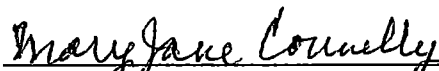


To the Graduate Council.

I am submitting herewith a dissertation written by Elizabeth Burrell Balcerek entitle "Principals' Effective Leadership Practice in High Performing and Inadequately Performing Schools " I have examined the final copy of this dissertation for form and content and recommend that it be accepted in partial fulfillment of the requirements for the degree of Doctor of Education with a major in Education

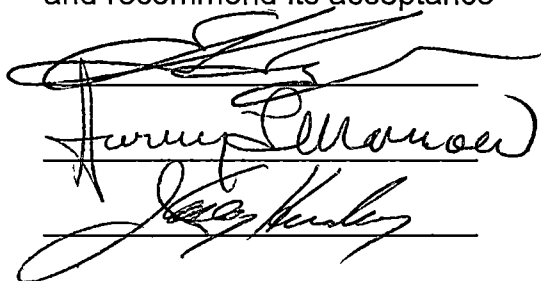


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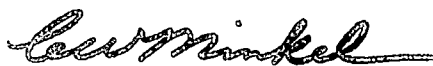


Gary Ubben, Major Professor

We have read this dissertation
and recommend its acceptance.



Accepted for the Council:



Associate Vice Chancellor and
Dean of The Graduate School

**PRINCIPALS' EFFECTIVE LEADERSHIP PRACTICE
IN HIGH PERFORMING AND
INADEQUATELY PERFORMING SCHOOLS**

**A Dissertation
Presented for the
Doctor of Education
Degree
The University of Tennessee, Knoxville**

**Elizabeth Burrell Balcerek
May 2000**

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DEDICATION

This dissertation is dedicated
to my husband, Jim
to our son and daughter, Christopher and Katherine
to my parents, Chris and Emma Lou Burrell
who each give to me
a full measure of
support and encouragement
in all my endeavors

ACKNOWLEDGMENTS

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There are a number of other people whose assistance I want to recognize: my sister, Virginia Burrell Milligan, my Assistant Principal, Steve Jones and his wonderful wife, Eva, and my school family in Cashiers, North Carolina, Blue Ridge School PK-12.

Lastly, the greatest debt is owed to my husband, Jim, and my mother and dad, whose love and support is always a part of whatever I achieve.

ABSTRACT

The purpose of this study is to determine if there is a difference between principals' effective leadership practice between high and inadequately performing schools. Educational policy in some states currently assumes a connection and bases principals' rewards or sanctions on student achievement test results.

The *Leadership Practices Inventory (LPI)* by Kouzes and Posner (1997) was used to gather information on both principal perception and teacher rating of effective leadership practice in the principalship. The *LPI* identifies five effective leadership practices and provides a score in each of those practices based on both principals' *Self-* reports and *Observer-* ratings (teachers). The five leadership practice areas defined by the *LPI* are *challenging the process, inspiring a shared vision, enabling others to act, modeling the way, and encouraging the heart.*

The *LPI* was completed by both principals and teachers in schools from both high and inadequately performing schools (in student achievement testing). In this study, comparisons were made between (1) the two school performance levels and principals, (2) the two school performance levels and teachers, (3) between principals and teachers in high performing schools, and (4) between principals and teachers in inadequately performing schools.

No statistically significant relationship was found among principals' *Self-* report between school performance levels, however a significant correlation was

found among teachers' *Observer*- ratings in the leadership practice, *encouraging the heart*. This finding was unexpected with respect to the fact that teachers in inadequately performing schools rated their principals higher in this leadership practice than did their counterparts in high performing schools.

No statistical significance was found in comparing principals' *Self*- reports to teachers' *Observer*- ratings in high performing schools, but a statistically significant difference was found between principals and teachers in inadequately performing schools with regard to the effective leadership practice, *inspiring a shared vision*. Similarly this finding is unexpected with respect to the fact that teachers rated their principals higher than did principals in inadequately performing schools.

The data supports the conclusion that there is little difference in principals' effective leadership practices between high performing or inadequately performing schools as measured by student achievement test scores. Principals in both school performance levels are equally engaged in effective leadership practices. Further study is warranted regarding the many factors impacting student achievement tests and the multiple dimensions of effective leadership, if principals are to be professionally rewarded or sanctioned based solely on student achievement tests results.

TABLE OF CONTENTS

CHAPTER		PAGE
I	PRINCIPAL LEADERSHIP	1
	I. INTRODUCTION	1
	II PRINCIPAL LEADERSHIP AND SCHOOLS IN REFORM	3
	III PROBLEM STATEMENT	5
	IV PURPOSE OF THE STUDY	7
	V RESEARCH QUESTIONS	7
	VI DEFINITION OF TERMS	8
	VII SIGNIFICANCE OF THE STUDY	11
	VIII ASSUMPTIONS	12
	IX DELIMITATIONS	13
	X LIMITATIONS	13
	XI ORGANIZATION OF THE STUDY	14
2	LITERATURE REVIEW	15
	I. INTRODUCTION	15
	II EVOLUTION OF THE SCHOOL PRINCIPALSHIP	16
	III EVOLUTION OF THE LEADERSHIP ROLE IN THE PRINCIPALSHIP	20
	IV ASSESSING LEADERSHIP PRACTICE AND BEHAVIOR	29
3	RESEARCH METHODS	35
	I RESEARCH DESIGN AND METHODOLOGY	35

II	DESIGN OF THE STUDY	35
III.	POPULATION/SAMPLE	41
IV	INSTRUMENTATION	47
V	DATA COLLECTION PROCEDURES	54
VI	DATA ANALYSIS	56
4	FINDINGS	59
I	INTRODUCTION	59
II	FINDINGS	59
5	SUMMARY, CONCLUSIONS, DISCUSSION, AND RECOMMENDATION	75
I	INTRODUCTION	75
II	SUMMARY	75
III	RESEARCH METHODOLOGY	76
IV	SUMMARY OF FINDINGS FOR RESEARCH QUESTIONS	77
V	CONCLUSIONS	82
VI	DISCUSSION	87
VII	RECOMMENDATION	90
	REFERENCES	93
	APPENDICES	108
	VITA	136

LIST OF TABLES

TABLE		PAGE
1	Kouzes' and Posner's Leadership Model	4
2	Historical Review of the Public School Principalship	18
3	The Study Population Size, Statistics, and Data Returns	45
4	North Carolina K-8 Schools Qualifying for this Principal Leadership Study	46
5	Means, Standard Deviations, and Reliability Indexes for the <i>Leadership Practices Inventory</i>	49
6	The <i>Leadership Practices Inventory</i> , Scoring Summary by School Sample	53
7	Subjects, Respondents, and Response Rate by School Performance Levels	60
8	<i>LPI-Self-</i> and <i>Observer-</i> Mean Scores by School Performance Levels	61
9	Comparison of Mean <i>Self-</i> Scores of Principals in High Performing and Inadequately Performing Schools	63
10	Comparison of Mean Scores of Teachers' Ratings in High Performing and Inadequately Performing Schools	65
11	Comparison of Principals' <i>Self-</i> Score Means with the Mean Scores of Teachers' Ratings in High Performing Schools	69
12	Comparison of Principals' <i>Self-</i> Score Means with the Mean Score Ratings of Teachers in Inadequately Performing Schools	72
13	Rank Order by Mean Scores Among Participant Categories and School Performance Levels	74

14	North Carolina ABCs Model Student Growth Formulas and Standards in North Carolina End-of-Grade Tests by Grade Level	112
15	North Carolina ABCs Model Formulas by Grade Level	113
16	North Carolina ABCs Model Student Achievement Level Ranges for North Carolina End-of-Grade Tests by Grade Level .	114
17	Sample North Carolina School's ABCs End-of-Grade Expected and Exemplary Growth Report in the ABCs Model	117
18	A Summary of North Carolina K-8 Schools, ABCs Model, Recognition Categories for 1997 and 1998	121

CHAPTER 1

PRINCIPAL LEADERSHIP

I. INTRODUCTION

Wolcott, author of *Man in The Principal's Office* (1973), points out that it is interesting to think about the school principalship as a "position peculiarly suited as a link between the educational bureaucracy and the individual human lives of a large number of children and adults" (page 320). He went on to point out that principals enjoy the responsibility of playing a small part in so many lives, feeling rewarded when either their position or their own unique personalities, enable them to make a genuine and positive difference for others (Wolcott, 1973). The reward principals feel, and the importance of their leadership in schools, remains unchanged as America begins the year 2000.

This importance was emphasized in 1983 with, *A Nation at Risk*, and again, with the report, *A Nation Prepared* (1986), and significantly underscored when principal leadership became linked to excellence in schools. Leithwood, Begley, and Cousins suggested in the mid-90s, as Wolcott did in the early 70s, that schools will continue to need competent principals who can manage schools while simultaneously leading them toward accomplishing their basic educational purposes (Leithwood, Begley, and Cousins, 1994). Nevertheless, understanding exactly what it is that school principals do to make a positive difference in creating excellent schools, especially those presently involved in reform and restructuring initiatives, remained somewhat of a conundrum in the late 90s.

The leadership role of school principals today is shaped by a diverse set of concerns and issues peculiar to public schooling (Beck and Murphy, 1993). A proliferation of current books about the principalship illustrates this diversity and the continuing search for a better understanding of the principal's role. This literature includes the following Understanding the Principalship, Metaphorical Themes (Beck and Murphy, 1993), Reshaping the Principalship (Murphy and Louis, 1994); The Paradox of Leadership, Balancing Logic and Artistry in Schools (Deal and Peterson, 1994), Developing Expert Leadership for Future Schools (Leithwood, Begley, and Cousins, 1994), and Leadership for the Schoolhouse (Sergiovanni, 1996). The publication of these books suggests that we continue to explore the mystique surrounding the leadership role of the school principal.

Schools must have leaders who are honest, forward-looking, inspiring and competent. Kouzes and Posner (1995) suggest that these traits are "essential leadership prerequisites" (page 26). Collectively they give a leader "source credibility," which is pertinent to leadership in the fields of management, medicine, politics, religion, and education (Kouzes and Posner, 1995, page 26). Certainly, in schools we want principals who possess source credibility - - who are trusted, who do what they say, who are personally excited and enthusiastic about the direction schools are heading in, and who have the knowledge and skill necessary to lead (Kouzes and Posner, 1995).

The Leadership Practices Inventory, developed by Kouzes and Posner

(1997), is an instrument whereby effective leadership practices and behaviors can be assessed The Leadership Challenge (1995) provides the theoretical basis for this study and is the result of Kouzes' and Posner's leadership research over 15 years. The people studied *lead projects, managed departments, started small businesses, and promoted community-based campaigns*. Kouzes and Posner (1995) investigated both leader and follower perspectives of effective leadership practice to determine if and how the leadership perceptions between leaders and followers aligned themselves. From their research, these authors developed a model of effective leadership practices that provides a means by which effective leadership can be assessed and ultimately improved.

Kouzes' and Posner's theoretical model consists of five fundamental leadership practices found in effective leaders regardless of the type of organization, institution, or setting. These five effective practices are described by the authors as (1) challenging the process, (2) inspiring a shared vision, (3) enabling others to act, (4) modeling the way, and (5) encouraging the heart (See Table 1, Kouzes' and Posner's Leadership Model, page 5).

II. PRINCIPAL LEADERSHIP AND SCHOOLS IN REFORM

The terms *school reform* and *school restructuring* are often used interchangeably throughout educational literature. Examples of these are initiatives involving school-based management, shared decision making,

TABLE 1, Kouzes' and Posner's Leadership Model

Ten Commitments of Leadership		
<i>PRACTICES</i>	<i>COMMITMENTS</i>	
Challenge the Process	1	Search out challenging opportunities to change, grow, innovate, and improve
	2	Experiment, take risks, and learn from the accompanying mistakes.
Inspire a Shared Vision	3	Envision an uplifting and ennobling future
	4	Enlist others in a common vision by appealing to their values, interests, hopes and dreams
Enable others to Act	5	Foster collaboration by promoting cooperative goals and building trust.
	6	Strengthen people by giving power away, providing choice, developing competence, assigning critical tasks, and offering visible support.
Model the Way	7	Set the example by behaving in ways that are consistent with shared values
	8	Achieve small wins that promote consistent progress and build commitment
Encourage the Heart	9	Recognize individual contributions to the success of every project
	10	Celebrate team accomplishments regularly

Source: The Leadership Challenge by James M. Kouzes and Barry Z. Posner, Copyright © 1995

parental choice, professionalization of teaching, and improving the marginal student. Typically school reform initiatives seek to (1) accomplish the basic purposes of school more efficiently, (2) replace school programs or structures, (3) alter school practices, and (4) change the duties and responsibilities of school personnel. Regardless of the goals of school reform they add to the complexity of the principalship because in essence principals are expected to lead school reform. Fullan (1991) points out, if school principals do not lead change, change will not occur, "That is, improvement will not happen," he stresses that educational research on the leadership role of the principalship in schools under reform is particularly needed (Fullan, 1991, page 169).

Fullan (1991) indicates that systematic research from school reform efforts regarding (1) what the principal actually does, and (2) his or her relationship to change, in reform initiatives, is only recently under investigation (Fullan, 1991). Louis and Murphy reviewed school reform research and found that (1) prescriptions have been developed regarding the ways the principal's leadership role is shaped, but these prescriptions are not empirically based and (2) longitudinal studies tracking the evolution of the work of the principal in reform efforts is simply in short supply (Louis and Murphy, 1994).

III. PROBLEM STATEMENT

Studies throughout the nation recognize the complexity and ambiguity inherent in the leadership role of the principal in school reform efforts (Fullan,

1991, Louis and Miles, 1990) This ambiguity is in part because the principal's leadership role is embedded in subtle nuances, context-specific school processes and shared understandings that for the most part are implied or assumed in labels such as transactional leadership, transformational leadership and, more recently, moral leadership or leader of community These terms lack clear articulation, description and definition and are as inadequate, as was the "list logic" descriptions of principal leadership that Roland Barth spoke of from earlier school reform periods (Leithwood, Begley, and Cousins, 1995)

In spite of this longstanding lack of clarity regarding principal leadership, some states have moved to establish legislative policies that link success in the principalship to achievement test scores in schools Furthermore, states have implemented state mandates that call for the dismissal of principals if their school's achievement test scores are inadequate Such state education policies rest on incomplete hypotheses given the multiple factors that research tell us contribute to students' achievement test scores

Intuitively, we feel that effective leadership practices by school principals should contribute to good student achievement test results However, our knowledge of the specific connections between principal leadership and achievement test scores is only recently emerging, no conclusive empirical evidence exists that shows a relationship between student achievement test scores and principals' leadership practices, although principals in various states are being sanctioned and even dismissed because of their students' test scores

North Carolina schools are under reform mandates and present an opportunity to investigate effective leadership practice as principals push to reform schools and improve student achievement test scores

IV. PURPOSE OF THE STUDY

The purpose of this study is to determine if there is a difference between principals effective leadership between high and inadequately performing schools North Carolina elementary public schools have been engaged in statewide school reform and the current policy assumes a link between achievement test results and leadership performance

V. RESEARCH QUESTIONS

To study effective leadership practices among school principals, this study collected data from schools identified by the North Carolina ABCs model as **high performing schools** and compared the leadership practices of their principals to the leadership practices of principals in **inadequately performing schools** The following questions were addressed in this study

1. How do the *LPI* scores of principals (*LPI-Self*) in high performing schools compare to the *LPI* scores of principals (*LPI-Self*) in schools that are performing inadequately?
2. How do the *LPI* ratings of teachers (*LPI-Observer*), in high performing schools compare to the *LPI* ratings of teachers (*LPI-Observer*) in schools

that are performing inadequately?

- 3 In high performing schools, how do the *LPI* scores of principals (*LPI-Self*) compare to the *LPI* ratings of their teachers (*LPI-Observer*)?
- 4 In schools performing inadequately, how do the *LPI* scores of principals (*LPI-Self*) compare to the *LPI* ratings of their teachers (*LPI-Observer*)?

VI. DEFINITION OF TERMS

NORTH CAROLINA ABCs ACCOUNTABILITY MODEL - *North Carolina ABCs of Public Education (Accountability, Basics and Control)*

The ABCs model is an innovative program aimed at making North Carolina schools places where excellent teaching and learning take place. The ABCs model was developed by the North Carolina State Board of Education in response to the 1995 North Carolina General Assembly mandate. The *North Carolina ABC Accountability Model* (1995) requires that schools focus on continuous school improvement. The ABCs model is an acronym for **A**ccountability, **B**asics and **C**ontrol. (North Carolina's ABCs Accountability model, is described in detail in Appendix A, North Carolina ABCs Accountability Model, page 109 and Appendix B, North Carolina ABCs Accountability Model, Elementary Level (K-8), page 115.)

Accountability

North Carolina's model holds individual schools rather than school systems accountable for student progress. A school's achievements, or lack of

achievement, is compared to its own past record, not against other schools in other districts or to a state average. Schools measure a year's worth of growth for a year's worth of schooling. The North Carolina ABCs model assessment standards appear in Appendix C, North Carolina ABCs Model Assessment Standards, page 118.

Basics

North Carolina ABCs model emphasizes *reading, writing, and mathematics* and tests these subjects in grades three, four, five, six, seven, and eight.

Control

North Carolina has legislated that the day-to-day decisions in schools are to be made by teachers, administrators, parents, and community leaders. This allows communities to form *school-based management teams* to determine how best to improve their school and their students' performance.

ACCOUNTABILITY FOR STUDENT GROWTH IN THE ABCs MODEL - Rather than comparing different students over time, the ABCs model holds schools accountable for the educational growth of groups of students over time. For example, instead of comparing one year's fifth graders to the next year's fifth graders, the state monitors the performance of fifth graders compared to their performance as fourth graders. The state sets standards for academic growth for a given amount of schooling, expecting at least a year's worth of growth (as measured by achievement tests) for a year's worth of school.

SCHOOL PERFORMANCE - For the purposes of this study, school performance

will be based on the ABCs model's annual composite growth (gain) score for each school

COMPOSITE GROWTH (GAIN) SCORE - The composite growth (gain) score summarizes the gain of students in reading, writing and mathematics achievement tests from one year to the next and is used to determine whether a school meets its expected growth (gain). This score is a value-added score measuring student achievement from one year to the next, or a year's progress for a year's teaching (See Table 17, Sample North Carolina School's End-of-Grade Expected and Exemplary Growth Report in the ABCs Model, page 117). If a school's growth composite (gain) score is greater than or equal to 0, the expected goal (gain) is met.

ELEMENTARY SCHOOLS - North Carolina public schools which have grade spans beginning at the Kindergarten level and go no higher than eighth grade. Schools whose grade level groups are K-3, K-5, 6-8, or K-8 would be classified elementary schools for the purposes of this study.

THE LEADERSHIP PRACTICES INVENTORY (LPI) - The *LPI* provides information about leadership behavior. It does not measure IQ, personality, style, or general management skills. It is designed to be used by multiple raters (leaders and their observers) who can provide feedback on the five effective leadership practices. The people selected as observers in the *LPI* must be those who directly observe the leader. Kouzes and Posner indicate there is no universal right answer when it comes to leadership but the more frequently the

LPI's leadership behaviors and practices are demonstrated, the more likely one is seen as an effective leader

PRINCIPAL - The chief administrative officer at the school site, employed by the local school board as a North Carolina licensed principal. The principal is legally assigned as the individual responsible for leading the school and its programs.

TEACHER - An individual employed by the local school board, as a North Carolina licensed teacher. The teacher is legally assigned to a specific school site to teach and work with students and is the observer in this research.

VII. SIGNIFICANCE OF THE STUDY

Under the North Carolina ABCs model, principals are judged as either successful or not on the basis of their students' achievement test results. In various states and specifically in North Carolina, legislation has made it possible to suspend and/or remove principals whose schools have inadequate achievement test results.

Even though principals are being evaluated based on students' achievement test results, we have not adequately researched the relationship between leadership practices and student achievement test scores in high performing and inadequately performing schools. No one doubts the fact that principals must strive to focus the efforts of all individuals within the schoolhouse and influence the school community to strive willingly to do things correctly and

purposefully in accomplishing the goals of the school. But the relationship between such actions and student achievement test results has not been established.

Needless to say, North Carolina principals and teachers are in key positions to assist with researching school leadership in an era of school reform. They can provide perceptual information and data relative to effective leadership practices in the principalship and the effects of these practices on student achievement test results. Does a principal's effective leadership practice improve students' achievement test scores?

Roland Barth (1990) suggests that principals and teachers possess critical insights into principals' leadership practice. Barth states that teachers, in particular, carry with them extraordinary insights about their work that is seldom explicit for them, let alone accessible to others (Barth, 1990). This study will contribute to a better understanding of effective leadership practices and achievement test scores by including data from teachers' perceptions of effective leadership practices in their schools.

VIII. ASSUMPTIONS

It is assumed

- 1 Effective leadership practices are similar across professional boundaries
- 2 The *LPI-Self* and *LPI-Other* provides a valid score for assessing effective leadership practice in public school principals

- 3 The North Carolina ABCs Model growth composite (gain) score in each school is a reasonable measure of students' annual academic achievement and therefore identifies school performance categories

IX. DELIMITATIONS

This study is delimited by the following restricting factors in this study. These factors establish the boundaries of this research. **First**, only two years of North Carolina ABCs Accountability Model student achievement test data (1997 and 1998) was available on the state's public elementary schools (The North Carolina ABCs model was implemented statewide for the first time in 1997 in elementary schools only). The composite growth scores (gain) from the ABCs testing was used to identify the schools in 1997 and 1998 that were, for the purposes of this study, categorized as high performing or inadequately performing schools. **Second**, for principals' leadership and student achievement scores to be studied for comparison, this study required principals to have served in their respective schools a minimum of three consecutive years (The North Carolina ABCs model expected student growth standards are calculated based on three years of testing data for each school).

X. LIMITATIONS

There are several limitations that are shortcomings in this study. These limitations need explanation to better define this study. **First**, it is assumed that

principals and teachers responded conscientiously to the *LPI* survey instrument, as data for this research is dependent upon principal and teacher self-report rather than researcher observation. Secondly, principals were highly ethical in carrying out the procedures of this survey, at their school site. Thirdly, teachers were not intimidated by the survey processes in assessing their principal's leadership practices

XI. ORGANIZATION OF STUDY

Chapter 1 includes (a) Introduction, (b) Principal Leadership and School Reform, (c) Problem Statement, (d) Purpose of the Study, (e) Research Questions, (f) Definition of Terms, (g) Significance of the Study, (h) Assumptions (i) Delimitations, (j) Limitations, and (k) Organization of the study. **Chapter 2** presents a Review of the Literature and looks at the *Role Evolution* of the principalship specifically focusing on leadership. **Chapter 3** encompasses the research design and methodology of this study. The findings are presented in **Chapter 4**, and **Chapter 5** contains the summary, conclusions, discussion and recommendations for further study

CHAPTER 2

LITERATURE REVIEW

I. INTRODUCTION

A host of leadership studies ranging across a number of disciplines and spanning the past three decades has produced some 350 definitions of leadership (Kouzes and Posner, 1987) School leadership has been studied and is equally as elusive With the publication of *A Nation at Risk* (1983) and other reports during the years of the "*excellence movement*", the importance of school site leadership and the need for strong, effective principals was accentuated (Drake and Roe, 1996)

Principals have been viewed as administrators, program managers, transactional leaders, instructional leaders, transformational leaders, and most currently as builders of learning-communities As America begins the year 2000, school principals remain in a role characterized by contradictory demands School principals are

- 1 Expected to transform, restructure, and redefine schools while, simultaneously, they are expected to maintain stability,
- 2 Asked to clarify roles and responsibilities at a time when society is constantly changing,
- 3 Asked to deal with demographic changes in American society some of

which bring unexpected crises, intractable problems, and unparalleled opportunities,

- 4 Live with a role that is an extremely malleable one, shaped by a diverse set of concerns and events (Louis and Murphy, 1994)

In the face of this diversity, there is also an expectation that school principals need to lead in such a manner that (1) creates meaning for everyone within the school house and (2) influences the school community to strive willingly to do things correctly and purposefully (Sergiovanni, 1994) School leaders then, have responsibility for a school's effectiveness, and this responsibility does not diminish as a result of school reform (Sergiovanni, 1994).

II. EVOLUTION OF THE SCHOOL PRINCIPALSHIP

The 1960s saw increased federal intervention in local school policy as teachers and principals were viewed as having little effect on student achievement School policymakers during this time were outside the school house and principals were seen as merely change agents assisting to manage imported programs, often federally sponsored and directed. These programs targeted special student populations (compensatory programs, bilingual education, education for the handicapped, federal entitlements), and curricular innovations (math and science and each implicitly oriented toward improving schools) Principals were needed who could somehow "stay the course in stormy seas", deal with antagonistic groups, and ultimately balance educational

forces (Schleety, 1990, page 151) Principals were primarily program managers during this time and often managers of programs that evolved outside the schoolhouse See *Table 2, Historical Review of the Public School Principalship*, page 18

In 1979, Ron Edmonds' research indicated that strong administrative leadership was characteristic of instructionally effective schools and the role of the principal began to shift from *managerial* to *instructional leadership* (Hallinger, 1992) Edmonds' (1979) conclusions gave impetus to calls for principals to engage actively in the school's instructional program and focus staff attention on student outcomes High expectations for teachers and students, close supervision of classroom instruction, coordination of the school's curriculum, and close monitoring of student progress defined the principal's role as instructional leader

Reports such as *A Nation At Risk* in 1982 and *A Nation Prepared, Teachers for the 21st Century* in 1986, contributed to a changing school principalship paradigm. Effective schools research suggested "a strong administrative presence, an active style, or some other trait demonstrating leadership" (Cuban, 1984, page 145) This recipe-like prescription for principals was offered but it is noted that the research for this prescription was based on personal experience, case study, and theories drawn from organizations other than schools, and on experts' perceptions of what school leaders should do (Cuban, 1984)

Table 2, Historical Review of the Public School Principalship

Administrator	Program Manager	Effective Schools	Restructured Schools
1920	1960——1966	1980——1983——1987	1990 ——1997
<i>Administrator of the Organization</i>	<i>Manager of Programs</i>	<i>Instructional Leader</i>	<i>Transformational Leader</i>
Principalship The top-down decision maker Decisions were handed down from him or her	Principalship A manager of federally sponsored programs designed to assist special populations A period of curriculum innovation	Principalship Inherently managerial role emphasizing instructional leadership rather than manager Attempts to reform principalship to be compatible with effective schools research	Principalship Compatibility of instructional leader with site-based management initiatives Instructional leadership concepts insufficient
Principal Metaphor Commander, Controller, or Scientific Manager	Principal Metaphor Bureaucrat, protector of the bureaucracy, user of scientific strategies, accountable leader, inhabitant of Role in Conflict	Principal Metaphor Community leader, impacted of meaning, facilitator of positive relationships, juggler of multiple roles	Principal Metaphor Designer and Artist
	Focus of Change: Consolidate schools Occasional calls for principal to teach The profession emulated corporate management Maintenance of status differences between workers	Focus of Change: Improve the technical, instructional activities of the school Close monitoring of teachers work Close monitoring of students work Centralized control	Focus of Change: Build a shared vision Improve communication Develop a collaborative, decision-making process Find problems Solve problems
Type A Management (Ouchi)	Historical Perspective <i>Coleman Report (1966)</i> <i>Effective Schools (1979 Edmunds)</i>	Historical Perspective <i>A Nation At Risk (1983)</i> <i>A Nation Prepared, Teachers for the 21st Century (1986)</i> Principals Centers Evolved	Historical Perspective Principal must now manage the entire context of his/her local school (accountability and legitimacy) Open enrollment, decentralization, systemic deregulation Teachers ⇨ find greater meaning in their work ⇨ have high level needs met ⇨ enhanced instructional capacities ⇨ capitalize on collective capacities ⇨ Type Z Management (Ouchi)

tasks principals chose to work on, the language they used, the discretion they employed, the symbols they manipulated, the incentives they extended, and the style and commitment they projected all masqueraded, beyond the grasp of the effective schools researchers. Leithwood (1992) suggested that the principal as an instructional leader conveys a meaning that only partially encompasses the practices now associated with effective school leadership. Following the effective schools studies in the mid 1980s, interest in the transformational aspects of school leadership resurfaced.

In the 90s the compatibility of instructional leader and site-based management conflicted and *transformational leadership* surfaced as the primary expectation of the school principal. The Carnegie Forum on Education and the Economy (1986) suggested changes were needed in school structure, professional roles, and goals of American public education. Reformers during this period recommended (1) the decentralization of authority over curricular and instructional decisions from the district to the school-site level, (2) an expansion of roles for teachers and parents, and (3) an increased emphasis on complex instruction and active learning (Hallinger, 1992). As a transformational leader the principal was viewed as the head learner, value holder, and chief role-model, a facilitator, enhancing the connections between school and sources of knowledge and the environment. Transformational principals during this period, informally communicated through networks within the district while skillfully handling the rituals and traditions of the school.

During this period a more dynamic process of teacher decision-making surfaced in Smylie and Conyers' (1990) work, that described teaching as requiring considerable autonomy, rather than strings of routinized tasks, or prescribed and standardized practices. Teachers came to be viewed as important sources of expertise with leadership expanding to include them, Sergiovanni (1990) suggested during this period that "principals ought to be leaders of leaders people who develop the instructional leadership in their teachers" (page 30).

III. EVOLUTION OF THE LEADERSHIP ROLE IN THE PRINCIPALSHIP

In the corporate sector, James MacGregor Burns described transformational leadership as leadership that utilizes man's natural need for meaning and purpose, ultimately creating within an organization a follower ship whose goal is to support the organization. Such a goal is far different from the traditional superior/subordinate or financial recompense goal from an earlier organizational management time (Burns, 1978). Warren Bennis recognized transformational leadership and used the metaphor "social architect" in his description, Selznick and Barnard recognized transformational leadership and wrote about it as a concept in the early 1950s (cited in Peters and Waterman, 1982).

Philip Selznick described transformational leadership as causing others to become so attached to an organization that the organization itself became a

valued source of personal satisfaction Selznick saw this as moral leadership, in that the level of human conduct and ethical aspiration for all involved is raised (cited in Peters and Waterman, 1982) Bass (1985) points out that transformational leaders are developers of people, in essence team builders

Current theories indicate that successful school principals must be individuals who can make decisions collaboratively and manage the entire context of the local school, including shouldering responsibility for its accountability, legitimacy, and school-level decision-making (Hallinger, 1992) In light of these more recent job demands principals must be able to generate a shared vision of what their schools might be, cultivate a team spirit, build trust and emotional bonding, all while simultaneously sharing the decision-making within the school Principals must build a learning community and to achieve these job demands, principals must not only possess considerable leadership skill and expertise, but be capable of employing effective leadership practices and behaviors that (1) involve all personnel enthusiastically in the work and the mission of the school, (2) engage each participant's hope and imagination, thus connecting school goals with internal motivators, while simultaneously, (3) energizing and positively harnessing a wide variety of emotional resources embodied in all local schools participants.

In the corporate sector, leadership expectations have also changed Kouzes and Posner (1987) state that we expect leaders who are honest, competent, forward-looking and inspiring, leaders who are credible and have a

clear sense of direction. These new demands indicate a change in the leadership paradigm across organizational and institutional settings. In school leadership, some feel that transformational leadership is needed. School principals ought to possess "compelling ideas" and a quality of high personal character and ethical standards.

Sergiovanni (1994) succinctly summarizes the expectations others have of the school-site leader, indicating that principals must first and foremost be out front, the flag-bearer, yet simultaneously work behind the scenes promoting collegial relations and unity within the school. Sergiovanni (1994) suggests that if we are to rewrite the script to enable good schools to flourish, we must build community as a part of any school improvement effort. "Improving teaching, developing sensible curriculum, creating new forms of governance, providing more authentic assessment, empowering teachers and parents, increasing professionalism - it must rest on a foundation of community building" (Sergiovanni, 1994, page xi)

Owen (1995) supports this notion indicating that schools are unique simply because of their mission to be institutions that enhance both the personal and educational growth of children and because of this uniqueness must have ways of thinking, styles of leadership and administrative practices that are especially suited to them.

"Community is the tie that binds students and teachers together in special ways, to something more significant than themselves shared values and ideals. It lifts both teachers and students to

higher levels of self-understanding, commitment, and performance-beyond the reaches of the shortcomings and difficulties they face in their everyday lives. Community can help teachers and students be transformed from a collection of "I" to a collective "we", thus providing them with a unique and enduring sense of identity, belonging, and place" (Sergiovanni, 1994, page, xii)

The importance of the principalship to the success children experience in schools today is of critical importance and it is apparent that new leadership practices are emerging across organizational and institutional boundaries

Roemer, (1991) points out that we have seen report after report along with a plethora of special commissions, such as Adler, 1982, Boyer, 1983, Carnegie Task Force on Teaching as a Profession, 1986, The National Task Force on Education for Economic Growth, 1983, Powell, Farrar, and Cohen, 1986, andSizer, 1984 concerning school reform and student achievement. Longtime observers of American education say they have seen it all before with the 1980s simply a replay of the 1950s (Beck and Newman, 1990,) In both decades the public became convinced that public education had gone soft and insisted that schools get back to the basics. Since the 1970s, American has engaged in a far-reaching debate about the purposes, organization, and performance of its schools. *What are schools supposed to do? Does educational change help do it? What are the prospects for improvement?* These are difficult questions that continue into the 21st century. The question for leadership within the school, *How do we understand the nature of this work in*

terms of leading schools? remains largely unanswered today (Hoy and Miskel, 1996)

North Carolina has not been isolated from the debate over leadership in public education. Over the last two decades North Carolina has experienced a continuing series of legislative and policy initiatives directed toward reforming the state's public education program and continuously improving the level of student performance in the public school system. Several of these reform initiatives target the principalship directly through the use of both professional rewards and sanctions.

School reform in North Carolina has evolved around three interrelated strands one of which includes a school's accountability for its students' achievement. These North Carolina reform strands are. (1) accountability measures for schools and students, (2) program equity, making advanced educational opportunities available to greater numbers of students, and (3) standards defining student competence and academic performance (Office of Educational Reform, 1996). Over this period of time, the questions regarding North Carolina school improvement and student achievement have shifted because many of the prescriptions and interventions for school improvement and accountability have produced disappointing results. The reports surrounding these school improvement failures are quick to point out that far too many of these improvement initiatives were developed outside the school. Goodlad indicates school improvement cannot be done from above by well-meaning

people who are far removed from the "smell of the chalk" (McCall, 1994)

Currently school people are taking more responsibility for their own schools and decision making at the school-site holds the best promise for public school improvement and accountability. Determining whether or not student achievement and subsequent school performance is related to principals' effective leadership practice in North Carolina's public schools will contribute to a better understanding of the impact of current state reform efforts, particularly as they relate to rewarding and sanctioning North Carolina principals.

Effective schools research of the 1980s, suggests that principals play an important role in student achievement and that the school principal is a key factor in an effective school (Brookover and Lezotte, 1979). This body of research led to an emphasis on the principal's instructional leadership role. As a proponent of instructional improvement, the principal becomes a factor in improving student's academic achievement. As a result of this proposition, studies began to be focused on student achievement and any possible connection to the leadership role of the principal.

Andrews and Soder (1987) found in their research regarding these connections that a great number of students in schools with strong principals had scored significantly higher in reading and mathematics than did students in schools with weak principals. Strong principals and weak principals in Andrews and Soder's (1987) research were identified solely on the basis of schools with high achievement test scores (strong principals) and low achievement test

scores (weak principals) Andrews and Soder's research accommodated for the socio-economic demographics found in schools and they emphasize that students from lower socio-economic status seemed to benefit more from strong leaders than did students from higher socio-economic status

The role of the principal quickly became the focus of politicians and policy makers as a result of the effective schools research in the 1970s, and the school reform efforts in the 1980s saw principals targeted as a key factor in instructional improvement and student academic achievement. Thus, the principal's responsibility for improving student achievement became a target of legislators and the general public in some states. The principalship soon became heavily influenced by state legislation and educational policy, especially in North Carolina

The North Carolina State Board of Education currently has the authority to dismiss principals, teachers, assistant principals, directors and supervisors in low-performing schools and the North Carolina State Board of Education can assign an assistance team to low performing schools (ABCs Legislation Highlights, 1996). The North Carolina State Board of Education, in schools where student achievement test scores are inadequate, has legislative power to

1. suspend with pay a principal who has been assigned to a school for more than two years prior to the school receiving low-performing status and assign an assistance team to that school
2. suspend with pay a principal who has worked in such a school for no less

than two years

- 3 dismiss a teacher, assistant principal, director or supervisor when the State Board receives two consecutive evaluations that include written findings and recommendations from an assistance team regarding that person's inadequate performance (ABCs Legislation Highlights, 1996)

The North Carolina State Board of Education has legislative power to offer the following incentive awards in schools where student achievement test scores are high performing

- 1 recognize and reward local educators and schools that exceed their goals, the General Assembly has provided funding for monetary school incentive awards
- 2 schools achieving exemplary growth standards are eligible to receive incentive awards averaging between \$500 and \$1,000 per staff member
- 3 teachers, principals, assistant principals, instructional support personnel and teacher assistants assigned to a school with exemplary growth are all eligible to receive incentive awards" (ABCs Legislation Highlights, 1996)

Fullan (1991) states that school reform or educational change depends entirely on what teachers do and think. This includes student progress with achievement test scores. Roland Barth (1990) felt that the remedy for the ills of our schools lies within teachers and principals, in their energy, commitment, imagination, and potential. Certainly, student achievement test scores relate directly to this remedy as classrooms become effective for students when quality

people are recruited to teaching, and when their workplace becomes organized, stimulating, and rewarding (Conley, Bacharach, and Bauer, 1989) Fullan (1990) supports this notion stating that educational change in any facet of school life is highly complex, yet as simple as, "what teachers do and think" Unfortunately, the conditions of teaching appear to have deteriorated over the past two decades and reversing this trend should be at the heart of any serious school improvement

It is well established in the corporate and service sectors that people work hard in situations where colleagues listen well and take one another seriously, where there is an expectation that everyone on the payroll can and must make a difference in the overall life of the industry or the school (Barth, 1990) Greenfield (1987) asserts that as principals go about the business of leading a school the basic culture of the school is established and it is in the ethos of the workplace that problems reside and where promising solutions for schools can be found Principal leadership is key to this ethos but the question remains, *Is it valid to correlate a principal's effectiveness as a leader, to the achievement test scores of the students*, as is being done in North Carolina Greenfield (1987) notes, "The moment of truth for the teaching profession comes when the alarm rings at 6 30 a m How does the teacher respond? Higher salaries, career ladders, and certification requirements will have little influence upon the reaction of the waking teacher Yet it is the level of satisfaction that teachers experience in their daily work life that, more than anything else, defines their level of

professionalism" (page 250)

The nature of the relationships among the adults who inhabit a school has more to do with a school's quality and character, with the accomplishments of its pupils and the professionalism of its teachers, than any other factor. The success of a school depends upon interactions between teacher and teacher, teacher and administrator, and all school people and parents. Many people agree that the school principal is in the best position to influence these relationships, but is this effectiveness or ineffectiveness correlated to student achievement test scores?

IV. ASSESSING LEADERSHIP PRACTICE AND BEHAVIOR

Kouzes and Posner believe that leadership is an observable, learnable set of practices. Their research looked at leadership as an interactive process. Both leader and follower perceptions are assessed in their studies, thus producing a broad picture of leadership effectiveness. Other writers such as Warren Bennis in 1959, Ralph Stogdill in 1974, and Bennis and Nannus in 1985 agree that in the last fifty years of research on leadership theory two common elements have been agreed on: (1) leadership is a function of groups and not individuals, and (2) leadership involves intentionally exercising influence on others' behaviors (cited in Owen, 1991). Kouzes and Posner (1995) found that leadership behavior varied little from industry to industry or from profession to profession, "Good leadership, it seems, is not only an understandable but also a

universal process" (page xxi)

As a principal goes about the business of effectively leading a school, his/her behavioral practices, habits, and routines of interaction establish the parameters and expectations for a collaborative workplace. In schools where diverse expectations, political vulnerability, and the lack of a tangible product make values, beliefs, and faith crucial in determining success, the development of a positive school culture is critical. Behind effective schools, like high-performing businesses, there is a culture that encourages productivity, high morale, confidence, and commitment (Deal, 1985)

John Gardner (1990) writes that leadership is not a mysterious activity and describes leadership today, as an attempt to accomplish purpose through, or even at times in spite of, large, intricately organized systems. In their initial research Kouzes and Posner asked leaders to describe fully (through a twelve page, 39 item open-ended questionnaire, requiring approximately 1-2 hours to complete) a leadership time when they achieved their own individual leadership standard of excellence. Kouzes and Posner asked leaders in this process such questions as. *Who initiated the project? How were you prepared for the experience? What special techniques and strategies did you use to get other people involved in the project? How would you describe the character or feel of the experience? What did you learn about leadership from the experience*

Kouzes and Posner (1995) point out that the leadership stories managers told in these interviews did not resound of typical management textbook issues

such as planning, organizing, staffing, directing, and controlling. They were tales of dynamic change and bold action, they were stories of start-ups, development of revolutionary new products, and positive shifts in employee morale. Gardner (1990) points out that centralized authority, can no longer call all the shots, rather, he states " . . . individuals in all segments and at all levels must be prepared to exercise leader-like-initiative and responsibility " (page XIII)

The *Leadership Practices Inventory* (Kouzes and Posner, 1995) was developed through a combination of qualitative and quantitative research methods and studies. In-depth interviews and written case studies from people's personal-best leadership experiences generated the conceptual framework. The leaders studied in the *Leadership Practices Inventory* research base, detailed leadership events that involved leading organizations into new territory with narratives descriptive of first-time, radical departures from their organization's past. The Leadership Challenge (1995) and *Leadership Practices Inventory*, Second Edition (1997) was written to assist people improve their ability to lead effectively. The *LPI* assessment has relevance to any leadership role whether in the private or public sector, an employee or a volunteer, on the front line or in the senior echelons or whether a student or a parent.

Kouzes' and Posner's research validates the premise that leadership behavior varies little from industry to industry and from profession to profession. "Good leadership, it seems, is not only an understandable but also a universal

process" (page xxi) Richardson (1992) adapted Kouzes' and Posner's *LPI* to the educational setting and assessed 1, 225 teachers' perceptions of effective leadership in four states. This research investigated teachers' perceptions of the most desirable characteristics of principals' behaviors. Findings indicated that teachers' rankings of their principals were similar to business employees' rankings of their managers. Honesty was the most desirable and necessary characteristic for both principals and managers. Other characteristics included "forward-looking", "inspiring", "caring", and "competent".

In completing the *LPI*, an individual and multiple observers can provide feedback on a leader's use of the five effective leadership practices. Kouzes and Posner found that when leaders were at their personal best, they would

- 1 *Challenging the process* - looking for opportunities to change the status quo. Leaders look for innovative ways to improve the organization and they do so by experimenting and taking risks, accepting inevitable disappointments as learning opportunities.
- 2 *Inspiring a shared vision* - leaders passionately believe that they can make a difference. They create an ideal and unique image of what the organization can become. Through their magnetism and quiet persuasion, leaders enlist others in their dreams. They breathe life into their visions and get people to see exciting possibilities for the future.
- 3 *Enabling others to act* - Leaders foster collaboration and build spirited teams. Leaders understand that mutual respect is what sustains

- extraordinary efforts, they strive to create an atmosphere of trust and human dignity. They cause others to feel capable and powerful.
- 4 *Modeling the way* - Leaders establish principles concerning the way people should be treated and the way goals should be pursued. They create standards of excellence and set an example for others to follow. Leaders set interim goals so that small wins are possible as they work toward larger objectives. Leaders use signposts, unravel bureaucracy and create opportunities for victory.
 - 5 *Encouraging the heart* - Leaders recognize contributions that individuals make. Members share the rewards of their efforts and leaders celebrate accomplishments. They help others to feel like heroes (Kouzes and Posner, 1995).

The *LPI* was designed to be used by multiple-raters including individuals who directly observe an individual as a leader. There is no universal right answer when it comes to leadership but Kouzes' and Posner's research consistently shows that the more frequently a leader demonstrates the behaviors included in the *LPI*, the more likely they are to be seen as an effective leader.

Good instruments have sound psychometric properties of reliability and validity. The *LPI* is internally reliable, has test-retest reliability and the five scales of the *LPI*, are generally independent (statistically orthogonal). Kouzes and Posner (1995) indicate the *Leadership Practices Inventory* (1997) has both face validity and predictive validity and can therefore be used to make

predictions about leadership effectiveness

The *LPI* has (1) face validity and predictive validity, (2) its results make sense, and (3) it is significantly correlated to various performance measures, it can be used to make predictions about school principals' leadership effectiveness and is the instrument chosen to assess effective leadership practice in this study (Kouzes and Posner, 1995). We feel intuitively that leadership practice by school principals does contribute to good student achievement test results but our knowledge of the specific connections is still emerging even though principals are being rewarded and/or sanctioned in some states. This study seeks to investigate effective leadership practice in school principals as they attempt to improve student achievement test scores and thereby add to the body of research on principal leadership and achievement test scores.

CHAPTER 3

RESEARCH METHODS

I. RESEARCH DESIGN AND METHODOLOGY

This study seeks to determine if there is a significant relationship between the leadership practices of school principals and school achievement test scores. This relationship will be studied by comparing principals' and teachers' scores on the *Leadership Practices Inventory* (leadership behaviors) in high performing and inadequately performing schools (school performance based on achievement test scores).

Recent North Carolina legislation links a school's achievement tests to principal's leadership performance. As stated earlier, this is a questionable practice, but this study is designed to gather data about this assumed relationship. This chapter explains how this study was designed; how the population and school sample was selected for the research, the instrument that was chosen to gather the data; the data collection procedures, and how the data was treated or methods of analysis.

II. DESIGN OF THE STUDY

This study utilized ex post facto research, the objective being to

investigate the influence of the independent variable (effective leadership practice) on the dependent variable (school performance on achievement testing) The independent variable in this type of research is the characteristic that a subject possesses prior to the beginning of the investigation, in this instance, principal's effective leadership practice The dependent variable in this study is student achievement test performance (high performing or inadequately performing) in the study An ex post facto research process is also sometimes known as causal-comparative research Kerlinger (1973) described ex post facto research succinctly

“Systematic empirical inquiry in which the scientist does not have direct control of independent variables because their manifestations have already occurred or because they are inherently not manipulable Inferences about relations among variables are made, without direct intervention, from concomitant variation of independent and dependent variables” (page 379)

The focus in ex post facto research is discovery Ex post facto research seeks to establish the relationship among the variables under study and aims to compare two groups, similar on all relevant characteristics except one, so that the effects of that one characteristic can be measured Ex post facto research can be viewed as a reverse approach to experimentation Instead of taking groups that are equivalent and exposing them to different treatments, the ex post facto study starts with groups that are different and tries to determine the antecedents of these differences

Investigating effective leadership practice to determine its effect on

student achievement test results required that *high and inadequate* school performance to be defined and that effective leadership practice be identified. This researcher also had to determine appropriate criteria for logically comparing effective leadership practices (the independent variable) to school achievement testing results (the dependent variable). This was accomplished by using a survey instrument appropriate for identifying effective leadership practices, by selecting a sample population of principals from both high and inadequate performing schools and by using a statistical method for determining any significant correlations among leadership practice variables and school performance as indicated by student achievement tests.

North Carolina assesses annual school performance, based upon the result of its annual student achievement testing program. The state does not make public the growth (gain) scores for each school annually, choosing instead to publish each school's annual performance scores (See Appendix C, page 115). Growth scores are a value-added score measured against each school's theoretical standard of one year's expected growth. Each school's annual composite growth (gain) score is based on a school's (1) previous performance, (2) annual statewide average growth, and (3) a statistical adjustment (needed whenever student test scores are compared from one year to the next). The composite growth (gain) score reflects a year's worth of growth in students (academically), for a year's worth of teaching or the *value-added* for a year's worth of teaching.

The composite growth (gain) score provides a representative picture of each school's overall performance regarding student gains with reading, writing, and mathematics. A school's performance score, on the other hand, does not indicate high growth or gain. The ABCs performance scores are the weighted average of students who score at or above grade level (Accountability Brief, North Carolina State Board of Education, September 1996)

For the purposes of this study it was determined that (1) school performance (the dependent variable) would be based on the ABCs model annual composite growth (gain) score for each school, and that (2) a school must have placed at the same achievement test performance level in the North Carolina ABCs model for two years. This criteria would increase the stability of a school's rank as a high performing school or an inadequately performing school based on two years of achievement testing data.

Additionally, principal leadership effectiveness could only be fairly assessed if he/she had a minimum of three years in the principalship at the specific school site. This criterion assured administrative experience and created a more stable connection between principal leadership (effectiveness) and a school's achievement test results. The North Carolina ABCs model achievement testing program was implemented statewide in 1997. The ABCs connected achievement test scores and principal leadership (state rewards and/or sanctions dependent upon achievement test scores), thus this reform initiative in North Carolina provided an appropriate environment for studying the

relationship between principals' leadership effectiveness and school performance.

The North Carolina Department of Public Instruction was asked to supply for this study a ranked list of schools based on growth (gain) scores for both 1997 and 1998. This was the base list from which the first round of school-site selection for the research sample was drawn. Then, from this list, the specific school sample was further refined based upon identifying those schools that met the principal longevity criterion.

The *Leadership Practices Inventory* (1997) was chosen as the most appropriate instrument for assessing effective leadership practice in school principals. It is an instrument that is psychometrically sound and used successfully across a multitude of employment domains, managerial and professional. The *LPI* attends to both leader (principal) and follower (teacher) perceptions of leadership on five effective leadership practices: *modeling the way, enabling others to act, challenging the process, encouraging the heart, and inspiring a shared vision*. The *LPI* utilizes the mean scores of observers for comparison to the self score of the leader to assess perceptions of effective leadership practices.

Once the school sample was identified, principals received a phone call inviting them along with their school's certified staff to participate in this study. Principals were given the option of asking teachers to (1) complete the leadership inventory in a brief faculty meeting as a group or (2) complete the

leadership inventory at their homes, and then return-ship surveys individually to this researcher. Because of the unique relationship between principal and teacher, the second option provided an added measure of participant confidentiality, that could serve to improve the response rate of participants, if principals chose to use it. The majority of principals (65%) chose to complete the research surveys in a faculty meeting.

Once principals agreed to participate in the study, they were mailed the research materials that were organized as follows: [1] an *LPI* cover letter to the principal and a separate cover letter for each teacher, [2] the *LPI-Self* document for principals, [3] the *LPI-Observer* document for teachers, and [4] envelopes for returning documents appropriate to the completion method the principal selected.

Data analysis was selected appropriate for determining whether or not effective leadership practice on the part of the school principal varied between high performing or inadequately performing schools. The relationship was first explored by setting up a t-test of differences for independent samples (drawn independently from a population), the index used to find the significance of the difference between the means of the two samples (principal to principal and teacher to teacher in both performance levels, high and inadequate).

Next, the relationship between principal and his/her teachers' ratings of effective practice was explored by means of the t-test of differences for paired or correlated samples (non-independent or correlated means). The measure to be

analyzed by the non-independent t-test is the difference between the paired scores (principal to teachers in high and in inadequately performing schools)

III. POPULATION/SAMPLE

In North Carolina the current North Carolina School Accountability Model (ABCs Model) defines and identifies successful schools and successful principals on the basis of each school's achievement test score results (see Appendix C, page 118) Principals are provided monetary rewards and financial incentives, if their school successfully reaches its annual achievement testing goal On the other hand, principals face severe sanctions, up to and including dismissal, if their school's achievement test scores are low (The ABCs of Public Education 98 Background Packet, 1998)

From this vantage point, the population for this research study included North Carolina principals in both high and inadequately performing K-8 schools, success being defined on the basis of high composite growth (gain) scores in the ABCs testing program Those schools achieving the top composite growth scores were designated high performing schools for the purposes of this study and those schools achieving the lowest composite growth scores were designated inadequately performing schools The 1997 North Carolina ABCs testing data showed 1,677, K-8 public schools with achievement test scores, in 1998 there were 1,632 schools

The ABCs testing results for North Carolina public schools is released to

the public in terms of school performance scores (the percentage of students at or above grade level on the North Carolina End-of-Grade tests) The North Carolina Department of Public Instruction does not publish each school's growth composite score (the expected growth rate for that particular school based on the school's previous performance, statewide average growth and a statistical adjustment that is needed whenever students' test scores are compared from one year to the next), nor would they provide this researcher this data needed for this research.

The *Testing and Accountability Division* of the North Carolina Department of Public Instruction would not release (1) a list of all North Carolina K-8 public schools' growth composite scores for 1997 and 1998, (2) a list of the top 200 schools in growth composite scores for 1997 and 1998, or (3) a list of the bottom 200 (inadequately performing) schools in growth composite scores for 1997 and 1998 This researcher could not secure through the state any school's growth composite scores for the purposes of this research After numerous phone calls and conversations, the North Carolina Department of Public Instruction did agree to furnish an alphabetical list of those schools that placed in the top 200 on composite growth (gain) scores and a list of those schools that placed in the bottom 200 on composite growth (gain) scores for both 1997 and 1998 The stage was then set for the implementation of this research project. This researcher determined from the school lists that thirty-six (36), K-8 schools appeared on both the 1997 and 1998 high performing lists, and forty-one (41),

K-8 schools appeared on both 1997 and 1998 inadequately performing lists

Three years of student achievement test data from each school are used to determine the expected growth rate for each particular school. Other factors used to compute the expected growth standard are the statewide average growth, and a statistical adjustment needed when comparing students from one year to the next. The amount of growth is different for every school. This composite growth score determines whether or not the school was successful or unsuccessful under the North Carolina ABCs model and principals and teachers are rewarded or sanctioned. It must also be noted that each school competes against its previous year's performance and as students perform on or near grade level, exemplary gain (110%) becomes increasingly difficult to attain.

The three-year test data baseline also assisted in determining that principal longevity was a needed criterion for this study because impacting a school's achievement test results would necessitate some degree of longevity by the principal in a school. Clearly, the greater principal longevity the greater the possibility of effective leadership being related to achievement test scores. Additionally, other educational research utilizes a three-year time period, thus three years of principal longevity became the second criterion for school sample selection in this study. Selecting school sites to be utilized in this study was based upon (1) high or inadequate school performance on student achievement test scores and (2) a minimum of three years principal longevity, at a school site. Table 3, Population Size, Statistics, and Returns, page 45, shows the number of

schools meeting the second research criterion

Once the schools in the research sample were identified, a phone call was made to the school or district office to verify the name of the principal at each school-site selected for the sample. In several instances the schools had to be dropped from the population when it was discovered that principal turnover had occurred. This further decreased the sample size as indicated in Table 3, The Study Population Size, Statistics, and Data Returns, page 45 for both school performance levels. Table 4, North Carolina K-8 Schools Qualifying for this Principal Leadership Study, page 46, shows the total schools qualifying for inclusion in the research sample of this study.

Table 3, The Study Population Size, Statistics, and Data Returns

	North Carolina K-8 High Performing School Nos	North Carolina K-8 Inadequately Performing School Nos.
North Carolina Department of Public Instruction Listing 1997 and 1998	200	200
No Schools that appeared on both the 1997 and 1998 NC DPI lists	36	41
No Schools with same principal 3 years - Education Directory Listing	27	16
No Schools with same principal 3 years - District Office/School Office	16	13
No Schools Agreeing To Participate	8	9
No Schools Declined Participation	8	4
No Schools Actually Participating by Returning Both <i>LPI</i> Surveys	7	6
No Schools with minimal <i>LPI-Observer</i> return and no <i>LPI-Self</i> Returned	-	1
No Schools who simply did not return any surveys	1	2

North Carolina Education Directory 1994, 1995, 1996, 1997,1998

Table 4, North Carolina K-8 Schools Qualifying for this Principal Leadership Study

	<i>School Name</i>	<i>Grd Span</i>	<i>1997 Rank</i>	<i>1998 Rank</i>	<i>Adm Years</i>	<i>No. Of Teachers</i>	<i>*P/DP/FP</i>
1	Ashley Chapel Elementary	4-6	LP	LP	6	12	DP
2	Brinson Memorial Elem	K-5	HP	HP	5	55	P
3	Brassfield Elementary	K-5	HP	HP	6	42	DP
4	Buncombe Community	7-12	LP	LP	3	18	P
5	C C Wright Elementary	K-5	HP	HP	6	25	DP
6	Clyde Elementary	K-5	HP	HP	6	32	P
7	Cordova Elementary	K-6	HP	HP	6	25	P
8	Draper Elementary	PK-5	LP	LP	5	28	FP
9	Earl Bradsher Elementary	PK-5	HP	HP	6	31	DP
10	Fred L Wilson Elementary	K-5	HP	HP	6	37	P
11	Forest Heights Elementary	PK-5	LP	LP	3	23	P
12	Guideway Elementary	K-8	LP	LP	3	22	P
13	Guy B Phillips Middle Sch	6-8	HP	HP	6	61	P
14	Harns Elementary	K-5	LP	LP	5	38	P
15	Ida B Ranking Elementary	K-5	HP	HP	6	35	DP
16	Jamesville School	K-8	LP	LP	6	29	DP
17	J H Gunn Elementary	K-5	LP	LP	3	34	FP
18	Knotts Island Elementary	K-6	HP	HP	6	15	DP
19	Manchester Elementary	1-5	LP	LP	6	48	P
20	Nantahala School	K-12	HP	HP	6	16	DP
21	Park Road Elementary	K-5	LP	LP	3	25	FP
22	Parkview Elementary	PK-5	LP	LP	5	29	DP
23	Pnnceon School	K-12	HP	HP	6	76	P
24	Rutherfordton Elementary	K-5	HP	HP	6	28	FP
25	Scotts Creek Elementary	K-8	LP	LP	5	27	DP
26	Silk Hope Elementary	PK-8	HP	HP	4	32	DP
27	Tryon Elementary	PK-5	HP	HP	3	32	P
28	West Rockingham Elem	K-6	HP	HP	6	27	DP
29	Woodhill Elementary	PK-5	LP	LP	3	36	P

KEY HP - High Performing, LP = Low Performing (Inadequately Performing)
P = Participated, DP = Declined to Participate, FP = Failed to Participate

IV. INSTRUMENTATION

The *Leadership Practices Inventory* Second Edition (*LPI*) by Kouzes and Posner (1995) is the instrument selected for this study. This inventory was developed through a combination of qualitative and quantitative research methods and studies. In-depth interviews and written case studies from people's personal-best leadership experiences generated the conceptual framework, which consists of five key leadership practices (1) challenging the process, (2) inspiring a shared vision, (3) enabling others to act, (4) modeling the way, and (5) encouraging the heart. The *Leadership Practices Inventory* provides scores in these five practices.

The *LPI* is based upon responses to the *Personal-Best Leadership Experience Questionnaire*, this questionnaire is twelve pages long and consists of 38 open ended questions. Completing this questionnaire requires between one to two hours of reflection and expression. Kouzes and Posner have completed this questionnaire with more than 2,500 individuals and another 5,000 individuals completed its shorter version. Additionally, Kouzes and Posner interviewed over 300 individuals who were managers from middle- to senior levels in their organizations.

Kouzes and Posner along with selected others, familiar with their evolving leadership model, wrote statements describing each of the various leadership actions and behaviors. Each statement was cast on a five-point Likert scale with the higher value representing greater use of the behavior. These statements

were then modified, discarded or required lengthy discussions and repeated feedback sessions with the respondents as well as select subject matter experts. Empirical analysis then occurred on various sets of the behaviorally based statements. Refinement of the *LPI* continues today. Kouzes and Posner have amassed nearly 60,000 respondents to the *LPI* currently.

The *LPI, Second Edition*, is comprised of thirty statements, each of the five leadership practices has six statements. Both a self (leader) and observer (follower) form of the *LPI* has been developed. Individuals who wish to enhance their leadership skill typically first complete the *LPI-Self* and then ask five or six people who are familiar with their behavior to complete the *LPI-Observer*. Typically the *LPI-Observer* is voluntary and anonymous, with the instruments being returned directly to the researchers or seminar facilitators.

The *LPI* typically takes approximately eight to ten minutes to complete and can be self- or computer scored. The *LPI* asked respondents to respond on a ten-point frequency scale, where No. 1 indicates "almost never" to No. 10 indicates "almost always."

Means and standard deviations for each *LPI* scale are presented in Table 5, Means, Standard Deviations, and Reliability Indexes for the *Leadership Practices Inventory*, page 49. Based upon Kouzes and Posner's research, *enabling others to act* is perceived by respondents and their constituents as the leadership practice most frequently used. This is followed by *challenging the process*, *modeling the way*, and *encouraging the heart*. *Inspiring a shared vision*

Table 5, Means, Standard Deviations, and Reliability Indexes for the *Leadership Practices Inventory*

Leadership Practice	Mean	Standard Deviation	<i>LPI</i> (N=43,899)	<i>LPI-Self</i> (N=6,651)	<i>LPI-Observer</i> (N=36,248)
2 Challenging the Process	22.38	4.17	81	71	82
5 Inspiring a Shared Vision	20.48	4.90	87	81	88
1 Enabling Others to Act	23.89	4.37	85	75	86
4 Modeling the Way	22.18	4.16	81	.72	82
3 Encouraging the Heart	21.89	5.22	91	85	92

The Leadership Challenge by Kouzes and Posner (1995)

is perceived by both respondents and their constituents as the leadership practice least frequently engaged in (Kouzes and Posner, 1995)

Kouzes and Posner report that internal reliabilities (Chronbach alphas) on the *LPI* range between .81 and .91 with reliabilities for the *LPI-Self* (ranging between .71 and .85) somewhat lower than those for the *LPI-Observer* (ranging between .82 and .92). The internal reliability is substantial and reliable over time as other studies have also supported (Kouzes and Posner, 1995). Scores for the *LPI* have been relatively stable and not related to the demographic factors of age, marital status, years of experience, and educational level. This is also true of organizational characteristics such as size, functional area, and line versus staff positioning. These research findings concerning the *LPI*, extend across a

variety of nonbusiness settings, including school superintendents, principals and administrators, health care administrators, female bank executives, personnel in higher education, church pastors of large congregations, and family support center directors. The *LPI-Self* and *LPI-Observer* is an appropriate instrument to use for this study because it validly measures principal leadership practice. A version specifically for college students has also been developed.

The factor structure of the *LPI* is stable and has remained similar to the findings Kouzes and Posner reported in 1997. The factor structure is consistent with the *a priori conceptual model* with other researchers reporting comparable factor structures (Bauer, 1993, Herold, Fields, and Hyatt, 1993). Comparison between male and female respondents has been analyzed across a variety of organizations and professions. Generally the Kouzes and Posner model has not been significantly different between males and females on the *LPI-Self* except that female managers report engaging in the leadership practice of *encouraging the heart* significantly more often, than their male counterparts. Comparisons have been made between government and business respondents, across functional disciplines (customer service, finance, information systems, manufacturing, and marketing), and ethnic backgrounds with no significant differences discovered.

Utilizing the responses from the *LPI-Observer*, Kouzes and Posner examined the relationship between leaders' effectiveness and their leadership practices (as measured by the *LPI*) in validating the instrument. By only looking

at the observer's responses this was a relative independent assessment and minimized the potential for self-report bias. Regression analysis was performed, with leader effectiveness as the dependent variable and the five leadership practices as the independent variables. The regression equation was highly significant ($F=318.88$, $p<.0001$). The leadership practices explained over 55 percent (adjusted $R^2 = .756$) of the variance around constituents' assessments of their managers' effectiveness.

A variety of other researches have utilized the *LPI* in their dissertation investigations of various leadership issues. It has been used in dissertation studies looking at (1) effectiveness and professional credibility in the high school principalship at the University of Nebraska (Larson, 1992); (2) principals' leadership behavior and school effectiveness in rural schools in Saskatchewan, Canada (Brice, 1992), (3) at the ethical philosophy of middle school administrators at the University of Minnesota (Noland, 1993), and, (4) principals' leadership role in effective site-based managed elementary schools at the University of Bridgeport (Aubrey, 1992). Kouzes and Posner (1995) indicate that these independent research efforts with University dissertation programs further substantiate the utility and robustness of the *LPI*. Correlations with other sociological and psychological instruments from such studies further enhance confidence that the *LPI* measures what it is purported to measure (Kouzes and Posner, 1995).

"The *Leadership Practices Inventory* (1997) has sound

psychometric properties Internal reliabilities for the five leadership practices (as assessed by both *Self* and *-Observer* versions) are very good and are consistent over time. The underlying factor structure has been sustained across a variety of studies and settings, and support continues to be generated for the instrument's predictive and concurrent validity For the most part, findings are relatively consistent across people, genders, and ethnic and cultural backgrounds, as well as across various organizational characteristics (such as the functions the organization employs, its size, and its public- or private-sector status)" (Kouzes and Posner, 1995, page 351).

A sample summary of the *LPI* results is given in Table 6, *The Leadership Practices Inventory Scoring Summary Sample*, page 53 This table demonstrates how, the *LPI* scores are summarized after they have been scored for this study *LPI* practices are displayed in order of highest to lowest average observer scores (column 3) so that the researcher can quickly determine the areas that observers perceive to be strengths as well as areas that are opportunities for leadership improvement

The scores in the "self-rating" column represent the sum of the principal's *LPI-Self* responses to the six statements about each of the five leadership practices The score for each practice can range from a high of 60 to a low of 6 (column 2) The teacher (observer) feedback is not identified by teacher name but is instead by assigned number For purposes of this study, feedback from teachers will be identified 11, 12, 13, 14, 15, and so on

Kouzes and Posner developed a detailed chart of *LPI Percentile*

Table 6, *The Leadership Practices Inventory Scoring Summary Sample**

(Columns) 1	2	3	4	5	6	7	8	9	10	11
Effective Leadership Practices	LPI-Observer Ratings									
	Self-Rating	AVG (Observers)	AGR	11	12	13	14	15	16	17
Modeling the way	52	50 6	H	51	50	50	50	51	51	51
Enabling others to act	38	47 3	L	43	47	50	50	52	45	44
Challenging the process	43	44 1	L	39	45	45	43	47	46	44
Encouraging the heart	48	44 0	L	46	39	44	42	46	46	45
Inspiring a shared vision	44	33 1	M	32	32	33	35	34	33	33
AVG = Average of all <i>LPI-Observer</i> Forms, the averages practice by practice of all observers' ratings Range from high of 60 to a low of 6 (column 3) AGR = Degree of consistency between observer scores, with H=high, M=Moderate, and L=Low degree of consistency or agreement (column 4). 11-17 = <i>Identification of all observers</i> (teachers) (column 5-11)										
11 = Teacher 1 12 = Teacher 2 13 = Teacher 3 14 = Teacher 4 (etc)										

*As taken from Figure 2 Sample Summary Page (Kouzes and Posner, 1997, page 10)

Rankings This was accomplished by ranking the five leadership practices of the *LPI* based upon the percentage of people who score at or below a given number in Kouzes and Posner's database of more than 12,000 leaders and 60,000 observers since 1986. This ranking is determined by the percentage of people who score at or below a given number. If your score on "challenging" is at the 70th percentile this means that your score is higher than 70 percent of all the people who have taken the *LPI*. You would place in the top 30 percent of this

dimension. Kouzes' and Posner's study indicates that a high score is one at the 70th percentile or above, a low score is a score at the 30th percentile or below. A score that falls between these ranges would be considered a moderate score.

V. DATA COLLECTION PROCEDURES

The design and statistical analysis of this study was supported by the Department of Educational Administration and Leadership at The University of Tennessee prior to beginning this project. The prospectus and approval from the Institutional Review Board (IRB) of The University of Tennessee was obtained. The *Leadership Practices Inventory* (1997) was purchased from Pfeiffer (Jossey Bass) and permission secured from James Kouzes and Barry Posner at TPG/Learning Systems to utilize the *Leadership Practices Inventory* (1997) in this study. The instrument was piloted prior to formally initiating this research project to make certain that there were no flaws in the duplicated materials, cover letters, and return mailing directions.

An introductory phone contact was made by the researcher to all qualifying school principals to invite their participation and obtain their commitment to this study. Principals were asked to hold a faculty meeting for the purpose of explaining this study and securing their teachers' willingness to participate. Principals were also given the option of mailing this survey to their teachers at home (Option 1), as opposed to having teachers complete it in a faculty meeting, if they felt this option would increase the participation rate or

perhaps secure increased teacher participation

Principals who chose the home mailer method (Option 2), received their research materials organized in the same fashion as those organized for the faculty meeting. The only two differences were that (1) principals needed to insert a personal note (to include with the *LPI* materials for teachers) indicating their support of this study, and (2) the packet included a stamped, addressed envelope for teachers to individually mail the *LPI-Observer* directly back to the researcher. If a principal chose the faculty meeting approach to completing the *LPI* instruments (Option 1), the principal was asked to distribute to each teacher a packet containing (1) an introductory letter, (2) the *LPI-Observer*, and (3) an unmarked envelope for the completed *LPI* survey to be placed in and sealed (for confidentiality purposes)

Cover letters explaining the objective of this study were written to both teachers and principals (Appendix D, *Leadership Practices Inventory - Self*, page 122, and Appendix E, *Leadership Practices Inventory - Observer*, page 127). The cover letter asked for their assistance in obtaining information about principals' leadership practice in an era of public school reform in North Carolina. The *LPI* inventories were duplicated based upon each participating school's teacher numbers and packaged as follows

- A 1- *LPI-Self* with response sheet for the principal (Appendix D, *Leadership Practices Inventory - Self*, page 122),
- B the correct number of *LPI-Observer* and response sheets for his/her

school's teachers (Appendix E, *Leadership Practices Inventory - Observer*, page 127),

- C envelopes for mailing and/or return mailing (dependent upon principal's choice, and return bulk mailers

Schools were identified numerically in order to maintain identification of each school's achievement test performance level and to follow-up when there was a poor response from a school. All *LPI* documents were numbered accordingly and numeric codes assuring the confidentiality of each participant. Materials were assembled and packets were mailed to each principal who agreed to participate. Principals who utilized the faculty meeting procedure had rapid turn around on data return. For schools that did not return data, additional phone calls were made attempting to secure principals' participation as well as second and third letters written to principals whose materials were not returned.

VI. DATA ANALYSIS

Comparison statistics utilizing the mean scores from both forms of the *LPI* (*Self-* and *-Observer*) were utilized to compare effective leadership practices in both high and inadequately performing schools. There are a number of ways of testing a null hypothesis (chance explanation), among the most widely used is the t-test that determines if the relationship between the variables is due to some real occurrence and is statistically significant, or if the relationship is simply a result of chance or other factors. The familiar meaning of the word significant is

“important” or “meaningful” but in statistics, this words means “less likely to be a function of chance than some predetermined probability” (Ary, Jacobs, and Rzazvieh, 1985)

The t-test analysis of independent samples was used in analyzing the data in this study to answer the first research question, **(1) How do the LPI scores of principals (LPI-Self) in high performing schools compare to the LPI scores of principals (LPI-Self) in schools that are performing inadequately?** This analysis sought to determine if there were significant differences between the *LPI-Self* scores of principals in high performing schools and those of principals in inadequately performing schools. Subsequently, the same correlation statistic test was used to determine the second research question, **(2) How do the LPI scores of teachers (LPI-Observer) in high performing schools compare to the LPI scores of teachers (LPI-Observer) in schools that are performing inadequately?**

For the third and fourth questions the t-tests for paired samples were used to determine the significance of any relationship discovered between the principals' self-score and his/her teachers' ratings within the same level of school performance (high performing or inadequately performing). **(3) In high performing schools, how do the LPI scores of principals (LPI-Self) compare to the LPI ratings of their teachers (LPI-Observer)?** This paired samples analysis determined if the observed differences in any of the five effective leadership practices (the independent variables) was significantly

different between principals' self-scores in both high and inadequately performing schools (the dependent variables) Analyzing these data would reveal any unusual inconsistencies in the report of either the principals or the teachers. **(4) *In schools performing inadequately how do the LPI scores of Principals (LPI-Self) compare to the LPI ratings of their teachers (LPI-Observer)?*** This paired samples analysis determined if the observed differences in any of the five effective leadership practices (the independent variables) was significantly different between teachers' ratings between high or inadequately performing schools.(the dependent variables)

An .05 level of significance was used in this study to determine the significance of the relationship among the variables in both the t-test for independent samples as well as the t-test for paired or correlated samples The sample size in this study was small to begin with and did not lend it self to multi-variate statistical techniques A Bonferroni Adjustment technique was considered because of making comparisons on multiple variables but was deemed unnecessary in light of the findings

CHAPTER 4

FINDINGS

I. INTRODUCTION

The purpose of this study was to determine if a significant relationship exists between principals' leadership practice and student achievement test scores. Specifically, (by means of the *Leadership Practices Inventory*, 1997) this study gathered data on principals' in high performing and inadequately performing schools. School performance for this study was determined on the North Carolina ABCs model achievement testing program.

II. FINDINGS

The findings of this study are the result of an analysis of (1) the *LPI* scores of principals in high performing schools compared to the *LPI* scores of principals in schools that are inadequately performing, (2) the *LPI* ratings of teachers, in high performing schools compared to the *LPI* ratings of teachers in schools that are performing inadequately, (3) the *LPI* scores of principals compared to the *LPI* ratings of their teachers in high performing schools, and (4) the *LPI* scores of principals compared to the *LPI* ratings of their teachers in inadequately performing schools. Table 7, Subjects, Respondents, and Response Rate by School Performance Levels, page 60, shows the actual raw data. Table 8, *LPI Self- and Observer- Mean Scores by School Performance Levels*, page 61 shows the actual mean scores of all respondents in schools in

Table 7, Subjects, Respondents, and Response Rate by School Performance Levels

School Performance Levels	LPI-Self No. Distributed		LPI-Self No. Returned		LPI-Observer No. Distributed		LPI-Observer No. Returned	
<i>High Performing K-8 Schools (N= 7)</i>	8	100%	8	100%	346	100%	147	42%
<i>Inadequate Performing K-8 Schools (N=6)</i>	9	100%	9	100%	284	100%	107	38%

Table 8, *LPI Self- and Observer- Mean Scores by School Performance Levels*

Effective Leadership Practices (LPI)	High Performing Schools			Inadequately Performing Schools		
	Sch #	Self-Scores	LPI Tea Ratings	Sch #	Self-Scores	LPI Tea Ratings
PRACTICE Challenging the process	7	46	44	10	46	48
	9	42	42	20	52	39
	13	48	51	30	53	55
	19	55	33	40	50	53
	20	44	56	11	50	58
	23	49	47	16	37	38
	24	53	50			
PRACTICE Inspiring a shared vision	7	44	52	10	47	49
	9	41	44	20	51	54
	13	46	52	30	52	57
	19	48	32	40	46	54
	20	37	42	11	55	56
	23	47	50	16	35	41
	24	45	42			
PRACTICE Enabling others to act	7	47	50	10	47	47
	9	40	43	20	58	56
	13	53	49	30	51	57
	19	49	39	40	48	57
	20	52	49	11	56	56
	23	51	54	16	45	42
	24	52	33			
PRACTICE Modeling the way	7	47	53	10	52	51
	9	54	50	20	59	56
	13	52	55	30	55	57
	19	56	32	40	57	56
	20	49	45	11	57	54
	23	53	53	16	41	43
	24	55	53			
PRACTICE Encouraging the heart	7	41	46	10	47	47
	9	33	40	20	60	56
	13	53	50	30	57	57
	19	49	35	40	52	57
	20	43	43	11	58	56
	23	55	56	16	46	45
	24	51	46			

both performance levels. The statistical findings are presented for each research question as follows:

Research Question No. 1: *How do the LPI scores of principals (LPI-Self) in high performing schools compare to the LPI scores of principals (LPI-Self) in schools that are performing inadequately?* (Table 9, Comparison of Mean Self- Scores of Principals in High Performing and Inadequately Performing Schools, page 63)

Because there were differences in the mean *Self-* scores of the principals on the *LPI* practices in both high and inadequately performing schools a determination was necessary as to whether or not the principals' *Self-* scores between high and inadequately performing schools occurred from chance or was an indication of significant difference. The t-test of differences for independent samples was the analysis used to determine the significance of the differences observed. The mathematical computations used to make this determination were completed by computer (SPSS software program). The estimated probability of the null hypothesis being rejected was set at .05 ($p < .05$). t-values for the mean *Self-* scores ranged from -1.19 to .05 (from the computer analysis). And P-values ranged from a low of .25 (*inspiring a shared vision*) to a high of .96 (*challenging the process*). None of the P-values found suggests a significant difference at the .05 level, between any of the principals' *Self-* score means (on the five effective leadership practices) between high and

TABLE 9, Comparison of Mean Self- Scores of Principals in High Performing and Inadequately Performing Schools

t-tests for Independent Samples									
Leadership Practice (Variables)	School Classification						t- value	P- value	Diff
	High Performing Schools			Inadequately Performing Schools					
	Principal LPI-Self			Principal LPI-Self					
	N=7			N=6					
	R	M	SD	R	M	SD			
Modeling the way	1	52.43	3.30	1	53.50	6.57	-.38	.711	No Diff
Enabling others to act	2	49.14	4.53	3	50.83	5.19	-.63	.543	No Diff
Challenging the process	3	48.14	4.67	4	48.00	5.90	.05	.962	No Diff
Encouraging the heart	4	46.43	7.81	2	52.33	7.66	-1.37	.198	No Diff
Inspiring a shared vision	5	44.00	3.83	5	47.67	7.03	-1.19	.258	No Diff

R=Rank M=Mean SD=Standard Deviation N=Number of Schools

inadequately performing schools

When comparing principals' *Self-* scores in high performing schools to inadequately performing schools, principals' mean *Self-* scores indicated they rated themselves in the moderate range (30-60 percent) on all five *LPI* effective leadership practices. The highest mean *Self-* score in both high and inadequately performing schools was *modeling the way* in high performing schools (52.43) and in inadequately performing schools (53.50). The lowest mean *Self-* score in high performing schools was *inspiring a shared vision* (44.00). In inadequately performing schools the lowest mean *Self-* score was also on *inspiring a shared vision* (47.67). Actual rank on highest mean to lowest mean for both performance levels and the Standard Deviation is shown in Table 9, Comparison of Mean *Self-* Scores of Principals between High Performing Schools and Inadequately Performing Schools, page 63.

There were no statistically significant differences between the mean *LPI-Self* scores reported by principals in high performing schools and those in inadequately performing schools.

Research Question No. 2: *How do the LPI ratings of teachers (LPI-Observer), in high performing schools compare to the LPI ratings of teachers (LPI-Observer) in schools that are performing inadequately?* (Table 10, Comparison of Mean Scores of Teachers' Ratings in High Performing and Inadequately Performing Schools, page 65)

TABLE 10, Comparison of Mean Scores of Teachers' Ratings in High Performing and Inadequately Performing Schools

t-tests for Independent Samples Results									
Leadership Practice (Variables)	School Classification						t- value	P- value	Diff
	High Performing Schools			Inadequately Performing Schools					
	Teacher LPI-Observer			Teacher LPI-Observer					
	N=6			N=7					
	R	M	SD	R	M	SD			
Modeling the way	1	48.46	8.04	2	52.77	5.41	-1.11	.290	No Diff
Enabling others to act	3	45.37	7.08	3	52.51	6.40	-1.88	.087	No Diff
Challenging the process	2	46.10	7.50	5	48.44	8.36	-.53	.605	No Diff
Encouraging the heart	4	45.17	6.78	1	53.21	5.74	-2.29	.043	DIFF
Inspiring a shared vision	5	44.87	7.13	4	51.96	6.13	-1.90	.084	No Diff

R=Rank M=Mean SD=Standard Deviation N=Number of Schools

Because there were differences in the mean scores between the teachers' ratings (*Observer*-) of principals on the five leadership practices between high performing schools (N=6) and inadequately performing schools (N=7) a determination was necessary as to whether or not the difference was significant or occurred from chance. The t-test of differences for independent samples was the analysis used to determine the significance of observed differences.

A computer (SPSS software program) accomplished the mathematical computations for this comparison of teachers' ratings (*Observer*) on each of the five leadership practices between high (N=6) and inadequately performing schools (N=7). The estimated probability of the null hypothesis being rejected was set at .05 ($p < .05$) for this comparison utilizing the t-test of differences for independent samples. From the computer analysis, t-value ranges were -2.29 to -5.3, P-values ranged from a low of .04 to .61 for teachers' ratings of the five effective leadership behaviors in high performing schools when compared to teachers' ratings in inadequately performing schools.

All teachers' ratings of the effective leadership practices between both school performance levels was in the moderate range of effective practice (30-60 percent). However, when the teachers' ratings on each of the five effective practices were compared in high performing schools (N=6) to inadequately performing schools' (N=7) mean scores ratings indicate that teachers in inadequately performing schools rated principals higher on each of the five effective leadership practices than teachers rated principals in high

performing schools. Thus principals in inadequately performing schools scored higher in the effective leadership practices of the *LPI*.

The highest mean score in teachers' ratings, in high performing schools was found to be in *modeling the way*, 48.46, the lowest mean score was found to be *inspiring a shared vision*, 44.87. The highest mean score in teachers' ratings in inadequately performing schools was discovered to be *encouraging the heart*, 53.21 and the lowest mean score was found to be *challenging the process*, 48.44.

The leadership variable having a significant difference at the .05 level ($p < .05$) was *encouraging the heart* ($t = 0.43 < .05$) when compared between teachers' ratings in high performing schools to teachers' ratings in inadequately performing schools. In the inadequately performing schools, teachers' ratings indicate that principals engage more in this practice, *encouraging the heart* (53.21) than principals (45.17), in high performing schools. The male/female breakdown however, does not parallel Kouzes' and Posner's research that indicates female managers tend to score higher than their male counterparts on this practice. It is of interest to note that there were two female principals and five male principals in high performing schools and one female principal and five male principals in inadequately performing schools (three female and ten male principal participants in this study).

This study found a statistically significant difference between the means of teachers' ratings (*Observer-*) on *encouraging the heart* at the .05 level of

significance between teachers' ratings in high performing schools (N=6) and teachers' ratings inadequately performing schools (N=7)

Research Question No. 3: *In high performing schools, how do the LPI scores of principals (LPI-Self) compare to the LPI ratings of their teachers (LPI-Observer)?* (Table 11, Comparison of Principals' Self- Score Means with the Mean Scores of Teachers' Ratings in High Performing Schools, page 69)

Because there were differences in the mean of the principals' *Self-* scores in high performing schools when compared to the mean of teachers' ratings (*Observer-*) on each of the five leadership practices, a statistical analysis (SPSS computer software program) was necessary to determine if any of the observed differences were significant. The t-test of differences for paired or correlated samples was the basis of the analysis.

The estimated probability of the null hypothesis being rejected was set at 05 ($p < .05$). t-values ranged from 1.24 to -2.8 and P-value ranges were from .788 to .263. None of the P-values at the .05 significance level, uncovered any significant differences between principals' *Self-* scores and teachers' ratings in high performing schools.

In this comparison it is noted that the highest and lowest mean for both principals' *Self-* scores and teachers' ratings placed each effective practice at the same rank order position, except the following two: *enabling others to act* (principals ranked 2, and teachers ranked 3), and *challenging the process*

TABLE 11, Comparison of Principals' Self- Score Means with the Mean Scores of Teachers' Ratings in High Performing Schools

t-tests for Paired or Correlated Samples									
Leadership Practice (Variables)	School Classification						t- value	P- value	Diff
	High Performing Schools			High Performing Schools					
	Principal LPI-Self			Teacher LPI-Observer					
	N=7			N=6					
	R	M	SD	R	M	SD			
Modeling the way	1	52.43	3.30	1	48.46	8.04	1.09	.318	No Diff
Enabling others to act	2	49.14	4.53	3	45.36	7.18	1.24	.263	No Diff
Challenging the process	3	48.14	4.67	2	46.10	7.50	.53	.618	No Diff
Encouraging the heart	4	46.43	7.80	4	45.17	6.78	.48	.646	No Diff
Inspiring a shared vision	5	44.00	3.83	5	44.87	7.13	-.28	.788	No Diff
R=Rank M=Mean SD=Standard Deviation N=Number of Schools									

(principals ranked 3 and teachers ranked 2) These leadership practices rank order position was simply reversed between the two school performance levels

Principals' *Self-* scores and teachers' ratings placed principals' effective practice in the moderate range of performance (30-60 percent) All principals' *Self-* scores revealed means between 44 00 - 49 14 except one, *modeling the way*, 52 43 All teachers' ratings revealed means between 44 87 and 48 46 The highest mean scores of principals' *Self-* scores in high performing schools was *modeling the way* 52 43, for teachers' ratings in high performing schools, *modeling the way*, 48 46 was also the highest mean score.

The means in this t-test of differences for paired samples are closer together between the principals' *Self-* scores and teachers' ratings than was noted in Question 1 and Question 2 which was a comparison of high and inadequately performing schools However, Question 3 and Question 4 compares schools at the same performance level There was no statistically significant difference in the means of the principals' *Self-* scores and teachers' ratings among the five effective leadership practices of the *LPI* and high performing schools (N=6) These data suggest that the ratings reported by both teachers and principals were completed in an attempt to be as accurately as possible and bias in reports seemed to be minimized

RESEARCH QUESTION NO. 4 - *In schools performing inadequately, how do the LPI scores of principals (LPI-Self), compare to the LPI ratings of teachers (LPI-*

Observer), (Table 12, Comparison of Principals' Self- Score Means with the Mean Score Ratings of Teachers in Inadequately Performing Schools, page 72)

Statistical analysis (SPSS computer software program) was used to assess differences in inadequately performing schools in the means of principals' Self- scores in inadequately performing schools and teachers' ratings of the five effective leadership practices

The estimated probability of the null hypothesis being true was set at .05 ($p < .05$) t-values ranged from 4.18 to -1.5 and P-values ranged from .886 to .009. The relationship between principal and teachers' ratings on *inspiring a shared vision* indicate a significant difference at the .05 level.

In comparing principals' Self- scores to teachers' ratings in inadequately performing schools, it is noted that the highest mean for principals' Self- score was *modeling the way*, 53.50 and for teachers' ratings it was *encouraging the heart*, 53.21. The lowest mean score for principals of inadequately performing schools was *inspiring a shared vision*, 47.67, and for teachers', 48.44.

All principals' Self- scores and teachers' ratings in inadequately performing schools placed principals' effective leadership practice in the moderate range of performance (30-60 percent). All principals' Self- scores in s inadequately performing schools revealed means between 53.50 and 47.67. All teachers' ratings revealed means between 53.21 and 48.44.

Important to note was that there was statistical significance in *inspiring a shared vision* at the .01 level of significance (this level of significance is greater than the .05 level previously set), between principals' *Self-* scores and teachers' ratings in inadequately performing schools (N=7) in this leadership practice

Table 13, Rank Order by Mean Scores Among Participant Categories and School Performance Levels , page 74 presents the following:

- A review of principals' mean score rankings in high performing schools and inadequately performing schools,
- A review of teachers' mean score rankings in high performing and inadequately performing schools,
- A review of principals' and teachers' mean score rankings in high performing schools,
- A review of principals' and teachers' mean score rankings in inadequately performing schools

Modeling the way and *encouraging the heart* were the leadership practices that had the highest mean scores. The leadership practices that were discovered in this study having a significant difference are shaded

Table 13, Rank Order by Mean Scores Among Participant Categories and School Performance Levels

HP School Principals and IP School Principals		HP School Teachers and IP School Teachers		High Performing Schools		Inadequately Performing Schools	
High Perf	Inadeq. Perf.	High Perf	Inadeq. Perf.	Principal	Teacher	Principal	Teacher
Modeling $\bar{x}=52.43$	Modeling $\bar{x}=53.50$	Modeling $\bar{x}=48.46$	Encour. $\bar{x}=53.21$	Modeling $\bar{x}=52.43$	Modeling $\bar{x}=48.46$	Modeling $\bar{x}=53.50$	Encour. $\bar{x}=53.21$
Enabling $\bar{x}=49.14$	Encour. $\bar{x}=52.33$	Challen. $\bar{x}=46.10$	Modeling $\bar{x}=52.77$	Enabling $\bar{x}=49.14$	Challen. $\bar{x}=46.10$	Encour. $\bar{x}=52.33$	Modeling $\bar{x}=52.77$
Challen. $\bar{x}=48.14$	Enabling $\bar{x}=50.83$	Enabling $\bar{x}=45.37$	Enabling $\bar{x}=52.51$	Chall. $\bar{x}=48.14$	Enabling $\bar{x}=45.36$	Enabling $\bar{x}=50.83$	Enabling $\bar{x}=52.51$
Encour. $\bar{x}=46.43$	Challen. $\bar{x}=48.99$	Encour. $\bar{x}=45.17$	Inspiring $\bar{x}=51.96$	Encour. $\bar{x}=46.43$	Encour. $\bar{x}=45.17$	Challen. $\bar{x}=48.00$	Inspiring $\bar{x}=51.96$
Inspiring $\bar{x}=44.00$	Inspiring $\bar{x}=47.67$	Inspiring $\bar{x}=44.87$	Challen. $\bar{x}=48.44$	Inspiring $\bar{x}=44.00$	Inspiring $\bar{x}=44.87$	Inspiring $\bar{x}=47.67$	Challen. $\bar{x}=48.44$

[HP=High Performing Schools; IP=Inadequately Performing Schools; X= Mean Score; P= P-Value]

CHAPTER 5

SUMMARY, CONCLUSIONS, DISCUSSION, AND RECOMMENDATION

I. INTRODUCTION

This chapter provides a summary of the study on the relationship between effective leadership practice in the school principalship and student achievement test scores. The summary includes (a) an overview of the problem, (b) the research questions, (c) the research design and methodology, and (d) the findings for each research question. The summary is followed by conclusions, discussion, and recommendations.

II. SUMMARY

The purpose of this study was to determine whether or not there is a difference between the perceived leadership practices of principals and achievement test results. North Carolina elementary public schools have been engaged in statewide school reform and have linked achievement test results and leadership performance. Specifically, the study examined the following research questions:

Research Question 1. How do the *LPI* scores of principals (*LPI-Self*) in high performing schools compare to the *LPI* scores of principals (*LPI-Self*) in schools

that are performing inadequately? (See TABLE 9, Comparison of Mean *Self*-Scores of Principals in High Performing Schools and Inadequately Performing Schools, page 63)

Research Question 2. How do the *LPI* ratings of teachers (*LPI-Observer*), in high performing schools compare to the *LPI* ratings of teachers (*LPI-Observer*) in schools that are performing inadequately? (See Table 10, Comparison of Mean Scores of Teachers Ratings in High Performing and Inadequately Performing Schools, page 65)

Research Question 3. In high performing schools, how do the *LPI* scores of principals (*LPI- Self*) compare to the *LPI* ratings of their teachers (*LPI-Observer*)? (See Table 11, Comparison of Principals' *Self*- Score Means with the Mean Score of Teachers' Ratings in High Performing Schools, page 69)

Research Question 4. In schools performing inadequately, how do the *LPI* scores of principals (*LPI-Self*) compare to the *LPI* ratings of their teachers (*LPI-Observer*)? (See Table 12, Comparison of Principals' *Self*- Score Means with the Mean Score Ratings of Teachers in Inadequately Performing Schools, page 72)

III. RESEARCH METHODOLOGY

This ex post facto study searched for differences in principals effective leadership practice between high and inadequately performing schools, as demonstrated by student achievement testing Principals' *Self*- scores and

teachers' ratings (*Observers*) on the *Leadership Practices Inventory* (1997) provided an assessment of leadership effectiveness in both high and in inadequately performing schools in North Carolina

This ex post facto study identified high and inadequately performing schools and then asked principals and teachers to rate leadership behavior in the principal to determine if there were any significant differences between principals' leadership behaviors in the two categories of schools. High performing and inadequate school performance was defined by the North Carolina ABCs accountability model school achievement tests. Only schools where the principal had been employed at least three years qualified for this study. Schools that met both sample selection criteria were identified and principals were contacted to secure school participation in the research project. Research information was mailed to all school sites and upon completion returned to this researcher.

Research data were analyzed and the t-tests of differences for independent samples and t-test for paired or correlated samples were used to discover significant differences between the variables. Significance of difference limits were established at .05 level ($p < .05$).

IV. SUMMARY OF FINDINGS FOR RESEARCH QUESTIONS

A summary of the findings for the research questions under investigation in this study are presented below.

Research Question 1.

How do the *LPI* scores of principals (*LPI-Self*) in high performing schools compare to the *LPI* scores of Principals (*LPI-Self*) in schools that are performing inadequately?

Principals from both high and inadequately performing schools, placed themselves, in the moderate range (30-60 percent) on all five of the *LPI* effective leadership practices. There were no significant differences between the principals' effective leadership practices in high and inadequately performing schools. The highest mean score for both levels of school performance on principals' *Self-* score was *modeling the way* but no significant difference was observed between school performance levels on this effective practice. The lowest mean score for high performing schools was *inspiring a shared vision* and the lowest mean score for inadequately performing schools was the same. No statistically significant differences in the mean scores of principals' *Self-* score, on the five *LPI* effective leadership practices between high performing and inadequately performing schools was observed.

Research Question 2.

How do the *LPI* ratings by teachers (*LPI-Observer*), in high performing schools compare to the *LPI* ratings by teachers (*LPI-Observer*) in schools that are performing inadequately?

Teachers (*LPI-Observer*) from both high and inadequately performing schools, rated principals in the moderate range (30-60 percent) on all five of the *LPI* effective leadership practices. The highest mean score in teachers' ratings, in high performing schools was in *modeling the way*, but there was no significant difference between the reports from teachers in high and inadequately performing schools. The lowest mean score was *inspiring a shared vision* but again there was no significant difference between teachers in different performance levels. The highest mean score in teachers' ratings, in inadequately performing schools was *encouraging the heart*. This mean score revealed a statistically significant difference between teachers' reports from two different school performance levels. The lowest mean score in inadequately performing schools was *challenging the process* but with no difference noted between the reports of teachers from different school performance levels.

Teachers' ratings in inadequately performing schools indicate principals scored higher in all five leadership practices than teachers' ratings placed principals in high performing schools. This finding is unexpected. Certainly because of the current linkage of school achievement testing and principals' leadership effectiveness, one would expect such a finding to be in high performing schools, not inadequately performing schools.

Encouraging the heart was the only variable in which the teachers' reports revealed a significant difference. Again the significant difference favored principals in inadequately performing schools. The significant difference was .04,

somewhat lower than the .05 significance level established for this study. Teachers' ratings in inadequately performing schools gave principals a higher rating in this effective practice than teachers' ratings in high performing schools. This finding too, seems out of the ordinary for inadequately performing schools. Kouzes and Posner note that female managers tend to score higher on this practice but the male/female breakdown of participants in this study was three female principals and ten male principals, thus the higher scores for encouraging the heart are not indicative of male/female difference (see Research Question 2, pages 65-67).

Research Question 3.

In high performing schools, how do the *LPI* scores of principals (*LPI-Self*) compare to the *LPI* ratings of teachers (*LPI-Observer*)?

Principals' *Self*- scores and teachers' ratings placed principals' effective leadership practices in the moderate range (30-60 percent) of performance. In this comparison, it is noted that the highest and lowest mean for both principals' *Self*- scores and teachers' ratings placed each effective practice at the same rank order position for all practices except the following two: *enabling others to act* and *challenging the process*; the rank order position of the two practices was reversed in the two school performance levels.

There was no statistically significant difference in the means of the principals' *Self*- scores and teachers' ratings among the five effective leadership

practices of the *LPI* and high performing schools

Research Question 4.

In schools performing inadequately, how do the *LPI* scores of principals (*LPI-Self*) compare to the *LPI* ratings of their teachers (*LPI-Observer*)?

All principals' *Self*- scores and teachers' ratings in inadequately performing schools placed principals effective leadership practice in the moderate range of performance (30-60 percent) In comparing principals' *Self*- scores to their teachers' ratings in inadequately performing schools, the highest mean *Self*- score for principals was *modeling the way*, and for teachers' ratings the highest mean score was *encouraging the heart*; there was no significant difference in either of these effective practices between school performance levels

The lowest mean score for principals of inadequately performing schools (N=7) was *inspiring a shared vision* ($\bar{x}$ = 47.67) and the lowest mean score for teachers was *challenging the process* ($\bar{x}$ = 48.44) A statistically significant difference was discovered between principals' *Self*- scores and teachers' ratings in the *inspiring a shared vision* practice In this practice, the P-value was .009 and significant in terms of the .05 level set for this study This was the second statistically significant difference discovered but is between schools at the same performance level and the first statistically significant difference discovered between principals and teachers at the same achievement test level. This

finding seems unusual in this particular school performance level (inadequately performing) and certainly not what would be expected

This statistically significant finding is also in the opposite direction one would expect. It shows that teachers' ratings were significantly higher than principals' *Self-* reports regarding *inspiring a shared vision*. This suggests that principals' were underestimating their effectiveness more than they were overstating it. The other categories, where no significant differences were found, suggest that assessments were reported in an effort to be accurate. In other words, principals' *Self-* reports corresponded with and were reinforced by teachers' ratings

V. CONCLUSIONS

Based upon this study the following conclusions were drawn about the impact of principals' effective leadership practices by school principals on school achievement testing performance

Conclusion One.

Comparisons were drawn between principals from both school performance levels and between teachers from both school performance levels (Research Questions 1 and 2). In comparisons between high and inadequately performing schools, there were no statistically significant correlations found between principals' perceptions and only one statistically significant correlation found

between teachers' ratings between the two school performance levels regarding principals effective leadership practices

The statistically significant difference found was in the effective leadership practice of *encouraging the heart*, and was between teacher ratings between high and inadequately performing schools. There was no other correlation found in effective leadership practices between school performance levels and thus no relationship is discerned between effective leadership practices and student achievement testing.

Principals, overall, see themselves in inadequately performing schools as engaging in effective leadership practices (47-53) just as principals in high performing schools see themselves as positively engaged in effective practices (44-52). It is interesting to note that high performing schools' principals produced mean *Self-* scores a few points lower than principals in inadequately performing schools. This data supports the conclusion overall, that there is little difference in principals' leadership practices between school performance levels.

Inspiring a shared vision was the leadership practice with the lowest mean principal *Self-* score for both school performance levels. Principals regardless of school performance level see themselves as engaged in this effective leadership practice less than the other effective practices ($\bar{x}$ =44.00 principals in high performing schools and $\bar{x}$ =47.67 principals in inadequately performing schools). Teachers' ratings reveal a significant difference in the practice of *inspiring a shared vision* but this singular area with significant difference, does not change

the conclusion that overall principals' leadership is not different between school performance levels

Certainly, with North Carolina's legislated rewards and sanctions (for principals and teachers) tied to student achievement testing, visionary leadership in all likelihood, is not a priority leadership practice. It is no surprise that this is the leadership practice with the lowest mean score in both school performance levels with an accountability program driven by student achievement test

Conclusion Two.

Comparisons were drawn between teachers and principals within each school performance level. In these two comparisons, which serve as a triangulation check on score anomalies rather than a comparison between high and low school performance levels, again there is no significant correlation found between leadership practices and student achievement test scores. This conclusion is supported by principals' *Self-* scores and teachers' ratings when compared within the same achievement test performance levels. Only one leadership practice scored a significant difference in this comparison, *inspiring a shared vision* (Research Question 4, page 71-74)

Between principals and teachers at same achievement test performance levels, both principals and teachers rate principals at a moderate level of effective practices in all areas of the *LPI*. Principals' *Self-* scores and teachers'

ratings in high performing schools are similar with no practices indicating any significant difference. In inadequately performing schools, teachers rate principals (means scores) higher (in effective leadership practice) than did their counterparts in high performing schools.

Teachers in high performing schools see principals positively engaged in *modeling the way* (the highest mean score) whereas teachers in inadequately performing schools see principals positively engaged in *encouraging the heart*. At the opposite end of the scale, teachers in high performing schools see principals less engaged in *inspiring a shared vision* and teachers in inadequately performing schools see principals less engaged in *challenging the process*. It is interesting to note that *encouraging the heart* is the one effective leadership practice that produced a significant difference (.04) between principals' Self-scores and teachers' ratings between same school performance levels.

Principals in inadequately performing schools enjoyed a much higher teacher mean ranking than did their counterparts in high performing schools. This is a unexpected finding in this study and somewhat outside what might be considered typical or expected. It is the teachers from inadequately performing schools that rate principals more highly engaged in *encouraging the heart* than high performing school principals ($\bar{x}$ = 53.21 for principals in inadequately performing schools and $\bar{x}$ =45.17 for high performing schools). The notion that principals' effective leadership practices are not substantially different between high and inadequately performing schools continues to be the primary

conclusion of this study and is supported in comparisons between principals and teachers in school principals' Self scores and teachers' ratings in both school performance levels

The primary conclusion from the research data was that principals whether in high performing schools or inadequately performing schools are equally engaged in effective leadership practices. The data in this study do not support any other conclusions but does indicate that further study is warranted if the state continues to professionally sanction principals in inadequately performing schools based on student achievement test scores

Challenging the process and *inspiring a shared vision* were the effective leadership practices that have the lowest mean scores, enjoying a rank order of four and five respectively from principals' *Self-* scores, and a rank order of five and four from teachers' ratings. This data again supports the notion of no difference in principals use of effective leadership practice at same level comparisons of school performance within the North Carolina ABCs model achievement tests

VI. DISCUSSION

In North Carolina the *School Improvement and Accountability Act* (1989) represented the beginning of an emphasis on accountability through school-based goal setting measured by student achievement testing. This set the stage for subsequent legislation which continues to push planning and accountability (for increasing student achievement) down to the school level. However, there is still, much to learn about the quality and kinds of decisions necessary for improving achievement test scores at the school-site and the principal's leadership role in that process.

It is no easy task for a principal to move a school from the traditional school culture of isolated teaching to one of a professional community united by a common vision and committed to honestly looking at instructional practice and achievement test scores. It is not surprising that many principals struggle with the leadership responsibilities in today's schools especially in states where principals face professional sanctions (McColskey, Mikow-Porto, and Bingham, 1998).

One would generally assume that principals in high performing schools would have higher effective leadership practice scores on the *Leadership Practices Inventory* (Kouzes and Posner, 1997) than principals in inadequately performing schools. Clearly, that is not what this study has uncovered, and naturally the question arises as to, *Why has this occurred?* North Carolina might perhaps (1) initiate implementation of additional leadership assessment tools for

school principals throughout the state, (2) focus principals' staff develop on site-based management techniques and skill, (3) increase staff development opportunities for principals, and (4) focus university administrator training programs on helping principals achieve the state's accountability goals in public schools. These are a few of the issues raised by the results of this study on the correlation between effective principal leadership and achievement test scores. North Carolina will, undoubtedly, continue its demand for school-site accountability and the current practice of financially rewarding and/or sanctioning school principals based upon a school's achievement test scores, but this study give the state reason to rethink this approach.

Other questions arise as the information and data in this research are reviewed - - (1) Has North Carolina relied too heavily on the principles of effective schools research as the model needed to bring about school improvement? (2) Can ambiguous phrases from effective schools research, such as *strong instructional leadership*, *high achievement expectation*, and *pervasive instructional focus* assist principals directly in the improvement of achievement test results (at least sufficiently to avoid professional sanctions or for that matter to warrant financial rewards)? (3) Does effective schools research provide an adequate framework for constructing learning communities, providing collaborative work places, identifying ways in which each individual's hope, imagination, enthusiasm and commitment can be engaged. In light of the implications of this study, policymakers must find additional ways to assess

principal effectiveness if rewards and sanctions are to reinforce desired leadership practices. If teachers see principals in both school performance levels as engaged in the *LPI*'s effective leadership practices and if this is what North Carolina policy makers want perhaps all *LPI* effective leadership practices should be more fully developed and understood by school leaders at all levels. This is an area North Carolina policy makers must explore more fully.

North Carolina must also stop and consider that in the ABCs accountability program, it has become impossible to ignore the enormous gap between student achievement test performance in high-performing schools and student performance in inadequately-performing schools. Is this disparity a result of effective principal leadership alone? This study suggests that it is not. The North Carolina ABCs testing results clearly indicate, that schools are doing least well with the state's neediest students (those from low-income homes, clustered in communities with low educational levels and high unemployment rates) (The Forum, 1998).

The impact of socio-demographic factors on achievement test results are undeniable, and the results of this study clearly point out that principals in inadequately performing schools employ effective leadership practices and in some instances to a greater degree than principals in high performing schools. In light of such information, is it reasonable to assume that principals' effective leadership practice can offset the dramatic impact of the socio-demographic factors? What are the reasons policymakers assume principal effectiveness can

be measured by students' achievement test gains? If North Carolina continues to act on a false assumption, how many more promising opportunities to improve inadequately performing schools are being missed?

This study indicates that principals of inadequately performing schools are not devoid of effective leadership practices. Clearly, this study's results call into question the practice of linking principals' professional rewards and sanctions to students' achievement test scores. At a minimum this study calls for further study regarding the connection between students' achievement test results and effective principal leadership.

VII. RECOMMENDATION

School rewards and sanctions for principals should not be based solely on student achievement test results. The assumption that there is a relationship between principals' effectiveness and test scores has little foundation. This study indicates that effective leadership practices are equally exercised by principals in inadequately performing schools and principals in high performing schools. Furthermore, this finding is representative of both principals' perceptions and teachers' ratings.

Policymakers must determine, what initiatives have impacted improved achievement test scores and set educational policies and programs in motion that support principals in leading schools in the implementation of these well researched practices. Clearly from this study, leadership effectiveness cannot

be measured solely on achievement test scores To link achievement test scores to effective leadership singularly is naive Policymakers ought to consider what this study found - - that principals of schools performing at inadequate levels as reflected by achievement testing, are also engaged in effective leadership practices

An appropriate statewide program of rewards and sanctions for principals ought to consider a multiple sets of factors Perhaps teacher and principal rewards should be separate that is, if teachers are rewarded on the basis of student achievement test scores, principals should be rewarded on the specific factors that connect the principal to the teacher in assisting them be competent practitioners, more capable of improving student achievement test scores For example, principals should to be assessed on the how well they develop and implement a program of teacher in-service within the school. A quality in-service program that truly offers teachers concrete ways in which they can improve classroom instructional practice and technique for students Principals reward would be refocused to this factor in improving student achievement test scores

This study also raises the issue of assessment from a site-based management perspective and whether or not principals, teachers, student, and parents are in truth the C (Control) of the ABCs model If North Carolina's schools are legislated to have School Improvement Teams composed of teachers, students, parents, and staff and this team is charged with developing and implementing a program of school improvement, why not let this group

assess the principal through the School Improvement Plan. This invents a model that also assists principals in better assessing teachers and from a site-based management vantage point.

Certainly, the school improvement plan is an action plan and details specifically who, what, when, where, or how the school can improve. In such an action plan both principal and teacher roles and responsibilities are described in detail. Assessment would become more authentic and multi-dimensional and should then govern principal rewards and sanctions.

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APPENDICES

APPENDIX A

North Carolina ABCs Accountability Model ***North Carolina ABCs of Public Education*** ***(Accountability, Basics and Control)***

Overview, Formulas, and Achievement Level Ranges

In 1995 the North Carolina legislature [NCGS 115C-238(b) (4)] required a Task Force to report annually to the State Board of Education on the implementation of site-based management in the public schools (Chairman, Perdue, 1995)

Murphy (1995) described the relationship for site-based management

Underlying almost all recent reform proposals is the assumption that the problems in education can be ascribed to the structure of schooling - that the most serious barrier to progress is the nature of the system itself. The primary change here has been a shift from mechanistic, structure-enhancing strategies to a professional approach to reform and from regulation, prescription, and monitoring to capacity building and support (page, 4)

In June, 1996, the North Carolina General Assembly enacted the School-Based Management and Accountability Program (SB1139) into law and the North Carolina State Board of Education developed the ABCs of Public Education (1996) in response to this new law

All public schools in North Carolina are under ABCs model legislation and are presently under site-based managed (SBM) directives. SBM is a process of decentralization in which schools find site-based solutions to site-based problems and needs. The philosophy of SBM is simply that those closest to

students are in the best position to address the needs of students. Effective schools literature suggests that SBM promotes ownership and commitment within the school community more effectively than administrative or district office policies, rules, and regulations. SBM is more conducive to building "learning communities", a contemporary viewpoint regarding how schools should operate.

Communities are collections of individuals who are bonded together by natural will and who are together bound to a set of shared ideas and ideals. This bonding and binding is right enough to transform them from a collection of "I" into a collective "we." As a "we," members are part of a tightly knit web of meaningful relationships. This "we" usually shares a common place and over time comes to share common sentiments and traditions that are sustaining (Sergiovanni, 1996, page 48).

School accountability in the ABCs model centers on the performance of individual schools in the areas of reading, writing, and mathematics. Previously, student performance problems were largely hidden because test scores were reported in the aggregate in North Carolina school systems and across regional districts rather than by individual schools. This is no longer true and school accountability is defined by the North Carolina ABCs model in three core academic areas (Basics: reading, writing, and mathematics) and are measured annually. Each school is held accountable for the academic progress of its students. Students' scores on the ABCs model achievement tests are reported in terms of *developmental scale scores*. These developmental scale scores measure a student's academic growth across both time and grade levels. The

state's expectation is for each North Carolina school to produce a year's worth of growth for a year's worth of schooling with its students

At the K-8 school level, the North Carolina State Board of Education has established two types of annual student growth goals. (1) performance standards and (2) growth standards. Grade level formulas calculate expected growth and exemplary growth, see Table 14, *North Carolina ABCs Model Student Growth Formulas and Standards in North Carolina End-of-Grade Tests by Grade Level*, page 112 and Table 15, *North Carolina ABCs Model Formulas by Grade Level*, page 113. Each school's composite growth score summarizes the performance of its students in reading, mathematics and writing. Table 16, *North Carolina ABCs Model Student Achievement Level Ranges for North Carolina End-of-Grade Tests by Grade Level*, page 114 show the score ranges that determine student grade level performance. The composite score is used to determine whether a school meets its per-established state expected standard or if it has exceeded that standard and achieved an exemplary standard (110% increase over previous year's scores)

TABLE 14, North Carolina ABCs Model Student Growth Formulas and Standards in the North Carolina End-of-Grade Tests by Grade Level

North Carolina Average Rate of Growth (b_0)					
<i>Grade Levels</i>	<i>Reading</i>	<i>Mathematics</i>	<i>Grade Levels</i>	<i>Reading</i>	<i>Mathematics</i>
Grade P3 to Grade 3	6.0	11.9	Grade 3 to Grade 4	5.2	7.3
Grade 4 to Grade 5	4.6	7.4	Grade 5 to Grade 6	3.0	7.1
Grade 6 to Grade 7	3.3	6.5	Grade 7 to Grade 8	2.7	4.9
North Carolina Average Scale Scores (1994-1995)					
Grade P3	137.8	130.0	Grade 3	143.4	141.2
Grade 4	147.6	147.9	Grade 5	152.4	154.4
Grade 6	154.5	160.2	Grade 7	158.1	166.0
Grade 7	158.1	166.0	Grade 8	160.1	170.3

Table 15, North Carolina ABCs Model Formulas by Grade Level

<i>Grade 3</i> $RE_3 = 60 - 0.38d_r + .22d_m$ $ME_3 = 119 - 0.32d_m + 0.26d_r$	<i>Grade 4</i> $RE_4 = 52 - 0.38d_r + .22d_m$ $ME_4 = 73 - 0.32d_m + 0.26d_r$	<i>Grade 5</i> $RE_5 = 46 - 0.38d_r + .22d_m$ $ME_5 = 74 - 0.32d_m + 0.26d_r$
<i>Grade 6</i> $RE_6 = 30 - 0.38d_r + .22d_m$ $ME_6 = 71 - 0.32d_m + 0.26d_r$	<i>Grade 7</i> $RE_7 = 33 - 0.38d_r + .22d_m$ $ME_7 = 65 - 0.32d_m + 0.26d_r$	<i>Grade 8</i> $RE_8 = 27 - 0.38d_r + .22d_m$ $ME_8 = 49 - 0.32d_m + 0.26d_r$

Western Regional Accountability Center (WRAC) 1997 (North Carolina Department of Public Instruction)

Table 16, North Carolina ABCs Model Student Achievement Level Ranges for North Carolina End-of-Grade Tests by Grade Level

<i>Subject/Grade</i>	<i>Level I</i>	<i>Level II</i>	<i>Level III</i>	<i>Level IV</i>
Reading - Pre-Test 3 rd Grade	119-127	128-132	133-144	145-162
Reading - Third Grade	115-130	131-140	141-150	151-172
Reading - Fourth Grade	119-134	235-144	145-155	156-174
Reading - Fifth Grade	124-138	139-148	149-158	159-178
Reading - Six Trade	124-140	141-151	152-161	162-183
Reading - Seventh Grade	126-144	145-154	155-163	164-183
Reading - Eighth Grade	132-144	145-155	156-165	166-187
Mathematics Pre-Test 3 rd Grade	105-117	118-125	126-134	134-154
Mathematics - Third Grade	98-124	125-137	138-149	150-171
Mathematics - Fourth Grade	111-131	132-142	143-155	156-178
Mathematics - Fifth Grade	117-140	141-149	150-160	161-185
Mathematics - Six Trade	130-145	146-154	155-167	168-196
Mathematics - Seventh Grade	134-151	152-160	161-172	173-203
Mathematics - Eighth Grade	137-154	255-164	165-177	178-208

APPENDIX B

North Carolina ABCs Accountability Model Elementary Level

(K-8) Growth Reports, Expected and Exemplary

A student's academic growth is determined by each student's score on the *North Carolina End-of-Grade* (EOG) tests in (1) reading comprehension, (2) mathematics (3-8 grade), and (3) writing (4th and 7th grade). Each student's score on the End-of-Grade tests is reported in developmental scale scores, see Table 16, North Carolina ABCs Model Student Achievement Level Ranges for North Carolina End-of-Grade Tests by Grade Level, page 114. The students' scale score is the basic ruler with which each student's growth in reading, math, and writing is measured annually. Just as an individual's height is measured in inches and increases each year, a student's scale score on the End-of-Grade tests is expected to increase annually (with the rate of growth in scale scores more rapid at the early grade levels), see Table 14, North Carolina ABCs Model Student Growth Formulas and Standards in the North Carolina End-of-Grade Tests by Grade Level, page 112.

Each student's developmental scale score equates to a performance level (I, II, III, IV) and is mathematically manipulated to determine a growth score. See Table 16, North Carolina ABCs Model, Student Achievement Level Ranges for North Carolina End-of-Grade Tests by Grade Level, page 114. Both growth and performance scores of all students in a school are combined mathematically

to yield a school-wide growth and performance composite score as is shown in Table 17, Sample North Carolina School's End-of-Grade Expected and Exemplary Growth Report in the ABCs Model, page 117. The growth composite score most nearly indicates the change that occurs in a student's academic achievement each year (value-added) and is the basis of the school's selection for inclusion in this study. North Carolina's goal is for all schools to meet their pre-determined *expected growth* score each year. Schools that achieve *exemplary growth* levels are identified for state recognition and financial reward. It must be noted, however, that exemplary growth can be achieved by schools even with low performance levels (I, II) simply because exemplary growth is based on a school's performance from one year to the next and if low to begin with achievement of the 110% is based on previous year's baseline. Thus schools could have achieved 110% of their expected growth (their previous years scores were low) but still have large numbers of their students performing below grade levels. This fact is why this researcher will utilize each school's growth composite score and study leadership in schools that are making substantial gains with students academically. The schools it should be noted are not necessarily achieving North Carolina's ABCs model award and recognition categories and financial packages (Schools of Excellence, Schools of Distinction) (see Table 18, A Summary of North Carolina K-8 Schools' ABCs Model, Recognition Categories for 1997 and 1998, page 121).

Table 17, Sample North Carolina Schools' End-of-Grade Expected and Exemplary Growth Report in the ABCs Model

1996		1997		Actual Growth	Expected		Diff in Grwth	Stdrd Grwth	Exemplary		Diff in Grwth	Stdrd Grwth
Grad	Score	Grade	Score		Score	Grwth	*	***	Score	Grwth	**	***
READING												
3-P	136.9	3	145.1	8.2	143.4	6.5	1.7	0.89	144.0	7.1	1.1	0.58
3	141.5	4	145.9	4.4	148.0	6.5	-2.1	-1.64	148.5	7.0	-2.6	-2.03
4	144.4	5	150.6	6.2	149.8	5.4	0.8	0.66	150.3	5.9	0.3	0.25
MATHEMATICS												
3-P	130.7	3	141.4	10.7	142.1	11.4	-0.7	-0.27	143.3	12.6	-1.9	-0.74
3	143.6	4	150.9	7.3	149.6	6.0	1.3	0.63	150.4	6.8	0.5	0.24
4	146.1	5	155.2	9.1	153.2	7.1	2.0	1.01	154.0	7.9	1.2	0.60
WRITING (Index)												
4							-0.1	0			-0.1	0
GROWTH COMPOSITE:					Expected Growth				Exemplary Growth			
					MET			1.27	NOT MET			-1.10

*Difference is **Actual Growth** Minus Expected Growth.

Difference is **Actual Growth Minus Exemplary Growth

***The Difference in Growth is adjusted and shown as the Standard Growth, the purpose for this adjustment is to have reading, mathematics, and writing (where applicable) contribute equally to the composite score (Standard scores are calculated by dividing the difference in reading and mathematics growth or writing Index by the associated standard deviation)

North Carolina Department of Public Instruction, ABC Tools/Version 2/4a 725 Excludes children with less than 106 days in school membership, 6-26-98

APPENDIX C

North Carolina ABCs Model Assessment Standards

School Performance Standards, Growth Standards, and Recognition Categories

Students are judged in two ways

1. ***Performance standard*** refers to the absolute achievement or the percentage of students in a K-8 school at or above grade level on EOG tests. Student test results are reported as Level I, II, III, IV. Level III is considered grade level performance for all students. The performance standard in conjunction with the growth standard is used to identify schools that qualify for recognition and/or assistance. Schools with more than half of their students performing below grade level and not meeting expected growth may be targeted for assistance.

Each school as a whole is judged on its students' achievement with the **performance standard** (percentage of students achieving grade level or above performance, Level III or IV). A recognition program for achievement with the **performance standard** provides financial incentives for certified teacher positions and administrators at each school and is identified in the following categories:

- a. **Schools of Excellence** - a school that meets its expected growth standard and at least 90 percent of its students performing at or above grade level, Level III (performance standard)

- b. **Schools of Distinction** - a school that has at least 80 percent of its students performing at or above grade level, Level III (is not required to have met its growth standard)
- c. **Low-performing Schools** - schools that fail to meet their expected growth standard and have less than 50% of their students performing at or above grade level (performance standard) or below Level III and, have state assigned assistance teams working with them

2 ***Growth standard*** refers to a benchmark set annually to measure a school's progress toward increasing the percentage of students at or above grade level. It is the expected growth rate for that particular school based on the school's (a) previous performance, (b) statewide average growth and (c) a statistical adjustment which is needed whenever you compare test scores of students from one year to the next. The amount of growth is different for every school. This information is placed in a formula that generates expected growth and exemplary growth standards using computer software known as the *ABC Tools*.

- a. ***Expected Growth Standard*** - for grades K-8, the school reached its **expected growth** standard, as set by the State Board of Education formula, based on its own previous performance, statewide averages and a statistical adjustment.
- b. ***Exemplary Growth Standard*** - for grades K-8, the school not

only met **expected growth** or gain, but performed even better For K-8, exemplary growth factors is 10% above the statewide average growth in the formula and is used in conjunction with the performance standard to identify schools that qualify for recognition and assistance

Each school as a whole is judged on its students' achievement with the **growth standards** A recognition program for achievement with the growth standards provides financial incentives for certified teacher positions and administrators at each school and is identified in the following categories

- a **Top 25 Schools in Academic Growth** - the schools that attain the State's 25 highest values on the exemplary growth composite
- b **Exemplary Schools** - schools that attained their exemplary growth standard (regardless of their performance standards)
- c **Schools that Meet Expected Growth Standards** - schools that attain their expected growth standard (but not their exemplary growth standard)

Table 18, A Summary of North Carolina K-8 Schools, ABCs Model, Recognition Categories for 1997 and 1998, page 121 shows the total number of schools and percentage in each category in 1997 and 1998 that achieved North Carolina's performance award categories for the 1997 and 1998 (A school could achieve *School of Excellence* or *School of Distinction* but not have made significant

Table 18, A Summary of North Carolina K-8 Schools' ABCs Model, Recognition Categories for 1997 and 1998

School Recognition Category	1997 No. of School	1997 %	1998 No. of School	1998 %	
<i>Exemplary Growth</i> (Student Academic Growth)	531	32.5%	1075	64.8%	
<i>Expected Growth</i> (Student Academic Growth)	395	24.2%	307	18.5%	
<i>Schools Receiving No Recognition</i> (Adequate Performance Schools)	583	35.8%	262	15.8%	
<i>Low- performing Schools</i> (Schools that failed to reach their growth standard and 50+ percent were below grade level)	123	7.5%	15	0.9%	
TOTALS	1632	100.0%	1660	100.0%	
State Recognition/Award Categories					
School Recognition Category	1997 No. of School	1997 %	1998 No. of School	1998 %	Duplication of Schools 1997 and 1998
<i>Schools of Excellence</i>	12	.07%	24	1.4%	6
<i>Schools of Distinction</i>	158	9.7%	290	16.9%	117
<i>Schools Achieving Low Performing</i>	123	7.5%	14	9%	7

1997 North Carolina ABC Model Statewide Results, DPI, 1998 and 1998 North Carolina ABC Model Statewide Results, DPI, 1998

achievement test score growth).

JAMES M. KOUZES/BARRY Z. POSNER

LEADERSHIP PRACTICES INVENTORY [LPI]

SELF

Your Name. _____

INSTRUCTIONS

Write your name in the blank above. On the next two pages are thirty statements describing various leadership behaviors. Please read each carefully. Then look at the rating scale and decide *how frequently you engage in the behavior* described.

Here's the rating scale that you'll be using:

- | | |
|---------------------|---------------------|
| 1 = Almost Never | 6 = Sometimes |
| 2 = Rarely | 7 = Fairly Often |
| 3 = Seldom | 8 = Usually |
| 4 = Once in a While | 9 = Very Frequently |
| 5 = Occasionally | 10 = Almost Always |

In selecting each response, please be realistic about the extent to which you *actually* engage in the behavior. Do *not* answer in terms of how you would like to see yourself or in terms of what you should be doing. Answer in terms of how you *typically* behave—on most days, on most projects, and with most people.

For each statement, decide on a rating and record it in the blank to the left of the statement. When you have responded to all thirty statements, turn to the response sheet on page 4. *Make sure that you write your name on the response sheet in the blank marked "Your Name."* Transfer your responses and return the response sheet according to the instructions provided.

For future reference, keep the portion of your LPI-Self form that lists the thirty statements.

LEADERSHIP PRACTICES INVENTORY [LPI]

SELF

To what extent do you typically engage in the following behaviors? Choose the number that best applies to each statement and *record it in the blank to the left of the statement*

1	2	3	4	5	6	7	8	9	10
Almost Never	Rarely	Seldom	Once in a While	Occasionally	Sometimes	Fairly Often	Usually	Very Frequently	Almost Always

- ___ 1 I seek out challenging opportunities that test my own skills and abilities
- ___ 2 I talk about future trends that will influence how our work gets done
- ___ 3 I develop cooperative relationships among the people I work with
- ___ 4 I set a personal example of what I expect from others
- ___ 5 I praise people for a job well done
- ___ 6 I challenge people to try out new and innovative approaches to their work
- ___ 7 I describe a compelling image of what our future could be like
- ___ 8 I actively listen to diverse points of view
- ___ 9 I spend time and energy on making certain that the people I work with adhere to the principles and standards that we have agreed on
- ___ 10 I make it a point to let people know about my confidence in their abilities
- ___ 11 I search outside the formal boundaries of my organization for innovative ways to improve what we do
- ___ 12 I appeal to others to share an exciting dream of the future
- ___ 13 I treat others with dignity and respect
- ___ 14 I follow through on the promises and commitments that I make
- ___ 15 I make sure that people are creatively rewarded for their contributions to the success of our projects

1	2	3	4	5	6	7	8	9	10
Almost Never	Rarely	Seldom	Once in a While	Occasionally	Sometimes	Fairly Often	Usually	Very Frequently	Almost Always

- ___ 16 I ask "What can we learn?" when things do not go as expected
- ___ 17 I show others how their long-term interests can be realized by enlisting in a common vision
- ___ 18 I support the decisions that people make on their own
- ___ 19 I am clear about my philosophy of leadership
- ___ 20 I publicly recognize people who exemplify commitment to shared values
- ___ 21 I experiment and take risks even when there is a chance of failure
- ___ 22 I am contagiously enthusiastic and positive about future possibilities
- ___ 23 I give people a great deal of freedom and choice in deciding how to do their work
- ___ 24 I make certain that we set achievable goals, make concrete plans, and establish measurable milestones for the projects and programs that we work on
- ___ 25 I find ways to celebrate accomplishments
- ___ 26 I take the initiative to overcome obstacles even when outcomes are uncertain
- ___ 27 I speak with genuine conviction about the higher meaning and purpose of our work
- ___ 28 I ensure that people grow in their jobs by learning new skills and developing themselves
- ___ 29 I make progress toward goals one step at a time
- ___ 30 I give the members of the team lots of appreciation and support for their contributions

Now turn to the response sheet and follow the instructions for transferring your responses

LEADERSHIP PRACTICES INVENTORY [LPI]

SELF

RESPONSE SHEET

Your Name: _____

Instructions. Write your name in the blank above. Separate this response sheet from the rest of the LPI by tearing along the perforated line. Transfer the ratings for the statements to the blanks provided *on this sheet*. Please notice that the numbers of the statements on this sheet are listed from *left to right*.

After you have transferred all ratings, return the form according to the "Important Further Instructions" below

1 _____	2 _____	3 _____	4 _____	5 _____
6 _____	7 _____	8 _____	9 _____	10 _____
11 _____	12 _____	13 _____	14 _____	15 _____
16 _____	17 _____	18 _____	19 _____	20 _____
21 _____	22 _____	23 _____	24 _____	25 _____
26 _____	27 _____	28 _____	29 _____	30 _____

Important Further Instructions

After completing this response sheet, return it to

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APPENDIX E
Leadership Practices Inventory - Observer

127

JAMES M. KOUZES/BARRY Z. POSNER

LEADERSHIP PRACTICES INVENTORY [LPI]

OBSERVER

Name of Leader. _____

INSTRUCTIONS

You are being asked by the leader whose name appears above to assess his or her leadership behaviors. On the next two pages are thirty statements describing various leadership behaviors. Please read each statement carefully. Then look at the rating scale and decide *how frequently this leader engages in the behavior* described.

Here's the rating scale that you'll be using:

- | | |
|---------------------|---------------------|
| 1 = Almost Never | 6 = Sometimes |
| 2 = Rarely | 7 = Fairly Often |
| 3 = Seldom | 8 = Usually |
| 4 = Once in a While | 9 = Very Frequently |
| 5 = Occasionally | 10 = Almost Always |

In selecting each response, please be realistic about the extent to which the leader *actually* engages in the behavior. Do *not* answer in terms of how you would like to see this person behave or in terms of how you think he or she should behave. Answer in terms of how the leader *typically* behaves—on most days, on most projects, and with most people.

For each statement, decide on a rating and record it in the blank to the left of the statement. When you have responded to all thirty statements, turn to the response sheet on page 4. *Do not write your name on the response sheet.* Transfer your responses and return the response sheet according to the instructions provided.

For future reference, keep the portion of your LPI-Observer form that lists the thirty statements.

LEADERSHIP PRACTICES INVENTORY [LPI]

OBSERVER

To what extent does this person typically engage in the following behaviors? Choose the number that best applies to each statement and record it in the blank to the left of the statement

1	2	3	4	5	6	7	8	9	10
Almost Never	Rarely	Seldom	Once in a While	Occasionally	Sometimes	Fairly Often	Usually	Very Frequently	Almost Always

He or She:

- ___ 1 Seeks out challenging opportunities that test his or her own skills and abilities
- ___ 2 Talks about future trends that will influence how our work gets done
- ___ 3 Develops cooperative relationships among the people he or she works with
- ___ 4 Sets a personal example of what he or she expects from others
- ___ 5 Praises people for a job well done
- ___ 6 Challenges people to try out new and innovative approaches to their work
- ___ 7 Describes a compelling image of what our future could be like
- ___ 8 Actively listens to diverse points of view
- ___ 9 Spends time and energy on making certain that the people he or she works with adhere to the principles and standards that have been agreed on
- ___ 10 Makes it a point to let people know about his or her confidence in their abilities
- ___ 11 Searches outside the formal boundaries of his or her organization for innovative ways to improve what we do
- ___ 12 Appeals to others to share an exciting dream of the future
- ___ 13 Treats others with dignity and respect
- ___ 14 Follows through on the promises and commitments that he or she makes
- ___ 15 Makes sure that people are creatively rewarded for their contribution to the success of projects

1	2	3	4	5	6	7	8	9	10
Almost Never	Rarely	Seldom	Once in a While	Occasionally	Sometimes	Fairly Often	Usually	Very Frequently	Almost Always

He or She:

- ___ 16 Asks "What can we learn?" when things do not go as expected
- ___ 17 Shows others how their long-term interests can be realized by enlisting in a common vision
- ___ 18 Supports the decisions that people make on their own
- ___ 19 Is clear about his or her philosophy of leadership
- ___ 20 Publicly recognizes people who exemplify commitment to shared values
- ___ 21 Experiments and takes risks even when there is a chance of failure
- ___ 22 Is contagiously enthusiastic and positive about future possibilities
- ___ 23 Gives people a great deal of freedom and choice in deciding how to do their work
- ___ 24 Makes certain that we set achievable goals, make concrete plans, and establish measurable milestones for the projects and programs that we work on
- ___ 25 Finds ways to celebrate accomplishments
- ___ 26 Takes the initiative to overcome obstacles even when outcomes are uncertain
- ___ 27 Speaks with genuine conviction about the higher meaning and purpose of our work
- ___ 28 Ensures that people grow in their jobs by learning new skills and developing themselves
- ___ 29 Makes progress toward goals one step at a time
- ___ 30 Gives the members of the team lots of appreciation and support for their contributions

Now turn to the response sheet and follow the instructions for transferring your responses

LEADERSHIP PRACTICES INVENTORY [LPI]

OBSERVER

RESPONSE SHEET

Name of Leader: _____

Your Relationship to This Leader:

☐ Manager ☐ Direct Report ☐ Coworker ☐ Other

Instructions: If the leader's name does not appear in the blank above, please write it in. *Do not write your name on this sheet.* Separate the response sheet from the rest of the LPI by tearing along the perforated line. Transfer the ratings for the statements to the blanks provided on this sheet. Please notice that the numbers of the statements on this sheet are listed from *left to right*.

After you have transferred all ratings, return the form according to the "Important Further Instructions" below

1 _____	2 _____	3 _____	4 _____	5 _____
6 _____	7 _____	8 _____	9 _____	10 _____
11 _____	12 _____	13 _____	14 _____	15 _____
16 _____	17 _____	18 _____	19 _____	20 _____
21 _____	22 _____	23 _____	24 _____	25 _____
26 _____	27 _____	28 _____	29 _____	30 _____

Important Further Instructions

After completing this response sheet, return it to

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APPENDIX F*Kouzes' and Posner's Permission Letter for Use of the
Leadership Practices Inventory for Research Purposes***KOUZES POSNER INTERNATIONAL**

15419 Banyan Lane
Monte Sereno, California 95030
Phone/FAX: (408) 354-9170

March 3, 1999

Ms Elizabeth B. Balcerek
Blue Ridge School PK-12
95 Bobcat Drive
Cashiers, North Carolina 28717
828-743-2646

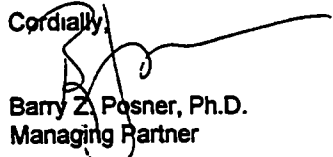
Dear Elizabeth:

Thank you for your correspondence (dated 8 February 1999) requesting permission to use the Leadership Practices Inventory (LPI) in your dissertation. We are willing to allow you to reproduce the instrument as outlined in your letter, at no charge, with the following understandings:

- (1) That the LPI is used only for research purposes and is not sold or used in conjunction with any compensated management development activities;
- (2) That copyright of the LPI is retained by Kouzes Posner International, and that the following copyright statement be included on all copies of the instrument: "Copyright © 1997 James M. Kouzes and Barry Z. Posner. All rights reserved. Used with permission."; and,
- (3) That one (1) bound copy of your dissertation, and one (1) copy of all papers, reports, articles, and the like which make use of the LPI data be sent promptly to our attention.

If the terms outlined above are acceptable, please sign one (1) copy of this letter and return it to us. Would you also indicate the anticipated completion date for your research. Best wishes for every success with your project. If we can be of any further assistance, please let us know.

Cordially,


Barry Z. Posner, Ph.D.
Managing Partner

I understand and agree to abide by these conditions.

(Signed) Elizabeth B. Balcerek Expected Completion August 31, 1999

APPENDIX G

Cover Letter To Principal

School Leadership Survey - Principal Spring 1999

This research is designed to obtain information about the leadership practices of public school principals in North Carolina. Principals and teachers are in key positions to assist with researching school leadership by providing perceptual information relevant to successful principal practice in an era of public school restructuring in North Carolina.

Teachers are asked to complete the *LPI-Observer* and principals are asked to complete the *LPI-Self*. Both instruments are composed of thirty statements describing various leadership behaviors. Teacher and principal responses will assist this researcher in looking at the interactive process of school leadership from both leader and follower perspectives and is done in connection with a doctoral dissertation at The University of Tennessee.

Your participation in this research is completely voluntary. If you wish to participate, please review the instructions for the *LPI-Observer* (teachers) or *LPI-Self* (principals) before you begin. Remember, read each statement carefully, look at the rating scale (1-10), and decide how frequently you engage in the behavior described. **Answer each statement in terms of how you typically behave, on most days, on most projects, and with most people.**

Your contribution to this research by responding to this questionnaire is appreciated. If you have any questions I would be happy to respond, my work number is (828) 743-2646. Please seal the completed *LPI-Self* in the enclosed labeled envelope. **THE ANONYMITY OF ALL RESPONDENTS WILL BE GUARANTEED.** The surveys are given an identification number to (1) exclude your name, (2) for the purpose of identifying respondents as principals or teachers in the computer analysis, and (3) to track participation rate.

Permission granted to Elizabeth B. Balcerek, Principal
Blue Ridge School PK-12, Cashiers, North Carolina 28717
Doctoral candidate at University of Tennessee-Knoxville

Prepared by James Kouzes and Barry Posner, Kouzes Posner International
15419 Banyan Lane, Monte Sereno, California 95030

APPENDIX H

Cover Letter to Teachers

School Leadership Survey - Teacher Spring 1999

This research is designed to obtain information about the leadership practices of public school principals in North Carolina. Principals and teachers are in key positions to assist with researching school leadership by providing perceptual information relevant to successful principal practice in an era of public school restructuring in North Carolina.

Teachers are asked to complete the *LPI-Observer* and principals are asked to complete the *LPI-Self*. Both instruments are composed of thirty statements describing various leadership behaviors. Teacher and principal responses will assist this researcher in looking at the interactive process of school leadership from both leader and follower perspectives and is done in connection with a doctoral dissertation at The University of Tennessee.

Your participation in this research is completely voluntary. If you wish to participate, please review the instructions for the *LPI-Observer* (teachers) or *LPI-Self* (principals) before you begin. Remember, read each statement carefully, look at the rating scale (1-10), and decide how frequently your principal engages in the behavior described. **Answer each statement in terms of how your principal typically behaves**, on most days, on most projects, and with most people. **If you prefer not to participate, simply fold your survey and place in the white envelope, seal and return to the stack** (total confidentiality on your participation is even provided for in this measure).

Your contribution to this research by responding to this questionnaire is appreciated. If you have any questions I would be happy to respond, my work number is (828) 743-2646. Please seal the completed *LPI-Observer* in the enclosed labeled envelope. **THE ANONYMITY OF ALL RESPONDENTS WILL BE GUARANTEED**. The surveys are given an identification number to (1) exclude your name, (2) for the purpose of identifying respondents as principals or teachers in the computer analysis, and (3) to track participation rate.

Permission granted to Elizabeth B. Balcerek, Principal
Blue Ridge School PK-12, Cashiers, North Carolina 28717
Doctoral candidate at University of Tennessee-Knoxville

Prepared by James Kouzes and Barry Posner, Kouzes Posner International
15419 Banyan Lane, Monte Sereno, California 95030

APPENDIX I
IRB Permission Letter

THE UNIVERSITY OF TENNESSEE
KNOXVILLE



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MEMORANDUM

TO: Ms Elizabeth B Balcerek
P.O. Box 175
Tuckasegee, NC 28783

Dr Mary Jane Connelly
309 Claxton Addition
Campus Mail

Dr Gerald Ubben
238 Claxton Addition
Campus Mail

FROM: Dr Ian Rockett 

SUBJECT: Approval of Form A Review - Use of Human Subjects in Research

DATE: October 15, 1999

The Committee has reviewed your Form A and has approved it for Compliance with Human Subject Research Guidelines for the Project: "Principal's Effective Leadership Practice in High and Inadequately Performing Schools."

Attached is the signed permission form. If you have any questions, please feel free to contact me at (423)974-4112

c: Ms. Brenda Lawson

VITA

Elizabeth Burrell Balcerek was born in Sylva, North Carolina on January 22, 1948. She attended schools in the public school system of Jackson County, North Carolina, where she graduated from Camp Laboratory School, Cullowhee, North Carolina in June 1966. She entered Western Carolina University, Cullowhee, North Carolina during August of 1966 where in May 1970 she received the Bachelor of Science Degree in Business Administration with a major in Marketing and Sales. After working in marketing for three years, she returned to Western Carolina University and earned teaching credentials and then taught in both the elementary and high school arenas for twenty years in both the Albemarle City School System and the Jackson County Public School System.

She returned to Western Carolina University and earned an MS Ed in School Counseling in 1989. In the summer of 1992, she entered The University of Tennessee, Knoxville to pursue a Doctorate in Educational Leadership and Administration. The doctoral degree was received in December 1999.

She is presently principal of Blue Ridge School PK-12, Cashiers, North Carolina a part of the Jackson County Public School System.