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Pepperdine University
Graduate School of Education and Psychology

AVID LEADERSHIP: A SKILLS APPROACH TO TRANSFORMATIONAL CHANGE

A dissertation submitted in partial satisfaction
of the requirements for the degree of
Doctor of Education in Organizational Leadership

by

Shannon McAndrews

April, 2015

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This dissertation, written by

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DOCTOR OF EDUCATION

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TABLE OF CONTENTS

	Page
LIST OF TABLES.....	vii
LIST OF FIGURES.....	viii
DEDICATION.....	ix
ACKNOWLEDGEMENTS.....	x
VITA.....	xi
ABSTRACT.....	xiii
Chapter One: Introduction.....	1
Recent Data: Transformational Change.....	7
Statement of the Problem.....	8
Statement of the Purpose.....	9
Research Questions.....	10
Significance of Topic.....	11
Key Definitions.....	12
Key Assumptions.....	14
Limitations of Study.....	14
Summary.....	14
Chapter Two: Literature Review.....	17
Benjamin Bloom.....	18
Skills Approach.....	20
Transformational Leadership.....	21
Pedagogy and Andragogy.....	23
Inquiry-based Approach.....	24
Strengths-based Focus.....	28
Mindset.....	28
Socratic Leadership.....	32
Transformational Change.....	40
Mastery Learning.....	41

	Page
History of AVID	44
Socratic Approach	47
Learning Organizations.....	50
E-learning	51
The Summation	53
Chapter Three: Methodology.....	56
Introduction.....	56
Restatement of Research Questions	57
Hypothesis One and Two:	57
Hypothesis Three and Four:	58
Description of the Research Methodology	59
Process for Selection of Data Sources	59
Definition of Analysis Unit	62
Definition of Data Gathering Instruments.....	63
Analytical Techniques.....	64
Validity of Data Gathering Instrument.....	65
Reliability of Data Gathering Instrument	67
Data Gathering Procedures	67
Description of Proposed Data Analysis Processes	71
Sample Tables for Proposed Data Analysis	73
Plans for IRB	73
Summary	75
Chapter Four: Results	76
Demographic Results	77
Research Question Results	84
Hypotheses Results.....	86
Hypothesis One and Two:	86
Hypothesis Three and Four:	87
Summary of Key Findings.....	88
Chapter Five: Discussion	90
Introduction.....	90
Revisited Purpose and Intent of Research	90
Research Design Revisited	91
Areas of Interest	92
Key Findings	94
Interpretations and Insights	95
Recommendations.....	97

	Page
Implications for Future Research.....	98
Conclusion.....	99
REFERENCES.....	102
APPENDIX A: Authorization to Access Participant Pool	107
APPENDIX B: License to Administer and Reproduce Authorization	109
APPENDIX C: Informed Consent Form AVID Leadership Study.....	110
APPENDIX D: Confirmation to Participate	112
APPENDIX E: Demographic Questions for AVID Leadership Study.....	113
APPENDIX F: Multifactor Leadership Questionnaire Sample Questions	114
APPENDIX G: Certificate of Completion	115
APPENDIX H: Research Activities Exempted From Federal Regulation (CFR).....	116
APPENDIX I: IRB Approval Letter.....	117

LIST OF TABLES

	Page
Table 1: Influential Researchers.....	2
Table 2: Bloom's Taxonomy.....	19
Table 3: Levels of Measurement.....	73
Table 4: Breakdown of Responses by Participant Pool.....	77
Table 5: Distribution of Response Rates.....	78
Table 6: Cohort Breakout of Implementation Status.....	79
Table 7: Participant Gender Distribution.....	80
Table 8: Participant Number of Years in Education.....	80
Table 9: Participant Breakdown of Highest Degree Earned.....	80
Table 10: Participant Credential Types.....	81
Table 11: Breakdown of Participant Individual Credential Held.....	81
Table 12: Participants per AVID Leadership Roles.....	82
Table 13: Professional Learning Opportunities Participant Attendance.....	83
Table 14: AVID Elementary Professional Learning Perceived Influence on Leadership Style.....	84
Table 15: Overall Participant Pool (Dependent Variables).....	85
Table 16: Cohort Breakout (Dependent Variables).....	85
Table 17: Participant Inspirational/Motivational Scale Scores Compared with Other Leadership Scale Scores.....	87

LIST OF FIGURES

	Page
Figure 1: AVID students college entrance requirement completion.....	46
Figure 2: A comparison: AVID seniors v. U.S. seniors overall.....	47

DEDICATION

In loving memory of my Momma and Daddy~

Their nurturing guidance and wisdom, built the foundation of who I am as a human being in order to accomplish all that I have as a learner and a leader.

Mahalo Nui Loa to my loving and devoted Ohana (near and far)!

This journey would have been unattainable without all of the continuous support, and encouragement of my Lemur, Baa Baa and Meeks!

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- My Dissertation Committee: Dr. Andrew Harvey, Dr. June Schmieder-Ramirez and Dr. Farzin Madjidi, your guidance, patience and support along this incredible adventure has been immeasurable!
- The passionate AVID Educators who participated in this study and ‘do the work’ each and every day in order to bring transformational change to our educational system one school site at a time!
- The zealous guidance, and perpetual support of Dr. Dennis Johnston, the illustrious Felicitous Factotum-Mark Bennett, and the “core” of my professional colleagues, Jaime Sandoval, and Dr. Robin Withers from AVID Center Headquarters for walking beside me through the haze!

VITA

PROFESSIONAL SUMMARY

As the Director of Elementary at AVID (Advancement Via Individual Determination) Center Headquarters in San Diego, California, designed and developed the fastest growing department, products and services. Key Curriculum Team member in designing and developing resources and products to support K-16 organizational efforts in the roles of Project Leader, Lead Writer, Instructional Strategist and Subject Matter Expert. Prior to joining AVID Center: Elementary District Liaison, general education classroom teacher, a special education classroom teacher, Character Education Specialist, a member of the Teacher Leadership Curriculum Committee for San Diego State University's California International Studies Project and a lead curriculum member of Stanford University's Research and Development California International Studies Project.

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ABSTRACT

This quantitative study investigated a cross population of active Elementary Leaders (Kindergarten-8th grade) of AVID (Advancement Via Individual Determination) Center, a non-profit international educational organization. This dissertation's primary purpose was to explore the phenomenon of AVID Leadership as it related to individual's perspectives of their leadership traits. After attending skills-based sessions designed to enhance transformational leadership mindsets and transformational change skillsets, participants were invited to engage in an online survey. This survey contained both the Multifactor Leadership Questionnaire (MLQ) and researcher developed demographic questions. The study explored the similarities, differences, and impact of exposure to AVID Professional Learning, the relationship to participants credential preparation programs, education levels of individual participants and their perspectives on their leadership style. Prior elementary focused education and prior experience were significant independent variables in this study. Participant perspectives of AVID Elementary Professional Learning were significantly influential on individual leadership styles. The participants ranked high on subscales on the MLQ that align with transformational leadership. The findings and trends suggest a relationship between professional learning and transformational leadership warranting further study.

Key words:

Transformational Leadership, Transformational change, AVID, Multifactor Leadership Questionnaire (MLQ)

Chapter One: Introduction

I use the word inquiry as synonymous with The Work...Inquiry is a way to end confusion and to experience internal peace, even in a world of apparent chaos. Above all else, inquiry is about realizing that all the answers we ever need are always available inside us. (Katie, 2014, para. 1)

From Katie's perspective, inquiry is at the heart of all discoveries, and the greatest discoveries are gifts of knowledge for leaders (Mitchell, 2007). The inquiry tree of knowledge has grown larger, thicker and stronger throughout the centuries and it is the intent of this dissertation to explore one single branch of Leadership-that of Transformational Leadership. The juxtaposition of inquiry and leadership has unearthed several concepts and theories within the study of Leadership, according to Northouse (2010) "Leadership is a process whereby an individual influences a group of individuals to achieve a common goal" (p. 3). Through this definition, leadership becomes not a trait or something a person is born with but rather a process in which every leader can learn or be taught. Leadership is multi-dimensional and its elusive nature captivates people from all walks of life. This exploration of Leadership begins and ends with inquiry, and through an inquiry stance, this dissertation attempts to discover the mysteries of successful leaders.

Table 1 highlights the key researchers that sparked this Leadership study and are presented in this introductory chapter:

Table 1

Influential Researchers

Researchers	Skills Based Connections	Overarching Definition Leadership Capabilities
Burns (1978)	Leadership is based on the ability to empower, inspire and motivate.	Transformational Leadership is a process by which people are changed and transformed
Cameron, Dutton, and Quinn (2003)	Leadership is based on Positive Organizational Scholarship to draw out the human spirit.	Appreciative Inquiry is "a process of search and discovery designed to value, prize and honor" (p.226).
Ekinge (2001)	Leadership is based on thinking, dialogue and change	Socratic Leaders and managers master change when "the starting point is the art and theory of thinking" (p. 1).
Katz (1955)	Leadership is based on "three basic personal skills"	"Technical, Human, Conceptual" (para. 8).
Mumford, Zaccaro, Harding, Jacobs and Fleishman (2000)	Leadership is "taught through building specific skills"	"Competencies, Individual Attributes, Leadership Outcomes, Career Experiences, Environmental Influences" (p.12).
Northouse (2010)	Leadership is a process and therefore is not easily defined	"Leadership involves: Influence, Occurs in Groups, Involves Common Goals" (p.3).
Tucker (2007)	Leadership is based on the Socratic Method	Socratic Leaders utilize questioning, "to exercise critical thinking, creativity, and problem-solving skills while providing for a more effective, efficient solution to the problem at hand" (p. 83).

Researchers have explored the world of Leadership for decades; many perspectives and angles have been defined. For the purpose of this dissertation, the perspective of a skills approach to leadership will guide our exploration of active leaders within one organization and the educational systems that organization serves.

AVID (Advancement Via Individual Determination) Center is an educational non-profit organization. Headquartered in San Diego, California, AVID Center promotes college readiness skills for all students by providing professional learning for educators in educational systems across the United States, British Columbia, Australia and all international middle and high school sites throughout the Department of Defense System ("AVID Online," 2013).

The mission of AVID Center is “to close the achievement gap by preparing all students for college readiness and success in a global society” (McAndrews, 2013, p. 1). AVID Center works very closely and collaboratively with key administration leadership roles within an educational system. AVID Leadership roles are held both at the school site level, central/district office level and within the AVID Center Organization.

For this study, participants included internal and external roles that support the implementation of AVID Elementary across 26 states in the United States. These leadership roles are critical in the areas of coaching, mentoring and guiding implementation and sustainability for the educational system. AVID Leaders are critical learners, leaders and coaches within the professional learning support provided by AVID Center. These educational leadership roles act as conduits between AVID Center and the implementing districts, sites and classrooms within an educational system.

AVID Leaders in the context of this study are composed of elementary leaders (K-8) that are members of the organization along with employees within the organization.

AVID Center provides intensive, ongoing professional learning in which educators engage in a variety of skill-building strategies that center around a core principal of developing critical thinking skills in order to promote transformational change (McAndrews, 2013). This dissertation highlights a subgroup of AVID Center and explores the characteristics of AVID Leaders within the AVID Elementary Model.

Leadership is considered to have a universal appeal in both academic research literature and popular press. Despite the abundance in writing, it has been a main challenge to the researchers and practitioners who are interested in understanding its nature. Over the years, it has been conceptualized and defined in many ways. The common component in all classifications is that the leadership is an influence process, which helps individuals in attaining goals. In the leadership process, both follower and leader play an important part (Northouse, 2010). One such approach that supports the notion of a process is that of a skills approach to leadership. This approach to leadership, which was brought to the forefront by Robert Katz in 1955, places “emphasis on skills and abilities that can be learned and developed” (p. 39).

Katz (1955) focused his work on both his own observations of leaders and field research on leaders in administrative positions. Katz (1955) was among the first researchers to outline the difference between traits and skills. Traits are based on personality and innate or fixed characteristics, while, skills are what leaders can be taught, in this way, specific leadership skills can be acquired, trained and developed.

Additionally, Katz (1955) categorizes these leadership skills into “three basic personal skills: technical, human and conceptual” (para. 8). Technical skills are skills that include expertise in specific or specialized areas and include a level of hands-on expertise. According to Katz (1955), human skills are defined as the skills to interact effectively with people and to enhance the human side of leadership. Human skills require a leader to be sensitive to the needs and motivations of others and take into account others’ needs in one’s decision-making (Northouse, 2010). Conceptual skills are the final skill set outlined by Katz. Conceptual skills support a leader’s ability to “work easily with abstraction and hypothetical notions” (Northouse, 2010, p. 42) these skills are fundamental “to creating a vision and strategic plan for an organization” (p. 42). In the 1990’s, researchers expanded Katz work by exploration of how specific leadership capabilities can be developed over time through education and experience (Northouse, 2010).

Mumford, Zaccaro, Harding, Jacobs and Fleishman (2000) and Yammarino (2000) have advanced this comprehensive skill-based method of leadership. It is through their research that the concept of leadership skills being developed over time through education and experience was formulated into a skills-based model of leadership (Northouse, 2010). Mumford et al. (2000) took the skills-based model and defined it as “the capability model, illustrated by examining the relationship between a leader’s knowledge and capabilities and the leader’s performance” (p.12).

This skills-based model or Capacity Model, as highlighted by Northouse (2010) is composed of five components:

1. *Competencies*

Problem-solving, social judgment skills, knowledge

2. *Individual attributes*

General cognitive ability, crystallized cognitive ability, motivation, personality

3. *Leadership outcomes*

Effective problem-solving, performance

4. *Career experiences*

On-the-job assignments, improvement over time

5. *Environmental influences*

Outside influences (positive and negative; p. 44-52).

At the center of the model are the competencies revolving around problem-solving skills, social judgment skills and knowledge. Influencing the depth of leadership skills are both career experiences and the extent of the environmental influences surrounding a leader (Northouse, 2010).

Given AVID Center focuses on transformational change, it was important to explore leadership theories that support positive change and outcomes. Charismatic Leaders have distinctive behaviors and traits that influence and impact their followers. Charismatic leaders have four major common traits or characteristics that categorize them as role models, capable, express ideological and moral goals or vision and hold high expectations for themselves and their followers (House, 1976). Charismatic Leadership is a style that on many levels is synonymous with Transformational Leadership. Transformational Leadership has been identified as “a process whereby a person engages with others and creates a connection that raises the level of motivation

and morality in both the leader and the follower” (Northouse, 2010, p. 172).

In 1985, Bernard Bass explored the followers of Transformational Leaders and investigated the emotional and motivational side of leadership and developed a continuum of transformational and transactional leadership. Joining forces with Bruce Avolio, Bass continued to capture the full range of factors on a leadership continuum, known as the Full Range of Leadership Model (Bass and Avolio, 2004). Bass and Avolio (2004) began their development of the now formative instrument of the leadership continuum known as the Multifactor Leadership Questionnaire (MLQ). The MLQ contributes to the understanding of Transformational Leadership characteristics and is the instrument of choice for this study.

Recent Data: Transformational Change

“It isn’t the changes that do you in, it’s the transitions” (Bridges, 2009. p. 3) and so begins the book of *Managing Transitions* written by Dr. William Bridges, transitions make up the steps of transformational change. Change is a constant, situational based event; transitions on the other hand are a process, a process in which individuals go through psychological phases. According to Bridges (2009), transformational change takes place in a “three-phase process” (p. 3) of transitions. These “transitions start with an ending” (p. 7) and finish with a beginning, making the leadership role within transformational change as instrumental in the success or failure of this change.

The educational arena is not immune to change and this arena often finds itself amongst change and transitions in a cyclical fashion, frequently with influencers that are political or legal in nature. *Brown v. Board of Education of Topeka* (1954), *Mills v. Board of Education of the District of Columbia* (1972), and Public Law 101-476:

Individuals with Disabilities Act (1990) all brought monumental transformational change to the United States Educational System (Townley, Schmieder-Ramirez, Wehmeyer, & Lane, 2001). In recent history, Public Law 107-110: The No Child Left Behind Act (2001) and Common Core State Standards (2010) have has some districts, counties and states handling these changes and transitions in stride, others have not, leaving one to ask what is the deciding factor of success or failure? This dissertation seeks to answer that question with the purpose of Leadership.

Statement of the Problem

A high need and desire for transformational change is at the core of the professional work that this researcher conducts in the realm of the K-16 Educational World; therefore, transformational change within leadership roles is worthy of exploration. Research is needed to build upon and establish a common understanding and common language related to inquiry and leadership in educational settings. Development of academic resources and professional learning opportunities for educators refer to mastery learning in the classroom, are plentiful, few opportunities are available to educational leaders to learn and promote inquiry-based leadership for mastery learning and performance of educators in the workplace.

Today's learners and leaders are poignantly aware of the importance of higher-level inquiry skills and complex problem-solving skills in order to manage and lead change (Ekinge, 2001). Developing critical thinking skills in educators and students is the cornerstone objective of AVID Center. Through development of implementation resources, materials and professional learning opportunities, AVID Center members are guided and supported to strengthen and focus their instruction on levels of thinking and

questioning to enhance engagement, and comprehension in students Kindergarten to Post Secondary in order to transform educational systems (McAndrews, 2013).

Statement of the Purpose

This dissertation's primary purpose is to explore the phenomenon of AVID Elementary Leadership as it relates to transformational leadership and change. This study will investigate the perspectives of active AVID Leaders (Kindergarten-8th grade) and employees of AVID Center that specialize in AVID Elementary implementation. "The world is becoming more complex and the environment is changing faster and faster" (Tucker, 2007, p. 1) today's leaders need multi-faceted skills to approach organizational change, therefore, contemporary leaders fill many roles: instructor, mentor, leader, follower, and peer. Identifying the characteristics of AVID Leaders that engage in transformational change will be investigated in this research study.

Given the context and content of this study, a quantitative approach was designed in order to capture more insight into leadership characteristics. Several journals and published studies have utilized quantitative approaches in several fields of study, according to Creswell (1994), it is believed that a quantitative study "enables a researcher to generalize the findings from a sample of responses of a population" (p. 117). There are several advantages to a survey design that were considered in this study, specifically the ease of this type of research for both the researcher and the participant pool, as well as the purpose of generalizing from a sample to a larger group, especially related to perceptions and characteristics.

This research is to propose that there are common characteristics of AVID Leaders within this transformational educational system. It is hypothesized that the more exposure AVID Leaders have to AVID Center's model and professional learning an increase in common characteristics will be measurable. Additionally, this research will provide research-based outcomes to the following areas of interest:

- Common characteristics of AVID Leaders that utilize inquiry-based approaches to leading change.
- A working profile of AVID Leaders in the realm of transformational leadership.
- Characteristics that influence effective AVID Leaders within the AVID College Readiness System.

In this way, this research study explores the role of AVID Leaders as it relates to leadership through the perspective lens of transformational change. The results provide insight into the potential design and development of AVID Center's professional learning sessions and resources for educational leaders.

Research Questions

For the purpose of this study, the following research questions are addressed:

1. What are the leadership subscale scores among AVID Leadership session participants as measured by the Multifactor Leadership Questionnaire (MLQ)?
2. Are any of the Multifactor Leadership Questionnaire (MLQ) subscales related to the participant's demographic characteristics, such as educational level, or area of credential focus (elementary, secondary)?

Significance of Topic

The dawn of the 21st Century introduced new technologies within a fingertip's grasp to learners and leaders and new perspectives on inquiry, learning, performance and leadership. This has provided a new landscape for leaders but even more so for educational leaders as they are closest to the new generations of students and ultimately next generation's leaders.

Despite the tremendous strides in learning tools, scholarly research is sparse on the transition from mastery learning in the classroom to mastery learning and performance in a leadership capacity. The overarching goal of this research is to determine a connection between inquiry-based learning and inquiry-inspired leadership found within the professional learning sessions provided by AVID Center.

The current literature does not define specifically the characteristics of leaders that take a Socratic or inquiry-based approach to leadership, therefore this study will enhance the available studies focusing on this newly developing approach to these subsets of skills-approach and transformational leadership (Northouse, 2010).

For AVID Center this study provides insights and perspective to the potential approach, content and professional learning opportunities provided to AVID Leaders. Additionally, the findings provide an opportunity to influence the internal professional learning of the personnel that oversee, coach and guide the specific roles highlighted in this study.

This dissertation explores the connections, similarities and differences between AVID Leaders within K-8 educational settings. Chapter Two, the Literature Review, highlights an inquiry-based leadership style, which stems from the same optimistic

approach of Socrates, and Plato. In more recent history, Benjamin Bloom's Taxonomy, wherein the leader is provided endless opportunities to lead within the learning process through questions and answers (Ekinge, 2001). Linking back to Socrates and the inquiry-based learning context provides a focused pragmatic environment demanding active engagement by both the leader and the follower.

Key Definitions

For the purposes of this study the AVID specific vocabulary listed below is addressed in this dissertation and defined as follows:

- *AVID* stands for Advancement Via Individual Determination, this acronym captures the heart of AVID Center's (the organization) work and mission.
- *AVID Center* is a non-profit organization, headquartered in San Diego with a membership base of school systems across 46 states, and 16 countries, including Australia, Canada and the Department of Defense Overseas Secondary sites.
- *AVID College Readiness System (ACRS)* is sequential, progressive academic infrastructure designed to transform and enhance educational systems (K-16) to promote college and career readiness for all students.
- *AVID Elementary Liaison Leadership Sessions* are conducted for district level and site level administrators during the academic year and entail four three-day sessions over the course of two academic years to highlight research, engage in strengthening inquiry and coaching skills through a Socratic Leadership lens to promote positive transformational change within Kindergarten to Eighth Grade settings.

- *AVID Elementary Model* is designed for educators that work within Kindergarten through Eighth Grade settings in which instructional practices, the culture of the school site, distributed leadership and overarching systems are explored and enhanced to provide equity and access of academic skillsets for all students.
- *AVID Elementary Summer Institute Strands* are offered in a variety of locations across the United States and Australia in which educators across all grade levels Kindergarten to Eighth grade engage in an intensive, research-driven philosophy and environment to embed strategies and skillsets into the daily routines and systems of educational settings.
- *AVID Leaders* are site principals, central/district office administrators known as AVID Elementary Liaisons, AVID Elementary Program Managers and AVID Elementary Staff Developers that coach, facilitate and oversee the implementation of AVID Elementary for their school site or across entire feeder patterns.
- *Newbies, Experienced and Veterans* are the AVID Elementary terms utilized to categorize clients when referencing the level of support, and coaching that will be required to support their implementation beginning with the first year of implementation through the stages of sustainability.
- *Socratic Leadership* was the keystone of the 2007-2013 AVID Elementary Liaison Leadership Sessions and AVID Elementary Summer Institute Administrator Strands and was an inquiry-based leadership style focusing

on coaching the performer (educator) in identifying, understanding and applying the connections or the dynamics of higher-level learning and performance (McAndrews, 2013, p. 1-4)

Key Assumptions

It is assumed for this dissertation that AVID Leadership is a skills-approach to transformational leadership and that Socratic Leadership is an offshoot of both these leadership theories. Additionally, it is assumed that the participants in this study were truthful and candid in their responses. The researcher made every effort to conduct the study and present results without bias and kept each participant's identity anonymous throughout the study.

Limitations of Study

This research study is limited to the specific roles and structures of Educational Leaders within one organizational system fostered and originated by AVID Center. AVID Center promotes the AVID College Readiness System (ACRS) in which members access implementation resources, materials and professional learning in order to inspire equity and access for all students. Within the specific ACRS, active memberships of AVID Leaders represent the participant pool for this study. The study is limited to those AVID Leaders that agreed to participate within the study and completed the online survey during the months of July-September of 2014.

Summary

The initial intent of this research is to explore the role of leadership characteristics through a transformational change perspective, specifically through the

lens of active AVID Leaders. The literature review explores the following foundational framework to set the stage for this study:

- Transformational Leaders use positive inquiry to gain information, spark creativity and develop a vision for an organization.
- Transformational Leaders focus on developing individual's strengths and personal mastery for successful outcomes.
- Transformational Leaders have a growth mindset in which they view challenges as opportunities to grow and learn.

The fundamentals of the research are found in the wealth of respected and renowned researchers and theorists in the literature references. This dissertation's literature review includes academic journals, periodicals, books, articles and research in addition to today's Internet base of magazines, web sites and blogs. In this way, this research includes theoretical research, concepts and constructs to current issues, practices and applications to contribute to the further understanding of the common characteristics of leadership and transformational change.

For this researcher, this study provides a new perspective on the practices and strategies embedded in the professional learning within the AVID Elementary Model at AVID Center. This effort is an attempt to move the otherwise serendipitous nature of the positive power of inquiry within professional leadership roles to a more intentional and systematic interaction within a learning organization-AVID Center.

The literature review was conducted to provide background and context to the concept of inquiry within change models as well as the way inquiry is utilized in positions of management and leadership. Given, AVID Leaders represent a relatively

small group of leaders; there is little research that specifically addresses the characteristics of leaders engaging in inquiry-based approaches, transformational leadership and transformational change. It is the intent of Chapter Two, the Literature Review, to bring the connections and definitions of a skills approach to leadership through inquiry-based styles to light for further exploration of common characteristics of this transformational leadership subgroup.

Chapter Two: Literature Review

True wisdom comes to each of us when we realize how little we understand about life, ourselves, and the world around us.

~Plato, *The Republic*

Socrates captures the essence of every researcher as they conduct literature reviews on current theories, practices and concepts. It is in acceptance of our own ignorance that we can truly find knowledge, and this is no different for this researcher. Inquiry is the core of this research and it is through this inquiry lens that this research will take its perspective and focus connections of ideas, concepts and theories to leadership styles.

This Literature Review Chapter is designed to weave past philosophers and researchers with current theorists and research in order to provide clarity to the path of inquiry-based and skills approach philosophies of leadership.

As one of the first educators in the Greek civilization, Socrates did not contribute literary work of his own; he spread his philosophy of life through his actions with his students. It is through the art of questioning that Socrates is most remembered and it is his namesake that is often associated with inquiry within the classroom that has impacted the evolution of inquiry for thousands of centuries (Kemerling, 2006).

Plato is one of Socrates most famous students and it is in his first literary works, *The Socratic Dialogues*, that the world was able to step back in time to experience the spirit of Socrates (Kemerling, 2006). These primary sources explore the topics and ideologies of love, life, and law. It is through the art of questioning that many leaders have excelled in their professions and that education has formed its foundation.

Benjamin Bloom

In the 1950's, Benjamin Bloom took a new perspective on the art of inquiry. Copious studies, papers and articles have been conducted on the impact of Benjamin Bloom's Theories of Taxonomy and Mastery Learning. Bloom's collection of works explores and records the learning process throughout his illustrious career.

As an educator and a leader, Bloom presented himself as a model of inquiry, a professor who embraced the concept of learning as a process. It is in this process of learning in which endless possibilities and opportunities exist for every learner. Bloom's optimistic view on thinking was brought to life in his work, *Taxonomy of Educational Objectives: Handbook 1, The Cognitive Domain* (Bloom, 1956). This work began his lifelong journey into uncovering the intricate details of the learning process.

Bloom's Taxonomy of Learning Domains remains the most widely used system of its kind in education as well as industry and corporate training (Chapman, 2010). In 1956, Bloom's beginning concepts grew within a committee of collaborative colleagues to identify three domains of learning or the goals of the learning process referred to as the Cognitive (mental skills) Domain, Affective (feeling and emotional growth) Domain and Psychomotor (physical skills) Domain (Clark, 2010). In today's world, professional development trainers often streamline Bloom's Taxonomy in practice to Knowledge (Cognitive), Attitude (Affective) and Skills (Psychomotor), implying that the learning affords the learner the opportunity to acquire new skills, knowledge and attitudes (Clark, 2010).

In this way, it is evident that Bloom's Taxonomy Theory is quite useful and beneficial to educators as they plan, develop, assess and evaluate the learning process

for all students. Furthermore, Bloom's Taxonomy Theory has assisted in the development of learning objectives as well as the ways to assess these learning objectives. Throughout the educational and business world, Bloom's Taxonomy Theory has positively impacted evaluative measures and the field of leadership. To what extent does Bloom's Taxonomy impact evaluative measures in the field of leadership? Let us first revisit the levels of inquiry within Bloom's Taxonomy to establish context in order to determine the skills necessary for an effective leader. Table two compiles all the levels of Taxonomy in perspective to Knowledge, Attitude and Skills Domains (Bloom, 1956; Bloom, 1971; Simpson, 1972). While the bulk of the educational and business arenas focus on the Cognitive Domain, it is when all three domains work in unison throughout the entire learning process that optimum thinking and questioning take place. Each domain moves from the most basic to the most complex as the learner moves through their individual learning process.

Table 2

Bloom's Taxonomy

Cognitive	Affective	Psychomotor Skills
Knowledge	Receiving Phenomena	Perception
Comprehension	Responding to Phenomena	Set (readiness to act)
Application	Valuing	Guided Response
Analysis	Organization	Mechanism
Synthesis	Internalizing Values	Complex Overt Response
Evaluation		Adaptation
		Origination

Contradictory views grace the Internet in which today's blogs discuss topics related to mastery for all learners and the interconnection of technology and today's

classrooms. A prominent challenger online, Wheeler (2012), promotes the idea to explore Bloom's Taxonomy within the 21st Century world, highlighting a belief "that all learners have the ability to be creative, critical and independent" and it is up to educators to move beyond the three domains of Bloom to measure "intuition and creativity" (para. 3). Booker (2008) addresses his view that Bloom's Taxonomy has placed a distortion on the American Educational System. In this opposing theory, Booker discusses that perhaps the reason our students are unable to compete internationally is due to the American Educational System's "reliance on Bloom in expecting critical and advanced thinking from kids who have been trained to regard facts and substantive knowledge as unimportant" (para. 1).

Skills Approach

Turning to the high stakes business world of the 21st Century, for many leaders the process of learning has faded and the focus has turned to a more value driven view of determining the return-on-investment. It is in the midst of this shift that a leader is expected to evaluate the value their organization receives from investing in learning and to determine the outcomes of individual and team performances. It is at this juncture that Inquiry from the learner's perspective and Inquiry from the leader's perspective intertwine.

"Leaders are shaped by their experiences" (Mumford et al., 2000, p. 156) and therefore leaders are not born but rather elevated to be leaders through education and experience; this is the foundation of the philosophy on which this dissertation is built. In this way, the skills approach to leadership involves "a structure for understanding the nature of effective leadership" (Northouse, 2010, p. 54).

Additionally, both in Katz (1955) and Mumford et al. (2000) research, leadership abilities differed depending on the hierarchical level of the leaders. For example, leaders operating at lower levels of organizational authority relied heavily on technical and human skills, while leaders at higher levels of organizational authority emphasis was placed on conceptual and human skills (Northouse, 2010).

Building upon this research, Mumford, Campion and Morgeson (2007), explored the cognitive, interpersonal, business and strategic skills of junior, middle and senior levels of leaders in an organization. The results supported that interpersonal and cognitive skills were more necessary and utilized more often at the lower levels of leadership. While all four skill sets were critical for higher levels of performance and leadership to enhance career opportunities and levels of leadership.

The skills approach, according to Northouse (2010), highlights that this approach

works by providing a map for how to reach effective leadership in an organization: Leaders need to have problem-solving skills, social judgment skills, and knowledge. Workers can improve their capabilities in these areas through training and experience. Although each leader's personal attributes affect his or her skills, it is the leaders skills themselves that are most important in addressing organizational problems. (p. 53)

Transformational Leadership

As discussed in the introductory chapter, Bass and Avolio (2004) were instrumental in the development of the Transformational Leadership theory as well as with defining a transformational and transactional leader continuum. Bass and Avolio outline Transformational Leadership within a seven-factor model along the Leadership Continuum. Additional researchers have contributed to the understanding of transformational leaders, Bennis and Nanus (1985) as well as Kouzes and Posner (2002).

Bennis and Nanus (1985) explored the results within transforming organizations and discovered four common approaches that entail (a) clear vision, (b) clarity to values and norms, (c) trust building, and (d) focus on strength-based approach. The Kouzes and Posner Model provides another strong framework in which to identify and measure the characteristics and practices of transformational leaders. This model as highlighted by Northouse (2010), includes the following five practices “model the way, inspire a shared vision, challenge the process, enable others to act, and encourage the heart” (p. 184) it is through a emphasis on behaviors and actions that moves this model into the skills-approach to leadership category.

Robbins and Judge (2010), outline change as variations or adjustments, sometimes change is intentional, sometimes it just happens and sometimes the change is spearheaded by catalysts or “change agents” (p. 592). Change agents are transformational leaders as they “see a vision” and “are able to motivate, invent, and implement this vision” (p. 592).

According to Northouse (2010) transformational leadership theory has six strengths, which make it a successful leadership style. A substantial research base captures the success of transformational or charismatic leadership (p.186). Transformational leaders have “intuitive appeal” (p.187) that employees can connect with and support. Transformational leadership embodies the process of leadership, capturing the “interplay between leaders and followers” (p. 187). Affording an unobstructed view of leadership, transformational leaders incorporate the growth of both the organization and the employee. Transformational leaders inspire, “motivating their followers to transcend their own self-interests for the good of the team, organization, or

community” (p. 187). Conclusively, through the Multifactor Leadership Questionnaire (MLQ) transformational leadership “was positively related to subordinate satisfaction, motivation, and performance” (p. 188).

Utilizing transformational characteristics in practice, educators engage in a Socratic method in classroom settings to promote growth or learning in students and is profusely documented in educational pedagogy and practices. Utilizing the Socratic method with direct reports within the adult learner world is sparse in research.

Pedagogy and Andragogy

In the educational world, Pedagogy as defined by Knowles, Holton and Swanson, (2005), refers to “the art and science of teaching children” (p. 61) and was the basis of the United States’ educational system. Andragogy refers to “the art and science of helping adults learn” (p. 61) that applies to all adult-like roles. Engaging adult learners in the learning process is central to the participants in this study and connects to our ancient educational leaders-Confucius, Lao Tse, Jesus, Aristotle, Socrates and Plato, Cicero, Evelid and Quintillian-all teachers-not of children, rather teachers of adults.

Our ancient leaders perceived "learning to be a process" (Knowles et al., 2005, p. 12) that included mental inquiry, behavioral change and learning experiences. Therefore, due to a variety of experiences, the learning process of adults varies from the learning process of children. The Andragogical Model (Knowles et al., 2005) is based on several assumptions:

- “Adults “need to know” and the facilitator needs to be aware of this need in order to “make an intellectual case for the value of the learning improving the effectiveness of the learners’ performance or the quality of their lives”

- “Adults have a self-concept of being responsible for their own decisions. They develop a deep psychological need to be seen by others and treated by others being capable of self-direction”
- “Adults come into an educational activity with both a greater volume and a different quality of experience”
- “Adults become ready to learn those things they need to know and be able to do in order to cope effectively with their real-life situations”
- “Adults are life-centered (or task-centered or problem-centered) in their orientation to learning”
- The “most potent motivators are internal pressures (the desired for increased job satisfaction, self-esteem, quality of life, and the like) motivate adults (p. 65-68).

For this study, it is imperative that the participants are viewed through an Andragogical model. The subjects in this study are adult educational leaders, as outlined by Knowles et al. (2005), “motivated to learn as their experience needs and interests will satisfy; adults’ orientation to learning is life-centered; experience is the richest resource for adult learning; adults have a deep need to be self-directing; and individual differences among people increase with age” (p. 71).

Inquiry-based Approach

Investing in learning correlates in a variety of ways with the research around Positive Organizational Scholarship specifically through Organizational Development and Appreciative Inquiry (Cameron, Dutton and Quinn, 2003). In their book, *Positive Organizational Scholarship*, Cameron et al. (2003) discuss Organizational Development,

which includes “a set of techniques and strategies for changing, developing and enhancing the functioning of organizations” (p. 8). Appreciative Inquiry includes a “composite of change practices based on the assumption that organizations have a positive core that unleashes positive energy and positive improvement” (p. 8).

Appreciate Inquiry is explored by Cameron et al. (2003), that includes theories that “Appreciative Inquiry is a process of search and discovery designed to value, prize and honor [with an objective] to touch the 'positive core' of organizational life" (p. 226).

David Cooperrider developed appreciative Inquiry during his doctoral studies on organizational change models (Elleven, 2007). In the 1980's, David Cooperrider adopted and further developed Appreciate Inquiry into a philosophical process that engages individuals within an organizational system in its renewal, change and focused performance. Appreciate Inquiry is encircled in the conjecture that organizations are able to change by the way they inquire (Cooperrider and Whitney, 2001).

According to Whitney and Trosten-Bloom (2010), Appreciative Inquiry is the “study of what gives life to human systems when they function at their best “ (p. 1). It is through “questions and dialogues about strengths, successes, values, hopes and dreams” (p. 3) that true change can take place and ultimately transformational change through positive leadership. Inquiry within Leadership is an overarching theme in which the foundations have been explored in the study of Positive Organizational Scholarship and Mental Models. Cameron et al. (2003) define Positive Organizational Scholarship as the study of especially “positive outcomes, processes and attributes of organizations and their members” (p. 4).

Supporting Positive Organizational Scholarship, Dweck (2008) conducted research on the growth mindset. The growth mindset is based on the belief that everyone's "basic qualities are things you can cultivate through your efforts" (p. 7), in essence, everyone has the ability to "change and grow through application and experience" (p. 7). Dr. Carol Dweck's research overlaps with the concepts of positive states within the growth mindset and positive connections within Positive Organizational Scholarship and Mental Models.

Additional support of this research is found in the work of Peter Senge related to Learning Organizations. According to Senge (1990), "organizations where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning to see the whole together" (p. 3). Learning Organizations are distinguished by five basic disciplines or component technologies, which Senge (1990) identifies as "systems thinking, personal mastery, mental models, building shared vision and team learning" (p. 4). It is the combination of all of these concepts that frames the lens of a leader as well as the lens of this research.

While each one of the above-identified concepts is worthy of a dissertation in and of itself, for the purposes of this research, the areas of Positive Organizational Scholarship, Learning Organizations through personal mastery and mental models will underlie the overarching connection of inquiry within leadership for this study.

Whitney and Trosten-Bloom (2010) support the power of inquiry in their perspective on the power of words, "Words create worlds, and the words Appreciative Inquiry are no exception" (p. 3). From the Appreciative Inquiry lens, inquiry "refers to

the acts of exploration and discovery” (p. 3). The following excerpt from *The Power of Appreciative Inquiry: A Practical Guide to Positive Change* (2010) captures the heart of inquiry in successful organizations:

The Spirit of inquiry is the spirit of learning. It implies a quest for new possibilities, being in a state of unknowing, wonder, and willingness to learn. It implies an openness to change. The verb *inquire* means: 1. To ask questions. 2. To study. 3. To search, explore, delve into, or investigate. Inquiry is a learning process for organizations as well as for individuals. To continue to succeed, organizations need more inquiry. For Appreciative Inquiry to be effective, however, not just any questions will do. Questions must be affirmative, focused on topics of value to the people involved, and directed at topics, concerns and issues central to the success of the organization. (p. 3-4)

Senge’s (1990) perspective on *The Fifth Discipline: A Practice of The Learning Organization* overlaps with Appreciative Inquiry. For Senge, the state of Appreciative Inquiry is referred to as Mental Models. Mental models are the “deeply ingrained assumptions, generalizations, or even pictures and images that influence how we understand the world and how we take action” (p. 8). Similarity to Appreciative Inquiry, it is the practice of looking at current behavior that influences change. Senge captures this thinking in the following excerpt from his book:

The discipline of mental models starts with turning the mirror inward; learning to unearth our internal pictures of the world, to bring them to the surface and hold them rigorously to scrutiny. It also includes the ability to carry on ‘learningful’ conversations that balance inquiry and advocacy, where people expose their own thinking effectively and make that thinking open to the influence of others. (p. 9)

Inquiry in this light, brings a positive approach to what is working in organizations as opposed to the traditional organizational development process of identifying what is wrong and what needs to be fixed as a focus (Cameron et al., 2003). Building on strengths from this perspective produces positive outcomes despite a variety of diverse and challenging organizational settings.

Strengths-based Focus

Investing in strengths is the call to action from a variety of scholars, theories and practices in the 21st Century. The Gallup Organization, for over 30 years, has conducted an official inquiry on the practice of human nature revolving around talents and strengths (Clifton and Harter, 2003). Through the use of open-ended questions of more than 2,000 managers, Gallup's database reviewed responses on the following items of productivity (revenue, profitability, employee retention, customer loyalty, safety) with the results indicating that the probability of success was 86 percent greater for managers with strengths versus non-strengths approach. For Gallup, top-performing leaders engage in inquiry-based leadership styles that promote the best in their employees through focusing on building strengths to manage weaknesses and ultimately focusing the maximum amount of learning on talents.

Positive Organizational Scholarship and learning Organizations are further supported by the assertion that leaders that inquire into problems or difficult situations will keep finding more challenges and obstacles, while leaders that appreciate what is best in the organization and in its employees will discover more and more of what is working and what is successful.

Mindset

The age-old question of the glass being half full or half empty takes a bit of a twist when looking through this positive strengths lens. Let us connect back to the Cognitive, Affective and Psychomotor Domains of Bloom and his colleagues. Adult learners approach new learning based off their childhood experiences with learning (Johnson and Taylor, 2006). Highly effective leaders and facilitators utilize their interpersonal

skills to create environments that motivate, deepen and boost brain development (Cozolino and Sprokay, 2006). Cozolino and Sprokay (2006) explored the Principles of Learning across an individual's life span including:

- A safe and trusting relationship with an attuned other
- Maintenance of a moderate level of arousal
- Activation of both thinking and feeling
- A language of self-reflection
- Co-construction of narrative that reflects a positive and optimistic self (p.12).

In this way, an effective leader intuitively combines knowledge, affect and behavior to promote brain development (Cozolino and Sprokay, 2006). It is through the activation of thinking, feeling and doing that effective leaders and facilitators guide adult learners. By means of "multiple sensory, motor, cognitive and emotional processing streams that come together during development to serve social and emotional behavior" (p. 13) resulting in brain systems. When intellectual challenges are approached with the mindset of success, individual anxiety and neurological processes required for new learning are stimulated. One could argue that mindset is key in the world of Positive Organizational Leadership, Learning Organizations and especially in effective Appreciative Inquiry.

Dr. Carol Dweck, researcher in the field of positive psychology, explores the mindset of success versus failure across a person's life. Dweck (2008) began her research by adapting the two perspectives of both Alfred Binet and Robert Sternberg. Binet, inventor of the IQ test, is often viewed as a proponent of the viewpoint that it is important to determine a person's IQ in order to determine their success. In actuality,

Dweck captures Binet, in his own words, as he depicts that intelligence is not fixed and that "with practice, training, and above all, method, we manage to increase our attention, our memory, our judgment and literally to become more intelligent than we were before" (p. 5). Dweck expands this thinking through the words of Cognitive Psychologist, Robert Sternberg by addressing personal achievement and expertise as "not some fixed prior ability, but purposeful engagement" (p. 5).

Dr. Sternberg (1996) argues through his Triarchic Theory of Intelligence that intelligent behavior is activated by the "balance between analytical, creative and practical abilities, and that these abilities function collectively to allow individuals to achieve success within particular socio-cultural contexts" (p. 505). In a 2004 interview with Indiana University professor, Dr. Jonathan Plucker (2007), Sternberg defined intelligence "as your skill in achieving whatever it is you want to attain in your life within your sociocultural context by capitalizing on your strengths and compensating for, or correcting, your weaknesses" (para. 4).

Building upon those theorists before her, Dweck (2008) has dedicated over 20 years to the discovery of mindset and more specifically two mindsets, fixed and growth, to explore how these very distinctive mental perspectives relate to learning and fulfilling potential (p. 6). The concept of the "fixed mindset" (p. 6) stems from the belief that an individual's qualities are carved in stone. In this perspective, the individual possesses a set personality, capability and skill set that they go through life with, in this perspective an individual is expected to prove time and time again the same results due to their fixed ability. According to Dweck, "the growth mindset is the belief that your basic

qualities are things you can cultivate through your efforts” (p. 7). In this way, an individual’s personality, capability and skills are not set and can continue to develop and transform through new experiences and applications.

It is in the dichotomy of choice between these two mindsets that the 21st Century Leader oversees their own development as a leader as well as the development of their employees. It is a choice as a leader to determine whether an organization will be based on fixed traits in which success is determined by an individual’s ability to prove how talented or smart they are or an organization of changing qualities in which an individual is stretched to learn something new, develop new learning and gain new mastery. In this way, Dweck (2008) challenges all leaders that “perspective is everything” by stating, “Mindsets are beliefs. They are powerful beliefs, but they are just something in your mind, and you can change your mind” (p. 16).

Leadership and mindset has been explored in depth by the works of Jim Collins and his research team. Collins (2001) in his best-selling book *Good to Great: Why Some Companies Make the Leap...and Others Don't*, explored what it takes to make good organizations, great organizations. At the conclusion of the 5-year study, Collins reported that those leaders in the great organizations, constantly asked questions, had the abilities to confront the brutal answers, addressed failure at close range and maintained a positive outlook that they would succeed in the end.

In the Collins research, the effective leaders and the effective organizations displayed a growth mindset as displayed in their constant attempt to improve (Dweck, 2008). This, as Dweck (2008) points out, demonstrates the growth mindset in leaders:

The effective leader “surrounds themselves with the most able people they can find, they look squarely at their own mistakes and deficiencies, and they ask frankly what skills they and the company will need in the future. And because of this, they can move forward with confidence that’s grounded in the facts, not build on fantasies about their talent (p. 110).

Collins research also experienced the fixed mindset in practice during the 5-year study. As would be expected, ineffective leaders believed that some individuals were superior and some individuals were inferior and due to their fixed mindset it was the leader’s role to repeatedly enforce their superiority (Dweck, 2008). These ineffective leaders were referred as possessing “gargantuan personal ego” (p. 26) in which they reinforced their hierarchical system with misuse of power. As opposed to the growth mindset leaders, the fixed mindset leaders took credit for the work of the teams and ran the business with a “genius with a thousand helpers” (p. 26) approach to business in which the leader is credited with all successes not the team.

Socratic Leadership

At the Air Force Academy in Colorado, one instructor, Tucker (2007), has embraced an open mindset with a focus on the Socratic method within the military instruction of the Air Force Academy Cadets. “As an instructor, the leader can promote critical-thinking skills while evaluating the student’s knowledge and comprehension in order to fine-tune further instruction” (p. 86). It is through intellectual discourse within the role of mentor, leader, or coach assists intellectual development and “helps secure support, encourage active followership, and develop efficient staff personnel” (p. 86).

Tucker (2007) connects his military heritage to the roots of our American democratic system, citing Benjamin Franklin as taking delight in engaging people into

difficult conversations. Wherein Franklin “moved toward a method of never expressing himself in absolutes, as a master of knowledge might, choosing instead to present his opinion as just that” (p. 81). It is this style of promoting opinions and thoughts that Tucker (2007) highlights Franklin’s “influence at the Constitutional Convention was legendary as the singularity American form of government took place” (p. 81).

Remaining within the educational field, Tucker (2007), makes connections to medical and law school practices to train future professionals in the rules and laws of the Socratic Method. Graduates of this rigorous approach to learning, produce professionals that exhibit “a level of critical thinking and mental discipline that society depends on for the effective practice of law and medicine” (p. 82).

Today’s educational leaders take on many roles, three of these roles: Instructor, Mentor and Leader, overlap with the Socratic Leadership theory of Tucker (2007). As instructors, educational leaders “promote critical thinking skills” (p. 86), build student (direct report) confidence, and expand the instructor’s (leaders) own knowledge. Tucker (2007) explains as mentors, taking on the roles of both instructor and evaluator, educational leaders “provide intellectual development as well as practical training for protégés” (p. 84) while are also able to evaluate each individual’s cognitive-learning level as prescribed in Bloom’s taxonomy. This in turn provides the leader more opportunities to (a) determine each candidate’s level of training required, and (b) more efficient investment of professional development energies. Finally, as leaders, taking a Socratic approach to their leadership role, according to Tucker (2007), provides the

ability “to persuade, secure support, encourage an active fellowship and develop followers for better efficiency [through] well-timed dialogue” (p. 84).

While Tucker (2007) does not deny that the Socratic method began as a process by which individuals utilized “self-examination and the search for philosophical truth” he professes that leaders “can apply its power to the needs of modern leadership” (p.86). Wherein the leaders of Athens and the modern leaders “both require a method to promote critical thinking and self-examination in the pursuit of truth” (p. 87), Tucker (2007) agrees that the Socratic approach to leadership is a “method of simple questioning to bring forth creative thought for inspection and contemplation” (p. 87).

Tucker (2007) acknowledges that there are negative impacts of this leadership style if caution is not adhered to ensure the situation fits this leadership technique. “If the leader uses the Socratic method too rigidly, submitting only questions rather than opinions or insights, the student or follower may never know exactly what the leader thinks” (p. 82) resulting in frustration, misinformation or potentially dissatisfaction in the leader. Additionally, Socratic leaders require a willingness to be vulnerable, willingness to trust their followers in order to disclose their own thoughts, opinions and feelings while instructing, mentoring, motivating, advising and influencing their colleagues. In this way, Tucker (2007) recognizes that other leadership styles “are more directive, immediate, and simpler for the leader to use” (p. 86) none have as much positive impacts for the follower such as a “feedback path” (p. 86) and “energy toward his or her development” as found in Socratic Leadership” (p. 86).

Whirlpool Sweden, embraces the idea of learning and inquiry through the Socratic Leadership approach to change (Ekinge, 2001). Embracing an inquiry-based approach to solving problems and product development, Whirlpool employees engage in Socratic discussion and emerge with multiple designs at the start of product design, ultimately in pursuit of “an infinite design space” (p. 5) as a means to make the designers more willing to criticize their own designs. Ekinge (2001) captures his first hand knowledge of the three-year process of the theory of Socratic Leadership in practice by providing overarching components related to the approach of the Socratic Leader:

- Understand basic philosophy (Socratic Method),
- Encourage Dialogue,
- Ask Socratic questions which help discover paradigms and orthodoxy’s and produces extraordinary thinking which leads to extraordinary action which produce extraordinary results,
- Think the unthinkable and leave the business as usual state and create a new reality,
- Master Critical Rationalism,
- Treat fellow associates with respect,
- Endorse problems and drive change,
- Create a Socratic culture and create alignment in the organization to generate ownership and actions (p. 6).

By embracing the Socratic Leadership role while overseeing three-dimensional change, optimum and sustainable results were obtained by Whirlpool bringing theory into

successful practice.

The ever-changing world in which we operate as leaders and managers motivated Ekinge (2001) and his colleagues at Whirlpool “to look for the drivers of change and the hurdles” (p. 1) and identified “the changes in environment” (p. 1) through the following overarching statements:

- “The world is becoming more complex and the environment is changing faster and faster” in this way, global business brings variety of cultures, beliefs and behavior for today’s leaders
- “The problems are becoming more complex” and therefore Teams must approach with a variety of expertise to tackle these complex problems
- “Information is exploding”, with the introduction of the Internet, businesses are now able to explore the world and information in an instant
- “The workforce is becoming more volatile”, today’s employees switch jobs frequently, job knowledge is at a premium for maintaining sustainability and success in business
- “Speed”, daily life and work life tempo is ever increasing, the business world is moving faster than ever before on both a daily and hourly basis
- Quick Learning is required for today’s employees, survivors in the workplace, learn quickly and excel quickly to stay productive in their jobs
- “Fast Application of New Learning” provides a continual cycle of improvement, which in turn breeds success
- “Speed in Innovation” requires continual new products and services as critical for sustainability (p.1).

Through Ekinge’s lens, Whirlpool Sweden embraces change and this perspective has afforded the opportunity to base their leadership and management style on the philosophical base of Socrates. “We claim that problems are the roots of change, existing problems or future possible problems and we believe today that a leadership style based on philosophy is better suited to lead and master change than any other leadership style” (p. 2).

Whirlpool Sweden believes that mastering change, as a leader, requires the following characteristics of the skill of Socratic Leadership (Ekinge, 2001):

- *Foster a reflective, questioning, and critical attitude, and questioning is an important element in a creative search for an improvement,*
- *Foster the ability to manage around hurdles which prevent us from seeing realities can be seen as an activity-and not as a discipline,*
- *Difficult to be taught-but can be learned,*
- *Helps in the understanding process,*
- *Foster the capability to catch and formulate the problem,*
- *Helps to scope the problem,*
- *Foster the capability to analyze complex problems very often by redefining the problem,*
- *Can be seen as a method to solve a problem, sometimes by dissolving it,*
- *Supports in managing unmanageable problems,*
- *Foster the capability to question in a way that enlarges the room of possible answers,*
- *Focus the thinking process*
- *Reflect, understand, and create (p. 2).*

It is from this perspective of blending an inquiry mindset with change leadership that this dissertation intends to explore and highlight. “A Socratic Leader can better master change” (p. 2) and as all leaders know, “innovation always, by definition, means change” (p. 2); therefore, Ekinge (2001) claims “a leadership style based on philosophy is better suited to lead and master change than any other leadership style” (p. 2).

Ekinge (2001) describes the following scenario in which, his organization, embraced the Socratic Leadership approach to the process of product development. According to Ekinge (2001), Socratic Leadership and Three Dimensional Change are placed into practice within the engineering department of Whirlpool Microwave ovens (p. 5). The leadership style was first introduced “to create the product definition and the technical path” (p. 5) for new product development. Teams once guided development plans by “written product specifications” (p. 4) now under Transformational Leadership principles engage in “sessions of intensive dialogue” (p. 5).

This form of dialogue embraces the concept of “an infinite design space” (p. 5) and therefore sparking creativity, in essence permission in the designer’s mind, to design several ideas at the same time, while not being locked into only one design.

Ekinge (2001) further describes this collective learning outcome highlighting the skill set or knowledge base needed by both the designer and the leaders engaging in Socratic Leadership. Leaders need to be trained to ask the appropriate questions, while understanding that asking questions is viewed as “an act of power” (p. 3). Designers need to be trained to describe their thinking, reasoning and connections between different designs while building their skills to analyze the design tasks themselves. The results create a culture, in which several designs are viewed, wherein several alternatives are central to the design dialogues, which Ekinge (2001) refers to as “First think and then benchmark” (p. 5).

By initiating the formal methodology of Socratic Leadership, Whirlpool reorganized the development process, enhanced the process by asking more questions and resulted in an innovation within the microwave industry. Maximo, Whirlpool's

Microwave Oven, created from the result of Socratic Leadership in action, “is an out-of-the-box product [that] cannot be compared to any other microwave oven” (Ekinge, 2001, p. 6) and according to Ekinge, “can be seen as a new product created by a Socratic organization” (p. 6).

Turning back to the higher education world, Tucker (2007) presents an overview of Socratic Leadership as a “synergistic potential not available to either the leader or the follower in isolation” (p. 85). In this way, Socratic Leadership provides “the follower an opportunity to affect policy and impress his or her own logic and rationale on the leader through open dialogue” (p. 85) resulting in employee buy-in and increased job performance. Socratic Leadership hinges itself on the level of trust and the relationship between the leader and follower, “both the leader and the follower must trust each other’s integrity and the method” (p. 85). A Socratic Leader believes it is through Socratic method that leaders are “provided a solution in his method of simple questioning to bring forth creative thought for inspection and contemplation” (p. 86).

In the classical period of our history, the Socratic Method was synonymous with “self-examination and the search for philosophical truth” (p. 87) a Socratic Leader in the 21st century utilizes the Socratic method to encourage critical thinking skills in their direct reports. In an educational leadership setting this is synonymous with evaluating the performer’s execution skills and comprehension, which in turns influences their coaching, mentoring or instruction. A performer “benefits by following a familiar, repeatable thought process” (p. 86) while the leader benefits “in a formal leadership capacity, dialogue helps secure support, encourage active followership and develop efficient staff personnel” (p. 86).

Transformational Change

In today's ever changing world, leadership is a combination of balancing team member's knowledge, skills and emotions as outlined by Bloom's Taxonomy, and providing opportunities for new skills to be acquired through continual change and transition. Mastering transformational change is a common theme throughout the literature and a variety of transformational leadership approaches abound. Regardless of how it is defined, transformational change is a process, and this researcher believes it is a transformational leader who has the ability to add a unique flair to this process of mastering change.

Bridges (2009) explores the theory that change and transition are very different situations, wherein "change is situational [and] transition is psychological" (p. 3). When viewed through this light, the role of the leader becomes one of extreme importance for assisting with managing not only the physical changes but the emotional and psychological ones as well. Bridges (2009) explains that transitions begin with "letting go of the old reality and the old identity you had before the change took place" (p. 7). In this way, every transition begins with an ending and according to Bridges (2009) there are "three-phases of transition" (p.5). Bridges (2009) categorizes the phases of transitions as "1) Letting Go, 2) The Neutral Zone, and 3) New Beginnings" (p. 5).

Embracing the loss of past practices, methods or roles is critical for organizations as letting go of the past in organizations is the most difficult phase of transformational change. Guiding teams through the phases is not simple, as all three phases are both needed and are composed of their own processes to reach the transformational change.

Incorporating the notion that transformational change is a process guided by a masterful leader ignites the work of Kotter. Kotter (1996), *Eight-Stage Process of Creating Major Change* outlines the steps for successful and sequential transformational change. The steps are:

establishing a sense of urgency, creating the guiding coalition, developing a vision and strategy, communicating the change vision, empowering a broad-base of people to take action, generating short-term wins, consolidating gains and producing even more change, and institutionalizing new approaches in the culture. (p. 22)

The first four steps awaken and move the organization into action, steps five through seven, spark interest in new ideas and practices, while step eight guides sustainability. According to Kotter (1996), successful transformation and change require a sequential approach to the process, “skipping even a single step or getting too far ahead without a solid base almost always creates problems” (p. 23). Kotter (1996) discusses the importance of managing change yet reminds leaders that the biggest challenge is “leading change” (p.30).

It is this frame of leading change that Bolman and Deal (2008) address through their Four-Frame Model. With an artistic edge to leading change, how a leader shapes their thinking or “set of ideas and assumptions” (p. 11) allows the leader to appropriately frame transformational change Through “structural, human resource, political and symbolic frames”(p. 14) a leader learns to apply all four frames to their organization in order to “master reframing” (p. 14) and therefore master transformational change.

Mastery Learning

Moving from theory to practice underlies the daily experiences within our institutes of learning both public and private, and it is these settings in which learning for

mastery was first explored. There is little dispute that Benjamin Bloom is recognized as the classic theorist to formulate the mastery model in which specific predictors to mastery can be identified, infused and measured (Davis & Sorrell, 1995). In the article, *Mastery Learning in Public Schools*, Davis and Sorrell (1995) explore Bloom's predictors of success within classrooms taught for mastery, citing that 95% of the students will achieve at the level previously reached by the top 5% (para. 14). In this way, students taught in mastery classrooms will perform above the 90th percentile, a testament to the environment shaping the learning experience.

Learning for Mastery was born out of Bloom's unique perspective related to the evaluation of student learning. From Bloom's perspective, goal attainment rather than student comparison was significant and therefore important. Eisner (2000) explores Bloom's perspective focused on the variable of time, for "it is unrealistic to expect all students to take the same amount of time to achieve the same objectives" (p. 4).

This perspective further developed and focused on the concept of gifted students in the book *Developing Talent in Young People* (Bloom, 1985). Bloom and his colleagues believed it was in the design and conditions of the environment that assists individuals to realize their aptitudes and gifts (Eisner, 2000). Eisner (2000) highlights that "speed is not the issue, achievement or mastery is" (p. 5) and it is this perspective that Mastery Learning becomes reality in learners in the 21st Century.

According to the modern thinking found on the website, *Funderstanding*, Mastery Learning proposes that all individuals can learn provided with the appropriate learning conditions. Building upon the work of Bloom's learning for mastery model, James Block

made refinements to define learning as a predominantly group-based, facilitator-paced instructional approach, in which individuals learn by cooperating with their peers.

The work of John Carroll (1963) influenced research on mastery learning by contributing the concept of time. According to Carroll's research, "learning is a function of time spent divided by time needed" (p. 723). Carroll's theory of time in turn has been reinforced through the work of Malcolm Gladwell. Gladwell (2008) defines an *outlier* as:

1. Something that is situated away from or classed differently from a main or related body
2. A statistical observation that is markedly different in value from the others of the sample (p. 17).

Gladwell (2008) engaged in the exploration of life histories of famous outliers "to determine the key indicators for success" (p. 3). Gladwell argues throughout his book that outliers across all professions and careers were able to overcome obstacles to achieve success. In order for an individual to be successful the individual must reach a level of mastery. Researchers agree that true expertise and excellence is attainable by reaching a required minimum level of practice hours to achieve mastery and therefore make a positive contribution and in many cases an extraordinary impact to their field of interest or profession. According to Neurologist Dr. Daniel Levitin (2006), the trend of "ten thousand hours of practice is required to achieve the level of mastery associated with being a world-class expert...in anything...It takes the brain this long to assimilate all that it needs to know to achieve true mastery" (p. 40). True mastery can be attained when the brain gains information through attention to patterns, interacts with emotional

connections to experiences and is involved with specific skills; it is through this essential process that mastery learning is achieved (Wolfe, 2006).

Mastery work overlaps with that of several cognitive psychologists, such as Dweck concerning the mindset of successful individuals. In his book, *Outliers: The Story of Success*, Gladwell (2008), explores the lives of sports, business and entertainers to determine what pushed them over the edge to success. The book highlights "men and women who do things that are out of the ordinary" (p.17). It was their motivation, determination and their underlying mindset of success that brought them outlier success.

History of AVID

AVID (Advancement Via Individual Determination) Center, a non-profit organization, that is based out of San Diego, California, has built its reputation in the educational world on the role of the individual and their determination. AVID Center is succeeding at closing the achievement gap for students, regardless of their race or economic background. AVID Center's mission and focus is on closing the achievement gap by preparing all students for college and career readiness (AVID, 2013).

AVID began with one woman's dream, Mary Catherine Swanson, in 1980, created what is now called the AVID Elective. In Clairemont High School in San Diego, California, Mrs. Swanson "devised a sequential 'best practices' curriculum by incorporating strategies and methodologies that specifically addressed the needs of traditionally underserved student populations" (McAndrews, 2013, p. 2). Mary Catherine's success with the AVID Elective "attracted nationwide attention and recognition" (p. 2), and through the 2000's Mrs. Swanson has been "presented with the

Pioneering Achievement in Education award [and] was featured as a segment on the nationally syndicated program *60 Minutes II* (p. 2).

In 1996, Mary Catherine Swanson, formed “AVID Center to strengthen and support the worldwide AVID community” (McAndrews, 2013, p. 3). AVID Center ensures quality implementation by way of the AVID Essentials and the annual certification process specific to each component of the AVID College Readiness System, Elementary, Secondary and Higher Education. This systemic approach to education:

- *Empowers students to graduate from college by helping them develop their academic strengths and social adaptability and helping them discover and grow their individual determination*
- *Empowers educators with instructional strategies and best teaching practices to provide rigorous, relevant and differentiated academic opportunities for all students*
- *Empowers families to support and guide their learners through their educational journey by providing learning resources, process roadmaps, and strategies for academic and social success*
- *Empowers a feeder pattern to strengthen their accountability, articulations, assessment and calibration within vertical and horizontal teams*

(McAndrews, 2013, p. 4).

With the start of the 2013-2014 academic year, “AVID impacts over 700,000 students across more than 4,800 schools in 45 states and 17 countries (including Australia, Canada, and Department of Defense schools in Europe, the Far East, and

Central America)” representing K-16 and forming what is known as the AVID College Readiness System (J. Sandoval, personal communication, January 23, 2014).

The AVID College Readiness System “encompasses AVID Elementary (K-8), AVID Elective (6-12), AVID Schoolwide (all levels), and AVID for Higher Education (the college years)” (McAndrews, 2013, p. 4). It is this systemic approach to transformational leadership combined with an annual certification process that has positively impacted thousands of students, educators and communities.

AVID Elective students outperform with impressive results, often meeting outlier criteria when compared to historical data on students with similar backgrounds and experiences prior to entering into an AVID Elective class. Figure 1 and Figure 2 exemplify AVID Students achievements.

AVID students complete four-year college entrance requirements at a rate at least two times higher than the national rate

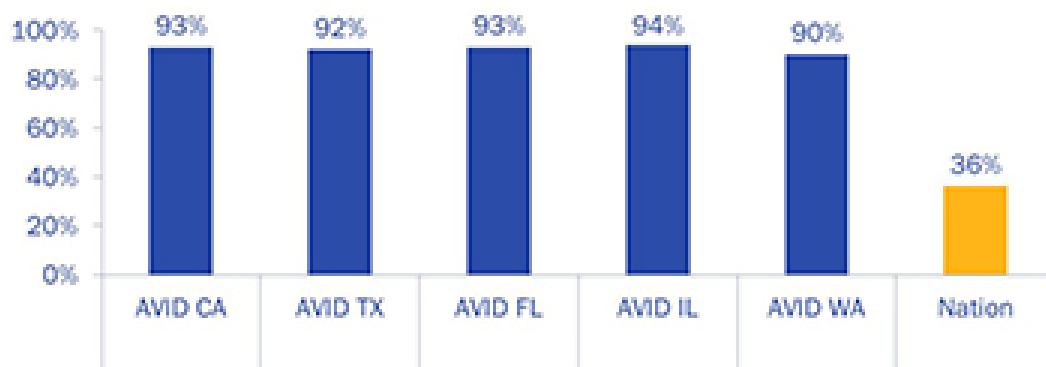


Figure 1: AVID students college entrance requirement completion

Note: COMPARATOR: Greene, J.P. and Forster, G. (2003). Public high school graduation and college readiness rates in the United States (Report No. 3). New York, NY: Manhattan Institute for Policy Research. AVID students complete university

entrance requirements at a much higher rate than their non-AVID peers. AVID Center. AVID Senior Data Collection. Study of 34,229 AVID seniors (2012- 2013). Screenshot reproduced with permission of AVID Center's Research and Evaluation Department.

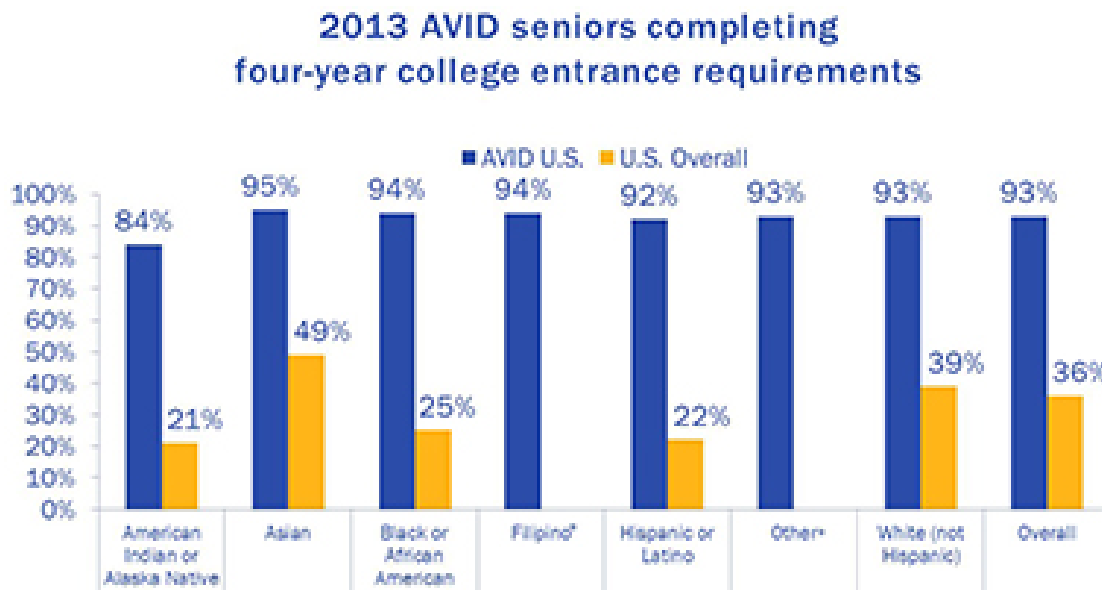


Figure 2: A Comparison: AVID seniors v. U.S. seniors overall

Note. Greene, J.P. and Forster, G. (2003). *Public high school graduation and college readiness rates in the United States* (Report No. 3). New York, NY: Manhattan Institute for Policy Research.*Filipino and Other not classified by Greene and Forster (2003). AVID Center. AVID Senior Data Collection. (2012- 2013). Study of 34,229 AVID Seniors. National data represents the most current comprehensive data available. Screenshot reproduced with permission of AVID Center's Research and Evaluation Department.

Socratic Approach

AVID Center embraces the philosophy of Socrates and engages in an inquiry-based approach in its professional learning, classroom design and implementation process. The Socratic method of teaching is defined as the process of discussion that is led by instructor for inducing the learner to question the validity of his reasoning or in reaching a strong conclusion. It is based on the assumption that knowledge is inside the

learner and through proper commentary and questioning, this knowledge will come to the surface. Socrates as an instructor would try to follow the arguments of students to wherever they led (Vander Waerdt, 1994).

The main emphasis on the Socratic Approach is that the questions and comments of teachers should enable the learners to discover the meaning for themselves. It is important for the learner to make a statement, which has a value nature and could be pursued further (Vander Waerdt, 1994). The instructor should enter into a dialogue with the learner, which will be followed by an argument till the learner had thoroughly questioned the answer and gained some insight in the beliefs and attitudes held, and the logic used.

Socratic teaching is considered to be the most powerful instructional tactic that can foster critical thinking. In this approach, the emphasis is on giving questions to the students instead of answers. The mind is prodded by continuously probing into a subject with different questions (Paul & Elder, 1997). The abilities that one gains from the focus on elements of reasoning in a self-assessed and disciplined manner and the logical relationships that are formed from the thought process, prepares the student for Socratic questioning.

There are a predictable set of relationships that hold for the all disciplines and subjects. It is present in the general logic of reasoning as all the subjects are developed by people who had shared objectives and goals that defined the focus of subject, shared problems are solutions which explained the solution that they pursued, shared data and information where they are used as empirical basis, shared modes of judging or interpreting that information and shared specialized ideas and concepts which is

used for organizing the data. It also included the shared assumptions that provided a basis from where they collectively began and a shared point of view that enabled them in pursuing the common goals from common framework (Paul & Elder, 1997).

Every element shows a dimension where a person can ask a question. The purposes and goals can be questioned. The issue, problem and nature of question can be probed. The relevancy of data can also be inquired along with the various interpretations of information and data. The assumptions, which are being made, can also be questioned. They are all part of the questioning strategy in the Socratic approach, which can be applied to Transformational Leadership (Paul & Elder, 1997).

As an approach and tactic, questioning in the Socratic method is considered to be a very disciplined process. It is important for the Socratic questioner to act as the logical equivalent of the inner critical voice that is developed by the mind while developing the abilities of critical thinking. The contributions made by the entire class are different thoughts in the mind (Paul & Elder, 1997). It is important to deal with all these thoughts in a fair and careful manner through the following of answers with further questions and the selection of questions that help in advancing the discussion, the Socratic leader probes the class to think in a more intellectually possible and disciplined manner along with helping the students through facilitating questions.

It is important for the Socratic leader to keep the discussion focused and intellectually responsible, stimulating the discussion with facilitating questions, summarizing the things that have or have not been resolved and dealt along with drawing as many students in the discussion as possible (Paul & Elder, 1997).

Learning Organizations

The importance of transformational leadership in education can never be overstated in the prevailing environment where the goal of every student is to reach the highest of levels. This increases the importance of a systematic approach towards student learning. This systematic model should become the guideline for the classroom communication and decision-making process of administration. Leadership is very important and supports and develops the students at all levels (Jacoby, 2012).

Turning the individual learning process to the learning organization, Senge (1990) states that “Organizations learn only through individuals who learn. Individual learning does not guarantee organizational learning. But without it no organizational learning occurs” (p. 12). Personal mastery has evolved from Mastery Learning to become more pragmatic, focusing on becoming the best person possible by striving for a sense of dedication and exhilaration in our professions. Personal mastery is not something an individual can possess, it is a “process and a lifelong discipline” (p.132). According to Senge (1990) personal mastery involves “people with a high level of personal mastery are acutely aware of their ignorance, their incompetence, their growth areas. And they are deeply self-confident” (p. 133).

The new discipline of Positive Organizational Scholarship combines the willingness to change with the neuroscience for mindset and brain development. This philosophy establishes the process of learning through positive inquiry and aligns the mastery theory of Bloom to the modern world of the 21st Century. This in turn reinforces the notion that mastery learning can only take place when one is willing to continue on

within the learning process despite set-backs or failures, simply because the love of learning and the process are the focus for the learner (Dweck, 2008).

E-learning

In today's highly technological dependent world, effective leaders are afforded opportunities of providing opportunities of time for mastery through inquiry, perspective and practice. Leaders in the 21st Century have technological tools and e-learning platforms that can enhance or hinder personal mastery and Appreciative Inquiry depending on the context.

E learning as explored by Schank (2005) relates to what technology can successfully offer to the learning process. Throughout his book, *Lessons in Learning, e-learning, and Training*, Schank builds upon the work of Bloom and to the ideal that learning requires an interactive experience in order to obtain a lasting effect. For Schank, learning through the Socratic approach of inquiry involves practice, feedback and reflection (p. 140). Schank approaches learning in the E-learning environment in his own words,

a good teacher teaches what the student needs to know regardless of whether that was in fact the original intention...A wise teaching program (E-learning) would tell a good story that changed the focus of the program from what was being taught to what now has to be taught given the trainees (learner's) actions. (p. 273)

The World of E-Learning has brought about new vocabulary, and new terms to Bloom's theories, specifically, as it relates to Bloom's Taxonomy. Andrew Churches (2009) addressed the new terminology of e-learning as related to the levels of thinking within Bloom's Taxonomy in Bloom's Digital Taxonomy. According to Churches, "It's not

about the tools it's using the tools to facilitate learning" (p. 1). In this way, Churches explores the communication spectrum as it relates to emailing, texting, instant messaging, posting, blogging, net meetings, video conferencing and networking. Through his articles and postings, Churches connects the learning theories of Bloom to that of the digital world of the 21st Century.

Effective Team performance is mutually supporting with effective leadership approaches. Leaders and researchers the world over will compile and present a variety of effective leadership styles. For this review, the theory of a skills approach to leadership through the lens of inquiry, positive mindsets and the guidelines of learning organizations take on new perspectives related to effective leadership styles.

The Skills Approach aligns with the growth mindset in that knowledge and abilities can be learned and developed (Northouse, 2010). This approach focuses on the leader's ability to inquire and solve complex challenges while moving through the managerial hierarchy of technical, human and conceptual skills. In this way, this approach combines both the concepts of inquiry, mindset and mastery learning within the approach to leadership.

According to Northouse (2010), taking a Situational Approach is aligned with the growth mindset in that the leader adjusts, realigns and applies different kinds of leadership to meet the needs of the changing situation. Given this approach changes according to the situation and the followers, it requires the leader to remain positive with mindset, inquiry, and mastery skills. This approach is still relatively new within the scholarly writings and therefore is worthy of further investigation and study to determine long-range impacts and sustainability.

It is this combined approach to leadership that overlaps with the findings of Daniel Goleman. Goleman (2000) who is known for his work with Emotional Intelligence explored 6 Leadership Styles. Goleman outlines The Leadership Styles as:

- Coercive=demands immediate compliance
- Authoritative=mobilizes people toward a vision
- Affiliative=creates harmony and builds emotional bonds
- Democratic=forges consensus through participation
- Pacesetter=sets high standards for performance
- Coaching=develops people for the future (p. 80)

Goleman's perspective on Leadership has been shown that the more styles a leader exhibits, the more enhanced the learning organization and team performance. According to Goleman (2000) "Leaders who have mastered four or more-especially the authoritative, democratic, affiliative and coaching styles-have the very best climate and business performance" (p. 87). In this way, taking a multi-style approach to leadership aligns with Appreciative Inquiry, the Growth Mindset and the overarching components of a Learning Organization.

The Summation

The intent of this chapter was to explore the history of inquiry as it relates to the perspectives of leadership, specifically to the characteristics of educational leaders taking an inquiry-based skills approach to transformational change. This literature review has reinforced the following discoveries of Inquiry in Leadership:

- Transformational Leaders use positive inquiry to gain information, spark creativity and develop a vision for an organization.
- Transformational Leaders focus on developing individual's strengths and personal mastery for successful outcomes.
- Transformational Leaders have a growth mindset in which they view challenges as opportunities to grow and learn.

Given Chapter One and Chapter Two, it is time and appropriate that this research should be conducted. The strengths of the literature are found in the wealth of respected and renowned researchers and theorists in literature references. The weaknesses of the literature are in the fact that the role in educational leadership is a perspective and theory that is still relatively new to the scholarly world.

In this way, the positive processes and their interrelationships are areas to be explored in more depth and in more research studies. The biggest gaps are found in the new views and new associations such as focusing on strengths, Appreciative Inquiry and Socratic Leadership, as all have been recently presented or minimally scrutinized. Therefore, this literature review provides several opportunities for deeper investigation and new studies. With the overarching frame of Transformational Leadership established, the chosen assessment tool created by Avolio and Bass will be explored in more depth in Chapter Three.

For this researcher, this literature review has provided a new perspective on the inquiry practices embedded in the current professional learning opportunities and curriculum resources within this researcher's professional organization. Additionally, it has provided a clearer perspective on the positive power of inquiry in the classroom

translating to the positive power of inquiry in the professional world. It is this opportunity of the positive power of inquiry within professional leadership roles that has sparked a desire to conduct further research on the levels of thinking and questioning within a learning organization.

Albert Einstein (1949) stated, "We shall require a substantially new manner of thinking if mankind is to survive" (para. 9) and these words are no more true now as human beings continue to move through the levels of thinking and questioning; moving cultures along the learning path of the primitive to the modern, time and time again.

Chapter Three: Methodology

Introduction

For this research, the phenomenon of AVID (Advancement Via Individual Determination) Leadership was explored through the quantitative paradigm. Creswell (2009) outlines that this paradigm allows “testing objective theories by examining the relationship among variables” (p. 4). The quantitative design “seeks to determine if a specific treatment influences an outcome” (p. 4). In this study the characteristics of AVID Leaders are identified in relationship to their exposure to AVID Center Professional Learning opportunities. In this way, this research study according to Creswell (2009), intends to explore: “(a) the identification of factors that influence an outcome (b) the utility of an intervention and (c) understand the best predictors of outcomes” (p. 18).

AVID Center is a non-profit educational organization that assists school systems with transformational change in order to provide equity and access for all students. This research focuses on AVID Leaders, which are educators in administrative leadership roles within school systems that have attended at least two AVID Center Professional Learning sessions pertaining to the AVID Elementary Model. AVID Center’s Professional Learning sessions focus on the methodology, skillset, tools and instruments that enhance transformational change through instruction, culture, leadership and systems (McAndrews, 2013). AVID Professional Learning is designed to enhance the leadership skills of educational leaders to coach, guide and oversee change.

The purpose of this research was to examine the relationship between education level (Bachelor of Arts/Sciences, Master of Arts/Sciences, Doctorate) as well as credential area of focus (elementary, secondary) and the dosage of exposure of AVID Elementary Professional Learning. In this design, active AVID leaders were invited to participate in this survey research to explore the impact of AVID Professional Learning sessions on leadership type. In order to gain knowledge from a variety of perspectives a cross-sectional participant pool included active leaders (Creswell, 2009). In this way, the design allowed this research to explore the phenomenon of AVID leadership “by understanding what factors or variables influence an outcome” (p. 145).

Restatement of Research Questions

By exploring the world of AVID Leaders, this study investigated the following research questions:

1. What are the leadership subscale scores among AVID Leadership session participants as measured by the Multifactor Leadership Questionnaire (MLQ)?
2. Are any of the Multifactor Leadership Questionnaire (MLQ) subscales related to the participant’s demographic characteristics, such as educational level, or area of credential focus (elementary, secondary)?

Hypothesis One and Two:

Given AVID Center’s approach to target aspirations and inspirations in each student, it was hypothesized that AVID leaders would perceive their leadership skills through an inspirational lens. According to Bass and Avolio (2004) a Charisma/Inspirational leader “provides followers with a clear sense of purpose that is energizing; a role model for ethical conduct which builds identification with the leader

and his/her articulated vision” (p. 51). In this way, AVID Leaders will hold higher perceptions of articulated vision and clarity of purpose.

1. Hypothesis One: The MLQ subscale of Inspirational/Motivational will be significantly higher than the other MLQ ratings among AVID Leaders.
2. Hypothesis Two: One or more of the MLQ subscales other than Inspirational/Motivational will be significantly higher among AVID Leaders.

The null hypothesis would be evident if none of the MLQ subscales are significantly different than any of the other MLQ ratings among AVID Leaders.

Hypothesis Three and Four:

Given elementary focused leaders specialize in the developmental stages of students; it was hypothesized that this specialization will display higher perceptions of Active Management-by-Exception on the Multifactor Leadership Questionnaire. According to Bass and Avolio (2004), the Active Management-by-Exception “focuses on monitoring task execution for any problems that might arise and correcting those problems to maintain current performance levels” (p. 51) and therefore it was hypothesized that the Active Management-by-Exception subscale will be elevated in elementary focused AVID Leaders. In this way, AVID Leaders with an elementary focus will have at least 1 MLQ subscale that differs from AVID Leaders with a secondary focus.

3. Hypothesis Three: Elementary focused AVID Leaders will have significantly higher ratings on the Active Management-by-Exception subscale than secondary focused AVID Leaders.

4. Hypothesis Four: Elementary focused AVID Leaders will have significantly higher ratings on one or more of the MLQ subscales other than Active Management-by-Exception than secondary focused AVID Leaders.

The null hypothesis would be evident if there is no significant difference between ratings on any subscale of the MLQ among AVID Leaders.

Description of the Research Methodology

This study is aligned with the quantitative design as outlined by Creswell (2009), which is often distinguished by using “numbers or closed-ended questions” over “words or open-ended questions” (p. 3). The quantitative strategy of inquiry for this study was “Survey Research [to provide a] numeric description of trends, attitudes, or opinions of a population” (p.145). For this study, the Multifactor Leadership Questionnaire (MLQ) also referred to as MLQ 5X short, which measures a wide range of leadership characteristics was utilized to discover the common characteristics of AVID Leaders.

Process for Selection of Data Sources

AVID Center, a non-profit educational organization, provides services and support to 4,981 AVID member sites in 46 states in the United States and 16 countries/territories around the globe (McAndrews, 2013). AVID Leaders for this study were defined as active member leaders that have attended AVID Elementary Professional Learning sessions at AVID Center’s Summer Institute Elementary Strands, AVID Elementary Liaison Leadership Sessions, AVID Complex Liaison Leadership Sessions and/or AVID Elementary Staff Developer Calibration during the academic years of 2007-2013.

Participants were selected from the overall active membership pool established and maintained by the AVID Center. AVID Leaders across the AVID Center membership base, oversee implementing school sites and educational systems at elementary, secondary (middle and high) and the post-secondary levels. The database of active members represents:

- 92,279 active membership accounts
- 8,197 Site Principals, Assistant Principals, Vice Principals
- 1,557 District Directors, AE Liaisons and Higher Ed Liaisons
- 4,863 active implementing sites (elementary, middle, high, post-secondary institutions)
- 44 states within the United States
- 2 countries (Australia and Canada)
- 14 countries within Department of Defense school settings on military installations

Given the size of the overall AVID Center membership pool, this study focused specifically on one subgroup. This subgroup represented a unique population onto itself and does not represent the larger population. This unique AVID Elementary population of 7,288 members is composed of administrators, teachers, liaisons, program managers and staff. The current AVID Elementary membership pool included active AVID leaders that oversee implementation in grades Kindergarten through Eighth Grade. According to AVID Center's 2013 database there are currently 650 site principals, 275 active AVID Elementary Liaisons, 80 active AVID Elementary Staff Developers and 10 AVID Elementary Program Managers (J.Sandoval, personal communication, January 23, 2014).

For this study, participants were invited from the Kindergarten to Eighth Grade roles and school sites. To classify this unique participant pool, the following specific criteria was identified:

- Active AVID Elementary Site Administrators (Kindergarten to Eight Grade School Sites)
- Active AVID Elementary Liaisons (Overseeing AVID Elementary implementing Sites)
- Active AVID Elementary Staff Developers (Facilitate professional learning sessions within the AVID Elementary Model)
- AVID Elementary Program Managers (Coach active AVID Elementary implementing districts)
- Began implementation between 2007 and 2013
- Attended at least two AVID Elementary Professional Learning Sessions

Due to the fluid nature of educational systems, not all memberships are active for the present academic year. In order to verify the accounts, this researcher cross-referenced the active member pool with attendance records for professional learning. In this way, the invited pool represented to the best of this researcher's ability the active membership within the AVID Center system. This refined pool of actively implementing participants meeting this study's criteria was categorized into three cohort groups using the following nomenclature in order to ensure there was representation of all level of implementation:

Cohort 1: *Newbies*

- This cohort attended the beginning levels of AVID Elementary Professional Learning Sessions and was in the first and second year of implementation.

Cohort 2: *Experienced*

- This cohort attended the experienced levels of AVID Elementary Professional Learning Sessions and was in the third or fourth year of implementation.

Cohort 3: *Veterans*

- This cohort attended the advanced levels of AVID Elementary Professional Learning Sessions and was in the fifth or beyond year of implementation.

Definition of Analysis Unit

For this study, differences in prior knowledge, experience and exposure of AVID Leaders was explored in relationship to individual leaders ratings on the Multifactor Leadership Questionnaire (MLQ).

The dependent variables in this study were defined in the MLQ; the six-factor model is operationally defined as follows by Bass and Avolio (2004):

- **Inspirational/Motivational~**
Provides followers with a clear sense of purpose that is energizing; a role model for ethical conduct, which builds identification with the leader and his/her articulated vision
- **Intellectual Stimulation~**
Gets followers to question the tried and true ways of solving problems; encourages them to question the methods they use to improve upon them
- **Individualized Consideration~**
Focuses on understanding the needs of each follower and works continuously to get them to develop to their full potential
- **Contingent Reward ~**
Clarifies what is expected from followers and what they will receive if they meet expected levels of performance
- **Active Management-by-Exception~**
Focuses on monitoring task execution for any problems that might arise and correcting those problems to maintain current performance levels
- **Passive Avoidant/Passive Management-by-Exception~**
Tends to react only after problems have become serious to take corrective action and may avoid making any decisions at all (p. 52).

The following independent variables were used to explore differences between AVID Leaders:

- Elementary or secondary focus in preparation education programs~
College/University teacher preparation programs focus on specialties according to the developmental levels of the students impacted by instruction in either elementary or secondary settings.
- Exposure to AVID Elementary Professional Learning~
At least one session at required AVID Elementary Summer Institute Strands, or required AVID Elementary Liaison Leadership Sessions, and/or invitation-only AVID Complex Liaison Leadership Sessions and/or invitation-only AVID Elementary Staff Developer Calibration Sessions.

Anecdotal notes and findings of this researcher sparked this focused inquiry on this phenomenon of AVID Leadership. It was the hope of this researcher to engage in this study to determine if there is a difference between elementary and secondary preparation programs in the context of AVID Leadership, in addition to identify if there is an impact to leadership perspectives due to dosage/exposure to AVID Elementary Professional Learning.

Definition of Data Gathering Instruments

The Multifactor Leadership Questionnaire (MLQ—also known as MLQ 5X short or the standard MLQ) measures a broad range of leadership types from passive leaders, to leaders who give contingent rewards to followers, to leaders who transform their followers into becoming leaders themselves.

The MLQ (5x short) was utilized in this study and has been utilized in numerous doctoral dissertations, theses, and research investigations (Bass and Avolio 2004). This questionnaire contains 45 items that gauge and categorize key leadership components with a focus on transformational, transactional and passive/avoidant leadership types (Bass and Avolio, 2004).

Analytical Techniques

Given the quantitative nature of the current research design, a cross-sectional survey sample was used to inform the phenomenon of AVID Leadership. According to Creswell (2009), the research design “involves the intersection of philosophy, strategies of inquiry and specific methods” (p. 5) in order to conduct research that can be applied into practice.

A researcher’s Philosophical worldview provides an underpinning for the design of a study. This researcher’s perspective cascades from the Pragmatic Worldview in which exploration is guided by the “what and how to research, based on the intended consequences” (Creswell, 2009, p. 11). With this worldview as a backdrop, researchers engage in freedom of choice allowing the researcher the ability to be “free to choose the methods techniques and procedures...that best meet their needs and purposes” (p. 11).

Given the philosophical base of Pragmatism, lends itself to a blending of methods, worldviews and analysis, which is reinforced in real-world practice oriented environments (Creswell, 2009). Therefore, this study leaves the door open for this researcher to conduct future studies with a call to action reform often associated with the Advocacy or Participatory Worldview.

Future studies aligned with the Advocacy and Participatory Worldview can be

summarized as “bringing about a change of practice, assisting individuals with breaking out of constraints through empowerment, creating discussions so that change will occur, and engaging participants into active collaboration and changes in practice” (Creswell, 2009, p. 10). Potentially igniting AVID Center to engage in additional research that pertains to pertinent social issues that Creswell (2009) outlines, specifically that of “empowerment, inequality, oppression, domination, suppression, and alienation” (p. 9) issues that are prominent in today’s educational systems.

Validity of Data Gathering Instrument

The Multifactor Leadership Questionnaire (MLQ) is used to capture and “reliably differentiate highly effective from ineffective leaders” (Bass & Avolio, 2004, p. 2). The MLQ was first introduced in 1985 and has undergone several iterations with continued reliability and validity. Mind Garden, Inc. provides the MLQ instrument to researchers for inclusion in research and provides the ability to purchase license reproduction.

The MLQ is approaching three decades of use, and as with all effective tools of measurement has changed over time to strengthen the efficiency to capture “a new paradigm for understanding both the lower and higher order effects of leadership style” (Bass & Avolio, 2004, p. 3). There are several advantages to the MLQ in research due to its emphasis on development, “the survey includes items that measure a leader’s effect on both the personal and intellectual development of self and others” (p. 3). Leaders must develop themselves in order to effectively develop others.

Mind Garden, Incorporated, provides summaries, charts and reviews of validity studies for the MLQ within their MLQ manual. Among the validity studies the following topics were explored: transformational leadership, gender bias, and the six-factor model.

In the latest manual, Mind Garden analyzed a broad sample of 14 individual investigators revisited by parallel analysis by Mind Garden to explore the validity of the full range of leadership styles. Utilizing Confirmatory Factor Analysis (CFA), to support the six-factor model, the results according to Bass and Avolio (2004) “provided the strongest support for the target, six-factor model [and] produced the best fit among the four first-order factor models” (p. 64).

While there has been some suggestion of gender bias within the MLQ, Bass and Avolio (2004), examined the results with United States participants and the results concluded that “the tests for equality of factor structures [were] invariant across genders” (p. 64) signifying that the instrument is effective with both male and female participants.

In this way the MLQ is “a model that is easy to understand” (Bass & Avolio, 2004, p. 15) for both the researcher and the participant in that it “points to a leader’s performance on a range of leadership styles” (p. 15) which answers a researcher’s questions and provides a leader with a clear direction “to be a more effective leader” (p.15). According to Bass and Avolio 2004), due to the ease of use and reliability of the instrument the MLQ has been utilized in “over 30 countries and in numerous languages, as well as a variety of business and industrial firms, hospitals, religious institutions, military organizations, government agencies, colleges, primary schools, and secondary schools” with consistent effectiveness (p. 18).

The latest findings included by Mind Garden Inc., “provide relatively conclusive results for examining a broader and fuller range of leadership styles, especially when one is examining the MLQ 5x factor structure in a relatively large and diverse sample set” (Bass and Avolio, 2004, p. 2). Providing a substantial amount of “consistency

across raters, regions, and cultures” (p. 3) to establish both validity and reliability of this instrument for this study.

Reliability of Data Gathering Instrument

For this research, the purposeful sampling concept as defined by Creswell (2009), as “...the inquirer selects individuals and sites for study because they can purposefully inform an understanding of the research problem and central phenomenon of the study” (p. 178) will be utilized.

The Multifactor Leadership Questionnaire (MLQ) was chosen due to its reputation of being a reliable and valid instrument to explore the phenomenon of Leadership. The latest manual from Mind Garden highlights the latest findings supporting the reliability and validity of the MLQ. According to Bass and Avolio (2004), “reliabilities for each of the six leadership factor scales ranged from .63 to .92 in the initial sample and .64 to .92 in the replication set” (p. 63).

Grounded in the outcomes of both the initial conclusions and the replication of sample studies, Mind Garden supports Bass and Avolio (2004) that the Multifactor Leadership Questionnaire is reliable as “the best and most parsimonious model fit” (p. 63) for the full range of leadership measures.

Data Gathering Procedures

The roles of AVID Elementary Site Principals, Liaisons, Complex Liaisons, Program Managers and Staff Developers comprised the participant pool of AVID Leaders due to their direct involvement in AVID Elementary Professional Learning and implementation. As discussed in the literature review, AVID Center is an organization that takes pride in and promotes an inquiry-based approach to coaching and instruction to inform

transformational change in educational systems across the globe. It was the intent of this study to discover if perceptions and characteristics of AVID Leaders were influenced by exposure to AVID Elementary Professional Learning.

The exploration of the phenomenon of AVID Leadership was limited to those voluntary participants within the current pool of active AVID Leaders. Therefore, in order to gain knowledge of the experience from a variety of perspectives, this study intended to survey the active leaders that attended and implemented during the 2007-2008 to the 2013-2014 academic years directly with AVID Elementary implementation (Creswell, 2009). This quantitative approach allowed this research to explore the characteristics of AVID Leaders “by understanding what factors or variables influence an outcome” (p. 99).

The participants in this study were active members within school districts around the nation or employees of AVID Center actively involved in the implementation of AVID Elementary. The potential participants held a variety of educational leadership roles related to the implementation of AVID Elementary. The participants were determined by identifying a pool of AVID Leaders that participated in at least two professional learning session and are actively involved in the implementation process of the AVID Elementary Model according to the quality certification indicators and professional learning opportunities of AVID Elementary.

Identifying the participant pool, which was a cross-sectional sample, was compiled through a series of steps outlined in this section. Upon receiving approval from AVID Center to access the AVID Center member database (see Appendix A), and authorization of distribution of the MLQ for this study (see Appendix B), the researcher engaged in the following filtering process.

The first filter identified all active AVID Leaders within the identified timeframe of AVID Elementary implementation in the 2007-2013 academic years listed in the AVID Center database known as 'MyAVID'.

MyAVID is a secure members-only, role-specific, platform that provides our employees and our client members the ability to access implementation resources, tools and materials specific to their role, while also providing a search engine to connect and locate other members within the AVID College Readiness System. (J. Sandoval, personal communication, January 23, 2014)

The pool was condensed to include AVID Elementary Leaders that held AVID Center roles of AVID Elementary Liaisons, AVID Complex Liaisons, AVID Elementary Staff Developers, AVID Elementary Program Managers and AVID Elementary School Site Principals. This was to ensure that the pool captured both internal and external clients of AVID Center in leadership roles specific to AVID Elementary.

The final filter identified the specific AVID Elementary roles that had attended at least two AVID Elementary Professional Learning sessions, known as AVID Elementary Summer Institute Strands, AVID Elementary Liaison Leadership Sessions, AVID Complex Liaison Sessions and/or AVID Elementary Staff Developer Calibration Sessions. This pool was associated with the level of implementation aligned with the AVID Center certification process. The highlighted Professional Learning opportunities encompass the available avenues that an AVID Elementary Leader had opportunity to attend during the 2007-2013 school year timeframe and therefore made them eligible for this study.

At the time of the IRB approval, there were approximately 440 potential participants that met the criteria for this study. After receiving IRB approval, the participant pool was identified as 411 potential participants. Once the participant pool

was confirmed, the survey process was administered over the course of eight weeks during the months of July to September 2014.

Potential participants received an individual email invitation to participate in the study. The email included an invitation letter with the Informed Consent (see Appendix C) embedded in the email and was sent to all potential participants.

Mind Garden, Inc. provided a *Transform Online Survey* option in which the researcher submitted demographic questions for inclusion along with the MLQ survey. Mind Garden, Inc. created the survey, collected the data and scored the MLQ data while including the raw data in a csv file back to the researcher.

It was the aim of this design to streamline the process for the participant by embedding the demographic questions and the MLQ within the same platform. Continuing on from the design of the data collection, the data collected was explored by the potential participants through three steps:

Step One (see Appendix D): Confirmation of participation (two options):

- The first option was 'I Agree' and the participant was connected to the survey.
- The second option was 'I Disagree' and the participant was exited from the survey.

Step Two (see Appendix E): Demographics

- Participants provided background information to assist with categorization and the analysis process.

Step Three (see Appendix F): Multifactor Leadership Questionnaire.

- Participants ranked their perceptions according to the 5-point Ordinal Scale designed within the MLQ.

- At the conclusion of the questionnaire, the participants submitted their responses to the secure Mind Garden, Inc. website and were exited from the survey.

Description of Proposed Data Analysis Processes

Upon receiving sufficient participant responses during the assigned window of the survey, the researcher conducted the following analysis steps:

Process One: Determine Total Responses

- Total number of responses, no responses, completed and incomplete surveys from the original potential participant pool.

Process Two: Determine Response Bias

According to Creswell (2009), "Bias means that if nonrespondents had responded, their responses would have substantially changed the overall results" (p.151). This researcher conducted a wave analysis by monitoring the responses weekly "to determine if average responses change" (p. 152). Through monitoring the responses, the researcher was able to determine if follow-up reminder emails and/or phone calls were needed to increase participant response rates throughout the survey window timeframe.

Process Three: Categorization of Raw Data

The researcher categorized the participant responses according to the demographics parameters in order to determine cohort groups in relationship to the exposure/dosage of AVID Elementary Professional Learning. The participants were categorized into smaller groups utilizing the following nomenclature:

- 1) “Newbies” will refer to those participants who have attended one to six AVID Elementary professional learning strands and/or sessions signifying the first and second year of implementation.
- 2) “Experienced” will refer to those participants who have attended seven to eight AVID Elementary professional learning strands and/or sessions signifying the third and fourth year of implementation.
- 3) “Veterans” will refer to those participants who have attended nine or more AVID Elementary professional learning strands or sessions signifying the fifth and beyond years of implementation.

Process Four: Descriptive Analysis

With the cohort groups established the data underwent statistical analyses processes to capture the multiple variables and groups. All of the statistical analyses were conducted using the Statistical Package for the Social Sciences (SPSS). The dependent variables will be constructed according to the MLQ Scoring Key (Appendix H) to calculate the averages on each of the six subscales. The independent variables for this study include the amount of AVID professional learning exposure and the type of education credential held by each participant (elementary, secondary, administration, specialist).

Process Five: Analytic Strategies for Testing the Hypotheses

A multi variant analysis of variance known as a MANOVA was used. This analysis is utilized when exploring comparisons of same groups on multiple dependent variables. The rationale for using a MANOVA is to control for the increased probability of committing a Type I error when comparing the same groups of participants on

multiple dependent variables. A Type I error occurs when the researcher concludes there is a significant difference between the groups being compared when there is no significant difference.

Sample Tables for Proposed Data Analysis

Interpretation of the results of the data analysis will be displayed through both an overview written description and within tables. The following sample table highlights what will be captured and displayed in a variety of tables in Chapter Four.

Table 3

Levels of Measurement

Variables	Level of Measurement	Range Categories
Charismatic/Inspirational	Numeric/Interval	0.0 to 4.0
Intellectual Stimulation	Numeric/Interval	0.0 to 4.0
Individualized Consideration	Numeric/Interval	0.0 to 4.0
Contingent Reward	Numeric/Interval	0.0 to 4.0
Active Management-by-exception	Numeric/Interval	0.0 to 4.0
Passive Avoidant	Numeric/Interval	0.0 to 4.0
Level of Education	Attribute/Categorical	Bachelor Masters Doctorate
Cohort	Attribute/Categorical	Newbie Experienced Veteran
Credential Level	Attribute/Categorical	Multiple Subject Single Subject Administrative Specialist
Level of AVID Influence	Attribute/Categorical	Not at all influential Influential Very Influential

Plans for IRB

This researcher has completed the National Institutes of Health (NIH) course on *Protecting Human Research Participants* in preparation for this research study (see Appendix G). According to the guidelines of IRB and the Pepperdine University IRB Team (2013), this study was submitted as an exempt status. This was due to the

participant pool for this study was within the first exemption category (see Appendix H):

Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as:

- *Research on regular and special education instructional strategies, or*
- *Research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.*

Treating each individual in the study as an anonymous person within each group being provided adequate information prior to voluntarily signing their informed consent form incorporated the principle of respect for persons by designing the study to maximize benefits and to minimize risks to individuals. In order to ensure respect for justice of individuals, the burdens and benefits of research were fairly distributed among individuals and groups. Confidentiality was maintained through the categorizing and analysis process. IRB approval was submitted for exemption due to the fact that this research was conducted in what is considered commonly accepted educational settings and was designed to study an educational setting ("Pepperdine-IRB Online," 2013).

Considerations for human subjects were explored by informing each participant of the risks as outlined in the Informed Consent Form (see Appendix C). Additionally, each participant's responses was filed and named according to the previously outlined classification of Newbie, Experienced and Veteran with respective numerical assignment of 1-3. In this way, perceived or real risks of identification of each participant were minimized outside the research team.

For this specific study, the IRB process included an exempt application submission, due to the fact that the participants' work in public education systems, details of exemption aligned as located in Appendix G.

Summary

For this research study, the phenomenon of AVID (Advancement Via Individual Determination) Leadership was explored in order to identify participant characteristics/perspectives in relationship to prior knowledge and professional learning exposure. AVID Center, a non-profit educational organization, provides membership sites with access to implementation materials, resources, products and professional learning in order to ignite transformational change through the development of a college readiness system for all students. It was the intent of this study to identify if exposure and/or prior experience impacts Leadership characteristics and perceptions of active AVID Elementary Leaders that oversee the implementation within Kindergarten to Eight Grade educational settings.

Chapter Four: Results

The phenomenon of AVID (Advancement Via Individual Determination) Leadership was explored through a cross-sectional pool that included active AVID Leaders in roles specific to the implementation of AVID Elementary (K-8).

The intent of this study, in part, was to explore the impact of dosage on the transformational potency of AVID Elementary Professional Learning. Additionally, it was designed to explore the differences in AVID Leaders prior knowledge and experience combined with the dosage of AVID Elementary Professional Learning on leadership perspectives according to the Multifactor Leadership Questionnaire (MLQ) subscales.

This chapter is organized in terms of the (a) demographics of the respondents, (b) the research questions and (c) the hypothesis posed in Chapter 1 and re-stated in Chapter 3.

The target survey population was composed of leaders within the educational realm of Kindergarten to Eighth Grade with active administrative or leadership roles within the educational model for AVID Center known as AVID Elementary. Due to the fluid nature of educational systems, not all active roles in the AVID Center database met the requirements of the study, resulting in an overall lower potential pool than had been predicted prior to IRB approval.

At the time of IRB approval, according to the AVID Center database, *MyAVID*, 411 AVID Elementary Leaders were eligible for the study. During the course of the survey window (July-September, 2014), 11 potential participants contacted the researcher to inform the study that they did not meet the study criteria. Additionally, one Department of Education office contacted the researcher to request that all 43 potential

participants in their specific district be dismissed due to research protocols within the district. All potential participants requesting dismissal (54) were removed from the potential participants list and were not included in reminder email communications. This removal resulted in a reduced overall potential participant pool to 357 potential participants for this study.

Demographic Results

The total response represented 35% of the original pool of potential participants and 40% of the reduced pool. With 143 participants, of which 105 agreed and 38 submitted complete data, 52% of the remaining potential participants did not respond to the invitation or visit the survey site (see Table 4). The overall survey responses are captured and provided in Table 4.

Table 4

Breakdown of Responses by Participant Pool

	Responses
Potential Participants (Invited to participate in the study)	411
Removed participants (Requested dismissal)	-54
No Response	-214
Total Returned Surveys	143
Agreed and Submitted Survey	105
Disagreed and Did not Complete Survey	-38

During the survey window (July-September), the researcher conducted a wave analysis to monitor the response changes week to week. When the responses decreased or slowed down, the researcher reached out to potential participants through email reminders. Additionally, the researcher conducted phone calls and when possible met with district and state AVID Leaders to encourage them to complete and have their eligible team members complete the survey for the research study. Table 5 captures the weekly response rate during the eight-week survey window timeframe (see Table 5).

Table 5

Distribution of Response Rates

Timeframe	Email Campaign Sent	Participants Declined Survey	Participants Submitted Data
Week 1	411	21	51
Week 2	Reminder email	5	11
Week 3	Reminder email	1	18
Week 4	Reminder email	1	15
Subtotal		28	95
Week 5	Reminder email	5	3
Week 6	Phone Calls	3	0
Week 7	Face to Face	1	5
Week 8	Reminder email	1	2
Total responses		38	105

In order to determine if the participants were representative of the overall potential participant pool, the researcher categorized the participants into smaller groups utilizing the following group nomenclature:

- *Newbies*: participants who had attended AVID Elementary professional learning opportunities signifying the first and second year of implementation.
- *Experienced*: participants who had attended AVID Elementary professional learning opportunities signifying the third and fourth year of implementation.
- *Veterans*: participants who had attended AVID Elementary professional learning opportunities signifying the fifth or more years of implementation.

Of the 103 total participants, the veteran group represented the smallest group, while the experienced and newbie groups had a relatively larger and comparable response rate to each other. This breakdown is representative of the overall AVID Elementary Leader population. Table 6 captures the categorization of all participants that submitted data (see Table 6).

Table 6

Cohort Breakout of Implementation Status

	Submitted Surveys
Newbies	37
Experienced	38
Veterans	28
Completed Survey	103

As indicated in Chapter 3, the Mind Garden survey platform provided an opportunity for the researcher to capture demographic data as well as MLQ subscale

specific date in one survey. Table 7 illustrates that female participants were 3 times more represented than males in this research study (see Table 7).

Table 7

Participant Gender Distribution

Male		Female	
N	%	N	%
27	26.2	76	73.8

Table E illustrates that the overall participant group had an average of 22.3 years in the field of education (see Table 8).

Table 8

Participant Number of Years in Education

25th Percentile	50th Percentile	75th Percentile	Average yrs.	Range
15	21	27	22.3	6 - 46

Table 9, illustrates that 75% of the AVID Leaders held Masters Degrees with 13.5% earning Doctorate Degrees composing 88.5% of the overall AVID Leaders holding an advanced degree in this study (see Table 9).

Table 9

Participant Breakdown of Highest Degree Earned

Bachelors		Masters		Doctorate	
N	%	N	%	N	%
12	11.5	78	75.0	14	13.5

Table 10, illustrates that the overall count of credentials was 213, indicators that several participants held multiple credentials (see Table 10). Table 11 highlights the

frequency of credentials in the participant pool (see Table 11) in which 2 participants did not provide data.

Table 10

Participant Credential Types

Multiple Subject (K-8)		Single Subject (6-12)		Administrator (K-12)		Specialist (K-12)	
N	%	N	%	N	%	N	%
78	75.7	44	42.7	66	64.1	25	24.3

Table 11

Breakdown of Participant Individual Credentials Held

# of Credentials	# of Participants	Percent
1	24	23.8
2	51	50.5
3	17	16.8
4	9	8.9
Totals	101	100

Within the AVID Elementary Model, individuals often hold various roles due to variance in individual educational systems infrastructures and the nature of educational implementations. Therefore, Table 12 indicates duplicate counts with respect to leadership roles within the participant pool (see Table 12).

Table 12

Participants per AVID Leadership Roles

AE Staff Developer		AC Staff		AE Liaison/DD		AE Admin		AE Principal	
N	%	N	%	N	%	N	%	N	%
40	38.5	16	15.4	54	51.9	10	9.6	17	16.3

All individuals invited to participate in this study had attended at least two AVID Elementary Professional Learning opportunities. For this study, four opportunities were available to active members. These opportunities included AVID Elementary Summer Institute Strands, AVID Elementary Liaison Leadership Sessions, AVID Complex Liaison Sessions and AVID Elementary Staff Developer Calibration Sessions. AVID Summer Institute and AVID Elementary Liaison Leadership Sessions were required while the AVID Complex Liaison Leadership Sessions and AVID Elementary Staff Developer Calibrations were invite-only opportunities. Table 13 captures the attendance at the four professional learning opportunities. Note that Table 13 entries reflect a duplicate count (see Table 13).

Table 13

Professional Learning Opportunities Participant Attendance

	AVID Elementary Summer Institute Strands		AVID Elementary Liaison Leadership Sessions		Complex Liaison Leadership Sessions		AVID Elementary Staff Developer Calibration	
	P #	%	P #	%	P #	%	P #	%
Not AVID	16	15.5	34	33.0	90	87.4	43	41.7
Newbie	38	36.9	44	42.7	9	8.7	40	38.8
Experienced	37	35.9	19	18.4	3	2.9	12	11.7
Veteran	12	11.7	6	5.8	1	1.0	8	7.8

The final question on the demographic portion of the survey captured the influence of AVID Elementary Professional Learning on participants' leadership style. This question received 95 of the 105 total responses in which 87% of the respondents perceived that AVID Elementary professional learning influenced their leadership style. Table 14, captures the breakdown of participant perspectives (see Table 14).

Table 14

AVID Elementary Professional Learning Perceived Influence on Leadership Style

Not At All Influential	Influential	Very Influential
12	46	37

Research Question Results

For this study, the researcher explored the following research questions by using the Multifactor Leadership Questionnaire (MLQ) within the second portion of the online survey:

1. What are the leadership subscale scores among AVID Leadership session participants as measured by the Multifactor Leadership Questionnaire (MLQ)?
2. Are any of the Multifactor Leadership Questionnaire (MLQ) subscales related to the participant's demographic characteristics, such as educational level, or area of credential focus (elementary, secondary)?

The Multifactor Leadership Questionnaire captures individual responses and ranks them along the leadership continuum within each subscale, including transformational as well as transactional leadership (Bass and Avolio, 2004). To explore research question one, the researcher compared subscale ratings and leadership scores to determine similarities and differences across all AVID Leaders. Overall, AVID Leaders ranked highest on two subscales- Individual Consideration and Charisma, Inspirational, Motivational. Passive Avoidant, also known as Management-by-exception-passive, was the lowest ranked subscale. Table 15 presents the sample size, mean scores, and standard deviations of the subscales or dependent variables for this study (see Table 15).

Table 15

Overall Participant Pool (Dependent Variables)

Dependent Variables	Number of Participants	Mean	Standard Deviation
Six-Factor Model			
Inspirational/Motivational	103	3.57	.401
Individual Consideration	103	3.57	.428
Intellectual Stimulation	103	3.31	.501
Contingent Reward	103	3.18	.564
Active Management-by-Exception	102	1.35	.834
Passive Avoidant	103	.61	.582

Cohort groups (Newbie, Experienced, Veteran) represented participants within the progression of exposure to AVID Professional Learning. Newbie, attended 4 or less Professional Learning sessions; Experienced, attended 5-8 Professional Learning sessions; and Veteran, attended 9 or more Professional Learning sessions. Table 16 presents the sample size, mean scores, and standard deviations of the subscales between each cohort group (see Table 16).

Table 16

Cohort Breakdown (Dependent Variables)

Leadership Subscale	Newbie (N = 37)		Experienced (N = 38)		Veteran (N = 28)	
	Mean	S. Deviation	Mean	S. Deviation	Mean	S. Deviation
Inspirational/Motivational	3.52	0.35	3.53	0.48	3.67	0.35
Individual Consideration	3.50	0.47	3.59	0.41	3.62	0.41
Intellectual Stimulation	3.23	0.52	3.37	0.45	3.34	0.53
Contingent Reward	3.07	0.64	3.19	0.55	3.30	0.47
Active Management-by-Exception	1.43	0.68	1.44	0.99	1.10	0.75
Passive Avoidant	0.63	0.61	0.61	0.64	0.57	0.47

Hypotheses Results

Four hypotheses in total were tested; each of which addressing a different aspect of Research Questions One and Two.

Hypothesis One and Two:

1. Hypothesis One: The MLQ Subscale of Inspirational/Motivational will be significantly higher than the other MLQ ratings among AVID Leaders.
2. Hypothesis Two: One or more of the MLQ subscales other than Inspirational/Motivational will be significantly higher among AVID Leaders.

Hypothesis One and Hypothesis Two were assessed using a paired t-test procedure such that individual scale scores were compared within the same individual across each MLQ subscale.

Hypothesis One was not supported in that participant ratings on the subscale for Inspirational/Motivational were not significantly higher than ratings on the Individual Consideration subscale. Ratings on the Inspirational/Motivational scale were, however, significantly higher than all the others. See Table 15 for mean ratings and standard deviations on each of the subscales.

Hypothesis Two was supported such that ratings on the Individual Consideration subscale were significantly higher than ratings on the Intellectual Stimulation subscale, $t=5.77$ (102), $p < .001$; the Contingent Reward subscale, $t=7.27$ (102), $p < .001$; the Management-by- Exception Active subscale, $t=22.75$ (102), $p < .001$; and the Management-by- Exception Passive subscale, $t=38.76$ (102), $p < .001$. In addition,

ratings on the Inspirational/Motivational subscale were significantly higher than the other four subscales (see Table 17).

Table 17

Participant Inspirational/Motivational Scale Scores Compared with Other Leadership Scale Scores

Inspirational/Motivational vs.	N	t-value	df	p_value
Individual Consideration	103	-0.03	102	0.98
Intellectual Stimulation	103	5.83	102	< .001
Contingent Reward	103	7.08	102	< .001
Management-by-Exception- Active	102	22.48	102	< .001
Management-by-Exception- Passive	103	39.29	102	< .001

Note. Paired t-tests were conducted for each comparison

Hypothesis Three and Four:

3. Hypothesis Three: Elementary focused AVID Leaders will have significantly higher ratings on the Active Management-by-Exception subscale than secondary focused AVID Leaders.
4. Hypothesis Four: Elementary focused AVID Leaders will have significantly higher ratings on one or more of the MLQ subscales other than Active Management-by-Exception than secondary focused AVID Leaders.

Hypotheses Three and Four were analyzed using a multi variate analysis of variance

(MANOVA) with each of the 6 subscales acting as dependent variable and credential type acting as the independent variable. Subsequent between subjects analyses were conducted to determine significant differences between each subscale. This hypothesis was supported such that elementary focused leaders scored significantly higher than non-elementary trained leaders on the Active Management-by Exception subscale, $F=3.99 (1,100), p < .05$. No other differences between subscales were found. Hypothesis Four was not supported in that no significant differences were found between subscales beyond the Active Management-by-Exception subscale.

Summary of Key Findings

The results presented in this chapter indicate that the educators in this study experienced high perceptions related to Transformational Leadership styles. Additionally, the results indicate that the combination of prior knowledge and AVID Elementary professional learning exposure increased the perceptions of both inspirational/motivational and individualized consideration subscales. Eighty-seven percent of the responding participants perceived AVID Elementary Professional Learning opportunities as influential or highly influential on their individual leadership styles. AVID Leaders who participated in this study exhibited:

- High levels of educational degrees-Masters/Doctorate (85.5%)
- A significant number of years in the education field (mean=22.3 years)
- High number of credentials held (76.2% with 2 or more)

Two of the hypotheses were supported: (a) Ratings on the MLQ subscales of Inspirational/Motivational and Individual Consideration were significantly higher than the

other subscale ratings and (b) Elementary vs. secondary preparatory credential programs influenced the Management-by-exception-active ratings.

A more detailed summary and discussion of the findings are presented in Chapter Five.

Chapter Five: Discussion

Introduction

The focus of this dissertation was on Leadership and more specifically the role of a skills-based approach to transformational leadership and change within the realm of the K-8 AVID Leader. Socratic Leadership and a skills-approach to transformational leadership perspectives were explored and aligned with the philosophical base of AVID Center. The exploration of the philosophy and foundation of AVID was important to provide context for the design and development of professional learning opportunities in which the participants engaged prior to completing this research study.

Revisited Purpose and Intent of Research

This dissertation set out to explore the concepts of mastery learning and mastery performance within one non-profit organization, AVID Center. One subgroup of this organization specifically, the AVID Elementary Leader, and the influence or impact of AVID Professional Learning on leadership style was a key focus for this research. This focus was intentionally on one subgroup that represents a unique population unto itself, and does not represent the larger population of the AVID College Readiness System.

The AVID Elementary Model was developed and designed in 2006 with a national rollout in the summer of 2007. The professional learning design of this subgroup focused on Kindergarten to Eighth Grade educators and methodically organized a philosophical and research base on a Socratic approach to Leadership. Additionally, this model held a foundational belief that leadership skills can be taught through a skills-based approach to bring about positive transformational change.

Leadership is viewed from a variety of perspectives throughout the literature, for this study, a skills-approach theory to leadership was reviewed to demonstrate that leaders can acquire leadership skills. Individuals “are capable of learning from their experiences” (Mumford et al., 2000, p. 156) in order to focus on patterns of leaders and enhance their leadership skills. Additionally, Socratic Leadership views leadership as a “method of simple questioning to bring forth creative thought for inspection and contemplation” (Tucker, 2007, p. 87).

Both theories support the design of the professional learning opportunities in which the participants engaged prior to agreeing to be in this study. The skills-based approach is “unique and quite different from other leadership perspectives” (Northouse, 2010, p. 51) and is in opposition to the belief that leaders are not taught but are simply born. Conversely, the skills-based theory believes “leaders can develop their abilities through experiences” (p. 54) and hence is an opportunity that can be afforded to any individual.

This final chapter of the dissertation revisits the research design, summarizes the findings, and discusses the results while providing recommendations for future research.

Research Design Revisited

As discussed in Chapter Three, this research proposed that there would be common characteristics of AVID Leaders and explored the connections, similarities and differences between AVID Leaders within K-8 educational settings implementing AVID Elementary.

This quantitative survey design utilized the Multifactor Leadership Questionnaire (MLQ) combined with demographic data to investigate this unique population of AVID

Leaders. The research questions and hypotheses addressed revolve around leadership styles and prior educational and professional learning exposure in relationship to AVID Elementary professional learning opportunities.

Areas of Interest

There were several areas of interest within the basic demographic findings of the study that lend themselves to further discussion and exploration. The overall study population included all three cohorts of AVID Leaders (Newbies, Experienced, Veterans), which account for the active leaders within the elementary implementation process and were represented in proportion to the larger eligible pool for this survey research (see Table 6).

It was anticipated that the ratio of females to males would be greater, considering the elementary educators population for this study oversees instruction in grades Kindergarten to Eighth Grade, traditionally female dominated. This was confirmed in this study with females representing three times as many participants as males (see Table 7). A leadership style difference between male and female leaders in the realm of transformational leadership has been explored in the literature. One meta-analysis study “found small but robust differences between female and male leaders” (Northouse, 2010, p. 405) and more specifically that “women’s styles tend to be more transformational than men’s” (p. 192). This presents an interesting discovery that suggests further investigation related to AVID Leaders.

Given the population eligible for this study were in administrative roles within individual education systems, it was anticipated that the average number of years would be high due to the experience and educational level of individual participants in AVID

Leadership roles. This assumption was based on the fact that administrators traditionally gain experience and expertise in the classroom prior to moving into leadership and administrative roles. The average years in educational service exceeded the researcher's expectations with the mean of 22.3 years in education (see Table 8). This mean indicated that the participants in this study have a potentially higher level of prior education and professional learning experiences before becoming an AVID Leader.

The demographic data indicated that this experienced group of educators does in fact collectively hold a higher level of educational degrees and multiple credentials (see Tables 9, 10, and 11). With 85% of the participant pool holding a Master's or Doctorate degree, this indicated extensive prior knowledge and potentially greater preceding exposure to leadership styles and characteristics.

Additionally, the participant pool collectively held 213 educational credentials indicating significant prior knowledge in instructional strategies and practices. With 76.2% of the participants holding more than one credential, prior knowledge of instructional strategies is significant for this population.

The large numbers of credential types and educational levels in comparison to the total number of participants in the study suggests the population participants are more likely to hold multiple credential certifications and engage in higher levels of graduate school coursework and degrees. This makes this subgroup unique to the overall larger teacher population at the classroom level within a school system.

The final demographic survey question yielded a significant positive perception related to the influence or impact of AVID Elementary Professional Learning (see Table 14). While 87% of the participants perceived the professional learning opportunities as

influential or highly influential on their individual leadership styles, it is reasonable to assume that a skills-based approach to Socratic Leadership had a significant impact on this population.

Key Findings

AVID Leaders overall ranked highest on the Multifactor Leadership Questionnaire (MLQ) Inspirational/Motivational and Individual Consideration subscales. These findings align with the AVID Center's philosophical base that individual determination and "best teaching practices" (McAndrews, 2013, p. 1) afford students and school systems the opportunity to "attain college dreams and career aspirations" for all students in the educational system (p. 2). This ideal has sustained and fueled the origin of AVID and provided the underpinning of the AVID Center's Mission "to close the achievement gap by preparing all students for college readiness and success in a global society" (p. 3).

Given that 76% of the population was elementary-focused in their credential programs, prior knowledge formulating instructional strategies for younger students influenced this population. Prior knowledge and experience in elementary settings was significant in that 70% of the population rated "0" or "Not At All" on the Management-by-exception-passive subscale on the MLQ. This is theoretically consistent with the differences in preparatory credential programs focusing on management by exception-active as an important component in shaping the education of young children. This is in opposition to the other end of the spectrum, in which older children and teenagers are taking ownership of their own learning, and therefore, secondary-focused educators tend to take a passive avoidant approach to the student learning process.

Overall, the population for this study, exhibited high levels on the subscales that are often associated with transformational leadership, which include Inspirational/Motivational and Individualized Consideration (Bass and Avolio, 2004). This is consistent in the literature that transformational leaders are effective in “motivating their followers to transcend their own self-interests for the good of the team, organization or community” (Northouse, 2010, p. 187). Given AVID Center is in the business of educational transformational change, these subscale outcomes link with the substructures of AVID Center’s missions and objectives.

Interpretations and Insights

On the basis of this study alone, it is difficult to be certain about the factors accounting for the experience levels of the participant pool. Therefore, this is an area of potential exploration concerning the possibility of a ceiling effect related to prior knowledge influence on implementation and professional learning opportunities within the transformational leadership and transformational change arenas. Perhaps, the population exhibited levels on the MLQ subscales related to transformational leadership that were so high that it restricted the ability to identify differences as a result of prior professional learning opportunities.

The AVID Elementary implementation model during the timeframe of this study was limited to existing AVID Secondary Feeder Patterns. This restriction increased the probability that districts that chose to become members and attend AVID professional learning have already aligned their philosophical and instructional practices with that of AVID Center. Therefore, it is reasonable to predict that AVID Elementary

implementation is chosen by leaders with a perspective of transformational change for a school site and feeder pattern.

In this way, it would be worthy of a study to explore the instructional and philosophical baselines of individuals prior to attending AVID Professional Learning to identify areas that are being refined rather than introduced due to already existing skills and beliefs.

Previous studies have concluded that there are specific strategies that do in fact identify instructional strategies that promote mastery learning in the classroom, as highlighted in the Literature Review in Chapter 2, specifically the work of Bloom, Dweck, and Gladwell. This study yields a different perspective on identifying leadership subscales that influence mastery transformational leadership in order to lead positive transformational change.

The AVID Elementary Model for leaders was based on both a skills-based approach and a Socratic Leadership approach to transformational change across a school site for both male and female leaders. While the majority of the leaders in this study were female, the leadership approach was designed with a gender equity focus. With this androgynous approach to leadership it could be hypothesized that AVID Elementary professional learning opportunities “enhance leadership effectiveness by giving people the opportunity to engage in the best leadership practices, and not by restricting people to those behaviors that are most appropriate to their gender” (Northouse, 2010, p. 316). It is reasonable to assume that for this population, transformational leadership in the form of Socratic Leadership appeals to both genders.

Recommendations

While this single study only touches the surface of exploration of Socratic Leadership as a skills-based approach to transformational change, this study would suggest that newly appointed AVID Leaders would benefit from additional research. Future research is encouraged to explore baseline differences in Professional Learning history to further extricate the transformative nature of AVID Elementary Professional Learning and the relationship of Transformational Change.

The findings of this study encourage future research to explore educators' prior experience and knowledge in more depth prior to engaging in the implementation process with AVID Center. Perhaps AVID Center recruits and enrolls cohorts of educational leaders already exhibiting best instructional practices and transformational change philosophies. Therefore, it could be hypothesized that when beginning membership as an AVID Leader there could be a ceiling effect, due to the fact that the educators enter in high on the subscales of transformational leaders within the Multifactor Leadership Questionnaire (MLQ).

Exploration of both the followers and the leaders would prove beneficial for evaluation of quality implementation and successful outcomes for individual students and school sites across the nation. In this way, it would be advantageous to explore if Socratic Leadership and a skills-based approach to transformational leadership have an impact on the certification and implementation process within the AVID Elementary Model.

Given, AVID is implemented around the globe; exploration of how a skills-based approach to transformational leadership is realized in a variety of educational systems might be considered in future studies.

Implications for Future Research

For AVID Leaders, longitudinal and pre/post studies would benefit the design and delivery of professional learning opportunities. Of possible interest is the prior experience and knowledge base of AVID Leaders preceding the implementation process in both Elementary and Secondary levels respectively.

For AVID College Readiness Systems, further study of beneficial pre-requisites or prior knowledge for AVID Leaders within the AVID Elementary Model would enhance the implementation process. Suggested pre-requisites, such as educational level and credentialing programs, would enhance individual school systems abilities to identify and invest in the optimal educator to embark on the implementation process in the role of AVID Elementary Leader.

For AVID Center, comparative studies between the AVID Elementary Model and the AVID Secondary Model would be beneficial to inform and influence the design and distribution of professional learning opportunities related to transformational leadership and transformational change.

Given this research followed a quantitative design, a mixed methods design would address the complex questions that arose from this study; therefore “the use of either quantitative or qualitative approaches by themselves is inadequate to address this complexity” (Creswell, 2009, p. 203). The mixed methods approach, as described by Creswell (2009) provides more insight from the combination of qualitative and

quantitative research that cannot be obtained in one form in isolation (p. 203). In this way, a “process of using multiple methods, data collection strategies, and data sources to obtain a more complex picture of what is being studied and to cross-check information” (p. 204) might be considered in future research.

Conclusion

While the world of education intently focuses on outputs and outcomes, this study takes a different perspective, that of focusing on the inputs and intentions. Across the globe, “countries that excel in education use a wide array of purposeful strategies” (Stewart, 2011, p. 16) to strengthen their educators and impact student outcomes. While countries are establishing, exploring and fine-tuning national standards, national curriculum and national assessments; a parallel emphasis is being placed on leaders. Trends in education imply, “weak school leadership can result in poor school performance and high teacher turnover” (p. 20). Therefore, research that focuses on improving the professional learning of leaders, both at the site and district level, should be considered to lead school wide transformational change.

The findings of this study indicate that transformational leadership and AVID Leaders are related and produce challenges that spark further research related to transformational change and transformational leadership:

- How do prior knowledge, prior experience and preceding expectations influence Leaders?
- How does taking a proactive approach to leadership impact teacher and student outcomes?
- What type of leader does it take to positively transform a school?

- How does a methodical professional learning approach impact leadership styles?

Clearly, further research in the area of transformational leadership and its impact on educational change is warranted. Trends found and identified herein support the notion that a skills-based approach to professional learning may have an influential impact on educators and educational systems around the nation. If educational leaders were strategically identified and methodically provided a skills-based approach to transformational leadership, mastery learning and mastery performance in leadership could be attained.

Currently, one of the largest barriers for individual student achievement is the instructional leader. The educational leaders that guide the overall educational systems both at the site and district level have the opportunity to impact the cycle of underperforming districts, schools, administrators, and teachers perpetuating the vicious cycle of underperforming students. "Skillful leadership on the part of principals and teachers is essential if schools are to become communities of learning for both students and educators" (Sparks, 2002, p. 75) therefore, the need for a proactive approach to persistent and powerful professional learning opportunities to foster instructional leadership competence is paramount.

Cultivating strong Educational Leaders does not require magic; rather it is a systematic and systemic approach to instilling key skills, strategies and methods for enhancing and approaching transformational change. Change is inevitable and change ensues with each academic year, albeit slowly at times, in the realm of education. Instructional Leaders possess the status, influence and power to make the change

process positive and productive. From a systems-thinking perspective, this is referred to as “coevolution, whereby people change their environment, and their different experiences in this changed environment change their brains so that they make new changes” (Rock & Page, 2009, p. 2). In essence, through concentrated awareness combined with precise action, co-existing systems can positively improve and change.

Through focused education credentialing programs, and intentional professional learning opportunities the achievement gap could truly be closed for all students. Purposeful, transformational Leadership can increase the functioning of educational systems, therefore increasing the educational performance of students and possibly changing the trajectory to success for millions of children around the globe.

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APPENDIX A

Authorization to Access Participant Pool

Dear Dr. Dennis Johnston
Vice President of Quality, Research and Outreach
AVID Center Headquarters

This letter is to request authorization to access AVID Center's database of AVID Elementary Leaders for my dissertation study. The research study is designed with a quantitative approach that will capture a cross-sectional sample of AVID Leaders in the K-8 realm of AVID Center's work through a survey design. The survey will include a demographic questionnaire and the Multifactor Leadership Questionnaire (MLQ) from Mind Garden, Inc.

Given my role as Director of Elementary, I would like to explore the phenomenon of AVID Elementary (AE) Leadership and wish to obtain access to the AVID Center member database to identify participants for this study.

Participants will be identified according to the following nomenclature:

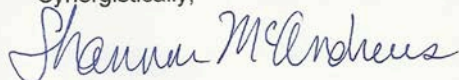
- 1) "Newbies"=attended 2 AVID Elementary Professional Learning Opportunities at Summer Institute (SI) or AE Liaison Leadership Sessions
- 2) "Experienced"=attended 3 or 4 AVID Leadership Sessions (either SI and/or AE Liaison Leadership Sessions)
- 3) "Veteran"=attended 5 or more AVID Leadership Professional Learning Sessions (either SI and/or AE Liaison Leadership Sessions)

The purpose of this study is to examine and explore the leadership characteristics of AE Leaders as well as the impact of prior educational background and exposure to AE Professional Learning of both our external

clients (AE Liaisons and AE Site Principals) and our internal (AE Program Managers and AE Staff Developers).

Approval to access AVID Center's database affords me the opportunity to submit my dissertation preliminary proposal and upon approval of my committee apply for IRB approval and begin my study. Please let me know if you need additional information or clarification related to the study.

Synergistically,



Shannon McAndrews, M.Ed.



Signature of Approval

11/11/2013

Date

Dennis A. Johnston, Ph.D.

Vice President of Quality, Research and Outreach

AVID Center Headquarters

APPENDIX B

License to Administer and Reproduce Authorization

Mind Garden, Inc.

This letter is to grant permission for Shannon McAndrews to use the following copyright material for her dissertation research.

Instrument: Multifactor Leadership Questionnaire

Authors: Bernard Bass and Bruce Avolio

Copyright: 1995

Five sample items from this instrument may be reproduced for inclusion in a proposal, thesis, or dissertation. The entire instrument may not be included or reproduced at any time in any other published material.

APPENDIX C

Informed Consent Form AVID Leadership Study

Dear *AVID Educator*:

My name is Shannon McAndrews, and I am a doctoral candidate in Organizational Leadership at Pepperdine University, Graduate School of Education and Psychology, who is currently in the process of recruiting individuals for my study entitled, "*AVID Leadership: A Skills Approach to Transformational Change*." The professor supervising my work is Dr. Andrew Harvey. The study is designed to investigate and explore the common characteristics and attributes of AVID Leaders, so I am inviting individuals who meet the following criteria:

1. Attendance and completion of at least two Summer Institute AVID Elementary Strands or attendance and/or completion of at least two AVID Elementary Liaison Leadership Sessions.
2. Active membership in the role of AVID Elementary Site Principal, AVID Elementary Liaison, AVID Elementary Staff Developer or AVID Elementary Program Manager.
3. Active member in the AVID Elementary implementation process between 2007-2014 academic years.

If you should decide to participate in the study, you will be asked to complete a two part online survey. It should take approximately 5-10 minutes for the demographic questions and 30-40 minutes to complete the survey you have been asked to complete. Please complete the survey in a single setting.

Although minimal, there are potential risks that you should consider before deciding to participate in this study. These risks include your time to take the survey, boredom and/or fatigue while answering the survey.

The potential benefits to you for participating in the study are contributing and experiencing a quantitative survey research study. Additionally it provides an opportunity to inform the practices, services and support of AVID Center related to the AVID Leader experience.

If you should decide to participate and find you are not interested in completing the survey in its entirety, you have the right to discontinue at any point without being questioned about your decision. You also do not have to answer any of the questions on the survey that you prefer not to answer--just leave such items blank.

Within 2 weeks, a reminder email will be sent to all potential participants to complete the survey. Since this email will go out to all potential participants, I apologize ahead of time for sending this reminder if you have complied with the deadline.

If the findings of the study are presented to professional audiences or published, no information that identifies you personally will be released. The data will be kept in a secure manner for at least five years at which time the data will be destroyed.

If you have any questions regarding the information that I have provided above, please do not hesitate to contact me at the address and phone number provided below. If you have further questions or do not feel I have adequately addressed your concerns, please contact Dr. Andrew Harvey at (310) 568-5600 or aharvey@pepperdine.edu. If you have questions about your rights as a research participant, contact Dr. Thema Bryant-Davis, Chairperson of the Graduate and Professional Schools Institutional Review Board, Pepperdine University, Graduate School of Education and Psychology.

By completing the survey and submitting it to me, you are acknowledging that you have read and understand what your study participation entails, and are consenting to participate in the study.

Thank you for taking the time to read this information, and I hope you decide to complete the survey. You are welcome to a brief summary of the study findings in about 1 year. If you decide you are interested in receiving the summary, please inform me in a reply to this email.

Sincerely,

Shannon McAndrews
Doctoral Candidate
Pepperdine University

APPENDIX D

Confirmation to Participate

Dear AVID Leader

Thank you for agreeing to partake in the AVID Leadership Study. In order to begin this survey, please confirm your participation by clicking on one of the following options:

Option A: Yes, I agree to participate in this study. (link to survey)

Option B: No, I do not agree to participate in this study (exit link)

(Survey link to conclude)

Thank you for supporting the AVID College Readiness System!

APPENDIX E

Demographic Questions for AVID Leadership Study

1. Gender (male and female bubble response)
2. Number of years in Education (fill in box)
3. What is your AVID title or role? (please select all that apply)
 - a. AVID Center Staff
 - b. AVID Elementary Staff Developer
 - c. AVID Elementary Liaison/District Director
 - d. AVID Elementary Principal
 - e. AVID Elementary Administrator
4. Highest Educational Degree (please select one)
 - a. Bachelor's Degree
 - b. Master's Degree
 - c. Doctorate Degree
5. Credentials held (yes or no bubble response)
 - a. Multi-subject Credential
 - b. Single-subject Credential
 - c. Administrative Credential
 - d. Specialist Credential (Special Education, Counseling, Physical Ed, etc.)
6. Please specify whether you have attended the AVID Elementary focused Professional Learning Opportunities? (Dropdown options)
 - a. Summer Institute AVID Elementary Strand
 - b. AVID Elementary Liaison Leadership Session
 - c. AVID Complex Liaison Leadership Session
 - d. AVID Elementary Staff Developer Calibration Session
 Dropdown options
 - 0 Have not attended
 - 1-2 Attended Sessions
 - 3-4 Attended Sessions
 - 5 or more Attended Sessions
7. In general, to what degree has your leadership style been influenced by attendance at AVID Elementary Liaison Leadership and/or AVID Elementary Summer Institute Strands? (Ordinal Scale)
 - a. Not at all influential
 - b. Influential
 - c. Very Influential

APPENDIX F

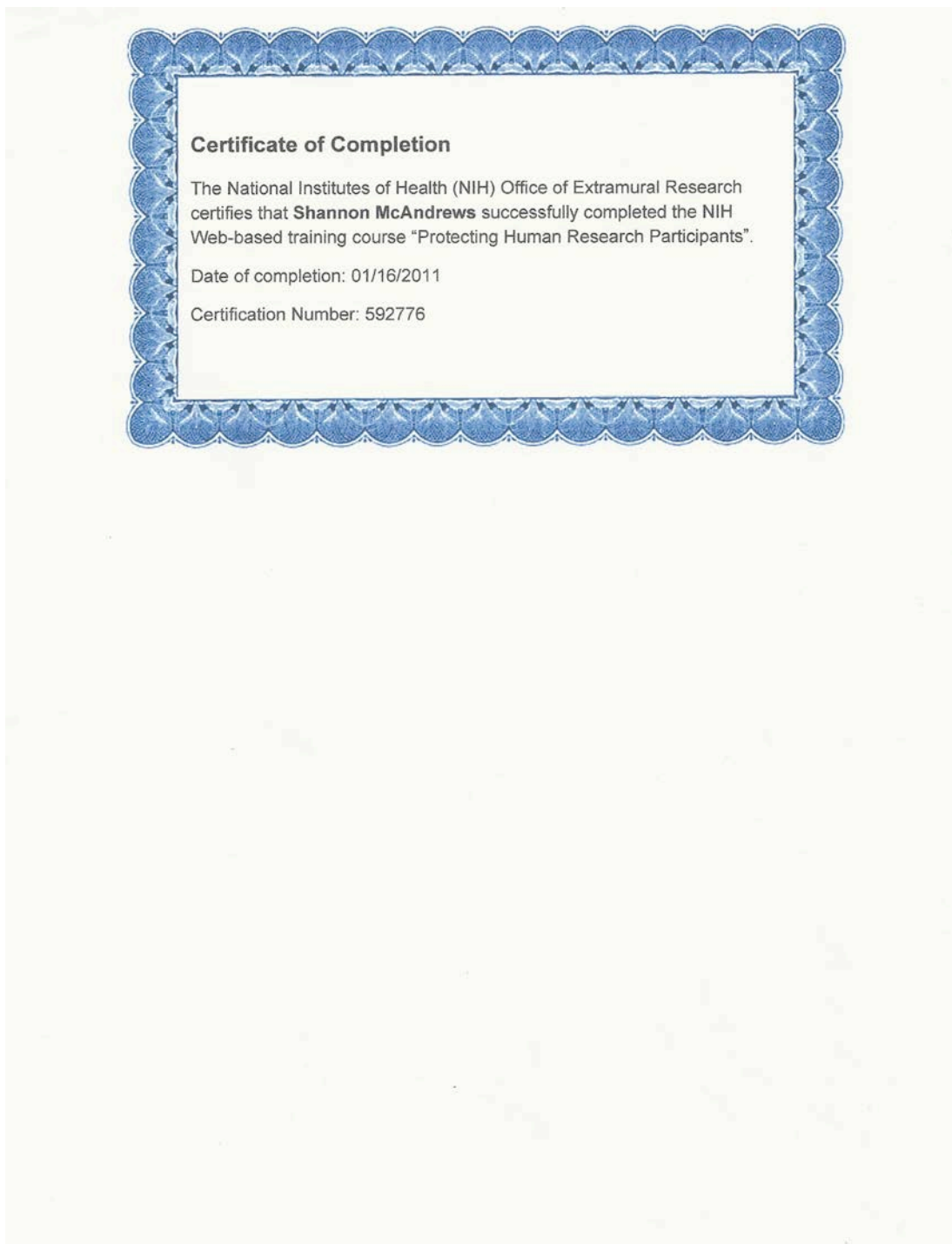
Multifactor Leadership Questionnaire Sample Questions

Multifactor Leadership Questionnaire Rating Scale				
0	1	2	3	4
Not at all	Once in a while	Sometimes	Fairly Often	Frequently, if not always

5. I avoid getting involved when important issues
arise..... 0 1 2 3 4
6. I talk about my most important values and
beliefs.....0 1 2 3 4
7. I am absent when needed.....0 1 2 3 4
8. I seek differing perspectives when solving
problems.....0 1 2 3 4
9. I talk optimistically about the future.....0 1 2 3 4

APPENDIX G

Certificate of Completion



APPENDIX H

Research Activities Exempted From Federal Regulation (CFR)

Investigators should note that these exemptions (at 45 CFR 46.101(b)) do not apply to research involving prisoners, fetuses, pregnant women, or human in vitro fertilization (Subparts B and C).

The exemption at 45 CFR 46.101(b)(2), for research involving survey or interview procedures or observations of public behavior, does not apply to research with children, Subpart D, except for research involving observations of public behavior when the investigator(s) do not participate in the activities being observed.

1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as
 - Research on regular and special education instructional strategies, or
 - Research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless:
 - Information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and
 - Any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b)(2) of this section, if:
 - The human subjects are elected or appointed public officials or candidates for public office; or
 - Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
4. Research, involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
5. Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine:
 - Public benefit or service programs;
 - Procedures for obtaining benefits or services under those programs;
 - Possible changes in or alternatives to those programs or procedures; or
 - Possible changes in methods or levels of payment for benefits or services under those programs.

APPENDIX I

IRB Approval Letter

PEPPERDINE UNIVERSITY

Graduate & Professional Schools Institutional Review Board

July 9, 2014

Project Title: AVID Leadership: A Skills Approach to Transformational Leadership

Dear Ms. McAndrews:

Thank you for submitting your application, *AVID Leadership: A Skills Approach to Transformational Leadership*, for exempt review to Pepperdine University's Graduate and Professional Schools Institutional Review Board (GPS IRB). The IRB appreciates the work you and your faculty advisor, Dr. Harvey, have done on the proposal. The IRB has reviewed your submitted IRB application and all ancillary materials. Upon review, the IRB has determined that the above entitled project meets the requirements for exemption under the federal regulations (45 CFR 46 - <http://www.nihtraining.com/ohsr/site/guidelines/45cfr46.html>) that govern the protections of human subjects. Specifically, section 45 CFR 46.101(b)(2) states:

(b) Unless otherwise required by Department or Agency heads, research activities in which the only involvement of human subjects will be in one or more of the following categories are exempt from this policy:

Category (2) of 45 CFR 46.101, research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: a) Information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

In addition, your application to waive documentation of informed consent has been approved.

Your research must be conducted according to the proposal that was submitted to the IRB. If changes to the approved protocol occur, a revised protocol must be reviewed and approved by the IRB before implementation. For any proposed changes in your research protocol, please submit a **Request for Modification Form** to the GPS IRB. Because your study falls under exemption, there is no requirement for continuing IRB review of your project. Please be aware that changes to your protocol may prevent the research from qualifying for exemption from 45 CFR 46.101 and require submission of a new IRB application or other materials to the GPS IRB.

A goal of the IRB is to prevent negative occurrences during any research study. However, despite our best intent, unforeseen circumstances or events may arise during the research. If an unexpected situation or adverse event happens during your investigation, please notify the GPS IRB as soon as possible. We will ask for a complete explanation of the event and your response. Other actions also may be required depending on the nature of the event. Details regarding the timeframe in which adverse events must be reported to the GPS IRB and the appropriate form to be used to report this information can be found in the *Pepperdine University Protection of Human Participants in Research: Policies and Procedures Manual* (see link to "policy material" at <http://www.pepperdine.edu/irb/graduate/>).

Please refer to the protocol number denoted above in all further communication or correspondence related to this approval. Should you have additional questions, please contact Kevin Collins, Manager of the

Institutional Review Board (IRB) at gpsirb@pepperdine.edu. On behalf of the GPS IRB, I wish you success in this scholarly pursuit.

Sincerely,

A handwritten signature in cursive script that reads "Thema Bryant-Davis".

Thema Bryant-Davis, Ph.D.
Chair, Graduate and Professional Schools IRB

cc: Dr. Lee Kats, Vice Provost for Research and Strategic Initiatives
Mr. Brett Leach, Compliance Attorney
Dr. Andrew Harvey, Faculty Advisor