marzano stated culture was “the extent to which the leader fosters shared beliefs and a sense of community and cooperation among staff”(p. 47). Finally, the teaching staff agreed with Marzano that monitoring/evaluating was a critical component to the day-to-day responsibilities of the school leader. The researchers found that continuing to monitor the practices of the instruction of the school and being aware of the impact of those practices was a critical practice of school leadership. Teachers may have rated monitoring/evaluating as a higher ranked behavior than administrators due to the changes in the teacher evaluation system, and the rigorous demands placed on observations and feedback from administrator to teacher. Administrators, having a different view of the principal role, had not ranked monitoring/evaluating as one of the top five behaviors due to the scope of the position.

Bivariate Analyses

A series of tests were conducted to find statistical differences within the responses of the administrative and teacher respondents on the survey. Non-parametric t-tests were conducted, as well as the Mann-Whitney Test of the data based on gender. These tests did not find statistically significant differences in the data from males to females for both teachers, administrators, and when the data were combined. This study did not discern a difference in leadership across the 21 Marzano constructs. However, given the small sample size, it is possible differences could exist and this study was not powerful enough to detect such differences.

The data illustrated those administrators with 11+ years of experience scored the affirmation, flexibility, and situational awareness higher on the 4-point Likert scale than school leaders who had less years of experience. Results were also subjected non-parametric t-tests, Mann-Whitney tests, and ANOVA based on the years of experience of administrators. A one-way ANOVA was used and Table 4.5 indicated that differences among the administrators with varied years of experience. Three of the behaviors differed significantly when analyzed.

4.5—ANOVA Results by Administrative Experience

Behavior	1-5 years experience	6-10 years experience	11+ years experience	F	p
Affirmation	3.58	3.4	3.81	4.18	0.03**
Culture	3.61	3.63	3.48	1.18	0.32
Change Agent	3.34	3.25	3.43	0.54	0.59
Communication	3.75	3.73	3.93	1.89	0.17
Contingent Rewards	3.34	3.23	3.42	0.52	0.60
Discipline	3.34	3.53	3.59	1.14	0.34
Focus	3.52	3.30	3.60	1.27	0.30
Flexibility	3.53	3.32	3.75	4.27	0.03**
Input	3.00	3.13	3.42	2.57	0.10
Ideals/Beliefs	3.66	3.73	3.75	0.19	0.83
Involvement in CIA*	3.42	3.13	3.30	0.76	0.48
Intellectual Stimulation	2.90	3.28	3.36	2.27	0.12
Knowledge of CIA*	3.41	3.58	3.63	0.81	0.45
Monitoring/Evaluation	3.53	3.47	3.62	0.51	0.61
Order	3.63	3.50	3.67	0.66	0.53
Optimizer	3.77	3.69	3.80	1.11	0.34
Outreach	3.81	3.83	3.91	0.36	0.70
Resources	3.54	3.57	3.63	0.18	0.84
Relationships	3.56	3.40	3.69	1.41	0.26
Situational Awareness	3.50	3.25	3.67	4.23	0.03**
Visibility	3.83	3.77	3.90	1.21	0.31
* - CIA stands for Curriculum, Instruction, and Assessment					
** - $p \leq 0.05$ = significant difference					

The three groups had different responses across the affirmation construct.

Administrators with 1-5 years, 6-10 years and 11+ years rated this construct 3.58, 3.4, and 3.81 respectively ($F(2, 26) = 4.183, p = 0.027$). Affirmation was the “extent to which the principal recognizes and celebrates accomplishments and acknowledges failures” (Marzano, Waters, & McNulty 2005, p. 49). The school leader who exercised the skill of affirmation was responsible for creating a “balanced and honest accounting of a school’s

successes and failures” (p. 43). The most senior administrators felt this was a behavior that was critical to the cultural development of the school. Principal McKinley agreed that accepting responsibility was a critical component of the school leader stating, “...share praise and accept all responsibility for what goes wrong.”

Flexibility also had a statistically significant difference. Administrators with 1-5 years, 6-10 years and 11+ years rated this construct 3.53, 3.32, and 3.75 respectively ($F(2,26) = 4.271, p = 0.025$). There was a sense of flexibility instilled within the shared leadership in the school to try new avenues and, if found to work, were repeated. If the strategy was not able to yield results, it was abandoned. This effort of flexibility created a strong culture of academic growth nested in the expectations of high achievement, and senior administrators recognized this ability and embraced the efforts of the teaching staff. These statistical differences may differ due to newer administrators not feeling comfortable in the position to afford flexibility in certain areas such as instruction, discipline, or evaluation. Veteran administrators may have a different perspective on which issues may be able to have more flexibility.

Finally, there was a statistically significant difference in situational awareness. Administrators with 1-5 years, 6-10 years and 11+ years rated this construct 3.50, 3.25, and 3.67 respectively ($F(2, 26) = 4.236, p = 0.026$). There were not statistical differences among the other behaviors within the study. These findings supported existing work about principal behavior as these behaviors were found to have a higher correlation for student achievement (Marzano, 2005). For example Marzano found that situational awareness was the single most important behavior trait connected to student achievement. Situational awareness meant the administrator was able to understand the information within the

school and how to address potential problems. This may have been ranked higher from more seasoned administrators due to simply having more years of experience as a school leader and being able to adequately orchestrate these behaviors with the knowledge that comes from being an administrator. These three behaviors appeared as findings within the qualitative analysis of the study, as well.

The quantitative data provided descriptive information on the behaviors of the school leadership. Both the administrators and the teachers ranked the behaviors that were most prevalent in the high poverty schools’ leadership. Yet, challenges existed to see how the behaviors of the school leaders were activated within the schools. For example, the surveyed administrators ranked visibility as the second highest of all behaviors. Yet, it was under visibility looked like in application. The qualitative component of the study provided context to each of the behaviors. An in-depth analysis follows of how the perception of behaviors was activated in the high poverty, high-performing schools.

Qualitative Findings

School Demographics

Each of the schools examined had a free/reduced lunch rate ranging from 50.40% (Madison Elementary School) to 67.60% (Polk Elementary School). Table 4.6 provided the demographics of each school. It is important to note that not all students were receiving Title One services. Title One services were identified in each school district based on free/reduced lunch rates, and money was allocated for educational purposes by the federal government. Services varied at each school based on need of the student population. Principals interviewed, including Principal Garfield, discussed the responsibility schools

have in supporting students and families in high poverty schools including the hiring of school administrators.

4.6—School Demographics* for 2011-2012

School	Enrollment	Number of Teachers	Free/Reduced Lunch Rate	EL Rate	Special Education
Washington ES	332	22	55.00%	0.53%	14.00%
Adams ES	366	19	66.10%	1.40%	15.00%
Jefferson ES	603	38	44.60%	6.80%	15.40%
Madison ES	464	30	50.40%	1.50%	15.10%
Jackson ES	460	25	60.70%	24.60%	15.70%
Van Buren School	471	33	54.40%	8.30%	24.00%
Harrison ES	251	18	61.00%	0.00%	23.10%
Tyler ES	502	25	57.80%	8.60%	14.30%
Polk ES	679	46	67.60%	13.50%	12.80%

Notes:
*Demographics were obtained from the Indiana Department of Education Compass Web Site on November 3, 2013.

Whether they (teachers) need some, some release time to work on curriculum. Whether they need me to intervening with parents in a student situation or getting outside resources for them. Whatever that is, I think that is huge, especially working in a high poverty school, there are so many outside issues, and things going on. Making sure that I am hiring the best persons to support them. Being a support person and advocate for them. Whatever that needs to be. Principal Garfield

While each school shared basic demographics and discussed the need for high caliber faculty, there were many other factors that were unique to each school. Some of those factors included: hiring and retention practices, a variation in special education population and English Language Learners population, and bonus points on state testing factored by the state. Principal Garfield placed a high importance attracting and hiring quality instructional leaders. By hiring the best teachers, he was hoping to compensate for the impact of poverty. In addition to the responsibilities of reaching the needs of students who came from homes in poverty, administrators themselves felt that they were an asset to

their staff in making sure students’ instructional needs were met through supporting the classroom teachers.

I would say that I am very calm and very knowledgeable. After 41 years in the district and my teaching career is all in the inner city, and my second school was the highest poverty school in the district at 96%, I had a much better understanding of poverty than my teachers did and how to work with it. I was also a special ed. teacher. The school I am at I now I have been there for 15 years was lower poverty one until say the last ten years. The calmness and understanding I have been able to bring with them [the teachers] about let’s not freak out about this, poverty we can deal with. We address it, we give them the same expectation, we work toward the common goal, we get the kids extra help, we get volunteers, and we are all pushing together. Principal Harrison

All nine schools had a special education population rate of at least 11%. Based on school enrollment, special education students in grades K-5 were identified with a disability ranging from specific learning disability, speech impairment, autism, or one of the other six identifications eligible in the state of Indiana. Depending on the experience of the principal, administrators commented that one of the areas that teachers came to them for support was for the instructional knowledge of working with children in special education.

We have quite a few special ed kids. We are at almost 500 kids and 25% special ed. They will ask advice on that. In particular those kids—and sometimes the lower kids in the classroom that are going through RTI. I will give them some suggestions. I will give them some classroom management, especially my younger teachers. I have one in particular that I am working with—this is her second year—she has had some issues. Part of it has been her room setup. I have made some suggestions to her that has made it more successful. Principal Harrison

In examining Table 4.6, the demographics of each elementary school had at least 1 out of 10 students with a disability attending the school. Six of those schools had percentages greater than 15%. All but one school had English Learner (EL) rates less than 15%. Administrators modified the techniques for classroom instruction, and it was important for the administrators to create instructional programs and placement that looked at what was best for each student. The administrators made decisions based on

past practice for student placement and built a network of support for each student. This was not an unusual finding in how administration developed ways of problem solving to support student learning.

What I am trying to do, is what we do and how do we make them in successful. I can give you an example real quick. Most schools, when kids were in special education and in self-contained and you wanted to mainstream them, you always said let's try music, gym, and whatever else. We stopped that my first year there. What I realized was, I was putting them in a competitive situation where they didn't know these kids. Especially is in gym. There are other skills you need just like art and music. We worked with some teachers in a grade level. When we were ready to mainstream, I remember, a second grader from ED room, we visited every classroom. And, we put him in a classroom the student chose. Teachers had some input. That has proven to be extremely successful. They were ready. Principal Hayes

School Letter Grades

As mentioned in Chapter Two, the Indiana Department of Education created an A-F Letter Grade Model that was based on a combination of achievement and growth. The letter grade was a system of points converted into a letter grade that was made public to demonstrate performance of the school for that academic year. Bonus and penalty points were award for growth factors only.

Table 4.7 displayed the achievement scores, and how bonus points or penalty points were issued. All nine schools had no penalty points during the 2011-2012 school year. It was important to note that had bonus points not been included within the model, none of the schools would have been awarded an “A” status based on overall percentage achieved. The growth model provided incentive and penalty for schools that were unable to demonstrate growth based on the model provided by the state.

4.7—Overall ISTEP+ Results* for 2011-2012

School	Math Overall%	ELA Overall%	Math Bonus Points	ELA Bonus Points	Letter Grade
Washington ES	84.50%	93.20%	2 Bonus Points	2 Bonus Points	A
Adams ES	85.00%	86.30%	None	1 Bonus Point	A
Jefferson ES	91.90%	88.90%	None	1 Bonus Point	A
Madison ES	87.20%	90.30%	2 Bonus Points	2 Bonus Points	A
Jackson ES	84.80%	82.70%	None	2 Bonus Points	A
Van Buren School	83.30%	85.00%	None	1 Bonus Point	A
Harrison ES	81.30%	82.80%	None	2 Bonus Points	A
Tyler ES	84.70%	78.60%	1 Bonus Points	1 Bonus Point	A
Polk ES	88.50%	87.10%	None	1 Bonus Point	A

Notes:
*Demographics were obtained from the Indiana Department of Education Compass Web Site on November 3, 2013.

All nine schools where interviews were conducted had achievement ranging from 78.60% to 80% in at least one content area. When asked about the bonus point process, Principals Grant and Hayes indicated that their teaching staff was not aware of bonus points or how they were awarded by the state. “The bonus points...I don’t remember what they were for. I think they were bottom 25% high growth. I think it goes back to that we make researched and educated decisions” (Principal Grant). One administrator, Principal Pierce, provided specific examples of how her staff used data for bonus points.

I am going to look at the data real quick. There was and always is on my school a focus on the bottom 25% and push them to high growth—typical or high growth. We just don’t let go of them. We have a solid special education and intervention staff that work tirelessly with the bottom 25%. I have teachers who stay after school. 10 out of the 19 teachers stay regularly after school for tutoring with the 25%. On the top 75% pushing high growth, we really are working on differentiation. There is even a focus on the top 25%. The 25% generally get left out, they are going to pass anyway. There is an intention that we work on with the high ability population. I cluster group classes now. Principal Pierce

While many of the other administrators did not specifically state they understood, shared, or used the bonus points growth model with their staff, it was evident that data-driven, decision making was part of their weekly conversations with teachers. Principal

Grant indicated his staff earned bonus points because his staff made decisions based on research-based, best practice. “I think it goes back to that we make researched and educated decisions. We do a ton of small group work. We have enough para [paraprofessionals] and support staff in the building to where they have a full schedule of support.” Principal Garfield also alluded to the importance of working with teachers on an ongoing basis in grade level meetings. “We did use the growth data, and looked at individual students. We looked at kids in our grade level meeting. We looked at individual kids; we looked at scores, and looked at data individually.”

Administrative Demographics: Transactional & Transformational

Of the 33 administrators that completed the survey, nine administrators agreed to participate in a telephone interview. The nine administrators were part of the administrative team at their school during the 2011-2012 school year, and administrative experience ranged from 3-25 years of experience as administrative leaders with average years of leadership experience of 13 years. School and administrator names were changed for purposes of data reporting. Table 4.8 outlined the nine schools, principals, years of experience, and leadership style.

4.8—Principal Demographics

School	Principal Name	Years of Leadership	Leadership Style Quantitative*	Leadership Style Qualitative**
Washington ES	Mrs. Pierce	14 years	Transactional	Transformational
Adams ES	Mrs. Buchannan	15 years	Transactional	Transformational
Jefferson ES	Mr. Grant	3 years	Transactional	Transformational
Madison ES	Mr. Hayes	18 years	Transformational	Transformational
Jackson ES	Mrs. Garfield	10 years	Transformational	Transformational
Van Buren School	Mrs. Harrison	25 years	Transformational	Transactional
Harrison ES	Mrs. Arthur	15 years	Transformational	Transformational
Tyler ES	Mrs. Cleveland	9 years	Transformational	Transformational
Polk ES	Mr. McKinley	8 years	Transformational	Transformational
Notes: *Leadership Style determined from survey based on averages of each responsibility divided by all responsibilities. Each responsibility was identified as more transformational or transactional in chapter 2. **Leadership Style determined from interview data based on trends found within the interview.				

Each principal completed the questionnaire, and the data were ranked in each of the leadership responsibilities from the strongest to weakest skill based on his/her perception. Each leadership style was designated as either more transactional or transformational consistent with chapter two. An average of each responsibility mean was calculated to develop an overall mean for the two overarching leadership styles—transformational leadership and transactional leadership.

While the quantitative component of the study was correlated to more transactional or transformational based on the literature reviewed provided in chapter two, the administrator interviews provided a different context. Nearly every administrator provided evidence that transformational leadership was the primary style utilized. In fact, only Principal Harrison was found to be more transactional in nature. Principal Harrison discussed delegation of duties as a primary focus in her interview, for example: “I have had

assistant principals until last year, and the test and data piece of disaggregation piece was always theirs.”

Table 4.9 provided the mean for each of the two leadership styles for each principal. The dominant leadership style identified for each school principal was based on how each principal completed the survey. It was important to note that leadership styles in both transformational and transactional appeared in the data for each school leader. Depending on individual circumstances, one or the other leadership style was used. For example, Principal Arthur articulated that the fine line between transformational and transactional leadership styles varied based on support needed.

She stated, “When they let you know they need something, you are responsive to those needs. There is that fine line with not being the buffer, and not letting the excuses to weigh your decisions making too, and you have to hold fast on the goal is. [It has to] Be that uncomfortable push when they are wary of what you are asking them to do” Principal Arthur.

4.9—Leadership Style by Mean

School	Principal Name	Transactional Mean	Transformational Mean
Washington ES	Mrs. Pierce	1.67	1.57
Adams ES	Mrs. Buchannan	1.67	1.39
Jefferson ES	Mr. Grant	3.43	3.38
Madison ES	Mr. Hayes	3.63	3.65
Jackson ES	Mrs. Garfield	3.45	3.57
Van Buren School	Mrs. Harrison	3.65	3.66
Harrison ES	Mrs. Arthur	3.08	3.62
Tyler ES	Mrs. Cleveland	2.97	3.03
Polk ES	Mr. McKinley	3.20	3.26
Notes: *Means determined based on averages of each responsibility divided by all responsibilities. Each responsibility was identified as more transformational or transactional in chapter 2. All administrators have responsibilities that demonstrated both transactional and transformational tendencies.			

Leadership Skills Prevalent

School leaders self-identified strengths and weaknesses based on their experiences, education, and research. It was important to note that principals indicated visibility, high expectations, and collaboration as general strengths. Principal Pierce specifically discussed the understanding of visibility through situational awareness, the specific skill that Marzano’s research indicated as the strongest correlation with student achievement. “I believe that as a principal as far as visibility was concerned. I was in the classroom every day and I think that provides stability for students and staff to know that the leader in the building is not just visible and available, but is engaged in day-to-day activities, the day-to-day to situations in the classroom and is situationally aware of what goes on throughout the building.” Table 4.10 lists the principals’ self-description their own leadership styles and skills. These descriptors were important in determining how the school principals saw themselves as instructional leaders within their schools.

Yet, when asked what areas for improvement were, all indicated areas for growth resided in the areas of instructional leadership. Principal McKinley stated that providing instructional leadership in having candid conversations was critical to school improvement of the teaching staff. “My natural behaviors are to be a people pleaser. Sometimes being a people pleaser I tend to sugar coat things when you shouldn’t—especially when it comes to teacher evaluation. It’s something I have to work on this year, and putting in support plans.”

4.10—Leadership Strengths

School	Principal Name	Strength 1	Strength 2
Washington ES	Mrs. Pierce	Visibility	Collaboration
Adams ES	Mrs. Buchannan	High Expectations	Visible in Classrooms
Jefferson ES	Mr. Grant	Parents Feel Welcome	Communication
Madison ES	Mr. Hayes	Shared Leadership	Collaboration with Staff
Jackson ES	Mrs. Garfield	Collaboration	Sense of Urgency
Van Buren School	Mrs. Harrison	Servant Leadership	Business Oriented
Harrison ES	Mrs. Arthur	Sense of Urgency	Friendly Push-Instruction
Tyler ES	Mrs. Cleveland	Flexibility	Communication
Polk ES	Mr. McKinley	Shared Leadership	Servant Leadership

Synthesis of Findings

Based on the strengths of the leaders and the context in which the interviewees constructed responses, five themes emerged. Those themes included 1) The administrator was dedicated and committed to his/her job through reflective practice and positive disposition toward work and faculty; 2) The administrator provided instructional support including visibility through informal and formal capacities, including feedback through walkthroughs of classrooms, observation of instruction, and presence in non-instructional areas; 3) The administrator shaped the culture for all members of the school community through high expectations, data-driven conversations, and collaboration; 4) The school administrator firmly believed the ability to connect with parents, family members, and community was an essential element of the high poverty, high-performing school leader; 5) Poverty was not an excuse for failure. School administration was adamant that while poverty was a piece of the puzzle for student success, the characteristics that were prevalent in high poverty schools would not define the ceilings of student growth.

Theme #1: The administrator mindset was dedicated and committed to his/her job through reflection practice, positive disposition toward work and faculty, and spending time beyond the required contracted time to ensure that their school would succeed.

Marzano Responsibilities Identified to Theme: Communication, Culture, Affirmation, Monitoring/Evaluating, Visibility

In order to understand the context of the school administrator, the quantitative and qualitative data were critical in realizing the qualities that made the administrator effective in the role he/she served. In the survey, the administrators ranked optimizer as one of the top skill sets needed to be effective. Marzano’s definition of optimizer stated that leader was the positive and inspirational emotion that was brought to the school. An effective school leader was identified as a leader who was concerned with communication (another highly ranked behavior by the administrative team), worked to build relationships in an effort to support the staff, empowered staff members to take the lead, reflected on one’s own leadership styles—whether transformational or transactional—all to increase performance, and expounding on how their contracted time was not the measuring stick for quality or quantity in the profession.

Communication. The school administrators were adamant that his or her responsibility was to communicate dedication to the school. Part of that communication referred to the ability to state expectations. An effective school administrator was one who clearly communicated the goals, vision, mission, and day-to-day practices of instruction. Communication skills were identified as an imperative trait that administrators felt was critical in performing the duties of the school. Cleveland believed that the school administrator must be able to communicate to support staff in implementation of the goals of the school.

Communication piece—I just feel strongly about this, and that if you cannot

communicate what you need as a leader you go quickly down the wrong path. Communication is one of those big tools we have to have in place. There is no set time, and that is a fault of mine, because there is no set time to look for emails. I answer immediately. I have a 24-hour rule from teachers, parents, and staff. You will hear from me and I will work on it within 24 hours or something is wrong. I expect our teachers do the same. It doesn't have to be the answer. But, "I am working on it. I will get back to you." I come back to my office, and I do what needs to be done clerically. I may answer the phone and email. Lunchtime—we don't get a lunch—but it's about the work with students who struggle in cafeteria, recess, and helping with reading. Principal Cleveland

Relationships. Implied in Principal Cleveland's statement was the idea of developing positive relationships with staff. He gave a very specific example about a quick turnaround in communication. That quick turnaround in communication, however, was also an example of how to strengthen relationships. Cohen (2009) identified three components of relationships within the school. Those components included respect for diversity, school community and collaboration, and morale and "connectedness". Nearly every administrator connected the importance of relationships and the connectedness and morale of the staff. Administrators agreed that personally connecting with staff made for better working conditions, and allowed for the focus to be on the students.

I try to make the school a feeling a sense of community for my teachers, my kids, for my families. I want to know my students lives outside of school. I want to know about my teachers' lives outside of school. I think the teachers know that I care. I think the students know that I care. I think the parents know that I care. Staff members work harder when you know that I care or that they are cared about. Principal Grant

Principal Arthur agreed that building relationships was a component of effective communication as well. In fact, communication was just the starting point. Arthur also observed that being an active listener was critical in the success of relationship development.

I think that (building relationships) is just through every day conversation you have with them. The fact you are there a) to listen and b) to help. If you are in and out of

their rooms constantly they know you are there to do whatever you can to assist them. When they let you know they need something, you are responsive to those needs. Principal Arthur

Connectedness to shared leadership and relationships included the idea of a conscientious, caring, and competent administrator. Administration discussed the necessity of taking care of the faculty and being the supportive component of the school as well. The school leaders emphasized listening to the staff, and providing answers and strategies when capable. They understood the limits that were there, but tried to supply results and answers whenever possible to be supportive. Some support may look like staffing while other support may be programs or specified professional development. For example, Principal Grant shared that he brought in consulting company Smekens Education Solutions, Inc. to create a pathway for support in writing instruction, an area that Grant felt was a place where teachers needed direction.

I think they (teachers) always want support. I think they are looking for more to give more support pull out groups. They want more instructional assistants and special education support. I often hear that. They want...initially, we brought in the Smekens writing. They wanted a lot of support for that. This year they are doing quite a bit better. I don't know if I have a third one. They are looking for any type of support for general. They want to know I am supporting them. Principal Grant

Grant was adamant that his role as the school leader was to listen to the needs and then find a way to support the request. By bringing in the consulting firm Smekens Education, Grant was better able to articulate the vision of his school through the efforts of creating common language in writing instruction and process writing. It would have been easy for Grant to ignore the needs of his teachers, but by bringing in support, he gained the trust and respect of the staff. He felt they were slowly realizing they were on the same team and he was there to be an asset for the school.

Compassion was a trait that school administrators emphasized as an area that was built within the success of their time as a school principal. Helping teachers through instruction and staffing was one thing, but developing compassion for the role of the teacher was a unique trait that Principal Hayes emphasized.

I try to focus and remember what it is like to be a teacher. That can be anything from taking over classes and teaching, to in our case, if I do that, then the focus is on the kids. Really that is the end all and be all for me. Every day that kids leave or school they gain something academically and socially. Principal Hayes

Distributed Leadership. Harris and Spillane (2008) wrote that a shared leadership style, known as distributed leadership, “acknowledges the work of all individuals who contribute to leadership practice, whether or not they are formally designated or defined as leaders” (p. 31). Each administrator specifically stated that the ability to lead was done through the commitment and power of others within the school. All stated that efforts from teacher leaders within the school made the role of school leader more effective. Through choreographed and calculated processes, the school leaders invested in others to help perpetuate the mission and vision of the school. Each gave accolades to the staff and their endeavors in achieving the success within the school.

I learned this from my mentor administrator. You plant seeds early, early on. You never truly push at that. You start a seed. As with anything, like turning a ship takes a little while. Planting those seeds along the way so when you are ready to move on it, the ripple has gone through the school and person, and the person has time to absorb it and think about it. That is where change happens the best. You find the key players in your building to help that change. Seeds have been planted, and key players have been. It’s that shared leadership that many of us do. We find people that are top performers, and say I trust you, want you, and support you. You listen to their ideas in how can we get this done and work together as a team. Principal Cleveland

Principal McKinley also connected to Jim Collins’s work *Good to Great* and relied on the ability to have staff members working in areas that helped them was successful. With

individuals in the right place, the ability to work together was a simpler process. Harris and Spillane (2008) also discussed the complexity of the school leadership and how to simplify. “There is a growing recognition that the old organizational structures of schooling simply do not fit the requirements of learning in the twenty-first century...” (p. 31-32).

We meet weekly to have discussions what is best course of actions on things. How are they going to take care of each part, and how are they going to support me while I am in the classroom. A lot of that is based on Jim Collins work in leadership, *Good to Great*. It’s my favorite book. One of the things he talks about is simplified leadership. That is what I strive for in that book and share praise and accept all responsibility for what goes wrong. Principal McKinley

A shared leadership approach also meant that school leaders were able to recognize that the success of the school was not just completed by one person. The success was the result of multiple people working together toward a common goal. But that success was rooted in a deep pride and passion for what the school was able to accomplish.

I think it is important for you to know that truly my passion is for my children within this building. I have been a part of the community for 15 years, and I believe very strongly in what we are doing. I believe having a very supportive central office has made a huge difference in what I do. I have also been able to surround myself with excellent teachers, a fantastic literacy coach, and a counselor who goes above and beyond, and I could not do it without them, and very, very fortunate with the situation I am in, and feel very proud of them with what I done. We are really struggling right now with school vouchers, charter schools, and everything else ensuring that our community knows what is going on, and that we are continuing to work and it is making a big difference. Principal Buchannan

Reflective Practitioner. The school leaders reported that three important roles were the communicator, the shared leader, and the supporter. All of these traits were only possible through the practicing administrators reflecting on their own learning, decisions, and actions of the days. Throughout conversations, administrators frequently referenced that if they were to go back and re-do a situation, they would handle it differently. They

also discussed their instances of confidence in specific decisions they made. This reflective tendency made the administrators real, thoughtful, and stronger because they were constantly thinking about their decisions and learning from practice.

We don't do a lot of sole leadership in this building, even with discipline with kids. I sit down with teachers. What does this kiddo need? What's been used in the past? Let's come up with something better. That is what I would say. Me saying those words, "I believe with you." Teachers are here. You are here. That's why they came to school. Why were you here today? Were you here to work? We are here to work hard. They hear from me constantly, "We are here to work. If I am not working, I am not doing my job." I am going to push to make myself better and make them better. Principal Cleveland

The reflective leader engaged in this practice through all facets of the school leadership. One might assume that confidence, trust, and all knowing would be traits administrators self-identified in working at high poverty, high-performing schools.

However, some school leaders, such as principal McKinley, discussed quite the opposite.

To be honest with you, being a school leader, I question my decisions every day. I reflect every day. It's huge. Reflection is huge. I try to get my staff to see and do this. Did I do the right thing? Especially, with the kids—did I make the decisions for that child, class, and school? I look at my peers and the 33 elementary leaders, and I hear the same words from them. I think you have to reflect all the time. Am I making the best decisions? Are the decisions I am making supporting of my goal in reaching high standards. Principal McKinley

Contracted Time. All of the traits identified in this theme were behaviors that were inherent in the school leader. So it was not a surprise that these types of school leaders also invested ample time to their school. Every principal indicated that an eight-hour workday was atypical. Whether it was early in the morning, late in the evening, or more work after young children were put into bed, school administrators easily clocked 10+ hour days. Administrators work hard to be visible during the day so the likelihood of doing the day-to-day paperwork for evaluations, testing schedules, observations, or emails was pushed to the after hour times of the day.

I am usually there until about 7:00 at night and then take something home to read. Sometimes, I take some stuff home to do on computer. I try to get done with school stuff at 9:30-10:00. I exercise every morning at 5:30 and whatever else. If there are meetings I go to meetings. I am fortunate I am not a title one principal I am not bombarded with that stuff. Because our school scores are pretty solid, I don't have to attend a lot of meetings. Principal Hayes

Administrators who served in a school which received Title One dollars often had different responsibilities than school leaders who did not receive title one dollars. In addition to typical responsibilities, Title One school leaders often were responsible for the Title One budget, which encompassed professional development, funding for family involvement, and personnel expenses. Additionally, Title One schools often had additional staffing in the school to help meet needs of the students. With additional staff at the school, the school leader hired, trained, monitored, and evaluated these staff members as well. Simply put, Title One administrators had more responsibility than non- Title One school leaders.

It was also important to note that the school leaders recognized outreach was the number one behavior that was critical to the success of the school leader. Part of the outreach was being available at all times of the day—morning, noon, and evening. Principal Garfield specifically discussed the ability to be visible and available at evening events.

I don't usually get out of there until 5:00-5:30. There are many times that we are staying there later. My goal is to stay for an evening activity that our parent teacher group puts on. I do have an assistant principal there, so if I have another meeting or church event or board meeting, she is there and is the rep. She can step in and take over. Our presence is always known. Principal Garfield

Garfield, as well as all the administrators, shared their daily schedule not for the praise of being recognized for all the extra time that was put into the school. The conversations were built on a matter-of-fact philosophy that in order to be the school

leader that was needed, the additional time was necessary. Principal Pierce commented that at her point in life she was able to put in the extra time and shared she would not know how young administrators with families would be able to balance the time commitment. Garfield’s testament modeled that the school leaders were there because they needed to be there

Theme #2: The administrator provided instructional support including visibility through informal and formal capacities, including feedback through walkthroughs of classrooms, observation of instruction, and presence in non-instructional areas.

Marzano Responsibilities Identified to Theme: Outreach, Climate, Culture, Situational Awareness, Order, Input, Resources, Visibility, Situational Awareness, Involvement in Curriculum, Instruction, and Assessment

A second emerging theme from the quantitative and qualitative data included the role the principal played in being present in the school. Research conducted by Goddard, et al. (2010) found a strong correlation between the principal’s instructional support and the degree in which differentiated instruction occurred as a norm. The study demonstrated that the school leader was an active participant in the instructional conversations and plans for implementation in the school setting. By playing an instrumental role in the instructional component of the school day, the school leader proved a vested interest in the success of the school.

Goddard’s research also connected with this study in examining the administrator’s instructional support in the area of visibility. Both the teachers and the administrators surveyed indicated that visibility was one of the most important leadership behaviors observed for the success of student achievement. In fact, on the Likert Scale, administrators ranked visibility at a 3.81 average with outreach being the highest ranked with a 0.5 mean difference as compared to teachers. Teachers ranked the behavior with a 3.2. This was 0.2 of a point difference from the highest ranked behavior by teachers. The

interviewees tended to focus on the instructional support through visibility and instructional feedback using walkthroughs and observations as primary methods.

Visibility. One of the goals administrators discussed in the interviews was the ability to be visible. They believed the connection between culture and visibility was necessary for success in the schools. Principal Cleveland stated, “The climate of our building is me being visible.” Visibility meant administrators being seen by the students and staff in and out of the classroom. Administrators emphasized how critical this was to the overall effectiveness of their job as a school principal. Whether it was in official observation capacities or a meet and greet in the morning, all saw the principals in the school setting—not sitting behind the desk. The school leader is the face of the school in the community.

As a leader we are a PR people all away around. People watch your movement, your language, where you stand in the hall, they watch your interactions with kids, interactions with parents, interactions with teachers. They watch if you are smiling or not. You hear the undercurrent of don’t go into the office because she’s not in a good mood. All parties watch you. It’s almost like paparazzi where you go out and people think they know you because you are in a small community, watch what you say, watch what you do, watch what you say through Facebook, email, being visible, true and honest is something that has built our climate to where it is right now.
Principal Cleveland

Visibility was not just being present. Visibility meant supporting teachers. Gimbel, et al. (2011) conducted a study on teacher quality and found that visibility was highly ranked by both administrators and teachers as an important component to teacher quality and school effectiveness. Part of visibility meant being present to answer questions.

I would say visit each of the classrooms in the morning as long as I am not getting paged to come to the office for a parent of situation needing handled. I stop by each of the classrooms in the morning, kids are okay, teachers are okay, and answer questions as needed. That is pretty much how the morning begins. Principal Arthur

Relational building was a component of the cultural tone set forth in being visible as a school leader. The ability to be relational was discussed further in the Theme 3, but this skill was also worthy to note as a component of setting the culture of the school. Part of the availability and visibility was the fact that the school administrator was approachable. This approachability assisted students to feel valued, educators to feel appreciated, and parents to feel welcome in the school.

Being visible, being out and about in the hallways and lobby greeting kids and talking with parents in the lobby, being available first thing in the morning. By nature, I am a positive and energetic person. I want to get everyone's day started off that same way, if I can greet my teachers and kids and parents that way and let's get the day started off that same way. My door is always open...I am positive with them. I often try to recognize good things they do. Principal Garfield

Principal Pierce self-identified as a transactional leader through the 92-item questionnaire. She believed that it was important for staff to be engaged in the day-to-day task activities and that she was there monitoring those activities. However, Pierce further explained in the interview more transformational qualities within her duties as a school leader. She believed it was critical that she was prepared for the unexpected. An instructional leader has qualities of both transformational and transactional styles within their repertoire to address situations as necessary. Marzano, et al. (2003) found that situational awareness, a transformational aligned behavior, was the number one behavior most related to school improvement. Principal Pierce discussed the Marzano text in her interview in a variety of places. For example,

I was in the classroom every day and I think that provides stability for students and staff to know that the leader in the building is not just visible and available, but is engaged in day to day activities, the day to day to situations in the classroom and is situationally aware of what goes on throughout the building...Time is an enemy and also your best friend. Principal Pierce

Teacher Feedback. Visibility was a very broad term that school leaders used in a variety of contexts. Visibility was discussed in examples from being in the hallways to greet students, being at bus and car duties in am and pm, and being present in the classrooms for school instruction and learning. The school leaders created specific routines by conducting ongoing walkthroughs and observations in the school. Administrators reported visiting classrooms, answering questions, visiting with students in the hallway, and serving as the public relations face of the school. Going one step further within visibility was the instructional focus in which school leaders placed themselves in these high poverty, high achieving classrooms. Administrators discussed how the walkthrough process provided them the opportunity to not only spend more time in the classroom, but also become more instructionally sound, have better instructional conversation with teachers, and have a better pulse on the building. Indiana Code 20-28-11-5, Staff Performance evaluation, implemented in practice through the teacher evaluation tool known as RISE, has provided an increase of frequency in which school administrators must visit classrooms to provide feedback. While the frequency looks different district to district, the school leaders are using this process to become more proficient in how to improve instruction based on what is observed in the classroom.

Administrators commented that it was their goal to be in the classroom providing support and structure through instructional feedback, an important point that Goddard, et al. (2010) noted in their research. Administrators were part of the collaboration process and created opportunities to support teachers through effective feedback by walkthroughs in the classroom. The short walkthroughs enabled administrators to give teachers feedback about what went well and suggestions for improvement—creating a culture of

collaboration and developing a sense of necessity in continuous improvement.

By 9:15 I get my iPad out and get into classrooms. I like to see every teacher once a week. We have three different forms. There is a snapshot, which is a 1-2 minute visit. There is a walkthrough that is for 8-10 minutes, depending on how long you stay then there is a focused feedback, which looks like that 30-60 minute you have with teacher. It is very detailed. That form gives a rating on domain one and two areas of the RISE rubric. Principal McKinley

While McKinley focused on the details and logistics of the day-to-day operations of the teacher evaluation, the walkthrough process of observing teachers in classrooms created opportunities to better understand instruction, provide feedback, and feel value and a sense of purpose in their work.

My best days are when I am in classrooms, get out of the office, and watch teachers interact with kids. By far hands down my best days. I love going into classrooms observing and doing walkthroughs. Anytime I can get out and do that I am doing that. Those are my best days. Principal Garfield

Beyond the obvious of being out behind the desk and the paperwork, Garfield felt he was making a difference. He was making an impact as he saw education in action. He was able to influence, communicate, and converse about the acquisition of knowledge and the pedagogy of teaching. This was important to note for how administrators felt about their work in the overall effectiveness of the school leader.

Theme #3: The administrator shaped the culture for all members of the school community through high expectations, data-driven conversations, and collaboration.

Marzano Responsibilities Identified to Theme: Order, Situational Awareness, Focus, Involvement in Curriculum, Instruction, and Assessment, Monitoring Evaluating; Knowledge of Curriculum, Instruction, and Assessment, Change Agent, Resources, Intellectual Stimulation, Flexibility, Relationships

School leaders assumed the responsibility of the school culture. School leadership ranked culture as one of the most important administrator responsibilities with a 3.60 on the instrument. Table 4.4 demonstrated the overall breakdown by all educators with 11-15 years of experience ranked culture highest. Administrators found value in the importance

of shaping the culture of the school. The ability to shape the culture of the school was evident through setting high expectations for all stakeholders in the school, setting the climate of the school, focusing on data-driven instruction, and building collaboration.

High Expectations. Nearly every administrator alluded to or clearly stated the importance about setting high expectations for both faculty and students. Administrators connected the high expectations to holding students accountable for their learning and teachers accountable for their teaching. It was also important to note that school administrators took the opportunity to discuss that backgrounds of students make no difference in setting high expectations for the students.

The bottom line is I don't care who the kids are—background, social, race, male/female, free/reduced, the kids need to learn. They are coming to us because their parents have trusted us to make them grow academically and to achieve.
Principal Hayes

The school administrator was ultimately responsible for the culture of the school. Part of school culture was the creation of a vision to ensure students reach expectations that were set forth by the school community. Principals observed growth when they fostered expectations for staff members and students. Principals noted growth when high expectations were set. Principal Pierce worked with teachers to ensure each child grew based on her vision set for the school.

I would show them, the classroom teachers, if there were any negative numbers from one year to the next, and that was unacceptable. The goal was that from scale score to scale score that there would be positive growth in the scale score. The difference between third grade and fourth grade cut score was 25 points, and every child should have that.

It was not just about setting high expectations in terms of reaching a specific number of students at grade level each year based on state assessments. Then taking that data, administrators disaggregated by free/reduced lunch status, gender, or disabilities.

School administrators reported that communicating a culture of belief that all students could and would learn created high expectations. “To truly change the [school], you need to change the culture” (McEwen, 2003, p. 7). Principal McKinley described how this culture began to change through that belief system.

At Lincoln (prior school), I inherited a culture of success, but it wasn't success for everyone. We have some kids, although the teachers will never see it, but they will see teachers who say, “That kid rides that bus.” When we look at the disaggregated data, our African-American males who are free/reduced data, which is going to change our data. We will be there. It's on more than 90%. It's about believing the kids can learn. I am working on.... Certainly not there, but that belief is that they can learn. If I can believe you can learn, what can I get you to do. Principal McKinley

Similarly, Principal Pierce believed that all kids are able to achieve and should have the confidence to achieve. Principal Pierce's school had a motto that reminded students daily of that high expectation to achieve and succeed.

Knowing their data and what they [the students] are capable of, we press them and the parents to achieve what they are capable of and beyond if possible. Part of our motto is ‘charge it up, think strong, go beyond’. We say that every day. Go beyond. Everyone has potential. Can you press it forward? Go beyond? We challenge kids to do that every day. Principal Pierce

Climate. School environments vary greatly. Whereas some schools feel friendly, inviting, and supportive, others feel exclusionary, unwelcoming, and even unsafe. The feelings and attitudes that are elicited by a school's environment are referred to as school climate. A concise definition for school climate existed in multiple research articles, but one from a 2009 article from Cohen, et al, was important to note:

“We suggest that school climate refers to the quality and character of school life. School climate is based on patterns of people's experiences of school life and reflects norms, goals, values, interpersonal relationships, teaching and learning practices, and organizational structures” (Cohen, et al., 2009, p. 182).

Principal Pierce reflected this definition from Cohen as a way to build the organizational structure through the values that were set forth through her day to day operations.

Harmony and a positive climate are hugely important to me. I am doing whatever it takes to make sure, and you can't make everyone happy all the time, but I work hard at that to make it happen. When people are disgruntled, there is a reason behind it, I want to find a reason and counsel it to get to the root of the problem, and go from there. I don't do it alone any longer. Principal Pierce

While setting the values and investing in the relationships was important to Principal Pierce, the ability to create norms that were embedded over time was critical. Many principals, such as McKinley, realized that if educators were just doing what was expected rather than believing in and changing their belief system in education, the long-term change of the school was not going to happen.

You have to guide them to the point where we need to do this or we need to do that. My staff will do it when I say it, but the minute I leave they quit do it. Sustained change comes from the teachers. Those are the kind of change that is the most effective. That is the kind of change teachers will support, and keep long after I leave. I will be honest. My number one job when I took over the school is to preparing the school for the day I leave. Principal McKinley

Setting the climate of the school proved to be a challenge for administrators to successfully articulate. Whether it was a tone, a set of beliefs, or goals that were created, principals agreed the culture of the school was a critical component of the success of the school. In Chapter Two, Burns (1978) was quoted about transformational leaders being ones who helped followers act for “certain goals that represent the values and the motivations—the wants and needs, the aspirations and expectations...” (p. 19). Part of that process of a transformational leader was the specificity in hiring the right people for the right positions. Principal Garfield agreed.

Culture and climate is huge. Hiring people and getting the right buy in. You can have 10 people with the right qualifications, but fit it is huge. We have a lot of support staff in our school because we have a lot of special programs in our school. Fit for me is huge. They have to give 110%, and buy into our mission. I can't stress that enough. Principal Garfield

Data Driven. With a culture that was established for every child to succeed, school administrators worked beyond words and a vision of high expectation of students. These same elements were necessary for the staff as well. But with staff, school administrators took the expectation to a more in-depth level, which included the ability to analyze and use data to inform instruction. Every principal interviewed discussed their data driven approach. Scholars such as Marsh, Pane, and Hamilton defined data-driven decision making in education as “teachers, principals, and administrators systematically collecting and analyzing various types of data, including input, process, outcome and satisfaction data, to guide a range of decisions to help improve the success of students and schools” (2006, p. 1). In practice, data driven refers to school employees taking the data acquired from benchmark assessments, progress monitoring, teacher observation, and anecdotal notes to plan for the instruction that occurs within the classroom. Schools that are data driven are worried not just about a number, but how to improve the instruction from one day to the next to ultimately improve student learning and achievement.

However, focusing on data had not been a skill that all administrators had or were necessarily taught. In fact, school administrators like Principal Pierce admitted that being able to guide teachers into data-driven decision-making was a skill that she developed over time.

The first one is analyzing of data—that has been a huge area of growth for me over the last five or six years partly because it was required, but also because the data drove and informed our decision-making. It informed teachers on their daily

instruction, but it also informed us on the direction we were to head as a school—classrooms, grade level, schools, and district as well. I think probably the data driven focus for school achievement. Having the data available in our face all the time. Talking about it every meeting and having it be the primary focus of where we are to determine what we do for individual students, what we do for groups of students, what we do for classrooms, what we do for grade level of students, what we do for the school. And so, it’s just providing that transparency of where we are and what are we going to do about it. Principal Pierce

Principal Pierce believed the need for data-driven instruction was an equal responsibility between the teachers and the principal. Using the data from walkthroughs and observations, the school administrator helped guide the teachers in their own reflection to increase the ability to focus on specific areas of instruction and analysis. Whether the analysis was on state assessment ISTEP+ or a state-supported ongoing assessment Acuity, Principal Arthur helped support the teachers in her building by creating charts to help the analysis process.

I can tell you that two weaker areas were 2.4 and 2.6 [reference of RISE rubric] in checks for understanding and higher level questioning. So, those are two areas that I try to provide a lot of professional development on, and what are ways we can do that. We have a delay [sic] start on Wednesday mornings so we can do those kinds of things. A third area is discipline or issues with classroom management. I made data charts for classrooms for each teacher, and logged their initial placement next to the ISTEP+ and Acuity scores. We talked about that an awful lot. I followed that data, and teachers began to own their data, and saw the progress and knew they were making leaps and gains they needed to make. They had classroom incentives along with it to encourage that gain. Principal Arthur

Principal Garfield not only shared the idea of working on some of the data creation of charts and graphs, but also discussed the frequency with which he collaborated with teachers.

I know they [teachers] look at it. We meet with them once a month. Looking at Acuity and giving them charts and graphs on individual kids so we can say here you go, what do you think. They have those conversations with their grade level team. We try to provide them with the resources so they don’t have to do all the plugging. They do some of that. We just have to have those talks, and continually talk about it.

Then, have the understanding and expectation that it has to inform your instruction.
Principal Garfield

ISTEP+ data were not the only assessment data that principals indicated was used to help guide their buildings to become data-driven, student-centered environments. Formative assessment data were utilized in a variety of formats that included use of data walls, instructional planning, and weekly meetings between teachers and administration. The data wall was an instructional tool that was mentioned several times by administrators and involved data from benchmark assessments. The data were displayed visually in a secure area with results usually color coded. Then, the data were posted for teams to analyze. Here, Principal Pierce described how data walls were used at Garrison School.

We have a data wall in our – in Garrison in a room – here we have it on our teacher workroom. We have cards for every student. The first color is determined from last year’s Acuity C or DIBELS at the time, too. Wherever they landed in the year prior. If they were green, got a green card, yellow, got a yellow card, red got a red card. That’s how they started out the year. After they take the first Acuity test, we put dots on it to monitor the color or the percentage they achieve from A to B to C. Our goal is to watch that move from the bottom to the top. We had that chart in that room for every grade level for every student that was on the board. Their name was not on the front of the card, but on the back of the card so it was somewhat anonymous. We tracked by special education, RTI, receiving any kind of tutoring, title one. Garrison used to be targeted, but moved to school wide in 2010. So, we had that on there. If they were in a LLI [Leveled Literacy Intervention] group they had a color. There were different colored dots to identify the students. The goal was if you had red cards, you watch them move up to the green. It was a visual to the staff to see not to just see their students, but all students in the grade level—every grade level—I had all seven grade levels on the board in a visual they could see. Principal Pierce

As illustrated above, data were reorganized as a way to track progress over time. In order to help move students from at-risk (red or yellow coded) to green (at grade level), schools used a variety of interventions including Leveled Literacy Intervention (LLI), an online reading and math intervention program called Successmaker, or specialized interventions such as Seeing Stars, a phonics based instructional model.

The use of a data wall became a common practice to visually observe, analyze, and evaluate student progress at the student, classroom, and building level. While data walls varied from school to school in design and use, similar features were consistent. Student data were displayed based benchmark assessments given throughout the year. Results were color coded into at least three categories including above, on, and below grade level. The below grade level data were also found to be divided into strategic and intensive.

We have a data wall and we monitor language arts and math data based on our data wall based on red, yellow, green, and blue. They move their data cards based on Acuity or mClass... I made data charts for classrooms for each teacher, and logged their initial placement next to the ISTEP+ and Acuity scores. We talked about that an awful lot. I followed that data, and teachers began to own their data, and saw the progress and knew they were making leaps and gains they needed to make.
Principal Arthur

Based on the data visually presented on a bulletin board or wall, classroom teachers and administrators focused on the strengths, weaknesses, and opportunities for the students. As Principal Arthur mentioned, the school was able to review the data and follow the student progress through conversations and growth. A 2012 article written by Little explained that with the use of the data wall, the administrator could launch more specific conversations about student performance and growth.

The principal is shown having to work consistently and with some difficulty to sustain a focus on the data and on interpretations and implications that could be anchored specifically in those data. Having launched the discussion by asking teachers to examine a set of reading assessment charts and identify patterns...“I have compiled the data that you gave me into charts. What patterns do you think are meaningful? Look at the information. What is your initial interpretation? (p. 152).

Little’s interpretation of the data wall usage was similar to that of the administrators interviewed. The use of the data in this way provided the principal a starting point with the staff. Principal Hayes stated, “The results [use of data wall] were in

common planning and collaboration....they took ownership for the assessment... they started realizing you learn a lot... this is what we are going to do to improve it. That’s cause and effect.” With the use of some type of data wall process, principals found that they could be more effective in leading conversations, seeking questions about growth attainment, and challenging teachers’ paradigm shifts. Ultimately, the end result was the increased attainment of student performance.

Collaboration. School principals and teachers worked together to analyze data and discuss student progress. But principals indicated that collaboration needed to be more than just discussion. The ability to take the data from analysis to instructional practice was critical. Raywid (1993) reported that collaborative time for school improvement ranked even higher than equipment, facilities, and staff development. Collaboration involved the process of professionals working toward a common goal in a specific area of instruction. As explained below, collaboration varies differently from cooperation.

The focus of collaboration is results-driven where cooperation is management driven. The purpose of collaboration involved professionals, which included the discussion of student data and how to enhance student learning based on the results and conversations of others in the collaborative structure. Goddard, et al. (2010) wrote, “Principals’ creation of a culture of collaboration as providing necessary support was cited as important to teachers as they strove to change their approaches to teaching” (p. 344). The more often collaboration occurred in the building, the more likely student results were increased, according to principals.

One is that we started using data. When I got there, they really started to use data. The results were in common planning and collaboration. So, this year every week once a week except the fourth week or last week of the month, like second and third will collaborate together. They will be in the same room with the coach. They can

collaborate with themselves or the other grade. Whatever you talk about in collaboration is reflected in common planning. Sometimes, the coach runs that. He might do that or I might step in and do that. Principal Hayes

The idea of collaboration was critical to discuss under the realm of culture and climate in the school setting. School administrators felt a sense of urgency to analyze data, identify gaps in the school learning, and focus on those educators who need the most support, justifying the claim fair does not mean equal.

If it's Monday, Thursday, or Friday (QTI team or PBIS), Tuesday and Wednesday I meet with grade level teams. I can't hit everyone there. I send my AP and coach to some. I go to the ones that have the biggest challenge. Our writing scores are pretty sad. That is where I am sticking my accelerator on. I have added Friday as well. Grades 3-5 are having writing collaboration between now and mid-March. The one thing we are not at yet is the teachers looking at the data during planning, they will talk about 2-3 items to do that, but I cannot get the team to answer the one important question, "What's that going to look at in our classrooms?" That's the missing piece I am trying to get there. It's a trust piece and learning to trust each other. Principal McKinley

McKinley reported an important fact through his discussion of collaboration with classroom teachers that many administrators may easily gloss over if the focus was not on data-driven instruction. McKinley recognized that some grade levels needed more guided support and instruction of using data in their instruction. Therefore, he met with those grade level teams more often, and in some cases, other teams may have met with the assistant principal or data coach based on the needs. The school leadership acknowledged that some staff members needed more direction or a different set of resources than he could necessarily provide. By matching the right needs with the right people, efficiency, productivity, and growth were honored.

Theme #4: School administrator firmly believed the ability to connect with parents, family members, and community was an essential element of the high poverty, high-performing school leader.

Marzano Responsibilities Identified to Theme: Communication, Optimizer, Discipline, Outreach

The home to school connection tended to be a partnership that was absent from the Marzano, et al. (2003) work when examining the 21 responsibilities. The closest the researchers came to discussion of parental relations was through optimizer and outreach. In these behaviors, the school leader found his or her reflecting on how parents were involved in the school process. Marzano wrote, "...the principal commonly sets the emotional tone in a school for better or worse" (p. 57). One can assume that part of the emotional tone of an effective school involved the parent partnerships that school leaders helped mold between the student and the parent. Cotton (2003) was adamant that the school principal must have the resources, the willingness, and the ability to communicate with parents and other key stakeholders to increase student achievement. The principals interviewed commented about the power of parent-teacher connections and how the community helped support the learning objectives of the school.

Parental Relations. There was common agreement among the respondents, supported by and the research confirmed that outreach was one of the top behaviors responsible for growth in the school (Marzano, 2003). More half the principals interviewed discussed the importance of parent and family communication. The ability to form relationships with the parents and community was the underlying theme. If parents felt connected to the school, could ask questions, talk to the teacher, and believe their thoughts merited value, the likelihood of the child feeling success also increased, according to the principals. Additionally, it was evident that all principals placed parental communication

and building relationships as a high priority. This was considered an important task and one that, if overlooked, was going to limit the success of the school.

One of the things that are required is a weekly update from every teacher and has to turn in every day. Part of the weekly update is positive communication—they have to have at least two positive communications and submit it in every week. They have commented to a parent through an email, phone call, text what a child is doing well. That has turned out to be a really nice thing. I find good things that to call parents about, specifically on my high discipline kids. If I find something good, I call the parents. You know I have the frequent flyers that I am in regular communication. I always try to find something positive so we have a balance.
Principal Pierce

Principal Grant placed this responsibility of parental relations at the pinnacle of the school culture. Grant believed that the key to school success in high poverty schools was the partnership among the school, the student, and family. He worked to ensure that when parents felt they had a place in his school whether it was through electronic communication or face-to-face.

Two things that I exemplify is one of the things that are big for a high poverty school is that your parents need to feel welcome at school. I try to reach out to my parents and community, and try to promote my school in any way I can and reach out and to my parents and communicate to them the best I can to make them feel welcome. I am constantly chit chatting with them. I have sent out mass texts. I sent mass email, Facebook messages, and twitter messages to make them feel welcome. Principal Grant

Administrators reported it was not enough to have signs that say parents welcome or messages on the school web site that state they welcome parents. Principal Buchannan, for example, wanted parents to understand the why. Buchannan believed that high quality education meant showing rather than just telling.

Making sure we provide comfortable and high quality education [is critical]. We encourage parents to be in here more. We encourage parents to be in here more, and to ensure that everything we do supports that we care about the kids and we care about their education. Principal Buchannan

Principals were cautious to point out that three-way relationship among the school, student, and family. The ability to form parental relations was critical; however, the communication between the teacher and the parent must also be present. Without having the connection between the teacher and the principal, the leadership the principal provided would not be sufficient. Principal Harrison stated, “I will support them [the teacher] no matter what as long as they are right and haven’t done something stupid that I cannot support...I won’t take meeting with parents if they haven’t met with teachers first...I get the PTA to do some nice things for them, too.”

Community. The other component of this theme involved various individuals, groups, businesses, and institutions that were invested in the welfare and vitality of a school. This in turn meant the administration, teachers, parents, students, and citizens who worked with and lived around the school. An effective school culture was one that was engaged in the community. In order for a school to thrive, Principal Pierce believed that the community surrounding the school was a critical stakeholder in the success as well.

Building community and building solid tradition that become who we are—a blended community. That lets us know who we are, kind of like the Brady bunch. That has been the biggest focus. I really trust this staff as far as in their instructional knowledge. I have a veteran staff so their instructional knowledge in the common core and Indiana state standards is really solid, they don’t really...not that they don’t need me, but engagement...community, and a community of tradition in this building...Principal Pierce

Principal Pierce spent quite a bit of the interview stating how the community was a critical stakeholder in the success of the school. She discussed how traditions helped set the bar of excellence for school performance. Pierce mentioned that intertwining the community through the school was a daunting task that required deliberation, and it often was a slow change that required patience and being purposeful in the execution. But that

steady path of community involvement was well worth the payoff for the partnerships.

Theme #5: Poverty was not an excuse for failure. School administration was adamant that while poverty was a piece of the puzzle for student success, the characteristics that were prevalent in high poverty schools would not define the ceilings of student growth.

Marzano Responsibilities Identified to Theme: Situational Awareness, Resources, Discipline, Order, Ideals/Beliefs, Contingent Rewards

Schools are not primarily responsible for poverty's existence, nor can they eliminate it; other economic and social structures and policies are much more influential in both regards. There is a danger that schools will be blamed for problems not of their making, just as there is a danger that schools will blame parents and children. We can usefully focus on things that can be done in schools even knowing full well that schools are only one part of the struggle for a more humane world (Levin, 1995, p. 211-212).

Strictly speaking, Levin stated what teachers and principals work to build upon in each student's skillset on a daily basis. There was a tendency for educators to feel the weight of the world on their shoulders to fix the challenges that face impoverished students. As noted in Chapter Two, little research had been conducted on the behaviors of school leaders specifically in high poverty schools. However, in the quantitative data, the ideals/beliefs behavior averaged at 3.71 among educators, and principals when interviewed communicated the importance of this evidence. School administrators discussed the impact and role poverty played on the educational attainment of the school, and the school leader juxtaposed the poverty impact with high expectations for their learners.

The educational leaders understood for educational growth to occur, high levels of engagement were necessary. If engagement was low, all students, but specifically students in poverty, would suffer. Finally, they also grasped the concept that students in poverty come from vastly different backgrounds from one another as well as their advantaged classmates. There was a sense of flexibility instilled within the shared leadership in the

school to try new avenues, and if found to work, they were repeated. If the strategy was not able to yield results, it was abandoned. This effort of flexibility created a strong culture of academic growth nestled in the expectations of high achievement.

Poverty. Every administrator interviewed brought up the topic of poverty in the conversation. Most addressed that poverty was prevalent in the school, but was not the defining catalyst of a student’s future or end result.

First of all, we don’t make excuses for poverty. We understand it. We recognize the barriers, but we still expect them [the students] to make school a priority. We will work with them to work around some of the barriers, but still maintain that high level of expectation for behavior and academic success. Principal Pierce

Pierce’s passion of not making excuses for poverty was a consistent trend in speaking with administrators. School administrators invested time in various areas to help support students who came from backgrounds where poverty was present. For example, Principal Buchannan invested additional hours and legwork in building community partnerships to assist families who struggle. All of this effort was tied back to the desire for his students to have educational success.

We have had a lot of conversations and discussion about changes to ensure a strong educational foundation and that we are providing services for kids they need as well. We have done a lot of work in working with community agencies and community groups to ensure they have what they need since they are high poverty. Principal Buchannan

Buchannan’s efforts in his school to provide outside agency support was a relevant example of how the schools worked to educate the whole child. School leaders recognized the fact that their mission went well beyond the instructional knowledge they were to teach the students. They often partnered with outside agencies to provide support in other areas such as mental health, behavior support, and family support. These avenues built

trust between the school and the student because the school showed they cared about who the child was and how they could help support the entire child.

School administrators believed that respect was essential with students living in poverty. They worked with students to build respect in both directions. A belief was built within the staff members who worked in that school. While the success of the student ended with the results of a state assessment, the non-measurable success of the student was building a young man or woman who could achieve more than he or she thought was possible.

I have—no matter where a kid comes from his background, no matter what, whatever he brings to his personality—I have to respect that. I may not—it may not be within the norms of what we were to consider as a school as behavior, expectations or whatever else. But, I have to respect where he comes from and what he brings. If I don't, and don't respect and acknowledge that, I will lose that kid. I don't have to use it as an excuse. I can agree to disagree with it, but have to respect that student. We don't do that enough. The other thing is that we went from excuse to cause and effect. If I said to you we are getting more kids from lower economic, or low-income housing unit, I would hear it's well because we have new kids. That's an excuse. If you said to me that we have kids that are behind from where we academically expect them to be, and this is what we are going to do to improve it. That's cause and effect. We really don't hear excuses. Principal Hayes

Hayes built a strong stance stating those expectations for student learning was the heart of the school's mission. He was very adamant that students could excel and would not let the staff use the idea that students from poverty cannot succeed. The excuses turned into opportunities for student success. That student success was a result of a specific and purposeful plan. Principal McKinley expanded upon that through how the staff worked with each student in communicating the importance of learning in the moment.

If I want kids treated with dignity and respect, I have to model that every day with everyone. Don't mistake me to be stoic, we can laugh and work and joke, and keep a light atmosphere, but a sense of urgency. Not a sense of panic, but a sense of urgency. Principal McKinley

Even with having a sense of urgency and keeping the atmosphere a place where everyone works, there were still moments of frustrations and challenge. It was evident that the effect of working with students in poverty could have the potential to take its toll on the school leaders. Trying to find services for students, working with families that do not make the investment in education like the school would like to see, ensuring students would not go hungry, building their education, create a sense of value and worth, and doing this each and every day could be considered exhausting. Yet, the perseverance the administration communicated created a sense of pride for the role of the school principal.

We often times, we don't get as much parent support as we'd like. We are scrambling around looking around for basic needs met for a child or a family. We do see ourselves as a full service school. We do a food program; I actually started that five years ago for my school and another principal. We have now extended that to all elementary schools and are a community wide program. I think walking the walk, and trying to serve our families and serve our students is so important. You cannot let up. The minute you step back and go, "AH!" you are going to have issues. You just cannot do it. The poverty situation is not changing. Wages are not going up. People are not getting these awesome paying jobs, and you have to get the message that school is the ticket out. Principal Garfield

Garfield stated the attention at the level of parent support was still a need that he would like to see rectified. Yet, the school leaders, as identified in the previous theme, were adamant that it was still an important connection. Garfield simply stated he was not satisfied with the current level of parental support. He emphasized that they did not “let up” on the work and the efforts. It was the underlying theme of perseverance that was communicated from principals that was the most noteworthy.

Students Owning their Growth. Yet, with all the challenges faced in the realm of poverty, growth was seen. Growth focused on academic achievement. Each administrator discussed how growth was defined and analyzed in the classrooms with teachers and students. Administrators discussed how the growth in student achievement was not just

looking at numbers, but having conversations with students about the growth, and specifically working with subsets of students within the school. This equalized to the reality that having up front and real conversations with student paid off. Principal McKinley’s school went from a “C” letter grade in 2009-2010 and 2010-2011 to a letter grade “A” for the 2011-2012 school year. The school saw nearly a 20% growth in students passing both English/Language Arts and Mathematics ISTEP+ from 2009-2010 to 2011-2012 school years. Part of this success was due to Principal McKinley and his staff having specific conversations with the students about their growth and areas of improvement

Listen kids. You have to show growth, too. Having those conversations. Not only did I have conversations with teachers, the teachers had conversations with kids and show them the data. Our kids keep data on themselves, and keep data binders on themselves. I have kids pull up the data on my computer, and we sit and talk about their data...their reading level, fluency levels, and just make sure kids have an understanding of their level as well. Principal Garfield

Principal Garfield was up front and honest with the students. He laid it all out for the students to own the learning. This was a critical component of the study that could otherwise have been overlooked. Principal McKinley also believed that bringing the students to the table to discuss the growth was necessary. McKinley built in a process where students set goals, made the goals, celebrated, and then repeated the process. Growth was achieved and maintained by having a specific system set in place to hold students accountable to the goals set. Lincoln Elementary School shared a similar story moving from a status of academic progress in 2009-2010 to “A” status in the 2011-2012 school year. They were able to move from the 70th to the 80th percentile by focusing on goal setting for growth attainment.

We are setting modest goals, celebrating them, and quickly set the next goal. Find some systematic management changes that fix those quickly so they want to get behind them. Principal McKinley

Engagement. When students made a decision to invest in their learning, educators saw engagement occur in the classes. Students took interest in the learning, off-task behaviors diminished, and more thoughtful discussions occurred in the classroom. Administrators remarked that when engagement was high, they observed an increase in student performance and a decrease in student discipline.

The second area [where student achievement was observed] is engagement. Everyone has a different take on what—even the definition—looks like. I am okay with collaborative chaos in the classroom as long as there is a visible objective. If I am in a classroom for five minutes and cannot figure out what they are doing that is a concern. So, we have conversations on what they are doing. I have a couple teachers who think worksheets means engagement so we have regular conversations about that. Principal Pierce

Engagement was fundamental in the conversations of instructional action in the classroom. Principal Pierce believed that highly engaged students were successful students. She wanted to see students working with and manipulating information. All students would be successful in highly engaged and involved classrooms. Principal Pierce was not afraid to have the tough conversations with staff about how engage learners

Summary

The role of the school leader is complex, intricate, and challenging. From the outside looking in, the school principal can be seen as the iron-fist, the decision-maker, or simply the one in charge. The purpose of this chapter was to provide both a quantitative and qualitative examination of school leaders across Indiana who served schools with poverty rates at and greater than 50%, and who were ranked high achieving (letter grade A) based on the state formula. The quantitative data demonstrated that the school leader and the teachers were relatively consistent in their observation of the school leader’s behaviors that helped create the success of the school. The school leader felt his or her role was to be

visible in the school and carry the ideals and beliefs of the school culture. Teachers, interestingly, found that the school leader should monitor and evaluate educational programming. This could be due to the changes in the state evaluation system with annual evaluation of all teachers. Regardless, the ability for the school leader to effectively monitor instruction was noted. Also worthy to mention was that the school leader was to be one who engaged in outreach opportunities. This was specifically stated as the top behavior from both the administrators and teachers. Finally, the school leaders were visible and aware of the school’s daily responsibilities.

The quantitative results created the framework by which the qualitative study was organized. The quantitative data demonstrated a specific set of skills that the school leaders rather than others were more likely to have; the qualitative data then filled in the gaps so that specific themes emerged. Existing data on school leadership on high poverty, high achieving schools was sparse; however, the existing data were supportive of what the school administrators spoke about in several areas. Upon analysis of the qualitative data, five themes emerged:

Dispositions of the school leader

The participants expressed their belief that building positive relationships, reflecting on their work as a school leader, and spending the necessary hours to do the job of the principal helped create a high achieving environment. All school leaders stated that effective communication to help build understanding and find resources was a critical component of the job as a school leader as well.

The school leader is actively involved

A finding that appeared within this study that proved to be a key theme was the ability for the school leader to be visible. The ability to be visible meant classroom walkthroughs, observations of instruction, and being with the students in high visible areas such as breakfast, car duty, and the hallways. Many school leaders may assume this is just part of the job, but participants expressed that being visible was an intentional effort of the school leader each and every day.

The school leader shaped the culture

Administrators built upon their conversations about shared and distributed leadership. In fact, one school leader mentioned that he only operated through this approach. Another principal stated she empowered others through sharing research-based practices. While the school leader may consider the success of the school because of the shared approach, the school leader specifically chose to lead in this way. All of the school leaders interviewed provided evidence of a more transformational leadership style. They, inherently, made the decision to build the school culture through this style of leadership.

The school leader is available to stakeholders

Every school leader spent time discussing the role of the families, the community, and business leaders being an integral part of the school community. Again, all school leaders may argue this was an important component of the school culture. Yet, the school leaders interviewed constructed time to focus on this component of the job. They rearranged evening commitments to be at the after school meetings. They contacted parents back within 24 hours. The school leaders prioritized their efforts of stakeholder

satisfaction as one of the most important things they do. They build outreach, a behavior that was consistent with the Marzano, et al. (2005) research.

School leaders set high expectations despite poverty levels

All school leaders acknowledged that poverty existed in their schools. All school leaders also refused to let poverty be an excuse for any person—student, parent, community, or staff member. This was an imperative finding as the school leader refused to let glass ceilings, circumstances, or a lack of resources prohibits success. Admittedly, they also all agreed this could be overwhelming, tiresome, and lonesome at times. The school leaders also felt this was a critical component to the school success. Building relationships, setting expectations, and celebrating growth were all ways each school leader built a culture of high achievement.

These themes emerged when looking at the success of a school principal in a high poverty, high-performing school. The school leaders, while transformational in leadership style, created a culture that worked like the gears inside a clock. These themes operated in the same way. Without any of the themes in place, the school structure would not work. The culture was rooted in a deep understanding and acceptance of the student population, ensuring that high expectations and success in academic achievement was the forefront of each staff member’s mission at the school.

CHAPTER FIVE

CONCLUSIONS

This chapter includes (a) results and summary of the study; (b) considerations for policy and practice; and (c) recommendations for additional research. Connections between findings and the scholarly literature are embedded within this chapter.

Summary of the Study**Purpose**

This study was designed to advance the knowledge and precepts of instructional leadership at the elementary level in high achieving, high poverty schools. Focusing on high tests scores, and rating schools' letter grades provided statistical evidence in which to better understand how principals serve as instructional leaders at the elementary level. For the purpose of this study, high poverty was identified as schools with a free/reduced lunch rate equal to or greater than 50%. High performing was identified by the Indiana Department of Education letter grade system used during the 2011-2012 school year. Yet, there is not a specific format or instruction booklet on how effective leaders receive the results of “A” ratings in high poverty schools. Limited research has been conducted on high poverty, high achieving administrator behaviors.

Participants

The 92-item questionnaire identified the principal behaviors most relevant in high poverty, high-performing schools. Thirty-three administrators completed the survey, and an additional 42 classroom teachers provided input through the instrument. Of the administrators that completed the study, 16 indicated they would be willing to schedule a

follow-up interview to discuss behaviors of school leaders. All were contacted and nine replied for a follow-up interview. The principals were interviewed with a semi-scripted interview protocol that included questions based on the school’s 2011-2012 ISTEP+ data.

Procedures

I designed a mixed-methods study to address four research questions. One distinct advantage of a mixed-method study included that the “results from one method are used to elaborate on results from the other method” (Migiro & Magangi, 2011, p. 3759). A smaller number of participants responded to the survey than what was anticipated. This could be due to a variety of reasons including timing of the survey, principals not forwarding the survey to teachers, filters within school districts’ email, and time needed to complete the survey.

The qualitative component of the survey included conversations with nine school principals who completed the quantitative component. The interview questions focused on the roles and responsibilities of the school leader, opinions on strengths and weaknesses, examination of school data, and leadership styles. I recorded all interviews to limit personal bias or judgments based on interpretation of the data. I assured all participants that anonymity was used for their responses. I used a descriptive coding process (Miles & Huberman, 1984) to identify trends from the interviews. Further analyses were conducted through memo creation. Memos were generated from the data collected within the coding, and trends emerged from the process. Based on the themes identified and triangulated with quantitative data in Chapter Four, I developed responses to each of the four research questions.

Research Question One

How do teachers rate their principal as an instructional leader, and what qualities do they identify as the most beneficial to have in an instructional leader?

Outreacher and Optimizer. The teachers identified the school leader as one who reaches out to the larger community in bringing support to the school setting. It was also looked upon the administrator to create a positive tone in the school by building an environment that inspires others to be better than they thought they could. Outreach and optimizer were the highest two ranked qualities from teachers in the survey instrument. Both ranked the behaviors 3.41 and 3.30 respectively on the 4.0 Likert scale. These two qualities, discussed in pivotal conversations with school leaders during interviews, led to the development of a positive culture that embraced the success of the school leader.

The teachers also believed the school leader as the tone setter of the school. The United States Congress states that the principal was the one who set the leadership of school, which consequently set the climate, tone, and level of professionalism in teaching. Additionally, Cordeiro and Monroe-Kolek (1996) confirmed that one of the five keys to successful schools making connections with the community was the leadership of the school principal. The school leader assumes the role as face of the school, the spokesperson of the school, and provided a presence out in the community. The teachers do not expect the school leader to sit behind the desk to discipline and do paperwork. They expect the school leader to be building structures of support between the community and the school setting.

Monitoring/Evaluating and Providing Focus. The next two highest behaviors teachers ranked were monitoring/evaluating and focus. The teachers reported that the

school leader should monitor and evaluate the school programming. The school leader should also provide a specific focus for the school’s goals. Educator John Hattie (2012), stated the feedback through monitoring and evaluation had an average effect size of 0.79 on student achievement—twice the average of all other school effects.

To provide relevant focus meant that the school leader is able to establish goals and ensure those goals are then met. Again, as an emergent theme in the qualitative findings, the school leaders knew their teachers expected this of them as well. School leaders needed to set goals, share those goals, and celebrate the success of reaching the goals in the school setting.

Curricular Knowledge and Visibility. As discussed in Chapter Two, the role of the school leader providing curricular leadership began early in the 1900s. Yet, the instructional leadership component of the position was not firmly established until the Kellogg study in 1950. It was within that study that school leaders were expected to be the knowledge drivers of instruction. This is an expectation from today’s classroom teachers as well. These teachers, from “A” rated schools, responded that these skills characterized their principal. Principals have a firm handle on the ability to guide new and veteran teachers in their teaching strategies, while providing guidance and suggestions as necessary.

Finally, the classroom teachers surveyed felt that visibility—defined as the extent in which a school principal is available throughout the school (Marzano, Waters, and McNulty (2005),—as a critical component to the role of the school leader. In the 90/90/90 study by Reeves (2003), he found that the school leader was right alongside the classroom teacher discussing instruction and assessment. “The principals were literally on the same side of

the table as their faculty members, with faculty members who were experienced...” (p. 8). This finding also resonated from the research in Chapter Two. Whitaker (2012) indicated, “outstanding principals know that their primary role is to teach the teachers...they (the most effective principals) make time to focus on instruction—proactively visiting classrooms and improving teaching...” (p. 41, 44). The school leader’s visibility meant being in the classroom, speaking with teachers about curriculum, providing feedback about instruction, and working with family and community members.

Research Question Two

How do principals rate themselves compared to the teachers’ rating in relationship to their ability to lead in specific behaviors?

Outreach, Visibility, and Optimizer. Of the 21 leadership behaviors administrators and teachers were asked to rank, three behaviors appear as a top skill for both teachers and administrators. The administrators who participated in the study identify outreach and visibility as the top two leadership behaviors necessary in creating a high poverty, high achieving school. The skill of optimizer is also a common behavior ranked among teachers and administrators. The administrative participants ranked optimizer slightly below the other behaviors, but it is still one of the top six. Marzano ranked outreach as a top behavior to help build a culture of high achievement. The school leaders believe that outreach is a necessary component of the school job and is specific in creating their daily schedule.

All principals agreed that their presence is an important factor for the success of the school. Being visible in the classroom to provide feedback and instruction, sharing conversations with students in the hallways, and being a present in the cafeteria at breakfast and lunch are incredibly important. Principal Pierce said, “I was in the classroom

every day and I think that provides stability for students and staff to know that the leader in the building is not just visible and available...”

Communication, Ideals/Beliefs, and Culture. Bass (1998) provides evidence that the ability to formulate the culture was critical to the success of the school and is considered as a primary responsibility of the principal. Chapter Two provides specific information about the role of the school leader as a culture organizer. In fact, Bass states that the culture is the glue that held the organization together and the administrator is critical in establishing the culture.

Also connected to the research of setting a culture of the school is the ability of a school leader to effectively communicate a culture of collaboration. Goddard, et al. (2010) wrote, “Principals’ creation of a culture of collaboration as providing necessary support was cited as important to teachers as they strove to change their approaches to teaching” (p. 344). The school leader needs to be able to communicate the vision to the staff, articulate the goals and the mission, and establish a routine of expectations that occur through effective communication. Part of the communication behavior is the availability to answer questions promptly and address needs.

The role of the school is complicated and challenging. Communicating effectively, having specific ideals and a belief system, and creating a culture of high expectations help set the tone for the school. These three behaviors, coupled with the ones teacher also mentioned, help identify the core components that school leaders believe create high achieving schools.

Research Question Three

In high poverty, high achieving schools in Indiana, how do school leaders describe their behavior?

Principals are Present. Through the qualitative interviews, one theme that emerged includes the school leader is present in every function of the school. The school leader greets students and families in the morning. The school leader communicates to stakeholders in a timely fashion. Principals visit classrooms daily and provide immediate feedback to staff in how to improve instruction and celebrate gains made.

As mentioned in Chapter Two, effective leaders are the ones who understand how to balance pushing for change while protecting aspects of culture, values, and norms worth preserving (Marzano, et al., 2003). In order to be effective leaders in their school, the leaders are able to articulate the components of the school that are seen as invaluable. There is a fine line between the school leader maintaining status quo and shifting to new ideas to elicit stronger instructional gains. The school leader is able to balance this finesse and create a culture that embraces the change through effective collaboration and leadership.

Data Meetings. School leaders provide instructional guidance through the use of data meetings. All the principals interviewed stated ways in which teacher collaboration is facilitated. As mentioned in Chapter Four, the administrators use data walls to share and report on data with the foundation point always coming back to discussion about student progress. Based on the performance of the student, the administrator is able to ask questions, provide feedback, and continue to set goals with the school.

Little (2012) states “The principal is shown having to work consistently and with some difficulty to sustain a focus on the data and on interpretations and implications that could be anchored specifically in those data” (p. 152). The use of data walls helps create an instructional focus and goal for the staff to work toward throughout the school year. In Chapter Two, setting specific goals builds a positive self-concept for teachers as the goals are met. The goals are more meaningful and purposeful and create a specific focus for a set of outcomes. In this study, I found that the school leaders were able to discuss the processes and support systems, like data walls, that help create the culture for high achieving schools.

High Expectations. Effective school leaders create high expectations and ensure that those high expectations are communicated and held by all-students, staff, parents, and community. School leaders shape the culture and create the vision for the school through the use of high expectations. In order to create the vision for high expectations, school leaders articulated the goals for the school. Then, the goals were expected to be communicated to all stakeholders. As the administrators worked alongside the teachers and students, the administrators posed questions about school data, refined instruction through observations and walkthroughs, and celebrated success with students as goals were reached.

Aligning with the research from Ross and Gray (2006), the school leader enhances the organization through raising values and expectations of members. Also, the school leader needs to have articulated and aligned their goals with the organizational mission. The school leaders interviewed in this study are purposeful and strategic in setting the tone for the school. They did not let factors related to poverty become a barrier for the students.

They did not make excuses for students who were living in poverty. All principals who discussed poverty acknowledged that poverty is a piece of the puzzle, but they do not let it become the picture.

Understanding State Model. School administrators were knowledgeable in the Indiana state model for accountability. The school administrators were able to articulate how data were analyzed and achievement was measured. They understood how the results create a letter grade for each school. In interviews with school principals, only two explained how bonus point information is used as part of the instructional component of the school. Chapter Two fully explains how bonus points are used to help generate a letter grade for the school. The other principals acknowledged that there is a model where points are earned for growth, but state the focus is on formative data used in the schools, such as DIBELS, Acuity, and progress monitoring in reading.

The uncertainty to explain and use the state model is an area that needs to be examined by school leaders and legislators alike. While school leaders understood how the results were calculated, many of the school leaders are uncertain about how to make academic gains to earn points in the current model. The inability to articulate and understand how to change instruction to earn bonus points is troubling from a policy perspective. Yet, effective school leaders are able to show gains in student achievement in spite of the lack of understanding in the state accountability model. This gap in understanding has critical ramifications for all schools when communities do not fully understand the complex structures of the school setting when the state ranks and gives performance in one letter grade.

Research Question Four

Between transactional and transformational leadership, which leadership style tends to be more prevalent among administrators?

Transformational Leaders More Prominent. Three of the school principals interviewed tended to have behaviors more aligned with transactional leadership. However, after analyzing the qualitative data from all nine principals, it appears that all the responses tended to lean toward transformational—including the two more transactional principals. The conflict in types of leadership may be the result of two different instruments. The quantitative instrument provides data based on feelings, while the qualitative builds on more situational-based conversations. It also may be ascertained that administrators do not operate solely in one type of leadership. As mentioned in Chapter Two, Hood (2003) states “Transformational leaders are able to define and articulate a vision for the organization and then inspire followers to carry it out” (p. 264). Hood’s research, as well as research from Burns, plays out in the qualities that school leaders possessed when interviewed. In fact, when reviewing the qualities of the school leader, the only time when a transactional approach became evident is when the instructional leader evaluates the school staff members.

Monitoring/Evaluating May Require Transactional Approach. Both the teachers and the principals felt that monitoring and evaluating was an important behavior of the school leader, as previously written in this chapter. The principal is required to evaluate staff members annually and make a decision about the progress of the staff. As a principal who provides evaluation to staff members, there are times when decisions have to be made. Gastill (1994) explained that democratic leadership, a subset of transactional

leadership, is rationalized through the lens of authority, responsibility, and decision-making.

While principals do not sole operate out of one leadership style, there are areas of the administrator duties that can be challenging in determining what leadership style is necessary in a given situation. For example, while monitoring/evaluating may appear transactional at times, the effective school leader builds this process through a transformational lens. Hanson (2003), as presented in Chapter Two, believes that the transformational leader must be able to read the changing of situations, knows how to organize seen and unforeseen variables in the culture and properly place them within the constraints of the vision, and has employees understand and take to heart the belief systems set forth. An effective school leader who operates from the transformational lens can move staff members forward in a positive, proactive process that includes them in the process of bettering oneself and making decisive plans to improve and if need be effectively counsel the teachers to a different career path. In summary, the school leaders interviewed in this study report qualities that are more transformational dominant. The school leaders who work in high poverty, high achieving schools are able to articulate the vision, motivate the staff to work toward a common goal, build collaboration among staff members, and develop a culture that relies upon another to achieve the desired results in the school. From the qualitative data, transactional tendencies were less apparent from the results in this mixed-method study.

Implications for Policy

The pressure for school performance continues to soar amidst accountability measures, charter schools, voucher programs, the common core movement, and broadening the skills and degrees necessary for license requirements for educators. Worldwide rankings comparing the United States educational system with other countries, coupled with the globalization of economy, the educational system continues to build a sense of urgency in producing the top performers in all areas of education. As policy makers continue to create laws, mandates, and expectations for educators, it is important to focus on students. Students continue to come from low-economic settings and poverty levels continue to grow across the country. School leaders need to be equipped with the necessary skills and leadership qualities that foster high growth and high achievement.

One area for consideration includes the establishment of professional development opportunities for school leaders. Whether the professional development comes from regional institutions, contracted services, or partnerships among universities to offer programs, the ability to provide ongoing training for school leaders is necessary. School leadership can only be improved through ongoing training and implementation of best practices. School leaders need to have the tools and resources to improve in their given field. These resources should include specialized training for working in schools with high percentages of poverty.

Policy makers need to take a step back and examine the school accountability model to ensure the results accurately portray the achievement and growth of the schools. Administrators interviewed stated growth over time at the school level is a pivotal component missing from the model. This research study provides evidence that teachers

and administrators alike believe the role of the school leader is critical to the success of high poverty, high achieving schools. The Indiana RISE rubric indicates that student performance is a measure of evaluation for both administrators and teachers. All of the behaviors presented in Marzano’s work are important. Yet, there are some behaviors that are more critical than others. These behaviors that are critical should be addressed through principal development programs. Additional research needs to be conducted to identify the trends that all “A” rated schools have so that the level of success that can be replicated by all school leaders.

Implications for Practice

In the meantime, school leaders need to take the initiative to learn from one another to alter practices to support the students in their school. As mentioned in Chapter Two, the school leader is the one that sets the tone for the culture of the school. This responsibility falls on the shoulder of the principal to be the cheerleader, the encourager, the visionary, and the instructional leader. While the idea of instructional leadership is relatively new compared to the history of public education, the school leader has to embrace this role. The school leader needs to be visible so the stakeholders see the principal as the facilitator of trust, passion, and compassion. The school leader works to build relationships with parents so that parents feel a part of the answer in creating a high achieving school. The principal needs to effectively communicate the need for data-decision making through collaboration and creating high expectations that all students, regardless of background, are expected to achieve. Most importantly, the school leader needs to recognize the areas of his own ability to lead that are weak and build a team that can support the school in the vision and mission that he has set forth.

Recommendations for Further Research

The ability to understand the role of the school leader and the success of the school is complicated at best. To what extent the school leader impacts the educational success of the school needs further examination in multiple studies in a multitude of ways. School leaders from different performance categories, different demographics, and a comparison at a multitude of educational levels need to be examined.

Comparative Study-A to F

I conducted a mixed-method study to identify the self-perceived behaviors those elementary principals in high poverty, high achieving schools utilized on a regular basis in the school setting. Further study for a more comprehensive analysis would to conduct a comparative study of instructional leaders of A-rated schools compared to leadership of F-rated schools by the Indiana Department of Education. Conducting an analysis between A- and F-rated schools could potentially highlight specific behaviors that effective leadership uses compared to those leaders who are operating in an F-rated school.

Comparative Study-Demographics

The focus of this study was an examination of high poverty, high achieving schools. By modifying the study to only high achieving schools, one could conduct a quantitative or qualitative study of all schools who received the letter grade of an A by the Indiana Department of Education. By widening the number of schools eligible for study, the likelihood for more responses would also increase. With more data to analyze, new findings could be extrapolated when comparing school leadership with schools that have free/reduced lunch rates of 20%, 40%, 60%, and 80%, for example.

A qualitative approach could also be used in this type of study to focus on the behaviors of the school leaders. By selecting a school with a low free/reduced lunch rate and one that has a high free/reduced lunch rate, one would be able to see how the different leadership behaviors were utilized by the school administration. Additionally, findings about how poverty impacts instruction could also be better compared between schools of different free/reduced lunch status.

Comparative Study-Secondary

Due to my interest in elementary school leadership in high poverty, high achieving schools, I created a narrow focus of high poverty, high achieving elementary schools. A study examining schools from a 6-12 or K-12 setting would help create an in-depth examination of K-12 leadership behaviors. Behaviors that were identified by the participants in this study could have a different priority in a secondary or K-12 setting. Data extrapolated from a K-12 approach could have more district level appeal as school leaders look for ways to increase the awareness and need for instructional leadership through behaviors that were identified through Marzano, Waters, & McNulty, (2005)

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APPENDIX A

ELCC Standards

The ELCC standards were created to address and prepare educators who value the importance of preparing students to be productive citizens as adults. The educational leader was challenged to create and articulate a vision for learning and commit to high levels of performance. Adapted from the ISLCC Standards, the ELCC standards provided a partnership among the schools, the district, and the community work together to develop a successful program for lifelong learning and economic performance. Each of the eight guidelines provided perspective and structure for the role of the school administrator. The following are the standards outlined in the policy document. A more thorough description of the standards can be found in the Appendix.

ELCC Standard 1.0: A building-level education leader applies knowledge that promotes the success of every student by collaboratively facilitating the development, articulation, implementation, and stewardship of a shared school vision of learning through the collection and use of data to identify school goals, assess organizational effectiveness, and implement school plans to achieve school goals; promotion of continual and sustainable school improvement; and evaluation of school progress and revision of school plans supported by school-based stakeholders.

ELCC Standard 2.0: A building-level education leader applies knowledge that promotes the success of every student by sustaining a school culture and instructional program conducive to student learning through collaboration, trust, and a personalized learning environment with high expectations for students; creating and evaluating a comprehensive, rigorous and coherent curricular and instructional school program; developing and supervising the instructional and leadership capacity of school staff; and promoting the most effective and appropriate technologies to support teaching and learning within a school environment.

ELCC Standard 3.0: A building-level education leader applies knowledge that promotes the success of every student by ensuring the management of the school organization, operation, and resources through monitoring and evaluating the school management and operational systems; efficiently using human, fiscal, and technological resources in a school environment; promoting and protecting the welfare and safety of school students and staff; developing school capacity for distributed leadership; and ensuring that teacher and organizational time is focused to support high-quality instruction and student learning.

ELCC Standard 4.0: A building-level education leader applies knowledge that promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources on behalf of the school by collecting and analyzing information pertinent to improvement of the school’s educational environment; promoting an understanding, appreciation, and use of the diverse cultural, social, and intellectual resources within the school community; building and sustaining positive school relationships with families and caregivers; and cultivating productive school relationships with community partners.

ELCC Standard 5.0: A building-level education leader applies knowledge that promotes the success of every student by acting with integrity, fairness, and in an ethical manner to ensure a school system of accountability for every student’s academic and social success by modeling school principles of self-awareness, reflective practice, transparency, and ethical behavior as related to their roles within the school; safeguarding the values of democracy, equity, and diversity within the school; evaluating the potential moral and legal consequences of decision making in the school; and promoting social justice within the school to ensure that individual student needs inform all aspects of schooling.

ELCC Standard 6.0: A building-level education leader applies knowledge that promotes the success of every student by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context through advocating for school students, families, and caregivers; acting to influence local, district, state, and national decisions affecting student learning in a school environment; and anticipating and assessing emerging trends and initiatives in order to adapt school-based leadership strategies.

ELCC Standard 7.0: A building-level education leader applies knowledge that promotes the success of every student through a substantial and sustained educational leadership internship experience that has school-based field experiences and clinical internship practice within a school setting and is monitored by a qualified, on-site mentor.

APPENDIX B

Email Cover Letter for Quantitative Survey for Teachers

Dear Teacher,

Congratulations is in order for your efforts of receiving an “A” rating by the Indiana Department of Education during the 2011-2012 school year. As a fellow Indiana principal, I share in your passion to create world-class learning for students we are preparing for a technology-rich, collaborative, and fast-paced environment. I am currently a doctoral student at Ball State University, and the purpose of this study is to identify and expand upon instructional behaviors that elicit change and success.

I am asking for you to complete this questionnaire because of your commitment and passion for education. Your insight on instructional leadership is valuable to this study, as the long-term goal involves creating a body of research for principals to access for behaviors that elicit best practice in leading elementary schools in high poverty areas.

Additionally, attached to this email is a support letter from Executive Director Todd Bess about the survey.

The instrument was designed by Marzano to determine which responsibilities were most critical to the role of the school principal. The questionnaire is being duplicated to specifically focus on the responsibilities of school leaders who achieved “A” status and had a free/reduced lunch rate of 50% or greater—your school.

The information you provide remains anonymous in relationship to the study. None of the results are singled out in the study. At the conclusion of the study, there is a place to indicate if you would be willing for a follow-up to have a lengthier interview about school leadership. If you are interested, please complete this portion when you come to the question.

The survey should take no more than 15 minutes in which to complete. I appreciate your input in helping me research responsibilities of leaders in high poverty schools with “A” ratings from the Indiana Department of Education.

The link to access the survey instrument:

https://bsu.qualtrics.com/SE/?SID=SV_3slclsc0JQOE0Hr

INFORMED CONSENT FOR SURVEY

Study Title

MAKING THE GRADE: BEHAVIORS OF ELEMENTARY PRINCIPALS LEADING HIGH POVERTY “A” RATED SCHOOLS

Study Purpose and Rationale

The purpose of this study was designed to advance the knowledge and precepts of instructional leadership at the elementary school level. Focus on high tests scores, teacher evaluation, and rating schools letter grades provide statistical evidence in which conclusions could be made about instructional leadership. But, what support is required to help prepare future and current elementary administrators to be successful in the roles of elementary principals? Research on instruction existed in developing characteristics needed for the role of elementary principal in 21st century skills. However, a lack of research exists on whether those characteristics are effective for the role of elementary principal in high-poverty schools, as opposed to schools with lesser challenges in populations with lower free/reduced lunch rates. Further complicating the need of the right skills involved the perception of what stakeholders believed the right skills were needed to have a successful principal.

The need is to close the gap in school achievement by identifying the role the school principal plays in the success of the school. Data is being collected in two components through a semi-structure protocol. The quantitative component asks the participants 96 questions, and asks participants to use a Likert Scale (see attached instrument). Data is then analyzed and responsibilities of school principals were identified. For the qualitative study, two elementary schools were selected based on their location and success on state assessment. Interviews were planned to specifically identify and report trends for school leader responsibilities. Upon completion of the quantitative data collection, the researcher plans to submit the letters, instrument, and other supporting documents for the qualitative component of the study.

Inclusion/Exclusion Criteria

Participants are classroom teachers and administrators who work in elementary schools in the state of Indiana who were employed at a school with a free and/or reduced lunch rate of at least 50%, and the school had received a letter grade of an “A” on the 2011-2012 state assessment.

Participation Procedures and Duration

As a fellow Indiana principal, I share in your passion to create world-class learning for students we are preparing for a technology-rich, collaborative, and fast-paced environment. I am currently a doctoral student at Ball State University, and the purpose of this study is to identify and expand upon instructional behaviors that elicit change and success.

I am asking for you to complete this questionnaire because of your commitment and passion for education. Your insight on instructional leadership is valuable to this study, as the long-term goal involves creating a body of research for principals to access for behaviors that elicit best practice in leading elementary schools in high poverty areas.

The following questionnaire was designed by Marzano to determine which responsibilities were most critical to the role of the school principal. The questionnaire is being duplicated to specifically

focus on the responsibilities of school leaders who achieved “A” status and had a free/reduced lunch rate of 50% or greater—your school.

The information you provide remains anonymous in relationship to the study. None of the results are singled out in the study. At the conclusion of the study, there is a place to indicate if you would be willing for a follow-up to have a lengthier interview about school leadership. If you are interested, please complete this portion when you come to the question.

The survey should take no more than 15 minutes in which to complete. I appreciate your input in helping me research responsibilities of leaders in high poverty schools with “A” ratings from the Indiana Department of Education.

Data Confidentiality or Anonymity

- Data collected through the interview process remains confidential to the principal investigator only. Names and identifies are changed in the final product of the work collected.
- Data is collected and analyzed for the use of the dissertation study only. All information provides is kept/remain confidential.
- The instrument for the survey is accessed through a secure web site, and only individuals associated with Ball State University has access to the data collected for analysis purposes only.

Storage of Data

Data is collected through the use of the instrument survey program, and analysis is conducted through Ball State University. Data is sent to primary researcher, and is organized and stored on the principal investigator’s computer. Upon completion of the study, the data and recordings are destroyed.

Risks or Discomforts

There are no anticipated risks for participating in this study.

Benefits

The direct benefit is to the schools in the state of Indiana as specific behaviors of administrators are examined in high poverty, high performing schools. School districts have access to final results to identify and potentially change practices within the school.

Voluntary Participation

Your participation in this study is completely voluntary and you are free to withdraw your permission at anytime for any reason without penalty or prejudice from the investigator. Please feel free to ask any questions of the investigator before signing this form and at any time during the study.

IRB Contact Information

For questions about your rights as a research subject, please contact Director, Office of Research Integrity, Ball State University, Muncie, IN 47306, (765) 285-5070, irb@bsu.edu.

Study Title

MAKING THE GRADE: BEHAVIORS OF ELEMENTARY PRINCIPALS LEADING HIGH POVERTY “A” RATED SCHOOLS; Principal Investigator: Adam D. Drummond

Consent

By clicking “Go On” within the survey instrument, you agree to participate in this research project entitled, “MAKING THE GRADE: BEHAVIORS OF ELEMENTARY PRINCIPALS LEADING HIGH POVERTY “A” RATED SCHOOLS.” I have had the study explained to me and my questions have been answered to my satisfaction. I have read the description of this project and give my consent to participate. I understand that I will receive a copy of this informed consent form to keep for future reference.

Researcher Contact Information

Principal Investigator:

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Email Cover Letter for Quantitative Survey for Administrators

Dear Administrator,

Congratulations is in order for your efforts of receiving an “A” rating by the Indiana Department of Education during the 2011-2012 school year. As a fellow Indiana principal, I share in your passion to create world-class learning for students we are preparing for a technology-rich, collaborative, and fast-paced environment. I am currently a doctoral student at Ball State University, and the purpose of this study is to identify and expand upon instructional behaviors that elicit change and success.

I am asking for you and up to 10 (ten) teachers to complete this questionnaire. I ask that the teachers you select be randomly chosen. All responses are kept anonymous. School number organizes the information gathered from your school only. This is the only identifier that is used.

Enclosed are two attachments:

- Consent Form to Read.
- Please forward the attached “Teacher Request” PDF cover letter to the teachers you select.
- “IASP Support Letter” from Executive Director Todd Bess about the study.

The instrument was originally designed by Marzano to determine which responsibilities were most critical to the role of the school principal. The questionnaire is being duplicated to specifically focus on the responsibilities of school leaders who achieved “A” status and had a free/reduced lunch rate of 50% or greater—your school.

The information you provide remains anonymous in relationship to the study. None of the results are singled out in the study. At the conclusion of the study, there is a place to indicate if you would be willing for a follow-up to have a lengthier interview about school leadership. If you are interested, please complete this portion when you come to the question.

The survey should take no more than 15 minutes in which to complete. I appreciate your input in helping me research responsibilities of leaders in high poverty schools with “A” ratings from the Indiana Department of Education.

The link to access the survey:

https://bsu.qualtrics.com/SE/?SID=SV_1KXW5ZretHCSmy1&Preview=Survey&BrandID=bsu

PRINCIPAL BEHAVIORS IN HIGH POVERTY “A” SCHOOLS

APPENDIX C

DISSERTATION STUDY: DRUMMOND, A.D.

INFORMED CONSENT FOR SURVEY

Study Title

MAKING THE GRADE: BEHAVIORS OF ELEMENTARY PRINCIPALS LEADING HIGH POVERTY “A” RATED SCHOOLS

Consent

You have received a copy of the Consent Form in your email address, in which the link to this survey was provided.

By clicking “Go On”, you agree to participate in this research project entitled, “MAKING THE GRADE: BEHAVIORS OF ELEMENTARY PRINCIPALS LEADING HIGH POVERTY “A” RATED SCHOOLS.” I have had the study explained to me and my questions have been answered to my satisfaction. I have read the description of this project and give my consent to participate. I understand that I will receive a copy of this informed consent form to keep for future reference.

Go On.

Below is a list of statements. Read each statement. Select the statement that best characterizes you or your school.

	This does not characterize me or my school.	This rarely characterizes me or my school to an extent.	This characterizes me or my school to an extent.	This characterizes me or my school to a great extent.
1. The changes I am trying to make in my school will represent a significant challenge to the status quo when they are implemented.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Teachers in my school regularly share ideas.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. In my school, the instructional time of teachers is well protected.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. There are well-established	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

procedures in my school regarding how to bring up problems and concerns.

5. I have been successful at ensuring that teachers have the necessary resources and professional opportunities to maintain a high standard of teaching.

6. In my school, I have been successful at ensuring that teachers have the necessary resources and professional opportunities to maintain a high standard of teaching.

7. I am directly involved in helping teachers design curricular activities for their classes.

8. Concrete goals for achievement have been established for each student in my school.

9. I am very knowledgeable about effective instructional practices.

10. I make systematic and frequent visits to classrooms.

11. Individuals who excel in my school are recognized and rewarded.

12. Teachers in my school have ready and easy access to me.

13. I make sure that my school complies with all district and state mandates.

14. In my school, teachers have direct input into all important decisions.

15. The accomplishments of individual teachers in my school are recognized and celebrated.

Below is a list of statements. Read each statement. Select the statement that best characterizes you or your school.

	This does not characterize me or my school.	This rarely characterizes me or my school to an extent.	This characterizes me or my school to an extent.	This characterizes me or my school to a great extent.
16. I am aware of the personal needs of the teachers in my school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
17. I consciously try to challenge the status quo to get	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

challenge the status quo to get people thinking.

18. I try to inspire my teachers to accomplish things that might seem beyond their grasp.

19. The teachers in my school are aware of my beliefs regarding schools, teaching, and learning.

20. I continually monitor the effectiveness of our curriculum.

21. I am comfortable making major changes in how things are done.

22. I am aware of the informal groups and relationships among the teachers in my school.

23. I stay informed about the current research and theory regarding effective schooling.

24. In my school, we systematically consider new and better ways of doing things.

25. I am directly involved in helping teachers address instructional issues in their classrooms.

26. I have successfully developed a sense of cooperation in my school.

27. I have successfully created a strong sense of order among teachers about the efficient running of the school.

28. One of the biggest priorities in my school is to keep the staff's energy level up and maintain the progress we have already made.

29. The changes we are trying to make in our school require the people making the changes to learn new concepts and skills.

30. We have made good progress, but we need another "shot in the arm" to keep us moving forward on our improvement efforts.

<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Below is a list of statements. Read each statement. Select the statement that best characterizes you or your school.

This does not This rarely This characterizes me This characterizes me

	This does not characterize me or my school.	This rarely characterizes me or my school to an extent.	This characterizes me or my school to an extent.	This characterizes me or my school to a great extent.
31. In my school, we have designed concrete goals for our curriculum.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
32. I am very knowledgeable about classroom curricular issues.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
33. I have frequent contact with students in my school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
34. In my school, seniority is not the primary method of reward and advancement.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
35. Effective ways for teachers to communicate with one another have been established in my school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
36. I am strong advocate for my school to the community at large.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
37. Teachers are directly involved in establishing policy in my school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
38. The accomplishments of the students and the school in general are recognized and celebrated.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
39. I have a personal relationship with the teachers in my school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
40. I am comfortable initiating change without being sure where it might lead us.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
41. I always portray a positive attitude about our ability to accomplish substantive things.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
42. I continually monitor the effectiveness of the instructional practices used in our school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
43. I encourage people to express opinions that are contrary to my own.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
44. I am aware of the issues in my school that have not formally come to the surface but might cause discord.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
45. I continually expose teachers in my school to cutting-edge ideas about how to be effective.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Below is a list of statements. Read each statement. Select the statement that best characterizes you or your school.

	This does not characterize me or my school.	This rarely characterizes me or my school to an extent.	This characterizes me or my school to an extent.	This characterizes me or my school to a great extent.
46. There are deeply ingrained practices in my school that must be ended or changed if we are to make any significant progress.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
47. I can be highly directive or nondirective as the situation warrants.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
48. There is a strong team spirit in my school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
49. There are well-established routines regarding the running of the school that staff understand and follow.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
50. I am directly involved in helping teachers address assessment issues in their classrooms.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
51. Teachers in my school are regularly involved in professional development activities that directly enhance their teaching.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
52. The changes I am trying to make in my school will challenge the existing norms.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
53. We gave specific goals for specific instructional practices in my school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
54. I am very knowledgeable about effective classroom assessment practices.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
55. I am highly visible to the teachers about students in my school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
56. In my school, we have a common language that is used by administrators and teachers.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
57. Lines of communication are strong between teachers and myself.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
58. I am a strong advocate for my school to the parents of our students.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
59. In my school, decisions are made using a teach approach.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
60. In my school, we systematically acknowledge our failures and celebrate our accomplishments.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	This does not characterize me or my school.	This rarely characterizes me or my school to an extent.	This characterizes me or my school to an extent.	This characterizes me or my school to a great extent.
61. I stay informed about significant personal issues in the lives of the teachers.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
62. Unless we make significant changes in my school, student achievement is not going to improve much.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
63. I try to be the driving force behind major initiatives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
64. I have well-defined beliefs about schools, teaching, and learning.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
65. I continually monitor the effectiveness of the assessment practices used in my school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
66. I adapt my leadership style to the specific needs of a given situation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
67. In my school, we have a shared understanding of our purpose.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
68. In my school, we systematically have discussions about current research and theory.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
69. The most important changes we need to make in my school are the ones the staff most strongly resists.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
70. In my school, teachers are not brought into issues external to the school that would detract from their emphasis on teaching.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
71. In my school, controversies or disagreements involving only one or a few staff members do not escalate into schoolwide issues.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
72. We have established specific goals for the assessment practices in my school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
73. I provide conceptual guidance for the teachers in my school regarding effective classroom practice.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
74. In my school, advancement and reward are not	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

and reward are not automatically given for "putting in your time."

75. I make sure the central office is aware of the accomplishments of my school.

Below is a list of statements. Read each statement. Select the statement that best characterizes you or your school.

	This does not characterize me or my school.	This rarely characterizes me or my school to an extent.	This characterizes me or my school to an extent.	This characterizes me or my school to a great extent.
76. I make sure that significant events in the lives of the teachers in my school are acknowledged.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
77. In my school, we consistently ask ourselves, "Are we operating at the edge verses the center of our competence?"	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
78. I believe we can accomplish just about anything if we are willing to work hard enough and if we believe in ourselves.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
79. I have explicitly communicated my strong beliefs and ideals to teachers.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
80. At any given time, I can accurately determine how effective our school is in terms of enhancing student learning.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
81. In my school, we are currently experiencing a period during which things are going fairly well.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
82. I can accurately predict things that may go wrong in my school on a day-to-day basis.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
83. In my school, we systematically read articles and books about effective practices.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
84. Our schoolwide goals are understood by all teachers.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
85. I am aware of what is running smoothly and what is not running smoothly in my school.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
86. Our schoolwide goals are a prominent part of our day-to-day lives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
87. My behavior is consistent	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

with my ideals and beliefs regarding schools, teachers, and learning.

88. In my school, it would be useful to have a period of time during which we do not undertake any new, big ideas.

89. In my school, the materials and resources teachers request are procured and delivered in a timely fashion.

90. Individuals who work hard and produce results are identical and rewarded in my school.

91. I am aware of the details regarding the day-to-day running of the school.

92. In my school, we share a vision of what we could be like.

List your school name.

Position in your school.

Principal

Please indicate gender.

Male

Female

Select number of year(s) as Principal through 2011-2012 school year (in which letter grade was assigned for purpose of this study).

1st year

2-5 years

6-10 years

11-15 years

16+ years

I was the principal on staff during the 2011-2012 school year in which the state recognized my school with "A" status.

Yes

No

I am willing to be contacted to sit down for a more in-depth interview of leadership within my school.

Yes

No

If you would like to be contacted, please provide contact name.

If you would like to be contacted, please provide email address.

If you would like to be contacted, please provide phone number.

PRINCIPAL BEHAVIORS IN HIGH POVERTY "A" SCHOOLS

[IDOE HOME](#)

APPENDIX D

[Compass Help](#) [AYP](#) [PL221](#) [Grad Rate](#)

Search School and Corporation Reports

[Advanced Search](#)
[State Report](#)

Where we are and where we are heading.

School A (0000)

0000 Address Dr
 CITY, IN 40000
 Phone: (555) 555-5555 Fax: (555) 555-5556
[School Homepage](#)

Principal: Pierce
pierce@schoolA.k12.in.us
 Grade Levels KG - 05
 Accreditation Status: State Accredited

County
[Community Schools \(0000\)](#)

Other Schools in Community Schools



[Overview](#) [Enrollment & Attendance](#) [Student Performance](#) [Accountability](#) [School Personnel](#)

[IREAD-3](#) [Report Card](#) [AMAO](#)

Report Card

Year:

PL 221 History

	2007-08	2008-09	2009-10	2010-11	2011-12
Final PL 221 Status	Exemplary Progress	Not Assessed	Exemplary Progress	A (Exemplary Progress)	A

Due to a change to spring testing, PL 221 was not calculated for the 2008-09 school year.

2011-2012 Report Card

A

School A

William F Loper Elem Sch received an "A" as its final letter grade for school accountability.

There was no letter grade change from last year.

The final grade reflects student performance and growth on Indiana's English/Language Arts and Math basic skills tests. Student growth is analyzed for three groups: (1) Bottom 25%, (2) Top 75% and (3) Overall.

Student Performance

A school's letter grade is established by the percent of students passing state assessments.

Mathematics

91.9% of students passed the assessment.
 This rate is **above** the state average.
 This rate is **above** the state goal.

English/Language Arts

88.9% of students passed the assessment.
 This rate is **above** the state average.
 This rate is **below** the state goal.

Student Growth

A school's letter grade may increase, decrease, or remain the same based on student growth.

Mathematics

English/Language Arts

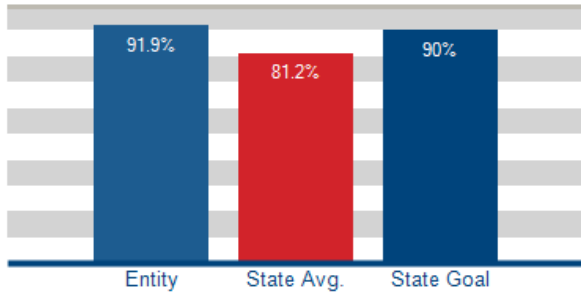
PRINCIPAL BEHAVIORS IN HIGH POVERTY "A" SCHOOLS



Student Performance

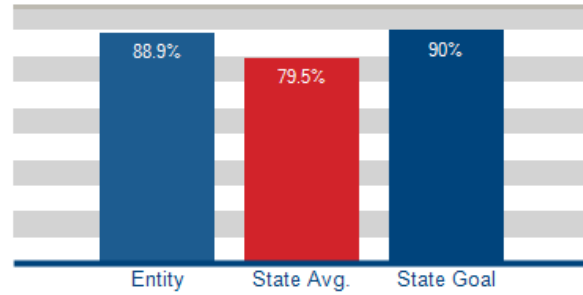
Mathematics

Percent Passing



English/Language Arts

Percent Passing



Student Growth

Mathematics

Percent of Students Achieving High Growth (Bonus Opportunities)

Bottom 25% of Students

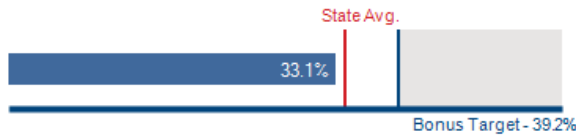


English/Language Arts

Bottom 25% of Students



Top 75% of Students

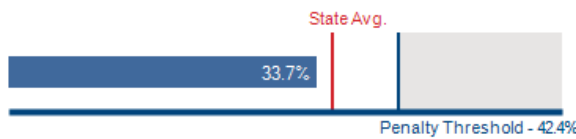


Top 75% of Students



Percent of Students Showing Low Growth (Penalty Possibilities)

Overall



Overall



[AYP](#) [PL221 Historical Results](#)

**Educator Questionnaire of Leadership Characteristics
Qualitative Component**

**Interview set to be asked in person with teaching staff and administrator.*

Congratulations is in order for your efforts of receiving an “A” rating by the Indiana Department of Education during the 2011 2012 school year. The following interview questions were asked to determine which responsibilities were most critical of the role of the school principal.

For the purpose of this study, high poverty, high performing indicates a school that earned an “A” status and had a free/reduced lunch rate of 50% or greater during 2011 2012 school year.

Please answer each question based on your personal experiences.

The information you provide remains anonymous in relationship to the study. None of the results are singled out in the study.

The interview should take no more than 45 minutes in which to complete. Thank you in advance for your assistance. I appreciate your input in helping me research responsibilities of leaders in high poverty schools with “A” ratings from the Indiana Department of Education.

Demographic Information:

1. Your Name:
2. School Name: _____
3. Grade levels in the school: _____
4. Years of education service: _____
5. I was on staff during the 2011 2012 school year in which the state recognized my school with “A” status.

APPENDIX F

Qualitative Study Questionnaire for Principal

1. Identify two leadership behaviors you exemplify, and explain how you selected these above all others.
2. Identify two leadership behaviors you identify as areas of growth, and explain how you know his.
3. What do you believe is the single most important administrator behavior that you use that helped support your school culture as a high-poverty, high-performing school?
4. From your perspective, walk the researcher through your day.
5. What are three areas of teaching that your staff look to you for support?
6. How do you perpetuate change?
7. What are two three shifts in school culture hat occurred in your building during 2011 2012 that perpetuated your school to raise their test scores to an “A” rating?
8. In examining your data, much of your letter grade status of an “A” was a result of receiving bonus points. Please share how your instruction provided the scores necessary for bonus points.
9. How does your staff monitor data, and facilitate instruction as a response to the data analyzed?
10. How does your teaching staff know you support them? Give 2 3 examples.
11. How does your school culture maintain the level of excellence for a high poverty, high achieving school?
12. What else would be important for the researcher to know about you as a school leader?

APPENDIX G

Appendix I.1—Years of Experience in Education Mean Comparison Table

	1 st Year (1)			Years 2-5 (2)			Years 6-10 (3)			Years 11-15 (4)			Years 16+ (5)			Total		
	Mean	N	Std. Dev.	Mean	N	Std. Dev.	Mean	N	Std. Dev.	Mean	N	Std. Dev.	Mean	N	Std. Dev.	Mean	N	Std. Dev.
Affirmation	3.57	10	.39	3.26	9	.64	3.26	9	.94	3.42	8	.71	3.21	25	.90	3.31	61	.77
Culture	3.62	10	.36	3.20	9	.30	3.44	9	.74	3.79	8	.40	3.24	25	.83	3.40	61	.67
<i>Change Agent</i>	3.30	10	.44	3.3	9	.35	3.07	9	.59	3.31	8	.31	2.97	25	.63	3.13	61	.54
Communication	3.77	10	.27	3.56	9	.53	3.63	9	.51	3.92	8	.15	3.21	25	.91	3.51	61	.70
Contingent Rewards	3.22	10	.51	3.39	9	.33	3.11	9	.70	3.3	8	.46	3.11	25	.70	3.20	61	.59
Discipline	3.25	10	.41	3.31	9	.48	3.50	9	.45	3.59	8	.35	3.15	25	.75	3.30	61	.59
Focus	3.52	10	.31	3.33	9	.53	3.26	9	.57	3.75	8	.27	3.35	25	.67	3.41	61	.56
Flexibility	3.50	10	.41	3.16	9	.44	3.22	9	.65	3.72	8	.25	3.00	25	.84	3.23	61	.68
<i>Input</i>	2.97	10	.37	3.15	9	.58	3.04	9	.98	3.58	8	.30	2.95	25	.90	3.08	61	.76
Ideals/Beliefs	3.63	10	.36	3.58	9	.45	3.56	9	.67	3.84	8	.23	3.26	25	.71	3.49	61	.60
<i>Involvement in CIA</i>	3.40	10	.47	3.00	9	.58	3.07	9	.62	3.25	8	.50	2.93	25	.83	3.08	61	.68
Intellectual Stimulation	2.97	10	.40	3.25	9	.57	3.28	9	.65	3.34	8	.48	3.18	25	.63	3.19	61	.57
Knowledge of CIA	3.45	10	.37	3.44	9	.48	3.42	9	.70	3.72	8	.36	3.24	25	.76	3.39	61	.62
Monitoring/Evaluation	3.55	10	.35	3.40	9	.37	3.37	9	.61	3.66	8	.40	3.33	25	.59	3.42	61	.51
Order	3.60	10	.30	3.44	9	.47	3.30	9	.79	3.71	8	.42	3.21	25	.85	3.39	61	.69
Optimizer	3.76	10	.22	3.49	9	.33	3.56	9	.66	3.78	8	.09	3.37	25	.72	3.53	61	.56
Outreach	3.80	10	.39	3.67	9	.41	3.61	9	.72	3.82	8	.22	3.50	25	.76	3.63	61	.61
Resources	3.53	10	.32	3.41	9	.36	3.52	9	.47	3.67	8	.31	3.18	25	.81	3.39	61	.61
Relationships	3.55	10	.51	3.31	9	.50	3.28	9	.92	3.69	8	.32	2.93	25	.96	3.24	61	.81
Situational Awareness	3.50	10	.40	3.26	9	.50	3.31	9	.67	3.74	8	.14	3.18	25	.77	3.34	61	.63
Visibility	3.87	10	.23	3.59	9	.55	3.52	9	.72860	3.85	8	.21	3.33	25	.97	3.56	61	.74

Notes:
*CIA stands for curriculum, instruction, and assessment.

Appendix I.2—Years of Experience in Education Mean Comparison Table

	Male (1)			Female (2)			Total		
	Mean	N	Std. Deviation	Mean	N	Std. Deviation	Mean	N	Std. Deviation
Affirmation	3.39	11	.70	3.29	50	.79	3.3	61	.77
Culture	3.43	11	.74	3.39	50	.66	3.40	61	.67
<i>Change Agent</i>	3.16	11	.52	3.13	50	.55	3.13	61	.54
Communication	3.51	11	.92	3.51	50	.65	3.50	61	.70
Contingent Rewards	3.26	11	.62	3.19	50	.59	3.19	61	.59
Discipline	3.34	11	.59	3.29	50	.60	3.30	61	.59
Focus	3.36	11	.64	3.43	50	.55	3.41	61	.56
Flexibility	3.41	11	.53	3.19	50	.71	3.23	61	.68
<i>Input</i>	3.12	11	.81	3.07	50	.75	3.08	61	.76
Ideals/Beliefs	3.43	11	.53	3.50	50	.62	3.49	61	.60
<i>Involvement in CIA*</i>	3.03	11	.84	3.09	50	.65	3.08	61	.68
Intellectual Stimulation	3.18	11	.64	3.19	50	.56	3.19	61	.57
Knowledge of CIA*	3.41	11	.73	3.39	50	.61	3.39	61	.62
Monitoring/Evaluation	3.46	11	.44	3.42	50	.53	3.42	61	.51
Order	3.39	11	.85	3.39	50	.65	3.38	61	.69
Optimizer	3.58	11	.46	3.52	50	.58	3.53	61	.56
Outreach	3.66	11	.64	3.62	50	.61	3.63	61	.61
Resources	3.33	11	.87	3.40	50	.55	3.38	61	.61
Relationships	3.28	11	.75	3.23	50	.82	3.24	61	.81
Situational Awareness	3.35	11	.56	3.33	50	.65	3.34	61	.63
Visibility	3.55	11	.89	3.56	50	.71	3.55	61	.74

Notes:

*CIA stands for curriculum, instruction, and assessment.

APPENDIX H



Institutional Review Board

DATE: August 21, 2013

TO: Adam Drummond, EdS

FROM: Ball State University IRB

RE: IRB protocol # 495027-1

TITLE: Making the Grade: Behaviors of Elementary Principals Leading High Poverty "A" Rated Schools,

SUBMISSION TYPE: New Project

ACTION: DETERMINATION OF EXEMPT STATUS

DECISION DATE: August 21, 2013

The Institutional Review Board reviewed your protocol on August 21, 2013 and has determined the procedures you have proposed are appropriate for exemption under the federal regulations. As such, there will be no further review of your protocol, and you are cleared to proceed with the procedures outlined in your protocol. As an exempt study, there is no requirement for continuing review. Your protocol will remain on file with the IRB as a matter of record.

Editorial notes:

1. exempt status (Category 2) with informed consent for the interview participants

While your project does not require continuing review, it is the responsibility of the P.I. (and, if applicable, faculty supervisor) to inform the IRB if the procedures presented in this protocol are to be modified or if problems related to human research participants arise in connection with this project. **Any procedural modifications must be evaluated by the IRB before being implemented, as some modifications may change the review status of this project.** Please contact please contact Jennifer Weaver at 765-285-5034 or jmweaver@bsu.edu if you are unsure whether your proposed modification requires review or have any questions. Proposed modifications should be addressed in writing and submitted electronically to the IRB (<http://www.bsu.edu/irb>) for review. Please reference the above IRB protocol number in any communication to the IRB regarding this project.

Reminder: Even though your study is exempt from the relevant federal regulations of the Common Rule (45 CFR 46, subpart A), you and your research team are not exempt from ethical research practices and should therefore employ all protections for your participants and their data which are appropriate to your project.



APPENDIX I

Indiana Association of School Principals

11025 East 25th Street • Indianapolis, IN 46229 • 317/891-9900 • 800/285-2188 • Fax 317/894-9807
 www.iasp.org • e-mail: iasp-info@iasp.org

The Indiana Association of School Principals leads in the advocacy and support of all principals in their commitment to every child.

Principal Services

- Assessment Center
- Awards & Recognition
- Business/Community Partnerships
- Climate Audits
- Conferences
- District Activities
- Electronic Communications
- Emergency Assistance
- Federal Relations
- Legal Advice
- Legislation
- Principal for a Day
- Principals Service Corps
- Publications
- Research & Information
- Superintendents' Advisory Committee
- Vacancy Listings
- Workshops

Student Programs

- Academic Competitions
- Arts Competition
- Academic & Cheer Coaches Conferences
- Cheerleading Competitions
- Day at the Legislature
- Indiana Academic All-Stars
- Kids Caring & Sharing
- Youth Philanthropy Advocacy


August 26, 2013

Mr. Adam Drummond, a doctoral student at Ball State University under the direct supervision of Dr. Serena Salloum, is studying the behaviors of principals leading high poverty "A" rated schools. As the Executive Director of the Indiana Association of School Principals, I believe his study and research to be significant because of the ongoing need to determine how to build leadership capacity at the building level and during pre-service preparation.

Clearly your experience and knowledge is critically important to this research. In this study of high poverty "A" rated schools, Mr. Drummond seeks to identify the role the school principal plays in the success of the school. He will be conducting his study using both a quantitative and qualitative approach. IASP is supportive of Mr. Drummond's work and believe it to be a significant research topic, especially in our current state of high accountability for teachers and administrators as it relates to the school letter grade.

I hope that you can support this research study as it brings further guidance to our professional capacity to increase student achievement.

Sincerely,


 Todd D. Bess, Ph. D.
 Executive Director



TEACHERS COLLEGE
DEPARTMENT OF EDUCATIONAL LEADERSHIP

Muncie, Indiana 47306-0590
Phone: 765-285-8488
Fax: 765-285-2166

July 26, 2013

Dr. Marzano,

First, let me begin by saying how much I appreciated and valued your pre-session at the National Association of Elementary School Principals. I have greatly admired your work, and the results you have analyzed into practice for educators across the country. Your work has inspired me, as well as others, to be better educators.

I am currently a doctoral candidate in the educational leadership department at Ball State University. With changes in education, instructional leadership is critical to support and move schools forward to provide the best education possible for students. In order to provide effective instructional techniques, the dissertation project I have chosen focuses on instructional leadership in the state of Indiana. Indiana has revised how school progress is measured by giving school letter grades. Additionally, I plan to scrutinize the instructional leadership practices of schools that have poverty rates at or greater than fifty percent.

As I examined the research, I felt that instrument you created and used for instructional leadership would be ideal to replicate for this study. I am seeking permission to utilize the questionnaire that was constructed and given in 2003-2004 to determine how the 21 responsibilities are interrelated within this specific group of instructional leaders and teachers.

I would be happy to further discuss the scope of this dissertation topic. I appreciate your consideration for permission to utilize this questionnaire.

Educationally Yours,

Adam D. Drummond, Ed.S.

Doctoral Candidate
Ball State University

Principal
Lincoln Elementary School
Huntington, IN



4601 DTC Blvd., Suite 500 • Denver, CO 80237
303.337.0990 • Fax: 303.337.3005 • www.mcrel.org

Adam D. Drummond, Ed.S.
Principal, Lincoln Elementary School
2037 E. Taylor Street
Huntington, IN 46750

Permission to Use McREL Material

August 19, 2013

Permission is hereby granted to Adam D. Drummond to use in the dissertation that he is writing the following material which was published by McREL:

pp. 160-170 from *School leadership that works: From research to results*.

We understand that the survey will be used as part of the dissertation and the technical notes will be included as additional information. The survey should be marked as to the source of the material and include the statement "Used by permission of McREL." The bibliography should include a full citation as follows:

Marzano, R. J., Waters, T., & McNulty, B. A. (2005). *School leadership that works: From research to results*. Alexandria, VA: Association for Supervision and Curriculum Development.

We understand that the report containing this survey will not be sold or distributed. It is for satisfying program requirements only. This permission is limited to the use and materials specified above. Any change in the use or materials from that specified above requires additional written permission from McREL before such use is made.

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

Sincerely,

Maura McGrath
Knowledge Management Specialist