

ABSTRACT

Cheryl Lynn Fillingame Wilson, DEVELOPING A PRINCIPAL INDUCTION PROGRAM FOR CRAVEN COUNTY SCHOOLS (Under the direction of Dr. James McDowelle)
Department of Educational Leadership, March, 2015.

The demands of principals have increased drastically over the years and principals are overwhelmed as they accept the responsibility for an entire school. With an emphasis on performance and accountability and realizing that the principal's contribution to student learning is second only to the teacher, school districts are seeking tools to develop highly effective principals.

This study investigated the problem of too few experienced administrators in Craven County Schools. The problem of practice grew out of concern from Superintendent Dr. Lane Mills and the district leadership team as they reviewed the experience levels of the principals. The questions examined were:

1. Using the continuous improvement model, what is the comprehensive design of a Principal Induction Program to prepare school leaders for effective leadership in Craven County?
2. Based on the literature review, anecdotal notes, surveys, emotional intelligence test, and interviews, what components are deemed essential to be a highly qualified principal in Craven County?

The results of the data collected found: (1) The principalship requires a multidimensional leader (2) Principals of various experience levels perceive themselves differently than others; and (3) Principals support should include a multifaceted approach through individualized and cohort based activities. Findings from this research reinforced the importance of a Craven County Principal Induction Program. The data collected will be used in preparing Craven County

Schools' administrators for the work of a twenty-first century principal, one who focuses on learning and balances the managerial responsibilities. Z. Smith Reynolds recognized the Craven County Schools commitment to leadership and the district was awarded a grant of ninety thousand dollars to ensure that support for their leaders continue.

DEVELOPING A PRINCIPAL INDUCTION PROGRAM
FOR CRAVEN COUNTY SCHOOLS

A Dissertation

Presented to

The Faculty of the Department of Educational Leadership
East Carolina University

In Partial Fulfillment

of the Requirements for the Degree

Doctor of Education in Educational Leadership

by

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March, 2015

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DEDICATION

This dissertation is dedicated to one of God's greatest blessings, my family. Without my family, none of this would be possible. Their guidance and unconditional love throughout my life have given me the tools to succeed. I love you all dearly and thank you to another galaxy and back!

A debt of appreciation to my parents, Ray and Shirley Fillingame. They have shared unwavering support and taught me to persevere. I would like to thank them for absorbing my frustrations and sacrificing to make this journey happen. When I was weak, I grew strength from their encouragement. I could not have had more loving and caring parents.

I gratefully acknowledge my husband, Raymond Wilson. He has been willing to walk this journey with me and make sacrifices in order for me to have the opportunity to complete this study. I thank him for his patience as many things were put on hold because I was researching and writing. Hopefully, we can now sit on the sofa or go places without stacks of papers, a computer, and a bag of books.

I give tremendous thanks to my children, Lee, Phillip, Samantha, and Laura for their abundant love and patience when I was absorbed. Their encouraging words and faith in me throughout the process have supported me on difficult days. I appreciate their willingness to volunteer to be my personal tech gurus. My favorite title is being their mom!

I gratefully acknowledge my grandchildren, Michaela, Brighton, Zachary, and Savannah who simply would smile and kept me grounded in what was really important. I appreciate their positive energy through hugs and kisses. I challenge each of my grandchildren to soar in their educational endeavors and keep the doors of opportunity open. I hope they see that one of the reasons for this study is to improve the lives they have before them.

I wish to share a heartfelt thanks and appreciation to my sister Kim, and her family, Ray, Rebecca, Christopher, and Katherine and my brother Chris, and his family, Christy, Nicholas and Nathaniel. They have given me a sense of calm, optimism, and an occasional nudge just when I needed it. I appreciate how they have cheered me along the way while diffusing my stress with laughter. They've always supported me and made me feel that I could accomplish any dream.

I am extremely blessed to have an enormous extended family, The Fillingames, Koonces, Bradshaws, Wilsons, and Smiths. I appreciate their encouragement and belief in me every step of the way. They always sent thoughts, well wishes, and prayers to complete this study. I am thankful for their patience and understanding when this work caused me to be absent or absent-minded.

I am eternally appreciative of my ancestors' guidance. To my aunt, Eula Bell, who instilled in me the work ethic needed to finish this study. Her memory has given me the strength to persevere and to always find possibilities and learning opportunities in the most difficult of circumstances. Her arms in the form of a blue blanket have been wrapped around me every day as I have researched and typed. My only regret is that Bell and my grandparents are no longer on this Earth and not able to hear about the impact they have made on my life. My ancestors did not have the privileges that I had educationally, but they taught me the morals, values, and life skills that I use every day. I am proud to be one of the threads of their legacies. I hope they are smiling down from Heaven.

With gratitude and humbleness, I thank God for His direction and guidance. It is my hope that I will serve others as a result of this work. By His hands, all things are possible.

ACKNOWLEDGEMENTS

I gratefully acknowledge my sincere appreciation to an outstanding dissertation committee, Dr. James McDowelle, Dr. Art Rouse, Dr. William Grobe, and Dr. Lane Mills. I would like to thank each of you for contributing your knowledge, expertise, and guidance. They have demanded quality from me and rekindled the lifelong values of research, curiosity and inquiry. Each of the comments and suggestions have been invaluable and stretched me in new dimensions. Their willingness to serve on my committee and support will forever guide me in further endeavors.

A monumental debt of gratitude is owed to my mentor, Dr. Lane B. Mills, who inspired me to embark on this educational journey. He has provided hours of advice, proofread and navigated me throughout the entirety of my doctoral program. I am extremely thankful for his clarity, ability to keep me focused, and his reminders to me that I have it, now put it on paper.

Sincere thanks and gratefulness to the all of the participants for their willingness to share personal experiences as learners and leaders. I appreciate their time, honesty, and professional reflections. My colleagues work collaboratively to build a legacy for tomorrow's leaders through their immeasurable influence and service to the students of our community. I am humbled and take great pride in being one of their colleagues. They opened their organizations and hearts which made the data real, thereby, contributing to the successful completion of this study.

Also instrumental in this study are the staff and students with whom I have had the pleasure to learn from over the years. Every educator and student has brought me to where I am today and challenged me to continuously keep learning. Their talents and skills are fondly remembered and have stamped an impression in my heart that impact me daily.

TABLE OF CONTENTS

	Page
TITLE.....	i
SIGNATURE.....	ii
COPYRIGHT.....	iii
DEDICATION.....	iv
ACKNOWLEDGEMENTS.....	vi
LIST OF TABLES.....	xvi
LIST OF FIGURES.....	xvii
CHAPTER ONE: INTRODUCTION OF THE STUDY.....	1
Description of the Local Context.....	1
Statement of the Problem.....	5
History of the Problem.....	9
Perspective of the Problem.....	11
Causes and Costs of the Problem.....	15
Definitions.....	16
Organization of the Problem of Practice.....	18
CHAPTER TWO: LITERATURE REVIEW.....	19
Introduction.....	19
What is Leadership?	21
Are Leaders Born or Made?	23
Leadership Theories.....	24
Great Man.....	25
Trait.....	25

Behaviorist.....	27
Situational.....	29
Contingency.....	30
Path-Goal.....	32
Transactional.....	32
Transformational.....	33
Leadership Styles.....	34
Instructional.....	35
Facilitative.....	36
Servant.....	36
Competencies.....	38
Emotional Intelligence Competency.....	39
Great by Choice Descriptors.....	44
Role of the Principal.....	47
Principal Preparation Programs.....	50
Exemplary Induction Programs.....	51
Coaching.....	56
Mentoring.....	60
How Adults Learn.....	62
Program Development.....	66
Summary.....	67
CHAPTER THREE: METHODOLOGY.....	68
Introduction.....	68

Methodology Design.....	69
Program Development Framework.....	70
Participants.....	73
Data Sources for Program Development.....	76
Anecdotal Notes.....	76
Competency Assessment.....	77
Emotional Intelligence Appraisal.....	80
Interviews.....	83
Data Collection.....	86
Summary.....	87
CHAPTER FOUR: RESULTS.....	89
Introduction.....	89
Respondents.....	89
Competencies.....	90
Change Management.....	91
Anecdotal note.....	92
Interview.....	92
Surveys.....	92
Communication and Dialogue/Inquiry.....	92
Anecdotal note.....	95
Interview.....	95
Surveys.....	95
Conflict Management and Responsiveness.....	98

Anecdotal note.....	98
Interview.....	101
Surveys.....	101
Creative Thinking.....	106
Anecdotal note.....	106
Interview.....	107
Surveys.....	107
Customer Focus.....	107
Anecdotal note.....	110
Interview.....	110
Surveys.....	110
Delegation.....	113
Anecdotal note.....	113
Interview.....	113
Surveys.....	113
Emotional Intelligence.....	115
Anecdotal note.....	115
Interview.....	117
Surveys.....	117
Emotional Intelligence-Based on MSCEIT.....	117
Perceiving emotions branch.....	120
Facilitating thought branch.....	123
Understanding emotions branch.....	124

Managing Emotions Branch.....	124
Environmental Awareness.....	127
Anecdotal note.....	128
Interview.....	128
Surveys.....	128
Global Perspective	131
Anecdotal note.....	131
Interview.....	131
Surveys.....	132
Judgment.....	132
Anecdotal note.....	135
Interview.....	135
Surveys.....	135
Organizational Ability.....	137
Anecdotal note.....	137
Interview.....	137
Surveys.....	139
Personal Ethics and Values.....	139
Anecdotal note.....	139
Interview.....	142
Surveys.....	142
Personal Responsibility for Performance.....	142
Anecdotal note.....	145

Interview.....	145
Surveys.....	145
Results Orientation.....	148
Anecdotal note.....	148
Interview.....	148
Surveys.....	149
Sensitivity.....	149
Anecdotal note.....	152
Interview.....	152
Surveys.....	152
Systems Thinking.....	155
Anecdotal note.....	155
Interview.....	156
Surveys.....	156
Technology.....	156
Anecdotal note.....	156
Interview.....	159
Surveys.....	159
Time Management.....	159
Anecdotal note.....	162
Interview.....	162
Surveys.....	162
Visionary.....	165

Anecdotal note.....	165
Interview.....	165
Surveys.....	166
Overall Competency Results.....	166
Summary.....	172
CHAPTER FIVE: SUMMARY.....	174
Introduction.....	174
Background.....	174
Methodology.....	175
Conclusions.....	176
Conclusion 1.....	176
Conclusion 2.....	178
Conclusion 3.....	178
Implications.....	180
Within Craven County.....	180
Outside Craven County.....	181
Limitations.....	181
Recommendations for Practice.....	182
Recommendations for Future Research.....	184
Summary.....	185
REFERENCES.....	187
APPENDIX A: LETTER OF SUPPORT.....	213
APPENDIX B: LEADERSHIP DEVELOPMENT COACH JOB DESCRIPTION.....	215

APPENDIX C: NORTH CAROLINA SCHOOL EXECUTIVE COMPETENCIES.....	217
APPENDIX D: PERMISSION TO USE EXEMPLARY DISTRICT MENTORING AND INDUCTION PROGRAMS.....	220
APPENDIX E: EXEMPLARY DISTRICT MENTORING AND INDUCTION PROGRAMS.....	221
APPENDIX F: PERMISSION TO INCLUDE TABLE FROM DR. KATHY SPENCER’S DISSERTATION.....	229
APPENDIX G: NORTH CAROLINA SCHOOL EXECUTIVES STANDARDS.....	230
APPENDIX H: PERMISSION TO USE MOBIUS STRIP FROM BLENDED COACHING.....	233
APPENDIX I: IRB APPROVAL	234
APPENDIX J: CONSENT FORM FOR ANECDOTAL NOTES.....	235
APPENDIX K: CONSENT FORM FOR COMPETENCY SELF-ASSESSMENT OF PRINCIPALS.....	237
APPENDIX L: CONSENT FORM FOR COMPETENCY ASSESMENT OF PRINCIPALS BY SUPERVISORS.....	239
APPENDIX M: COMPETENCY SELF-ASSESSMENT	241
APPENDIX N: CONSENT FORM FOR MAYER, SALOVEY, CARUSO EMOTIONAL INTELLIGENCE TEST (MSCEIT).....	245
APPENDIX O: CONSENT FORM FOR INTERVIEWS	247
APPENDIX P: INTERVIEW QUESTIONS FOR FIRST AND SECOND YEAR PRINCIPALS.....	249
APPENDIX Q: COMPETENCY ASSESSMENT DISCREPANCIES BY INDIVIDUAL ROOKIES AND THEIR SUPERVISORS.....	252
APPENDIX R: COMPETENCY ASSESSMENT DISCREPANCIES BY INDIVIDUAL NOVICES AND THEIR SUPERVISORS.....	255
APPENDIX S: COMPETENCY PERCEPTIONS BY PRINCIPALS AND THEIR SUPERVISORS	260

APPENDIX T: COMPETENCY DISCREPANCIES BETWEEN PRINCIPALS AND THEIR SUPERVISORS.....	263
APPENDIX U: INDIVIDUAL ROOKIE EMOTIONAL INTELLIGENCE STANDARDS SCALE SCORES	265
APPENDIX V: INDIVIDUAL NOVICE EMOTIONAL INTELLIGENCE STANDARDS SCALE SCORES	266

LIST OF TABLES

1. Excerpt from Craven County’s Five Year Strategic Improvement Plan.....	6
2. Comparison of Experience Levels of Principals.....	8
3. Traits and Characteristics of Effective Leaders.....	26
4. Level 1-5 Leaders.....	28
5. Least-Preferred Co-Worker Scale (LPC).....	31
6. Principles Followed by 10xers.....	46
7. Key Components for Principal Induction in North Carolina.....	55
8. Charlotte-Mecklenburg’s Model for Leadership Competencies Aligned to the Super Standards from the North Carolina School Executive Instrument.....	57
9. Differences between Mentoring and Coaching as noted by Stevenson.....	63
10. Choosing Mentoring or Coaching.....	64
11. Participant Demographics.....	75
12. Guidelines for Interpreting MSCEIT Scores.....	121
13. Mayer, Salovey, Caruso Emotional Intelligence Test-Standard Scores.....	122
14. MSCEIT Areas and Supplemental-Standard Scores.....	126
15. Craven County’s Model for Leadership Competencies Aligned to the Super Standards from the North Carolina School Executive Instrument	170
16. Discrepancies Identified in the Super Standards Competencies.....	171

LIST OF FIGURES

1. Blended coaching strategies as Mobius Strip.....	59
2. Craven County’s Continuous Improvement Model for Principal Induction Program	74
3. MSCEIT structure.....	81
4. Change management competency assessment ratings by principals and supervisors.....	93
5. Change management discrepancy by experience levels.....	94
6. Communication competency assessment ratings by principals and supervisors.....	96
7. Communication discrepancy by experience levels.....	97
8. Dialogue/inquiry competency assessment ratings by principals and supervisors.....	99
9. Dialogue/inquiry discrepancy by experience levels.....	100
10. Conflict management competency assessment ratings by principals and supervisors.....	102
11. Conflict management discrepancy by experience levels.....	103
12. Responsiveness competency assessment ratings by principals and supervisors.....	104
13. Responsiveness discrepancy by experience levels.....	105
14. Customer focus competency assessment ratings by principals and supervisors.....	108
15. Customer focus discrepancy by experience levels.....	109
16. Creative thinking competency assessment ratings by principals and supervisors.....	111
17. Creative thinking discrepancy by experience levels.....	112
18. Delegation competency assessment ratings by principals and supervisors.....	114
19. Delegation discrepancy by experience levels.....	116
20. Emotional intelligence competency assessment ratings by principals and supervisors.....	118

21. Emotional intelligence discrepancy by experience levels.....	119
22. Environmental awareness competency assessment ratings by principals and supervisors.....	129
23. Environmental awareness discrepancy by experience levels.....	130
24. Global perspective competency assessment ratings by principals and supervisors...	133
25. Global perspective competency discrepancy by experience levels.....	134
26. Judgment competency assessment ratings by principals and supervisors.....	136
27. Judgment competency discrepancy by experience levels.....	138
28. Organizational ability competency assessment ratings by principals and supervisors.....	140
29. Organizational ability discrepancy by experience levels.....	141
30. Personal ethics and values competency assessment ratings by principals and supervisors.....	143
31. Personal ethics and values discrepancy by experience levels.....	144
32. Personal responsibility for performance competency assessment ratings by principals and supervisors.....	146
33. Personal responsibility for performance discrepancy by experience levels.....	147
34. Results orientation competency assessment ratings by principals and supervisors...	150
35. Results orientation discrepancy by experience levels.....	151
36. Sensitivity competency assessment ratings by principals and supervisors.....	153
37. Sensitivity competency discrepancy by experience levels.....	154
38. Systems thinking competency assessment ratings by principals and supervisors.....	157
39. Systems thinking discrepancy by experience levels.....	158
40. Technology competency assessment ratings by principals and supervisors.....	160
41. Technology discrepancy by experience levels.....	161

42. Time management competency assessment ratings by principals and supervisors....	163
43. Time management discrepancy by experience levels.....	164
44. Visionary competency assessment ratings by principals and supervisors.....	167
45. Visionary competency discrepancy by experience levels.....	168

CHAPTER ONE: INTRODUCTION OF THE STUDY

Description of the Local Context

Craven County Schools is located in the heart of eastern North Carolina. The district has approximately 14,000 students within the 15 elementary schools offering kindergarten through fifth grades, and 5 middle schools with grades six through eight. Additionally, there are three traditional high schools and two early colleges. Students who graduate from the two early colleges may receive an associate's degree at the end of their coursework. In addition to the 25 principals, the schools are also led by 33 assistant principals (Craven County Schools, n.d.)

The county is unique in landscape with 712 square miles divided into three distinct regions. Military families are primary residents of the eastern region. Whereas, the central region's demographics resemble more of an urban mix including a historical district and the western region is rural with commuter families (Viet, III, 2013). Each of the regions serves those students within close proximity to their respective feeder patterns. Although the distance between schools appears short in miles, administrators feel the isolation of their positions at times especially during the first three years (W. Miller, personal communication, July 3, 2013).

Twelve years ago, Craven County Schools recognized the need for developing their future leaders. District leaders collaborated with East Carolina University and four neighboring counties to develop potential school leaders for the principalship. Four cohorts have been initiated within the last decade. Of the 33 educators from Craven County Schools who participated, eleven were promoted to positions requiring the Master of School Administration degree (W. Miller, personal communication, June 17, 2014). Craven County Schools continues to encourage their teacher leaders to seek administrative licensure; therefore, an additional

educational leadership cohort will begin in the Fall of 2014 (W. Miller, personal communication, July 3, 2013).

Craven County Schools has a challenging task to attract, recruit, and retain effective school leaders. According to the North Carolina Report Card for Craven County Schools, the principal turnover rate has increased to 20% in 2013 with the state average at 10% (Atkinson & Cobey, 2014). In addition, twenty-nine leadership positions were filled between the same three years (E. Patrick, personal communication, October 25, 2013). In Craven County Schools, 57% administrators have less than five years of experience in the principalship. Furthermore, forty-eight percent of the principals will be eligible to retire in less than ten years (D. LaPierre, personal communication, July 11, 2014).

Although the future may seem overwhelming for leadership succession planning in Craven County Schools, the possible openings and leadership transitions provide opportunities for organizational growth. In 2000, Elmore and Burney stated that although challenging, new leadership can propel a district forward or begin a spiral downward (Clifford, 2012). Additionally, Craven County's Superintendent Dr. Lane Mills recognizes that selecting an effective school administrator is one of the most significant decisions he will make. Indeed, recruitment of building level administrators in Craven County Schools that ensures growth and will transition smoothly to effective leadership is an ongoing responsibility of the district. Therefore, Craven County School's district leaders participate in succession planning. One of the components of the succession plan is a list of potential leaders maintained by the Human Resource Department. The names of the candidates and their leadership characteristics are discussed in relation to the upcoming leadership openings among the superintendent and the assistant superintendents during regularly scheduled succession planning meetings. This method

of recruitment ensures consideration of current personnel who may fit expectations and requirements based on the school's needs. However, the problem with the aforementioned method of recruitment is that the district either exhausts all candidates to fill the positions or the same people are asked repeatedly to move from school to school. The method has also resulted in selecting individuals who may not have had solid leadership skills to lead the vacant school. Another method of recruitment considered at the district level during succession planning has been to enlist people from outside the district, yet the concern is that these candidates may or may not understand the district's goals and expectations. Whether recruiting candidates inside or outside the district, the Human Resource Department must be resourceful and proactive in seeking individuals who possess the key beliefs and attitudes for aspiring school level administrators (W. Miller, personal communication, July 3, 2013).

According to Byham, Smith, and Paese (2002) building an acceleration pool addresses the growing leadership shortage. Therefore, during 2013-2014 Craven County Schools initiated an additional component to ensure a qualified renewable pool of prospective candidates are ready for leadership roles when the need arises. Under the direction of the superintendent, Assistant Superintendent Wendy Miller developed a *Grow Your Own* program of teacher leaders within the district. Of the sixty teachers who applied for the inaugural program, twenty-five were selected based on their applications and principal recommendations for the leadership program (W. Miller, personal communication, August 27, 2014). Realizing an outside agency would provide another perspective to leadership, Craven County Schools contracted with an independent consultant. Capitalizing on one organization's varied experiences regarding leadership development in education that also included non-profit, government, and the private sector, The Masonboro Group was selected as an independent consultant for the development of

school leaders (West, 2013). The consultant group collaborated with Craven County School's district leaders to design a pipeline program to supplement the unique needs aligned to the district leadership goals.

Traditionally, once in the leadership role Craven County school leaders have been left to solicit leadership development support individually from peers. According to Dr. Annette Brown, Assistant Superintendent for Curriculum and Instruction, (personal communication, October 24, 2013), district administrators meet monthly to discuss operational issues and district initiatives, as well as monthly with other principals within the same grade spans (i.e., elementary, middle, and high school). Principals and assistant principals are encouraged to register for workshops and trainings to improve their practice (A. Brown, personal communication, October 24, 2013).

Assistant principals received similar monthly operational trainings prior to 2011-2012 (W. Miller, personal communication, July 3, 2013). In an effort to address the principal pipeline problem in Craven County Schools, beginning September 2012, assistant principals were trained by The Masonboro Group to develop their leadership styles. Miller (personal communication, July 18, 2013) reported during a School Board meeting that three of the assistant principals who were in the program were promoted to principalships within the district for school year 2013-2014. Due to their success, the Masonboro Group has been contracted to provide another year of professional development for aspiring principals in Craven County Schools (W. Miller, personal communication, July 3, 2013). The expectations for the professional development provided by the Masonboro Group are to develop a highly effective candidate pool of principals with skills to support student learning (Mills, Brown, Reaves, Miller, & Beasley, 2013). In addition, the training will shape the needs of the district principal induction model as more administrators

possess competencies uniquely identified for Craven County Schools (W. Miller, personal communication July 3, 2013).

Craven County Schools recognize that it is essential to conduct their succession plans past the hiring phase and into the developing component. Daresh (2004) and Chapman (2005) stated that succession plans must move beyond focusing on the hiring, but in addition must include training aligned to leadership standards and address the complexities of school leadership.

Known for their systems alignment approach, Craven County School board members approved, “Today’s Learners...Tomorrow’s Leaders” as their new vision to support their practices (M. Flowers, personal communication, April 3, 2013). As noted in Table 1, Craven County’s district leaders recognized the need to develop a comprehensive five year strategic plan for improvement including the growth of 21st century professionals.

Statement of the Problem

Craven County Schools has too few experienced administrators (see Appendix A). The problem is evident from Craven County’s principal turnover rate of 4% in 2011 to 20% in 2013, well above the state average of 10% (Atkinson & Cobey, 2014). Furthermore, 48% of Craven County Schools’ principals will be eligible to retire in ten years or less (D. LaPierre, personal communication, July 11, 2014). Also to illustrate the limited experience, the North Carolina Report Card states that Craven County Schools has only 16% of their principals with advanced degrees compared to the state average of 21% (Atkinson & Cobey, 2014). In addition to the high turnover rate, possible retirements, and limited advanced degrees, there are eleven principals who have three or less years of experience, fourteen principals with four to ten years of experience, and no principals with ten plus years of experience in the principalship in Craven

Table 1

Excerpt from Craven County's Five Year Strategic Improvement Plan

Goal	Strategy
Goal 7: Highly Effective Staffing – Craven County Schools will create a culture that attracts, supports, and retains high-quality staff.	Key Strategy: The district will develop, implement and monitor a professional development plan to ensure that all “leaders” possess the skills to support student learning. Key Strategy: The district will create and implement a comprehensive plan to develop, recruit and employ teachers and leaders to reflect the diversity of the student population. Key Strategy: The district will provide support to ensure all staff meet the federal definition as Highly Qualified and state licensure requirements. Key Strategy: The district will consistently implement and monitor the evaluation process and procedures for certified and non-certified staff.
Goal 8: Comprehensive Mentoring – Craven County Schools will provide a high quality mentoring support program for all new administrators and beginning teachers.	Key Strategy: The district will sustain and continuously improve a New Teacher Induction and Mentoring Program in order to attract and retain new teachers. Key Strategy: The district will develop internal leadership capacity throughout the district through the implementation of a Leaders Executive Action Program (LEAP). Key Strategy: The district will develop and implement a principal-induction program.

Note. Adapted from Craven County Schools' Five Year Strategic Plan. *Craven County Schools* by L. B. Mills, n.d. Retrieved from http://www.craven.k12.nc.us/?page_id=367. Copyright 2013 by Craven County Schools. Reprinted with permission.

county Schools (R. Kelley, personal communication, March 22, 2014). The problem of limited experience is illustrated through the data collected from the North Carolina School Report Card (see Table 2).

Currently, the superintendent and four assistant superintendents are assigned to individual principals to provide support as needed. In addition, a leadership development coach began August, 2013 to work with the 25 principals and 28 assistant principals. Appendix B provides a detailed list of responsibilities for the leadership coach as identified by the superintendent and human resource assistant superintendent. One of the primary duties is to individually coach the eleven rookie principals in the school system. However, no formal plan for induction targeting specific competencies and skills personalized for Craven County Schools has been provided to the new principals (W. Miller, personal communication, July 3, 2013). As a result, Craven County Schools recognized the need for designing a leadership development program with the aim to provide intensive support for principals in their first three years. This study is designed to support Craven County Schools in the development of such a program.

Marzano, Waters, and McNulty (2005) suggested principal and teacher quality account for nearly 60% of a school's total impact on student achievement, and principals alone account for a full 25% of student improvement. However, there is no clear, quantitative research that links the principal to student achievement. Rather, research reveals that the principal leadership has an indirect correlation to school improvement (Hallinger, Bickman, & Davis, 1996a). "Leadership is second only to classroom instruction among school-related factors that affect student learning in school" (Mitgang & Gill, 2012, p. 3). Ultimately, as the highest-ranking educator at the school level, principals are responsible for the performance of every staff member and accountable for the performance of every student.

Table 2

Comparison of Experience Levels of Principals

Year	District/State	Rookie 0-3 Years	Novice 4-10 Years	Veteran 10+ Years
2012-2013	Craven	48%	52%	0%
	NC	43%	44%	13%
2011-2012	Craven	52%	48%	0%
	NC	42%	44%	14%
2010-2011	Craven	56%	44%	0%
	NC	41%	45%	14%

Note. Adapted from North Carolina Report Card, by Atkinson & Cobey, Copyright 2014. Retrieved from <http://www.ncreportcards.org/src/>.

New compelling evidence describes how principals enhance the teaching and learning (Mendels & Mitgang, 2013). By developing teachers who deliver effective instruction, learning is improved. As documented in *The School Principal as Leader: Guiding Schools to Better Teaching and Learning* (2013a), The Wallace Foundation suggested that there are five key responsibilities for school leaders to develop their staff. They are:

- Shaping a vision of academic success for all students, one based on high standards.
- Creating a climate hospitable to education in order that safety, a cooperative spirit and other foundations of fruitful interaction prevail.
- Cultivating leadership in others so that teachers and other adults assume their parts in realizing the school vision.
- Improving instruction to enable teachers to teach at their best and students to learn their utmost.
- Managing people, data, and processes to foster school improvement (p.6).

History of the Problem

Education in the United States has undergone many changes in the last two centuries. The shift from a religious foundation in the 19th century to a labor-ready focus in the twentieth century occurred along with desegregation and funding for low socioeconomic students (Clare Boothe Luce Policy Institute, 2014; Coulson, 1999; Ornstein & Levine, 1984). Shortly before the turn of the 21st century, reform initiatives included continuous improvement focused on increased expectations for educators and students (Teddlie & Reynolds, 2000). As a result of these shifts, principals' roles have changed from managers in which they complied with district-level edicts that ensured every aspect of the facility was operating smoothly to functioning as multidimensional leaders (Usdan, McCloud, & Podmostko, 2000).

Almost one thousand Craven County Schools' classrooms have fifty-six school level administrators who have the opportunity to make positive instructional impact on student learning. Based on data gleaned from the NC Report Card, academic growth has occurred at a consistent rate across the district over the past twenty years (Atkinson & Cobey, 2014). However, district administrators have noticed data associated with the new standards and assessments during the past two years, have depicted a flatline performance when discussing progress. Craven County Schools' Superintendent Dr. Lane Mills has recognized the current issue is compounded due to twenty building level administrators being reassigned to different leadership positions in the past year. This transition means there are several individuals who are leading a school that have little to no experience as the principal (W. Miller, personal communication, July 3 2013).

Juggling the multiple tasks of managing a school and feeling overwhelmed may cause an administrator to revert back to the more familiar style of leadership known as managerial and then the focus on teaching and learning becomes less of a priority (Cuban, 2010). Ultimately with this reversion, learning suffers causing static growth. The concern becomes more disturbing with data from Craven County School's Human Resource Department. Forty-eight percent of administrators will be eligible for retirement in less than ten years (W. Miller, personal communication, July 3, 2013). Fenton, Kelemen, Narskog, Roinson, Schnur, Simmons, Taliaferro, and Walker (2010) reminded those who make personnel decisions that it is crucial for students to have educators who lead the schools with a deep understanding of how to grow professionally and how to coach those who directly impact learning.

Tight budgets have created an atmosphere that encouraged states and districts to seek additional funding sources. One example of the quest for additional funds is the use of the

federal initiative, Race to the Top (U.S. Department of Education, 2014). With legislative mandates, the administrator is held accountable to monitor additional programs and initiatives. Support for principals to juggle these myriad of initiatives varies from state to state and is rarely comprehensive, leaving principals isolated and overwhelmed as they work to accomplish the multiple roles assigned. Without proper support, principal success is unlikely (Bottoms & Schmidt-Davis, 2010).

While universities are criticized for not adequately preparing principals, school districts and states are failing to implement structures that support novice principals in leading school improvement (Bottoms & Schmidt-Davis, 2010). As a result of this limited preparation, these administrators also face numerous challenges (Gill, 2012). Furthermore, the limited support for new administrators is alarming because the administrator's effectiveness is central to improving and supporting student achievement (Bottoms & Schmidt-Davis, 2010). Therefore, school districts have difficulty filling the vacancies with administrators who have experience (Roza, Celio, Harvey, & Wishon, 2003).

Perspective of the Problem

The school of the 21st century must differ from those of the past century; therefore, a different form of leadership is needed (Ganguly Okhwa, Zhao, Wardlaw, Wilson, Zbar & Kirby, 2008). Administrators of the highest quality are required to assume these challenges and universities must accept the challenge to prepare future administrators for their new roles (Usdan et al., 2000). The question is what to do with administrators who already occupy positions of leadership. Professional development and on-the job training are the typical paths to train current administrators, yet the results with these two methods are mixed (The Wallace Foundation, 2013). Districts have entered an era of challenges for professional development due

to the budget constraints (Oliff, Mai, & Leachman, 2012). Standardized training is not always effective, nor is on-the-job training in isolation (Mitgang & Gill, 2012).

Craven County Schools has focused its attention to the mentoring of beginning teachers since 1985. The system has employed full time district mentors and less formal school level mentors. It was determined based on stakeholder feedback that the informal school level mentors were unable to focus attention on the beginning teachers' needs due to the mentor's teaching requirements. Therefore, full time district mentors were enlisted. However, little attention has been given to mentoring for school administrators. Informal mentoring is encouraged by district personnel, but no formal plan for implementation is used (W. Miller, personal communication, July 3, 2013).

While it is critical to reexamine the most precious resources of time and money, it is essential to focus on the people in the building. The Craven County principals is a diverse population of leaders with various years of administrative experiences, different levels of teaching experiences, and a myriad of university experiences (R. Kelley, personal communication, March 25, 2014). At first glance, most districts choose the approach to direct improvement by using time and money on improving teacher quality rather than those who select the individuals in the classroom (DuFour & Mattos, 2013). However, the purpose of this study is to design a principal induction program specifically designed for the needs of administrators in Craven County Schools, the building level leaders who select the teachers who make the largest impact on student performance. To achieve this design, research on leadership development and components of an effective induction program to improve principal quality will be analyzed and an assessment of the leadership development requirements of administrators in Craven County Schools will be conducted.

School administrators are faced with reform initiatives that may be confusing or overwhelming. In systems of accountability, principals are expected to communicate the high expectations of improving learning and bear the responsibility for all students and staff. Whether they are new to the administrative journey or have been employed ten years, a principal cannot do the job alone (Mitgang & Gill, 2012). One solution suggested by researchers is an induction program, yet there is an absence of principal induction programs for professional support in many states and districts (Darling-Hammond, LaPointe, Meyerson, Orr, & Cohen, 2007; Mitgang, 2007; Mitgang & Gill, 2012; Villani, 2006). Recognizing that leaders have innate abilities, but honing in on those hidden talents through coaching and mentoring sets the stage for effective administrators (Mitgang & Gill, 2012).

The concept of mentoring and coaching has occurred since the beginning of time (Mason, 2014). From the early days of the human race, the older and more skilled taught the young how to become effective members of the community. Homer's *Odyssey* is the first written document that mentions the need for mentoring. The Goddess Athena takes Oysseus' son on a journey to maintain the Kingdom on Ithaca and develop a successor to the throne (Roberts, n.d.).

The formal coaching and mentoring model became popular in the 1990s. To fuel their appetite for personal awareness and development, several generations have sought authorities on personal development such as Stephen Covey, Anthony Robbins, and John Maxwell (Covey, 1991; Maxwell, 2012; Robbins, 2012). As corporations and educational institutions downsized, the target for coaching and mentoring was aimed at the high level performers who sought growth, rather than development for all individuals (Anderson, Frankovelgia, & Hernez-Broome, 2004).

Districts and schools have their visions set to train all students, but rarely is it recognized that adult educators need to learn. It is rare that school districts recognize every educator as either teaching or supporting the teaching and learning when it comes to professional development (Mendels & Mitgang, 2013). As a result, school districts must hire highly qualified educators, as well as train and develop their skills to achieve the skills and competencies needed to lead. Mentoring is now being implemented in a few areas across the country as a critical component of effective leadership development programs to support teaching and learning. In some areas, formal mentoring programs are considered key components of the new principal induction process (Daresh, 1995).

School level administrators are second to a teacher regarding an influence on learning and are identified as the individuals responsible if a school is achieving or not (Mitgang & Gill, 2012). An example that demonstrates a principal's influence on learning is during conferencing. The behaviors needed of an administrator entail more than discipline, facilities, and public relations. Daniel Domenech, executive director of the American Association of School Administrators, stated in a podcast that superintendents must view principals as more than managers (Domenech, podcast, June 13, 2013). Any other perception is a huge mistake (Mendels & Mitgang, 2013).

The literature has identified the pivotal role that principals play in developing and retaining teachers, creating a culture within a school by establishing a clear vision; and collaborating on strategic initiatives that improve student learning (Leithwood, Louis, Anderson, & Wahlstrom, 2004). In 2007, The Wallace Foundation reported that 69% of principals and 80% of superintendents believe that principal programs were failing to prepare principals for the challenges of managing a school. Preparation programs are out of touch with the realities of

what it takes to run today's schools (Farkas, Johnson, Duffett, Foleno, & Foley, 2011). This perception of failure increases the need for an induction program to meet the unique learning needs of Craven County principals.

Causes and Costs of the Problem

Districts across the nation are struggling with the problem of an alarming number of educators who are choosing not to enter the principalship (Usdan et al., 2000). In many cases, the applicants who enter leave after only a few years of service (Usdan et al., 2000).

“Principals increasingly say the job is simply not “doable,” as a result of the long hours, low pay, and the stress of accountability as to why they are leaving (Usdan et al., 2000, p. 3). As educators move into higher levels of school leadership, the softer skills such as emotional intelligence and people skills become more critical to success (Reiss, 2007). In addition, there are financial burdens and stress placed on a school system when frequent leadership turnover occurs (Reiss, 2007).

With a shortage of qualified leaders and frequent turnover, a large divide has become apparent across the nation in many of the buildings designed for learning where principals are required to provide teachers with support (Hightower Delgado, Lloyd, Wittenstein, Sellers & Swanson, 2011). Realizing that principals are regarded as the “linchpins of effective schools” (Hightower et al., 2011, p. 67) a school's success is largely dependent on effective leadership (Rammer, 2007). “The conflict between the rapidly expanding job demands and a shrinking pool of qualified candidates portends a catastrophe” (Usdan et al., 2000, p. 3). Therefore, analyzing how to develop effective leaders is critical.

Recognizing the high number of administrators with less than three years of experience, Craven County School's district leaders determined the need to develop an induction program

(W. Miller, personal communication, July 3, 2013). Because of the unique characteristics of the individual schools in Craven County and the various levels of competency of the administrators in the schools, the Superintendent determined that the local school district is a crucial ingredient in preparing highly qualified school leaders. Therefore, a customized principal induction program unique for Craven County was needed. Leaving the leadership development of principals to chance is a cost Craven County Schools cannot afford, nor is the system willing to do so (L. Mills, personal communication, July 15, 2013).

Definitions

The following terms have been defined for clarification in understanding this study:

Administrator (building level)-For the purpose of this study, the educator who has executive authority for a school.

Administrator (district level)-For the purpose of this study, the educator who supervises building level administrators/ school executives/principals.

Coaching-For the purpose of this study, coaching is the process used by the mentor as he or she works with a mentee examining the behavior of the protégé for the purpose of gaining insights that lead to improved performance. Coaching involves the skill of observing, recording behavior, providing feedback, probing, listening, analyzing, and asking clarifying questions in a non-threatening environment.

Coachee-For the purpose of this study, the coachee is the person being coached and takes ownership of his learning (Barkley, 2010, p. 6).

Competency-For the purpose of this study, competencies are skills, knowledge, and dispositions that a principal must have in order to lead a school effectively and to drive high levels of student achievement for all children (Cheney, Davis, Garrett, & Holleran, 2010, p. 16).

Grow Your Own Principal Induction Program-For the purpose of this study, Grow Your Own programs are established and operated by local school systems to supplement and enhance the preparation provided by colleges and universities (Turnbull, Riley, Arciara, Anderson, & MacFarlane, 2013)

Induction-For the purpose of this study, induction includes the activities which occur during the first years of employment which allow new employees to learn the skills, knowledge, attitudes, and values needed to become part of the established culture.

Mentee-For the purpose of this study, a mentee is one who is protected or trained or whose career is furthered by a person of experience, prominence, or influence.

Mentors-For the purpose of this study, a mentor is defined as an experienced role model who guides the professional development of a less experienced individual through coaching. The mentoring relationship is a rewarding endeavor that enhances each person's career. Both the mentor and mentee learn more about themselves, improve their skills, and gain professional recognition.

Novice Principal-For the purpose of this study, an individual who is in the fourth to tenth year of the principalship.

Principal-For the purpose of this study, the educator who has executive authority for a school.

Protégé-For the purpose of this study, the protégé is one who is trained by a person of experience or influence.

Rookie-For the purpose of this study, the rookie is an individual who is inexperienced with up to three years of experience.

Veteran Principal-For the purpose of this study, the veteran is an individual who has more than ten years of experience.

Organization of the Problem of Practice

This study is presented in five chapters. Chapter One presents a general introduction to the study, including who is affected by the problem and why, statement of the problem, history of the problem, perspectives on the problem, possible causes and costs, and definition of terms appropriate to the study. Chapter Two begins with research to investigate if leadership is innate or developed. The chapter also includes a review of the literature focusing on the changing roles and expectations of the principalship, as well as leadership theories, styles, competencies, and skills. Additionally, exemplary models, and the difference between coaching and mentoring are described. The question to be examined during the literature review is: Based on the literature review, anecdotal notes, surveys, emotional intelligence test, and interviews, what components are deemed as essential to be a highly qualified principal? Chapter Three presents an overview of the methodology of the study and the design of the principal induction program with a description of the instruments used to development of the program specifically for Craven County Schools. Additionally, the chapter addresses the question: Using the continuous improvement model, what is the comprehensive design of a Principal Induction Program to prepare school leaders for effective leadership in Craven County? Chapter Four describes the program developed with specific details based on the data collected, as well as a description of the implementation of the program, including formative assessment results to refine during the cyclic process rather than waiting to the end of the program to determine effectiveness. Chapter Five provides an overall summary of the study and offers a conclusion, as well a recommendation for additional study.

CHAPTER TWO: LITERATURE REVIEW

Introduction

It has become an increasingly demanding job to be a school administrator (Darling-Hammond et al., 2007). The emphasis placed on the leadership role of the principal has dramatically changed. In the seventies, administrators were given tasks to maintain personnel, students, finance, facilities, and school-community relationships (McEwan, 2003). Today's administrators in North Carolina are held accountable for: Strategic Leadership, Instructional Leadership, Cultural Leadership, Human Resource Leadership, Managerial Leadership, External Development Leadership, and Micropolitical Leadership (State Board of Education, 2006). Site administrators do not always have the leadership skills to meet the demanding roles expected of them and usually depend on the administrator-in-training model due to tight budgets (Gill, 2012). These new principals make decisions aligned to their experience and due to the nature of their former positions are more organizational in nature (Johnson-Taylor & Martin, 2007).

The literature indicates there is a shortage of highly qualified candidates for the principalship (Lovely, 2004; Medina, 2003). Although some districts across the nation experience a large number of administrator applicants, there are also questions concerning the pool of candidates (Roza et al., 2003). Many districts struggle to find qualified leaders due to (a) the aging of the workforce; (b) subsequent high rate of retirement; (c) and fewer people pursuing advancement opportunities leading to the principalship (Lovely, 2004). The shortage of qualified applicants seems to be attributed not only to the change in how principals operate schools, but also three additional factors:

- The nature of the job including the additional stress of meeting state benchmarks in the era of high-stakes testing and accountability.

- Insufficient salary to warrant the risks and personal time to assure the position.
- Lack of mobility of candidates to accept jobs that are open (Jones, 2001).

According to the Bureau of Labor Statistics, employment of principals is projected to grow by 10% from 2010-2020 (Occupational Outlook Handbook, 2010). Research studies have identified a range of causes of, and reasons for, the concerns regarding principal supply and principal turnover. Such factors include:

- Conditions in the workplace,
- Work load and intensification,
- Salary levels,
- Increased demand for accountability combined with declining authority to act,
- Expanded and restructured work roles,
- Changing conceptions of professional identity, and
- The impact of the demands of principal work on individual lives and personal responsibilities (Gronn & Rawlings-Sanaei, 2003).

Bennis (1998) stated that more has been written and less known about leadership than any other topic in the behavioral sciences. Although there is a variety of literature relating to effective leadership and the characteristics of effective school principals, few states have an induction model in place (Darling-Hammond et al., 2007). “No one can say for certain how the schools of the new century will differ from those of the past century-but there can be little doubt that these schools will require different forms of leadership” (Usdan et al., 2000).

This literature review begins with a description of various viewpoints regarding leadership, examines the scope of leadership to become successful agents of change, and investigates what propels school leaders to move from good to great.

What is Leadership?

According to Myatt (2013), there are many individuals who want to be leaders. Regardless of its universal appeal, leadership presents a challenge to practitioners and researchers. In an effort to define and conceptualize specifically what people are pursuing, it is essential to understand what it means to be a leader (Northouse, 2013).

Leadership has been studied since the beginning of civilization. The multiple definitions and theories of today are rooted in biblical patriarchs, Egyptian rulers, and Greek heroes (Stone & Peterson, 2005). There are as many ways to define leadership as there are people who define it. Over 30,000 articles and books have contained various definitions (DuBrin, 1995).

Leadership can be conceptualized with the following components: (a) leadership is a process, (b) leadership involves influence, (c) leadership occurs in groups, and (d) leadership involves common goals. Leadership is neither a trait nor characteristic, rather a transactional experience. It is not a linear, one-way event, but an interactive experience between individuals (Northouse, 2013).

DuBruin (1995) identified “leadership as the ability to inspire confidence and support among people who are needed to achieve organizational goals” (p. 2). Covey (1991) noted that leadership is about “inspiring and motivating people to work together with a common vision and purpose” (p. 245). Fullan (2007) in *The New Meaning of Educational Change* discussed the distinction between leadership and management. Fullan (2007) noted that leadership is related to mission, direction, and inspiration; management involves designing and carrying out plans, getting things done, and working effectively with people. Fullan (2007) concluded, “...both sets of characteristics are essential and must be blended or otherwise attended to within the same person or team” (p. 158). In the 1920s, W. H. Cowley coined the most rational definition as,

“The leader is the one who succeeds in getting others to follow him or [her] (Hughes, 2005, p. 12).

Leadership is about influencing others to a better place. A leader inspires a team, motivates others around them, and most critically possesses the ability to obtain followers. Maxwell (2007) quotes the proverb, “He who thinks he can lead, but has no followers, is only taking a walk” clarifies why real leadership is not a silo (p. 20). There are those who wish to be leaders, but have no desire to help others and are interested in chasing a position. Some abuse the influence or confuse manipulation with leadership (Maxwell, 1993).

Power often comes with leadership, but not from demanding others to follow. It is about having the power to influence people in a direction in which they didn’t know they could go. Two examples of leaders without real power were Princess Diana and Mother Teresa. They had no real authority, yet they had the power of influence to lead millions by serving others (Maxwell 2007).

Stogdill (1974) recognized that there are as many different definitions of leadership as there are people who have tried to define it. Most will give you the definition of a manager rather than a leader whereas, others describe leadership as a personality (Maxwell, 1993). Some want to “add water to a recipe mix of a predetermined list” to achieve leadership (Myatt, 2013, p. 1). Regardless of the definition or theory used to explain it, leadership has been linked to the effective functioning of organizations throughout the history of the world (Marzano et al., 2005). Therefore, the more precise question is, “Do leaders innately possess the skills to lead organizations or are they developed?”

Are Leaders Born or Made?

The most controversial question regarding leadership is not about the skills needed to be a leader, but rather the infamous question, “Are leaders born or made?” (Grabovac, 2008). In the mid-nineteenth century, the Great Man theory surfaced by Thomas Carlyle. He studied a wide array of influential heroes. The Great Man theory assumes that leadership traits are intrinsic and assumes men who possess these traits are destined by birth to become leaders (Bass & Bass, 2008). In 1860, an English philosopher, Herbert Spencer, disputed The Great Man theory. He stated that the heroes studied by Carlyle were products of their times and the social conditions caused their heroic leadership skills to surface (Assignment Point, 2014).

Gordon Allport, an American psychologist identified qualities that could ensure anyone to be a leader. Individuals are either born or made with qualities including, but not limited to, intelligence, sense of responsibility, and creativity. Although there were errors, Allport’s (1961) studies focused on analyzing mental, physical, and social characteristics or a combination of the characteristics common among leaders.

With the evolution of psychometrics in the mid-twentieth century, researchers began to try to measure the cause and effects relationship of specific human behaviors from leaders (Passmore, 2013). Farlow (2012) stated that anyone with the right conditioning could have access to the elite society of naturally gifted leaders. The theorists used their new perspective to determine leaders are made not born. In the 1960s, theorists raised their banner with results that argued that there is no single way of leading and every situation calls for a different leadership style (Bolden, Gosling, Marturano, & Dennison, 2003). This discovery signified that different leadership skills are needed at different times and places. The contingency theorist, Fred Fiedler, recognized that leaders are more likely to demonstrate expert skills when they believe they will

be able to motivate their followers and in turn the followers will be responsive (Seyranian, 2009).

In his popular leadership book, Maxwell (2007) concluded, “Although it’s true that some people are born with greater natural gifts than others, the ability to lead is really a collection of skills, nearly all of which can be learned and improved” (p. 25). In other words, there are individuals who have natural intelligence, are outgoing, and possess exceptional speaking skills. These skills may be helpful in leadership, but do not ensure one is a leader because he possesses these skills. Also, there are others who have a desire to be a leader without character, skill, or courage, yet become successful later in life. Anderson (2012) was convinced that if leadership skills can be learned, then leadership can be taught. If leadership skills can be taught, it is not an innate trait of the gifted few.

To develop insight regarding the leadership skills taught, the next two subsections address the leadership theories and styles taught in Master of School Administration programs as outlined in leadership books.

Leadership Theories

As the interest in leadership has increased during the twentieth century, seven major leadership theories have emerged. These theories are: (a) Great Man, (b) Trait, (c) Behaviorist, (d) Situational, (e) Contingency (f) Transactional, and (g) Transformational. The theories present a view of leadership as a process that is diffused in the organization rather than on the sole leader. Therefore, the emphasis shifts from developing leaders to developing organizations (Bolden et al., 2003). Below are more in-depth descriptions of the theories identified in the educational sector.

Great Man

Individuals who subscribe to the Great Man theory believe that there are special people who are born to be leaders and endowed with unique skills and abilities (Chemers, 1997). *In the Everything Leadership Book*, Yaverbaum and Sherman (2008) suggest that men and women have personality traits, behaviors and knowledge that lend themselves to leadership roles. This theory is supported by those who view members of royalty, high-ranking military officers and industry leaders with innate leadership abilities (Turak, 2013). It is also believed that individuals who exemplify this theory come along once or twice a century. Alexander the Great, Napoleon, and George Washington are examples of leaders who personify the Great Man theory (Chemers, 1997). In addition, it is also believed that great men and women shape history rather than history shaping the individuals (Turak, 2013).

Trait

Scholars began the study of leadership to determine what made certain individuals great leaders. They focused on identifying innate qualities and characteristics possessed by great military, political, and social leaders such as Mohandas Gandhi, Abraham Lincoln, and Napoleon Bonaparte. In the 20th century, people believed that leaders were born with these traits and only great people possessed them (Northouse, 2013). Researchers began concentrating on determining the specific traits that differentiated leaders from followers (Bass & Bass, 2008).

Leaders possess key leadership traits that set them apart from non-leaders (Northouse, 2013). In comparing studies, there is little consensus regarding the number of traits present in successful leaders or which traits are critical for success. As indicated in Table 3, Northouse (2013) outlined the historical list of leadership traits and characteristics.

Table 3

Traits and Characteristics of Effective Leaders

Stogdill (1948)	Mann (1959)	Stogdill (1974)	Lord, DeVader, and Alliger (1986)	Kirkpatrick and Locke (1991)	Zaccaro, Kemp, and Bader (2004)
Intelligence	Intelligence	Achievement	Intelligence	Drive	Cognitive abilities
Alertness	Masculinity	Persistence	Masculinity	Motivation	Extroversion
Insight	Adjustment	Insight	Dominance	Integrity	Conscientiousness
Responsibility	Dominance	Initiative		Confidence	Emotional
Initiative	Extroversion	Self-confidence		Cognitive	stability
Persistence	Conservatism	Responsibility		ability	Openness
Self- confidence		Cooperativeness		Task	Agreeableness
Sociability		Tolerance		knowledge	Motivation
		Influence			Social
		Sociability			intelligence
					Self-monitoring
					Emotional
					intelligence
					Problem solving

Note. Adapted from “Trait Approach” by Peter Northouse, 2013, in *Leadership: Theory and Practice*, p. 23. Copyright 2013 by SAGE Publications.

Behaviorist

The behavioral revolution after World War II led to an attempt to define effective leadership in behavioral terms (Chemers, 1997). Kirkpatrick and Locke (1991) substantiated that there is more to being a leader than the possession of skills or traits.

Recent research, using a variety of methods, has made it clear that successful leaders are not like other people. The evidence indicates that there are certain core traits, which contribute to business leaders' success (Kirkpatrick & Locke, 1991, p. 49).

Leaders do not have to be great men or women by being intellectual geniuses or omniscient prophets to succeed, but they do need to have the "right stuff" and this stuff is not equally present in all people (Kirkpatrick & Locke, 1991, p. 59).

Jim Collins (2001) reported a correlation between the behaviors of the "*Great*" leader which he termed as a Level 5 leader, those who transitioned from good to great. Each of the leveled leaders are noted in Table 4.

Yet some companies and leaders navigate this type of world exceptionally well. They don't merely react; they create. They don't merely survive; they prevail. They don't merely succeed; they thrive. They build great enterprises that can endure. We do not believe that chaos, uncertainty, and instability are good; companies, leaders, organizations, and societies do not thrive *on* chaos. But they can thrive *in* chaos (Collins, 2001, p. 2).

Behavioral theorists focus on the leader's behaviors as the best predictor of leadership influences and as a result believes exhibiting the two broad classes of behavior, structuring and consideration are the best determinants of success (Chemers, 1997). Although these behavioral

Table 4

Levels 1-5 Leaders

Levels	Classifications	Characteristics
Level 1	Highly Capable Individual	Makes productive contributions through talent, knowledge, skills, and good work habits.
Level 2	Contributing Team Member	Contributes individual capabilities to the achievement of group objectives and works effectively with others in a group setting.
Level 3	Competent Manager	Organizes people and resources toward the effective and efficient pursuit of predetermined objectives.
Level 4	Effective Leader	Catalyzes commitment to and vigorous pursuit of a clear and compelling vision, stimulating higher performance standards.
Level 5	Great Leader	Builds enduring greatness through a paradoxical blend of personal humility and professional will.

Note. Adapted from “Level 5 Leadership,” by J. Collins, 2001, *Good to Great*, p. 20. Copyright 2001 by HarperCollins.

categories are pervasive across almost all leadership situations, neither is sufficient to ensure leadership success (Leithwood et al., 2004).

Situational

Situational leadership gained popularity in the 1970s and was based on the thought that leadership should be shared among members of an organization according to the needs of the group at a specific point in time (Sousa, 2003). Hersey and Blanchard identified four styles of leadership in response to the competency of the members of the group:

Additional authors (Kirkpatrick & Locke, 1991; Serviovanni, 2001) suggested Collins' research to be consistent regarding leadership behaviors. Ten years later, Collins (2011) in *Great by Choice*, states:

Style 1 (S1) can be described by the word telling. It is an autocratic style, where the leader tells the group members what is to be done, when, and by whom.

Style 2 (S2) can be described as a democratic style where the leader actively participates with the group both as a facilitator of the decision-making process and as an equal member who contributes his own ideas, opinions, and information. One word that describes this style is selling.

Style 3 (S3) can be described by the terms encouraging or socializing. In this style the leader promotes cohesion, openness, and positive feelings among the members, but does not influence the actual decision made.

Style 4 (S4) can be described by the word delegating. The leader tells the group what the task is and then physically or mentally removes himself from any further involvement (Hersey & Blanchard, 2014).

McEwan (2003) stated that effective leaders are able to match their leadership style to the unique needs of the situation. Rather than behaving the same way in every setting, effective leaders assess each situation and adjust their leadership behaviors to both the complexity of the task or goal, as well as the composition and characteristic of the group/person they are leading. The ability to diagnose a situation at hand and ability to choose the appropriate style is characteristic of an effective leader (Marzano et al., 2005). Northouse (2013) noted that because the commitment between the leader and subordinate varies, the validity of the approach diminishes.

Contingency

The contingency theory can be considered a more progressive approach in which no one style is the best; hence, is known as the *leader-match* theory (Fiedler & Chemers, 1974). Fred Fiedler created the model in the mid-1960s by studying personalities and characteristics of leaders (Northouse, 2013). As indicated in Table 5, Fiedler developed a Least-Preferred Co-worker Scale for leaders to rate individuals with whom it would be the least desirable to work.

A high score indicates a relationship-oriented leader and the individual seeks positive qualities of coworkers to complete the task assigned. A middle score describes an individual who is considered socioindependent. This type of leader is self-directed and is not excessively concerned with the task nor how others view them. Whereas, a low score suggests a task-oriented person (Fiedler & Chemers, 1974). Northouse (2013) summarized that the contingency theory emphasizes that the leader is paired to the appropriate team of people with the demands of the situation. The scale is actually not about the least preferred worker, instead, it is about the person taking the test; it is about that person's preferred type of motivation. Critics are

Table 5

Least-Preferred Co-Worker Scale (LPC)

Personality Trait	1	2	3	4	5	6	7	8	Personality Trait
Unfriendly	1	2	3	4	5	6	7	8	Friendly
Unpleasant	1	2	3	4	5	6	7	8	Pleasant
Rejecting	1	2	3	4	5	6	7	8	Accepting
Tense	1	2	3	4	5	6	7	8	Relaxed
Cold	1	2	3	4	5	6	7	8	Warm
Boring	1	2	3	4	5	6	7	8	Interesting
Backbiting	1	2	3	4	5	6	7	8	Loyal
Uncooperative	1	2	3	4	5	6	7	8	Cooperative
Hostile	1	2	3	4	5	6	7	8	Supportive
Guarded	1	2	3	4	5	6	7	8	Open
Insincere	1	2	3	4	5	6	7	8	Sincere
Unkind	1	2	3	4	5	6	7	8	Kind
Inconsiderate	1	2	3	4	5	6	7	8	Considerate
Untrustworthy	1	2	3	4	5	6	7	8	Trustworthy
Gloomy	1	2	3	4	5	6	7	8	Cheerful
Quarrelsome	1	2	3	4	5	6	7	8	Harmonious

Note. Adapted from “Contingency Theory” by P. Northouse, 2013, *Leadership: Theory and Practice*, p. 134. Copyright 2013 by SAGE Publications.

concerned regarding Fiedler's lack of flexibility with the model and due to its inadequate measure of training and experience of the co-workers (Northouse, 2013).

Path-Goal

The path-goal theory first appeared in leadership literature in the early 1970s (Evans, 1970). "The goal of this leadership theory is to enhance employee performance and employee satisfaction by focusing on employee motivation" (Northouse, 2013, p. 137). The path-goal theory is contingent on the leader's behavior matching the subordinate's needs and the situation. In addition, the path-goal theory assumes that leaders are flexible and can change their style as situations require (House, 1996). The path-goal theory identifies four leader behaviors: (1) Directive-leader informs the followers what is expected and how to perform their tasks; (2) Achievement-leader sets challenging goals for the followers and expects followers to perform at the highest level and shows confidence in meeting the expectation; (3) Participative-leaders consult with followers and ask for their suggestions before making a decision; (4) Supportive-leader shows concern for the followers' psychological well-being (Northouse, 2013). The path-goal theory reminds leaders that coaching and moving followers along to achieve their goals is the purpose of leadership. In contrast, critics claim that the path-goal style of leadership may promote dependency and fails to recognize the capabilities of the followers (Northouse, 2013).

Transactional

Transactional leadership is present in many businesses and predominant in public schools (Hoyle, 2012). This type of leadership style attempts to balance the needs of the people while getting the job completed. The theory works at the lowest level, satisfaction, of Maslow's hierarchy of needs. Team members agree to obey their leader and the organization pays the members for their effort and compliance. It is agreed upon that the leader has a right to punish

team members when an appropriate standard is not met. Although, transactional leadership does offer some benefits such as the clarification of roles and responsibilities, those who model this leadership style are considered negative due to their motivation by external rewards and determined approach. Transactional leadership can be perceived as amoral and disturbing which can lead to high staff turnover and limitations of collaborative and creative work (Mind Tools, 2014; Northouse, 2013).

Transformational

Northouse (2013) noted that James Downton first coined the term transformational leadership. However, it was in Burn's (1978) study of political leaders that the concept emerged as a significant approach in the study of leadership. Transformational leaders change the old political and cultural systems to create new structures. This is accomplished by challenging and transforming the individual's emotions, values, ethics, standards, and long-term goals (Northouse, 2013). Bass (1985) described the transformational leader as "one who motivates us to do more than we originally expected to do" (p. 20). Johnson (2005) suggested that organizations that are led by transformational leaders often achieve better results. He describes the following list of characteristics as effective transformational leadership:

1. Idealized influence- Puts the needs of followers ahead of own and becomes role models for the followers. Models the expected behaviors, values, and principles of the whole group.
2. Inspirational motivation- Motivates by providing followers with tasks that provide challenges and meaning. Creates team spirit, enthusiasm, and optimism.

3. Intellectual stimulation- Encourages followers to question assumptions, reframe situations and approach old issues with new perspectives through innovation and creativity.
4. Individual consideration- Serves as a coach or mentor who supports personal development designed to foster growth and follower's needs and desires.

According to Burns (1978), transformational leadership is different from other forms in that it emphasizes, yet balances hierarchy and power. The leaders and followers motivate each other and help to see the value of achieving a higher purpose.

Leadership Styles

Leadership style “has been a subject of considerable debate and discussion for as long as people have worked together” (Howard, 2005, p. 384). Leadership style consists of a leader's general personality, demeanor, and communication patterns in guiding others toward reaching organizational or personal goals (Hoyle, 2012). Although one may believe it is a mystery as to why one leadership's style is more effective than another's style, the manner in which an individual performs the duties and responsibilities involved in a leadership position relates to the individual's personality and style (Phipps & Prieto, 2011). Hoyle (2012) stated:

The literature reveals little empirical research about why some leadership styles in certain situations are triumphant successes and others are dismal failures. Observers have pondered why some successful leaders use a consistent style in all situations and others use a more situational style. Research is silent in analyzing leadership styles across schools, school leaders, and situations, but there is general consensus that some leaders are better than others in reading the environment and adjusting their style to address issues (p. 595).

The style a principal chooses to lead a school is summarized in two categories, instructional and facilitative. Instructional leaders work with subordinates focusing on the way of doing, whereas facilitative leaders support the ways of being (Northouse, 2013).

Instructional

One of the most popular leadership styles in education over the last two decades has been instructional leadership (Marzano et al., 2005). Smith and Andrews (1989) proposed the instructional leadership model and it has evolved in the work of writers such as Glickman (2002) and Lambert (2003). The model has expanded to encompass not only the leader in the classroom, but also one who supervises teaching and learning and inspires teachers to examine their instructional practice (Finkel, 2012). This expanded description involves school administrators who devote time to understanding the value of relationships, beliefs, feelings, and experiences of classroom leaders to support the knowledge and skills required for sustainable change (MacBeath, 2003). William Smith and Richard Andrews (1989) identified four dimensions, or roles, of an instructional leader (a) resource provider, (b) instructional resource, (c) communicator, and (d) visible presence. Hallinger, Murphy, Weil, Mesa, and Mitman (1983) identified three general functions of the instructional leader (a) defining the school's mission, (b) managing curriculum and instruction, and (c) promoting a positive school climate. To convey the three functions, the administrator becomes the teacher to the staff. Thomas Sergiovanni's model of instructional leadership identified five leadership forces: technical, human, educational, symbolic, and cultural (McEwan, 2003).

The technical and human resource leadership skills are present in any organization. The technical components deal with planning and time management. The human resource component includes communication, motivation, and facilitator skills. Whether it is in a school

or business, effective leaders need to provide support, encouragement, and facilitate learning (McEwan, 2003).

Facilitative

Professional literature draws a fine line between leadership and management. Traditionally, leadership has been described as “doing the right thing” and managing has been thought of as “doing things right” (Cufaude, 2005). Contemporary leadership combines the two, as well as recognizes that no one individual can lead an organization to success (Myatt, 2013). A leader must be able to engage others’ talents and contributions to advance the mission and vision of the institution (Bottoms & Schmidt-Davis, 2010). Effective facilitation involves the use of skills, processes, and tools to maximize the collective intelligence of the group to determine the appropriate choice of action to build a plan for acting on the choices (Cufaude, 2005).

Facilitative leadership can be summarized in six major themes:

- Make connections and help others make meaning.
- Provide direction without totally take the reins.
- Balance managing content and process.
- Invite disclosure and feedback to help surface unacknowledged or invisible beliefs, thoughts, and patterns.
- Focus on building the capacity of individuals and groups to accomplish more on their own, now and in the future.
- Operative from a position of restraint (Cufaude, 2005).

Servant

After reading Hermann Hesse’s (1956) novel, *Journey to the East*, Robert K. Greenleaf became interested in the actions and influence of the servant, Leo. Greenleaf believed that Leo’s

actions as a servant propelled him to be a great leader. Greenleaf saw this leadership style not based on power, but rather the desire to serve thereby leading others (Frick & Spears, 2004). Greenleaf's, *The Servant as Leader*, in 1970 and its elaboration into the first chapter of *Servant Leadership* (1977) generated enthusiasm and support for placing the good of followers over their own self-interests and emphasizing follower development. Greenleaf's position was not simply that servant leadership should be adopted, but an alternative to other leadership styles that insinuate coercion and manipulation (Northouse, 2013). Greenleaf (1977) believed that servant leadership begins "with the natural feeling that one wants to serve, to serve first" (p. 13). Spears (2010) identified ten characteristics as central to servant leadership. They are: (a) Listening, (b) Empathy, (c) Healing, (d) Awareness, (e) Persuasion, (f) Conceptualization, (g) Foresight, (h) Stewardship, (i) Commitment to the growth of people, and (j) Building Community. Other studies demonstrate the lack of consistency among the scholars. Although the studies include common characteristics, none conceptualize servant leadership in the same way (Northouse, 2013).

Servant leadership is learned through an individual's personal journey of self-discovery and personal transformation (Phipps, 2010). Servant leadership is not easily accomplished because it is not a standalone leadership style. It is intended to blend the heart of the servant leader with leadership skills recognized in other styles (Blanchard & Hodges, 2003). Ken Blanchard recognized this blend as he first attempted to change leaders from the outside, but discovered servant leadership is essential because it first begins with the leaders' self-perception of who they are (Blanchard, 2007).

Competencies

In addition to recognizing leadership theories and styles, a leader must possess competencies (Steiner & Hassel, 2013). A competency is a “cluster of related knowledge, skills, and attitudes that affects a major part of one’s job (a role or responsibility), that correlates with performance on the job, that can be measured against well-accepted standards which can be improved via training and development” (Parry, 1996, p. 50).

Competencies consist of three parameters-knowledge, attitude, and skills. Individuals gain knowledge through experiences and education. Graham-Leviss (2011) stated that competencies are contingent on an individual’s inherent talents, acquired learning, and behaviors. In other words, an employee may have good interpersonal skills, but not be competent unless he possesses the adequate knowledge and the right temperament (Zenger, Folkman, & Zenger, 2009).

In the 1970s, David McClelland, a cognitive psychologist from Harvard University sought to learn more about, “When two seemingly similar candidates are hired-with the same level of education, experience, and technical skills-one sometimes turns out to be an outstanding performer, while the other struggles” (Steiner & Hassel, 2013, p. 2). McClelland termed competency to demonstrate the discrepancy within the habits of behaviors and underlying motivations (Steiner & Hassel, 2013). The competency movement grew during the 1980s and 1990s. Other researchers were influenced by McClelland’s findings and continued to share their conclusions (Boyatzis, 2008). As a result, employers recognized that it is not simply what the employee does to be successful, but how he does it (Management Thinkers, 2013).

Competency-based performance is relatively new to education. In 2000, Singapore implemented a competency-based performance management system for educators (Steiner &

Hassel, 2013). In 2009, North Carolina State Board of Education and the Department of Public Instruction recognized competencies as inherent in the successful performance of a leader (see Appendix C). As noted in the North Carolina School Executive Principal Evaluation Process manual,

The principal may or may not personally possess all of the competencies, but must ensure that a team is in place that not only possesses them but can effectively and efficiently execute them. Although the principal may not personally possess them all, he or she is still responsible for their effective use in the various leadership practices (State Board of Education & Department of Public Instruction, 2009, p. 18).

The Wallace Foundation's report (2013b), *Recent Leader Standards: From Six Principal Pipeline Districts* noted that one component of an exemplary leadership development program was the establishment of a competency framework. The school districts confirmed that although a challenging task, it was essential to grapple with this framework that will guide the program and its participants through their transition of change (The Wallace Foundation, 2013b).

Determining the competency framework that a leader must exhibit keeps the researcher focused throughout the program development. It assists the program developer in determining the time frame and resources needed to support the program implementation (Cheney et al., 2010).

Emotional Intelligence Competency

One competency typically not addressed in leadership is emotional intelligence (Goleman, 1998). However, it has been noted in history as being an essential skill to leading. Around 350BC, Aristotle wrote, "Anybody can become angry-that is easy, but to be angry with the right person and to the right degree and at the right time and for the right purpose, and in the

right way-that is not within everybody's power and is not easy." Mills (2009) recognized the importance of emotional intelligence skills as he stated, "Skillful handling of situations and people, reflective of leaders aware of the importance of emotional intelligence should be given the same attention and importance as the more traditional leadership tasks of budget, finance, and operational skills" (p. 30). Emotional intelligence is not a new concept, yet it is an emerging science.

Martinuzzi (2014) contends that most skills can be improved through education of the skills, and the same is true for the skills related to emotional intelligence. Therefore, it is noteworthy to recognize the overlap of the definitions and models to find their similarities of the skills and begin the quest to delve deeper in the understanding of emotional intelligence (Cherniss, Extein, Goleman, & Weissberg, 2006).

Mayer and Salovey (1997) defined emotional intelligence as "the ability to perceive emotions, to access and generate emotions so as to assist thought, to understand emotions and emotional knowledge, and to reflectively regulate emotions so as to promote emotional and intellectual growth" (p. 5). In 1999, Mayer, Salovey, and Caruso used the emotional intelligence model to guide the construction of the Multifactor Emotional Intelligence Scale (MEIS) and later termed the test as the Mayer, Salovey, and Caruso Emotional Intelligence Test (MSCEIT). The ability-based test is designed to measure the four branches of the EI model of Mayer and Salovey. The four branches measured are:

Perceiving Emotions: The ability to perceive emotions in oneself and others as well as in objects, art, stories, music, and other stimuli.

Facilitating Thought: The ability to generate, use, and feel emotion as necessary to communicate feelings or employ them in other cognitive processes.

Understanding Emotions: The ability to understand emotional information, to understand how emotions combine and progress through relationship transitions, and to appreciate such emotional meanings.

Managing Emotions: The ability to be open to feelings, and to modulate them in oneself and others so as to promote personal understanding and growth (Mayer, Salovey, & Caruso, 2004).

However, Goleman (1998) more broadly defined emotional intelligence as a person's ability to recognize personal feelings and those of others and to manage emotions within themselves and in their relationships with others. Overall, emotional intelligence refers to the ability to identify and express emotions, understand emotions, assimilate emotions in thought and regulate positive and negative emotions in oneself and others (Matthews, Zeidner, & Roberts, 2002).

An interesting mixture of confusion, controversy, and opportunity regarding the best definition, approach, and measure of emotional intelligence has been researched since Thorndike (1920). Spielberger (2004) suggested that there are three major conceptual emotional intelligence models to review: (1) Bradberry and Greaves; (2) Goleman; and (3) Bar-On.

Bradberry and Greaves (2003) include four competencies as emotional intelligence skills. They are: (a) Self-Awareness-the ability to accurately perceive one's emotions and remain aware of them as they happen, including the ability to manage personal responses to specific situations and people; (b) Self-Management-the ability to be aware of personal emotions and have the flexibility to positively direct personal behavior in response to those emotions, to manage emotional reactions in all situations with all people; (c) Social Awareness-the ability to accurately identify the emotions of another person and thus understand the effects of those

emotions, to understand what other people are thinking and feeling even when the observer does not feel the same way; (d) Relationship Management-the ability to use awareness of personal emotions and those of others to successfully manage interactions, to provide clear communication and effectively handle conflict. In summary, the Salovey-Mayer model defines its construct as the ability to perceive, understand, manage, and use emotions to facilitate thinking, measured by an ability-based measure (Mayer, Salovey, & Caruso, 2004).

In contrast, Goleman (1998) includes five skills. They are: (a) Self-Awareness-the ability to recognize and understand personal moods and emotions and drives, as well as their effect on others; (b) Self-Regulation-the ability to control or redirect disruptive impulses and moods, and the propensity to suspend judgment and to think before acting; (c) Motivation-the ability to work for internal reasons that go beyond external rewards; (d) Empathy-the ability to understand the emotional makeup of other people; and (e) Social Skills-the ability to manage relationships and build networks, and an ability to find common ground and build rapport. The Goleman model views this construct as a wide array of competencies and skills that drive a managerial performance, measured by a multi-rater assessment (Boyatzis & Sala, 2004).

Bar-On's model of fifteen determinants describes an array of personal, emotional and social abilities. These components include: (a) Emotional Self-Awareness-the ability to recognize and understand one's feelings; (b) Assertiveness-the ability to express feelings, beliefs and thoughts and to defend one's rights in a non-destructive manner; (c) Self-Regard-the ability to respect and accept oneself; (d) Self-Actualization-the ability to realize one's potential capacities; (e) Independence-the ability to be self-directed and self-controlled in one's thinking and actions and to be free of emotional dependency; (f) Empathy-the ability to be aware of, to understand, and to appreciate the feelings of others; (g) Interpersonal Relationship-the ability to

establish and maintain mutually satisfying relationships; (h) Social Responsibility-the ability to demonstrate oneself as a cooperative contributing and constructive member of the social group; (i) Problem Solving-the ability to identify and define problems, as well as to generate and implement potentially effective solutions; (j) Reality Testing-the ability to assess the correspondence between what is experienced and what objectively exists; (k) Flexibility-the ability to adjust one's emotions, thoughts, and behaviors to changing situations and conditions; (l) Stress Tolerance-the ability to withstand adverse events and stressful situations; (m) Impulse Control-the ability to resist or delay an impulse, drive or temptation to act; (n) Happiness-the ability to feel satisfied with one's life; and (o) Optimism-the ability to look at the brighter side of life and to maintain a positive attitude. Bar-On determined that emotional intelligence is a multi-factorial array of emotional and social competencies that effect how we relate to others and cope with the daily demands of life (Goleman, Bar-On, & Parker, 2000).

Over the past decade the business sector has focused on the significant effects of emotional intelligence on leadership (Bradberry & Greaves, 2014; Cherniss et al., 2006). For example, Cavallo and Brienza's (2014) researched found that the higher performing employees of Johnson & Johnson had significantly more emotional competencies than the lower performing employees. In addition, AT&T leaders who had high emotional intelligence were 20% more productive than those with low emotional intelligence skills (Bradberry & Greaves, 2003). Lunenburg and Ornstein (2004) agree that the traits and skills required to be successful business leaders coincide with the skills needed for school leaders.

McDowelle and Bell (1997) stated,

The concept of emotional intelligence is now part of our popular culture. Despite its "pop culture " status it is based upon serious inquiry and research. Practitioners and professors

of educational leadership should study the implications for preparation and practice implicit in the concept. The acceptance of the appropriate place of the emotions in the workplace necessitates close scrutiny of the research, fieldwork and corollary literature linked to emotional intelligence. Education is at its essence a people business. Exclusion of the emotions, motivations and drives of the actors engaged in this enterprise is unnecessarily reductive and restrictive (p. 13).

Hallinger and Heck (1996b) substantiates the need for emotional intelligence in their description for determining a principal's effectiveness is best understood as a part of a "web of environmental, personal, and in-school relationships that combine to influence organizational outcomes" (p. 6). Although there are variations amidst the different major models of emotional intelligence, there are the positive correlations to leadership; therefore, worthy of examination (Freedman, 2014).

Great by Choice Descriptors

Once leaders have an understanding of the theories, styles, and competencies, the question remains as to what separates a good leader from a great leader. Collins (2001) believed that with the right circumstances individuals begin to develop into Level 5 leaders. According to Collins (2001), there are five attributes that typify the Level 5 leader: self-confident, humble, modest, unwavering resolve, diligence, credit to others, and take full responsibility. Jim Collins (2011) identifies some individuals as *10xers*, those who beat the odds of failure in a time when others superficially seem to follow the same path, yet did not experience the same success. These individuals built enterprises that survived *in* chaos and out-performed their industry index by providing returns to their shareholders at least ten times greater than their competitors. Additionally, he illustrates the term by describing two expedition leaders, Roald Amundsen and

Robert Falcon Scott and their preparation and plans to journey to the South Pole. Both faced dramatically different outcomes, but not because they faced different circumstances. Without complaints, *10xers* accept that they face forces beyond their control, unpredictable events, and uncertainty, yet they reject that luck, chaos, and other external factors determine their success. Collins (2011) recognized three core behaviors, fanatic discipline, productive paranoia, and empirical creativity, all applied consistently by the distinguished leaders. Table 6 describes the principles followed by the *10xers*.

While *10xers* are innovative, more important is the ability to scale innovation, to blend creativity with discipline. *10xers* know when to go fast and when not to go fast. In other words, the leaders observed what worked, figured out why it worked, and built upon proven foundations. They were disciplined, empirical, and paranoid. The question is not that the leaders had luck, but knew what to do with the luck that they had. Above all, *10xers* understand they cannot control or predict the world around them and must accept full responsibility for their own fate. They have the inner will to do whatever it takes to create a great outcome, no matter how difficult (Collins, 2011).

In Collins book, *Good to Great*, (2001), he described habits that may move a leader from being mediocre to awesome. However, as Collins stated in *Great By Choice*, (2011), leadership is more about who you are than what you do or what you know. According to Collins (2011), two leaders can receive different results directly related to how they speak or act. He also notes that there are individuals who can be trained about what to say and what to do, even show someone how to say and do, yet do not move from *Good to Great*. As a result of no scientific formula, some individuals have difficulty with the art of leadership (Bruhn, 2004).

Table 6

Principles Followed by 10xers

20 Mile March	Fire Bullets, Then Cannonballs	Leading Above the Death Line	SMaC
Keep a steady pace Focus on consistent, long term performance Concrete, clear, intelligent, rigorously performance mechanisms	Fire a small bullet first (low cost, risk, distraction) Continue to make adjustments from learning Fire calibrated, calculated cannonballs	Build reserves and remain hyper-vigilant- zooming in and out (detail vs. big picture) Reduces surprises and the impact of unhelpful developments	Specific, Methodical, and Consistent Clear guidance regarding what to do and not do Creative consistency

Note. Adapted from “10xers,” by J. Collins, 2011, *Great By Choice*. Copyright 2011 by HarperCollins.

Role of the Principal

It is noteworthy to recognize the differences between educational leaders and leaders of other organizations. Although leaders from various organizations possess some of the same attributes in business and military as educational leaders, they are not synonymous. All leaders must answer to a higher power, but the educational leader has less power and authority. In addition, the business and military leaders are less involved in the day-to-day operations (Carr, 2012). Williams-Boyd (2002) comments, “With the overwhelming emphasis placed on schools being run as businesses, we might ask whether there are commonalities between the corporate and educational worlds that would help us define educational leadership or whether there is a process at work that sets apart the leadership of America’s schools” (p. 3).

Bolman and Deal (1992) found the effectiveness of all leaders is related to the capacity for understanding and responding to situations with passion, purpose, spirit, traditions, and values. However, according to the 1999 study in the *Journal of Applied Psychology*, the leader’s success is not independent. The person’s power depends on others’ perceptions, and those perceptions are malleable (Yorges, Weiss, & Strickland, 1999).

As an intriguing prospect for educational reformers, McEwan (2003) noted that researchers have been fascinated with the difference between effective and ineffective schools and the manipulation of key variables. It is noteworthy that the one characteristic for effective or excellent schools is the leadership ability of the building administrator (McEwan, 2003).

Ramsey (1999) identified several unique differences between school administrators and other administrators. Ramsey stated:

superintendents, principals, and other school level administrators: (a) contend with uncertainty regarding money and often have little to no control of their funding sources;

(b) work with results that are not always readily measured, (c) make daily decisions in the midst of constituencies; (d) are accountable to more “bosses”; and (d) work in a highly political environment (p. xviii).

In 2003, the Southern Regional Education Board (SREB) contended that there was an ample number of individuals with administrative certifications, but a lack of people with knowledge and skills to lead schools to excellence. The inadequate number of leaders has caused concern among legislators and educational policymakers. To address the leadership crisis in our schools, Michael Usdan and his colleagues (2000) suggests redefining the principal’s role and refocusing support for school leaders.

The field of education offers multiple leadership opportunities. However, a principal’s role is unique not only within the educational environment, but also from school to school. Historically, a school administrator served as the head of the school since the middle of the 19th century when education moved from the one room schoolhouse to multiple classrooms (Lortie, 2009). Originally, teachers served as the manager part time because it was essential for someone to handle the budget, greet parents, student scheduling, personnel, public relations, discipline, coordinate the instructional program, and maintain the building facilities (Buchanan County, Iowa Historical Society, 2013; Rippa, 1988). Traditionally, the principal resembled the middle manager as suggested in the 1950s classic, *The Organization Man*-an overseer of buses, boilers, and books (Whyte, 1956). Grubb and Flessa (2006) stated that the principal has been in the past “responsible for hiring and perhaps firing teachers, coordinating bus schedules, mollifying angry parents, disciplining children, overseeing the cafeteria, supervising special education and other categorical programs, and responding to all the stuff that walks in the door” (p. 519)

As society's complexity increased and the curricula became more than the three R's- Reading, Writing, and Arithmetic, the role of the principal was changed dramatically (Daresh, 2002). Daresh (2002) stated:

Often, new principal teachers learned their duties simply by watching what their more experienced colleagues did and then trying to do the same things. When the role of the principals was first being identified, this approach to management training and preparation was reasonably effective (p. 3).

In a rapidly changing era of standards-based reform and accountability, a different conception emerged for school administrators. It is similar to the model suggested by Jim Collins' 2001, *Good to Great*, which resembled the contemporary corporate life that focused on what is essential, what needs to be done, and how to get it done. Today's principals are required to implement three practices associated with successful leaders. Setting direction with a shared understanding of the organization and vision, as well as developing the people within the organization are two of the practices. The third practice, redesigning the organization, supports the understanding of the organization and vision. The redesigning of the organization include: (a) strengthening school culture, (b) modifying organizational structures, and (c) building collaborative process among the staff (Leithwood et al., 2004). In the Wallace Foundation's document, *The School Principal as Leader: Guiding Schools to Better Teaching and Learning*, (2013a) the authors stated:

This shift brings with it dramatic changes in what public education needs from principals. They can no longer function simply as building managers, tasked with adhering to district rules, carrying out regulations and avoiding mistakes. They have to be (or become)

leaders of learning who can develop a team delivering effective instruction (Leithwood et al., 2004, p. 4).

According to Daniel Domenech's interview, (as cited in Mitgang, Cummins, & Gill, 2013) principals need to master managerial practices, but their "primary function is to be the educational leader of the building" (pp. 7-8).

Principal Preparation Programs

Graduate principal training programs have been under scrutiny due to their inability to replicate the craft of educational leadership, yet they provide a philosophical grounding in the master's degree programs that will influence many of the administrator's later decisions (Lashway, 2006). These graduate programs' primary design is to produce effective school leaders who create environments where students are prepared to lead as licensed professionals (Darling-Hammond, et al., 2007). Generally, the collection of courses cover:

management principles, school laws, administrative requirements, and procedures, with little emphasis on student learning, effective teaching, professional development, curriculum, and organizational change. Relatively few programs have strong clinical training components: experiences that allow prospective leaders to learn the many facets of their complex jobs in close collaboration with highly skilled veteran leaders (Darling-Hammond et al., 2007, p. 5).

When asked about the strengths and weaknesses of their own preparation for the principalship, principals indicated that the best on-the-job training was working with a strong, effective, principal mentor as a positive. Yet, the principals characterized academic training that was too theoretical as a negative (Riggins-Newby & Zarlengo, 2003). In other words, nearly 70% of the principal surveyed agreed that graduate school leadership programs "are out of touch

with the realities of what it takes to run today's school" (Farkas, Johnson, Duffett, Foleno, & Foley, 2011).

In addition to a misaligned program, the high number of adults who have received the administrative degree presents a challenge to a district attempting to select the best applicants. Mitgang (2003) concluded "there is no statistical evidence of a nationwide shortage of certified candidates for the principalship" (p. 4). He noted that districts are plagued with individuals who are certified with weak credentials and experience, yet are not qualified. One of the causes is the expansion of training programs or creation of new ones (Colvin, 2008). "The nation's education schools awarded more than 15,000 master's degrees and 2,300 doctorates (EdDs) in leadership in 2003, far more than the demand for principals and superintendents" (Colvin, 2008, p. 20). With the addition of for-profit colleges such as University of Phoenix, National University, Capella University, Walden University, Argosy University and others, the problem may be there are too many programs that are of marginal quality (Colvin, 2008). Arthur Levine (2005), President of Teachers College, Columbia University, identified weak criteria for admissions, irrelevant courses, weak academic rigor, unskilled teachers, and incoherent curricula as problem areas in traditional training programs. With the shortage of qualified candidates for the principalship, and with traditional programs being criticized for not adequately preparing administrators, programs that support the development of future principals need to be investigated (Gray, Fry, Bottoms, & O'Neill, 2007).

Exemplary Induction Programs

To supplement the university programs, principal induction has become critical to the development and retention of principals as they transition as the educational leader. Societal changes, increased stress, low pay, and burn-out all play a part in encouraging administrators to

leave and take other jobs. Therefore, the shortage of good principals continues to increase in the United States. Principals need support in order to maintain progress and continue to be successful (Wilmore, 2004).

Darling-Hammond, Meyerson, LaPointe, and Orr (2010) determined that exemplary programs share four common traits: intense principal recruitment, significant mentorship for new principals, a rigorous focus on instructional improvement and transformational leadership, and a set of common standards for principals. “Knowing that these leadership practices matter is one thing, but developing them on a wide scale is quite another” (Darling-Hammond et al., 2010, p. 5). With an emphasis on the performance and accountability, school districts are seeking tools to develop highly effective school administrators (Mitgang & Gill, 2012).

The Rainwater Charitable Foundation commissioned research to study principal preparation programs with an emphasis on exemplary programs. This seminal study provides direction for institutions (i.e., district, university, non-profit) planning to begin principal induction programs. District-based programs are primarily funded and managed by district personnel (Cheney et al., 2010). According to the Rainwater literature, a comprehensive principal induction program includes the following components:

- A formal recruitment strategy to ensure that desirable candidates are filling the application pool;
- Internships whereby future leaders are placed in schools to work with leaders who have demonstrated success;
- Coaching and mentoring, and
- Systems to evaluate the effectiveness of the new principal induction program (Cheney et al., 2010).

In *Principals in the Pipeline*, Mendels (2012), thoroughly described four key elements behind the initiatives incorporated in six school districts: (a) Prince George County, Virginia; (b) Charlotte-Mecklenburg, North Carolina; (c) Denver, Colorado; (d) Gwinnett County, Georgia, (e) Hillsborough County, Florida, and (f) New York City. Mendels (2012) stated that the elements “may seem like common sense, but until recently, leadership was an afterthought for most districts and, as a consequence, important pipeline elements were either insufficient or missing altogether” (p. 49).

The Wallace Foundation supports the four essential elements: 1) *Principal standards*- Districts create clear, rigorous job requirements detailing what principals and assistant principals must know and do; 2) *High-quality training* - Preservice principal training programs-whether run by universities, nonprofits or districts-recruit people who show the potential to become effective principals and give them high-quality training that responds to district needs; 3) *Selective hiring* - Districts hire well-trained candidates with the right set of characteristics to be strong school leaders; and 4) *Solid on-the-job support and performance evaluation* - Districts regularly assess the performance of newly hired principals and provide them with the professional development and mentoring they need to blossom and overcome weaknesses pinpointed in evaluations (Mendels, 2012).

In *Mentoring and Induction Programs That Support New Principals*, Susan Villani (2006) described the mentoring and induction programs from district, regional, state, and professional associations for new principals. Villani summarized the specifics of the comprehensive models for those who are interested in reviewing a program prior to beginning. Although all models addressed the same level of administration, all developers designed a specific program to serve the needs of their individual districts, regions, states and professional

associations (Villani, 2006). Five regional models are included in Appendix E with specific details.

Dr. Kathy Spencer (2003) researched five state programs and one professional organization to determine the essential components in a principal induction program. Spencer (2003) noted that North Carolina has lacked the consistency throughout the years regarding principal induction programs. Unfortunately since her research was conducted, North Carolina has continued the downward trend. According to the North Carolina General Assembly, General Statute 115C-290.5 that required administrators to pass a licensure exam was repealed August, 2006. Although a justification report was presented to the legislators, the Principal Executive Program (PEP) that provided professional development and informational support through the university system to school leaders was eliminated (Fiscal Research Division-A staff agency of the North Carolina General Assembly, 2007). Prior to the eradication of the North Carolina programs, Spencer (2003) determined through her research twenty-two key components for principal induction programs that were essential. Table 7 identifies the key components gleaned from Spencer's research.

Charlotte-Mecklenburg Schools was selected in 2011 to participate in a Wallace Foundation grant to develop its principal pipeline initiative. The district is investing time and resources into developing methods and programs to improve leadership effectiveness. The pipeline initiative is aligned to two of their key leadership goals in the district's strategic plan. Table 8 depicts the results of Charlotte-Mecklenburg's effort to design a program tailored to their district, based on stakeholder feedback of the most essential leadership competencies (C. Campbell, personal communication, August 4, 2014).

Table 7

Key Components for Principal Induction in North Carolina

Key Components

1. Novice principal is involved in developed individual program goals
2. Mentor participants are involved in developing program goals
3. Program training/expectations are shared with participants
4. Release time for novice is provided for induction program participation
5. Specific local funding is provided for program development
6. National ISLLC standards are to be utilized for program development
7. NAESP/NASSP standards are to be utilized for program development
8. North Carolina standards are to be utilized for program development
9. Local district standards are to be utilized for program development
10. Mentor training is provided for veteran principals
11. Novice/Mentor select partners for program implementation
12. District administrators assign mentors to novice principals
13. On-site mentoring services are available
14. Internships are utilized during novice principal service
15. Long-term professional development goals are determined/implemented
16. Short-term professional development goals are determined/implemented
17. Novice principals/mentors identify areas for professional development
18. District identifies areas for professional development
19. All participants are surveyed for program effectiveness
20. Data collection is conducted on success of goals identified in planning
21. Data collection on mastery of specified standards utilized
22. Participant recommendations for changes/needs are solicited

Note. Retrieved from ProQuest (3109328). “A Study of Formal Induction Programs in North Carolina for Public School Principals Identifying Key Components of North Carolina Principal Induction Programs” by K. Spencer, 2003, p. 120-121. Reprinted with permission.

Additional detailed descriptions of the leadership competencies and their aligned super standards from the North Carolina School Executive instrument are available in Table 8 and Appendix G.

Coaching

Two components consistent with principal induction programs are coaching and mentoring. Therefore, the next two subsections address the similarities and differences of each practice.

Coaching has emerged and evolved into a multifaceted and dynamic practice, integrating elements from the public and private arenas (Bloom, Castagna, Moir, & Warren, 2005). “It has roots in psychotherapy, particularly solution focused and cognitive behavioral theory. Carl Jung, Alfred Adler, Carl Rogers, and Abraham Maslow are antecedents to today’s therapy practice-and modern day coaching” (Reiss, 2007, p. 11).

Coaching is a complex art often invisible and inaudible to an observer. The more advanced the thought processes, the more likely the dialogue will be transformational (Hoover & Gorrell, 2009). According to Bloom et al. (2005), effective leadership coaching incorporates a number of key elements:

- The coach constructs a relationship based upon trust and permission.
- The coach serves as a different observer of the coachee and the context.
- The coach and the coachee recognize that problems and needs are valued learning opportunities.
- The coach must be prepared to apply a variety of coaching skills as appropriate to the context and needs of the coachee.
- The coach is fully present for and committed to the coachee.

Table 8

Charlotte-Mecklenburg’s Model for Leadership Competencies Aligned to the Super Standards from the North Carolina School

Executive Instrument

Competencies	Strategic	Instructional	Micro-Political	Human Resources	Cultural
Building diverse relationships	•		•	•	•
Establishing a culture of high performance				•	•
Delegation	•				•
Succession planning	•			•	
Effective communication			•	•	
Conflict management			•		
Data-driven decision making	•	•			
Results orientation/ownership of outcomes	•	•			
Visionary	•				
Change leadership	•				
Innovation	•				
Coaching	•				

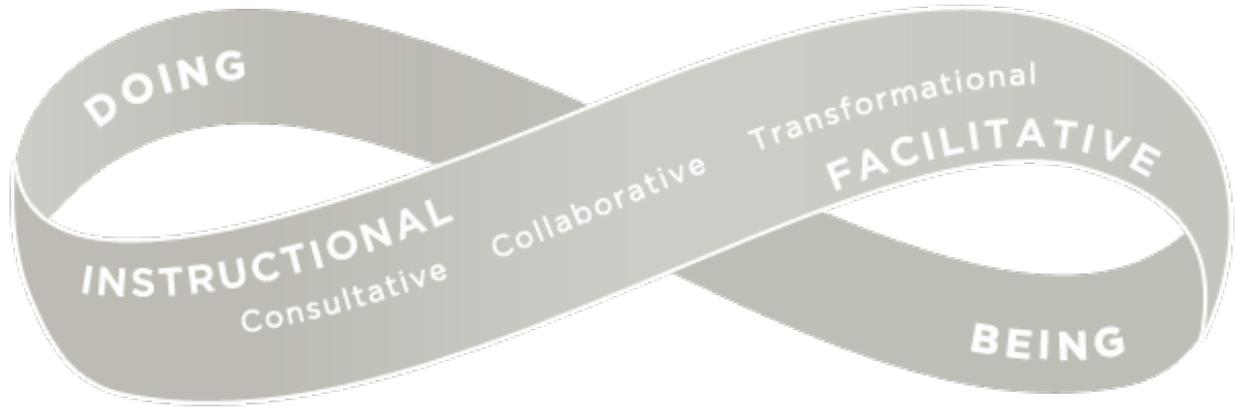
Note: Managerial and External Development Standards are not represented in the chart. If principals demonstrate competency in the Super Standards, competency in these areas is assumed. Adapted from “Recent Leaders Standards, From Six Principal Pipeline Districts: 2013,” by The Wallace Foundation, 2013, <http://www.wallacefoundation.org/knowledge-center/school-leadership/principal-training/Documents/Recent-Leader-Standards.pdf>, p.5. Copyright 2013 by The Wallace Foundation.

- The coach provides emotional support to the coachee.
- The coach maintains a fundamental commitment to organizational goal as agreed to by the coachee, and appropriately pushes the coachee to attain them.
- The coach practices in an ethical manner (pp. 7-9).

Additionally, coaching requires a content expert focusing on concrete issues and typically performance driven. The sessions are usually short, but depends on the purpose and ends when the skills have been acquired. The immediate supervisor is usually involved in the coaching model. Often feedback is provided by the supervisor and the information gained informs the coach throughout the process (Management Mentors, 2013).

Bloom et al. (2005) stated, “Coaching does not occur along a continuum, but rather in a dynamic process” (p. 56). In other words, coaching that provides ongoing support and job embedded is highly recommended (Bloom et al., 2005). Figure 1 illustrates through the Mobius strip as the model for blended coaching. Blended Coaching provides the rookie and novice principals feedback about the “ways of doing” or the instructional style, which is also known as mentoring (Bloom et al., 2005, p. 56).

Blended Coaching combines five strategies of coaching into one model in an effort to provide support to principals; each strategy is situation-specific. Instructional coaching occurs when the coach may shadow the coachee and suggest specific behaviors and/or processes. Prior to employing this coaching strategy, the coach must ask permission and use the appropriate strategy to convey the information needed. Collaborative coaching requires the coach to work behind the scenes, assisting the coachee to execute a plan. Consultive coaching enlists the coach to collect data and supply strategies regarding a specific task or problem. Facilitative coaching occurs when the coach provides growth opportunities for the coachee to internalize a new “way



Note. Möbius strip of blended coaching strategies. Reprinted from *Blending Coaching: Skills and Strategies to Support Principal Development* (p.57), by G. Bloom, C. Castagna, E. Moir, and B. Warren, 2005. Copyright 2005 by Corwin Press. Reprinted with permission.

Figure 1. Blended coaching strategies as Möbius Strip.

of being” and is represented on the right side of the figure (p. 56). The coach observes, listens, and poses questions for reflection. Transformational coaching promotes a change in interpersonal skills. Both the coach and coachee must believe that behaviors are not static and new behaviors can be learned. According to Bloom et al. (2005), all of the strategies are effective in moving forward in the direction of success when the coach recognizes the strategy which is more effective depending on the situation and the protégé.

Mentoring

Dodgson (1986) summarized mentoring as ambiguous and had lost some of its value due to the vast array of relationships that the term denotes. However, Wright and Wright (1987) asserted, “by not mentoring, we are wasting talent. We educate and train, but don’t nurture” (Wright & Wright, 1987, p. 207). According to Smith (2007), mentors may serve successfully in multiple roles such as advisor, critical friend, guide, listener, role model, sounding board, strategist, supporter, and teacher. The mentor questions, challenges productively, encourages risk taking, offers encouragement, provides feedback, promotes independence, and shares critical knowledge. Mentoring is a creative approach that encourages growth and developing the whole person (Management Mentors, 2013; Talley, 2008).

In the business world, mentors are traditionally a senior executive who provides guidance and support to a junior individual. Career mentoring serves specifically to support the protégé’s career progress and directly impacts the success of his or her career (Kram, 1985). In the educational field, mentoring is a vehicle used to encourage reflection, reconsider what has happened, why and work toward improving the professional practice (Schon, 1987). Drago-Severson (2009) acknowledged that mentoring is a necessary component for successful adult learning and growth.

Mentoring is identified by the National Association of Elementary Principals in *Leading Learning Communities: Standards for What Principals Should Know and Be Able to Do* as a professional development strategy for all principals (National Association of Elementary School Principals, 2001). The guidebook notes:

A successful principal, no matter how new or senior in the field, also appreciates the value of and need for mentoring within the principal profession. The principal learns valuable lessons from other leaders. Just as a principal should institute a mentoring program for teachers within the school, today's principal should also view principal mentoring as a valuable tool resulting in improved leadership skills and, ultimately, a stronger learning community (p. 20).

Daresh (2001) stated that effective mentoring is a process that is much more complex than sharing knowledge with newcomers. Even in the most productive mentoring model, it is essential to recognize that it is one strategy in a wide range of professional development activities. He also cautions program developers to recognize that mentoring is not the panacea that will solve all of the problems for school leaders (Daresh, 2001). Furthermore, Kearney (2010) reported that all principals, including veteran principals benefit from ongoing high-quality professional learning linked to their individual leadership growth and enhanced professional performance.

While coaching and mentoring, may seem similar it is important to note that most individuals use the words synonymously. It is debatable by many authors regarding the similarities and differences of coaching, mentoring, advising, or counseling (Bloom et al., 2005; Lovely, 2004; Mason, 2014; Whitmore, 2006). According to Whitmore (2006), no matter what we label it, if done well, the underlying principles and methodology remain the same.

In Table 9, Stevenson (2013) describes the differences between the two approaches, mentoring and coaching.

In addition to understanding the meanings of the two terms, it is essential to know when to coach and when to mentor. It is critical that the developer recognizes as to why and when an organization would choose coaching versus mentoring or, in some cases, implement both approaches for different reasons. The leaders within the organization, Management Mentors (2013) wrote a white paper that provided insight into the dilemma and rationale of why companies select a given method or both for developing leaders.

This confusion often causes companies to opt for mentoring or coaching without understanding that they serve a different purpose and follow different paths to employee development. A failure to understand these differences often leads to disappointing results and the (understandable) mistake of blaming coaching (or mentoring) rather than realizing that the company created the wrong system (p. 2).

To eliminate confusion between the coaching and mentoring, Table 10 briefly describes when to implement the two approaches.

How Adults Learn

Recognizing that leadership is a learned skill, it is necessary to understand how adults learn. The theory of adult learning is designed around the core principles of the andragogical model. It has remained a central model of adult learning despite years of critique, debate, and challenge (Holton, Swanson, & Naquin, 2001). The andragogical model has endured a variety of modifications, some incorporated in the model and others as variations in practice (Forrest, III & Peterson, 2006).

Table 9

Differences between Mentoring and Coaching as noted by Stevenson

Process	Mentoring	Coaching
Driving Thought	My experience is...	How can I support your learning?
Public Statement	This is how I would do it.	What have you tried? How has it served/disserved you? What else is possible?
Public Action	Guidance and Advice	Explore, experiment, and learn new ways of working, thinking and being, personally and professionally.

Note. Adapted from “What You Need to Know about Coaching Services,” by H. Stevenson, 2013. Retrieved from <http://clevelandconsultinggroup.com/articles/coaching-services.php>.

Table 10

Choosing Mentoring or Coaching

Consider Coaching when an organization:

- seeks to develop employees in specific competencies using performance management tools and involving the immediate manager
- recognizes a number of talented employees are not meeting expectations
- introducing a new system or program and employees need to become proficient
- a small group of individuals (5-8) in need of increased competency in specific areas
- a leader or executive needs assistance in acquiring a new skill as an additional responsibility

Consider Mentoring when an organization:

- seeks to develop leaders or talent pool as part of succession planning
- seeks to develop its diverse employees to remove barriers that hinder their success
- seeks to more completely develop its employees in ways that are additional to the acquisition of specific skills/competencies
- seeks to retain its internal expertise and experience residing in its baby boomer employees for future generations
- wants to create a workforce that balances the professional and the personal

Note. Adapted from “Coaching Versus Mentoring: 25 Ways They’re Different” by Management Mentors, 2013. Retrieved from <http://www.management-mentors.com/Portals/41809/docs/Coaching%20vs%20Mentoring%20-%2025%20Ways%20They're%20Different%20-%202nd%20Edition.pdf>

The term andragogy was originally used by Alexander Kapp, a German educator, in 1833, and was developed into a theory of adult education by the American educator and phase theorist, Malcolm Knowles (Melick & Melick, 2010). Knowles described andragogy as “the art and science to teaching adults to learn” (Miller & Stoeckel, 2011, p. 176). Adult learning is often interpreted as the process of engaging adult learners with the structure of the learning experience (Knowles, Holton, & Swanson, 2005).

Adult learning theory rests on six premises (Forest, III, & Peterson, 2006; Knowles et al., 2005). According to Knowles and his colleagues, adult learners are self-directing and independent. They have experience and are more interested in problem solving, as well as motivated by internal drives rather than external drives (Abela, 2009; Hines, 2006; Knowles et al., 2005; Merriam, Caffarella, & Baumgartner, 2007; Sopher, 2003). Knowles’ theory is arranged in six assumptions related to motivation of adult learning:

- Adults need to know the reason for learning something (Need to Know);
- Experience (including error) provides the basis for learning activities (Foundation);
- Adults need to be responsible for their decisions on education; involvement in the planning and evaluation of their instruction (Self-concept);
- Adults are most interested in learning subjects having immediate relevance to their work and/or personal lives (Readiness);
- Adult learning is problem-centered rather than content-oriented (Orientation);
- Adults respond better to internal versus external motivators (Motivation) (Russell, Martin, Scott, & Thomas, 2012, p. 3).

In 2000, Kegan proposed a theory to clarify how adults make sense of their learning experiences. The theory focuses on self-awareness, lifelong learning and transformational

learning. The underlying principles revolve around two concepts: people construct reality in which they live; and people develop over time with “supports and challenges” (Drago-Severson, 2004, p. 33).

Conley (1999) studied how administrators learn best in her study, “The Professional Development of School Principals.” She indicated that professionals learn through reflective practice, experiential learning, and self-direction. “Reflecting in practice and reflecting on practice provide a framework to investigate the independent learning patterns of principals” (Conley, 1999, pp. 21-22).

Understanding how adults learn is essential in the development of the principal induction program in which learning is key to improvement. Recognizing the most appropriate methods not only improve the individual’s knowledge and skills, but ultimately the whole group (Knowles et al., 2005).

Program Development

To be effective, it is essential to gain a deeper understanding of the components for developing a leadership program. After a thorough examination, Migang et al. (2012) found that effective principal induction programs should incorporate research based practices. It is noteworthy that researchers found the concept of best practices are derived from law and medicine (Konner, 1986; Moliterno & Lederer, 2010). Yet, Mitgang (2007) documented that educators must also include clear standards and competencies. For the purpose of this study, the following areas were researched: (1) leadership theories, (2) traits, (3) characteristics, (4) behaviors, and 4) competencies, including emotional intelligence skills to develop a comprehensive leadership program for principals.

In the early 1900s, Fredrick Taylor argued that leaders had a responsibility to train employees in the skills needed to be successful. His philosophy revolutionized manufacturing, but one of his fundamental beliefs can be applied to developing a program involved in management and leadership (Evans & Lindsay, 2005). Taylor believed that one should find the best practice wherever it exists. Today, we call it benchmarking (Jetmarova, 2011).

Summary

The work of the principal has changed over time. State and national professional leadership standards specify the need for principals to possess a blend of skills, behaviors, competencies, and abilities to manage, lead, and transform schools to ensure student success (Darling-Hammond et al., 2010). Due to these accountability expectations, the principal is no longer a caretaker of the facilities, but a leader who must possess vision and direction for the learning of students. Additionally, principals must possess the ability to build and sustain trusting relationships between and among staff, district personnel, and community stakeholders (Ontario Ministry of Education, 2010). Principals must also demonstrate the North Carolina competencies outlined in the school executive rubric to address the needs in the classroom.

The review of literature demonstrates that we can no longer give the building keys to a new principal and allow him to haphazardly stumble upon becoming a school leader. Developing principals with ongoing support is vital for school leaders to grow, survive, and adapt to the complexities of their communities. As the role of the principal evolves, so must the research.

As the next chapter describes, the researcher determined Craven County's principals', perceptions on the cornerstone of the competencies for development of an induction program.

CHAPTER THREE: METHODOLOGY

Introduction

Craven County Schools has too few experienced administrators (see Appendix A). The purpose of this problem of practice is to investigate possible solutions to address the experience gap between principals in Craven County Schools. Districts around the country, including Craven County Schools, have grappled with designing a high quality induction model to develop the capacity of certified leaders (Darling-Hammond et al., 2007; L. Mills, personal communication, February 15, 2014). Additionally, Superintendent Dr. Lane Mills substantiates the need for a principal induction program due to the fact that fifty-two percent of the administrators in Craven County Schools have three or less years of experience in their current administrative positions. It is noteworthy that although most new administrators were successful teachers, many experience the culture shock of leaving the classroom as they take on the responsibility of an administrator (Wilmore, 2004). Research states that beginning principals often feel “isolated, overwhelmed and disenchanting” (Aiken, 2001, p. 147). Recognizing that “the school district profoundly shapes the destinies of its principals: how they are trained, hired, mentored, evaluated and developed on the job”, a comprehensive program is necessary (Mitgang, Cummins, & Gill, 2013, p. 5). In addition, Whitmore (2006) recognizes that one of the most productive ways to move leaders from “good to great” is through an induction program.

The following chapter describes the methodology that will be used for development of the Craven County Principal Induction Program. Recognizing that a thorough examination of the literature must be conducted to obtain a comprehensive study, the program developer reviewed current research and literature regarding the content of induction programs (Yin, 2009). The literature used to guide the program development clearly reveals that coaching and

mentoring can positively influence novice principals. This section also includes a description of the instruments, as well as the participants selected to provide information and a rationale for each. In addition, the descriptions regarding data collection and analysis procedures that were used to answer the study questions were included. The questions to be examined during the development of the program are:

1. Using the continuous improvement model, what is the comprehensive design of a Principal Induction Program to prepare school leaders for effective leadership in Craven County?
2. Based on the literature review, anecdotal notes, surveys, emotional intelligence test, and interviews, what components are deemed as essential to be a highly qualified principal?

Methodology Design

According to Gall, Gall, and Borg (2006), the knowledge of the area studied and the questions to be answered should drive the design. Program development was selected as the best methodology to collect data for the development of the Craven County Principal Induction Program. The design initially began with an exploratory stance, as well as an understanding of the problem. This exploration is a qualitative study that includes description, interpretation, understanding, and identification of recurrent patterns (Merriam, 1998). The program development design was selected to obtain robust, detailed and descriptive data that can be integrated into designing an induction program that develops principals from good to great tailored for Craven County Schools.

After the literature review, pertinent data will be collected in various forms. The cyclic continuous improvement approach will be repeated until a sufficient understanding and

solution to the problem is achieved. The process will be iterative in nature because the purpose is to foster a deeper understanding of a given situation, beginning with conceptualizing the problem and moving through program design, implementation, and evaluation.

Program Development Framework

A framework for program development helps to improve program effectiveness, facilitate modification and adjustment, ensure monitoring and evaluation, as well as promote program continuity over time (Mendels, 2012). To accomplish all of the components, a comprehensive framework is needed to develop a principal induction program. Additionally, Mitgang (2007) stated that the principal induction program “should be provided for at least a year, and ideally two or more years” (p. 8).

According to Kisch (2009), continuous improvement is what great organizations do (p. 20). It is notable that management practitioners across business, law, medicine, military and education have developed models that can be used to systematically improve program development, implementation, and evaluation. Two of those models were reviewed by the program developer to determine the best model in the development the Craven County Principal Induction program. W. E. Deming designed the Plan, Do, Study, Act model or PDSA (Deming, 2000). With only four steps, the program developer noted that there was a missing explicitly stated component of analyzing the data to reflect and making change. Also, the W. K. Kellogg Foundation explains the linear logic model as a visual representation of a master plan for program development. The components, outcomes and outputs, appeared redundant for the needs of the induction program (W. K. Kellogg Foundation, 1998). The program developer discovered that several variations of the two models were evident (Tague, 2005). According to *How to Build a Successful Mentoring Program Using the Elements of Effective Practice* (2005),

regardless of the model chosen for implementation, the following steps help ensure effective program design: (1) Define program goals and scale; (2) Set a time frame for beginning, implementation, and reporting results and; (3) Identify evaluation method and plan for continuous improvement.

Although the previous models described did not meet the needs for the development of the Craven County's Principal Induction Program, the program developer recognized the need for a continuous improvement model. Therefore, a combination of best components was used and additional research was conducted to design a model that met the specific needs for Craven County School's Principal Induction Program. Tracy (2007) stated that the answers to the questions to what, why, when, how, where, and who associated with the research must be addressed throughout the model in each phase.

According to Kerlinger and Lee (as cited in Ellis & Levy, 2008), the identification of the research program is the "most difficult and important part of the whole [research] process" (p. 15). Additional researchers cite that the problem statement must be clear, concise, and is paramount to the success of the program development (Creswell, 2005; Leedy & Ormond, 2005). It is important to note that for the beginning of the process for program development, *Identify* is the first circle discussed, but will be amongst the cyclic model once the process begins. As a result, the cyclic model allows the program developer to continuously adjust and refocus on the process including identification of the problem (Backstrom & Hartwig, 2008). Additionally, the disadvantage of a linear model is the "lack of feedback processes and improvements which is the strength in the cyclic model" (Backstrom & Hartwig, 2008, pp. 2-3). Also, the cyclic model improves the conditions for effective evaluation (Backstrom & Hartwig, 2008).

Research is the next step in the continuous improvement model. Leedy and Ormond (2005) defined research as the process of collecting information to increase our understanding about that which we are concerned or interested. In order for the research to contribute to the process, it must be exhaustive and related to the field or topic of study. The research must include the knowledge of what is known as a prerequisite for identifying that which is unknown (Davis & Parker, 1997).

Once a well-defined purpose and clear description of the problem to address have been established, the next step is to begin the *Design* phase of the continuous improvement model. According to Conzemius and O'Neill (2002), SMART goals are the most effective. SMART goals are: (1) S-Strategic and Specific; (2) M-Measurable; (3) A-Attainable; (4) R-Results-based; and (5) T-Time-bound. As a part of the design, selecting strategies and resources that will be needed to obtain the goals are necessary.

The *Implement* phase of the continuous improvement cycle must execute the plan as designed by the program developer. According to Deming (as cited in Walton, 1986), it is best to keep the plan in short increments and record the data while the phase is occurring.

Despite the simplicity of the term *data analysis*, Berthold and Hand (2007) would argue that it is anything but simple due to the fact that the “tools for data analysis have complex interrelationships” (p. 3). “One does not set out to simply analyze data. One always has some objective in mind. One wants to answer certain questions”-exploratory or confirmatory (Berthold & Hand, 2007, p. 2). To achieve the richness of the data from various sources, data will be triangulated to interpret the findings. According to Russon and Reinelt (2004), triangulation is the “confirmation of a fact using a variety of methods and/or sources of data” (p. 106). During the *Analyze* phase, it is important to be reminded to not get consumed by the

displaying of the triangulated data. Leedy and Ormond (2005) purported, “To display data is certainly important, but...the interpretation of the data is the essence of the research” (p. 290). Therefore, the *Analyze* phase must be completed in an organized systematic format to ensure accurate interpretation and understandable reporting occur.

The *Refine* stage of the continuous improvement model ensures the program is making progress in addressing the problem and achieving the goals set. Although several steps will occur throughout the process, it is crucial to make changes and improvements regarding what worked and did not work in order to adjust the strategies and resources (Joint Committee on Standards for Education Evaluation, 1994). This stage naturally leads the program developer along the cyclic model of continuous improvement.

Figure 2 illustrates the modified continuous improvement model designed by the program developer. The details around the cyclic model describe the more tailored and comprehensive model for the Craven County’s Principal Induction Program.

Participants

Merriam (2009) states, “Purposeful sampling is based on the assumption that the investigator wants to discover, understand, and gain insight and therefore must select a sample from which the most can be learned” (p. 77). Table 11 describes the potential participants based on gender, current assignment and total years of experience as an assistant principal. Of the 11 rookie principals, 10 are females and 1 is a male. Novice principals are equally divided regarding gender. Of the 11 rookie principals, 10 are currently assigned at the elementary level for their principalship. Of the 14 novice principals, 5 are assigned to the elementary level, 4 serve the middle school level, and 5 of the novice principals are assigned to the high school

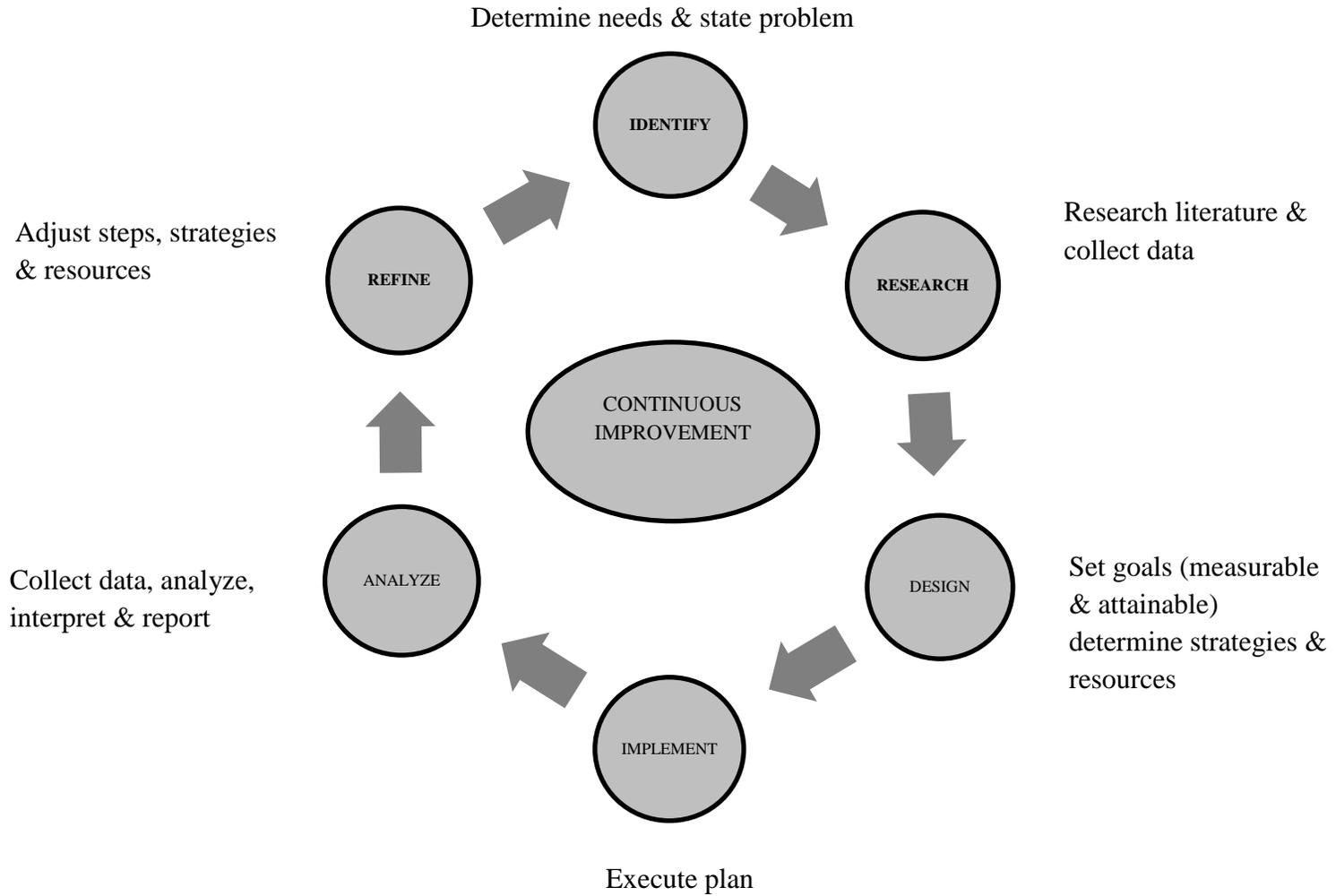


Figure 2. Craven County’s Continuous Improvement Model for Principal Induction Program.

Table 11

Participant Demographics

Variable	Rookie Principals (0-3 Years)		Novice Principals (4-10 Years)	
	Percentage	Frequency	Percentage	Frequency
Gender				
Male	9	1	50	7
Female	91	10	50	7
Current Assignment				
Elementary	91	10	36	5
Middle	9	1	28	4
High	0	0	36	5
Years as Assistant Principal				
0-1 Year	9	1	0	0
2-3 Years	64	7	50	7
4-5 Years	9	1	43	6
6+ Years	18	2	7	1

Note. There are 25 principals in Craven County, 11 of the principals are identified as rookies with 0-3 years of experience and 14 novice principals with 4-10 years of experience.

level. By including the years of experience as an assistant principal, it is noteworthy that 10 of the rookie principals and 14 of novice principals have been evaluated by their supervisors using the NC School Executive Instrument for a minimum of two years which is inclusive of the 21 competencies.

Data Sources for Program Development

Collecting data from multiple data sources will provide a better understanding of components for the Craven County Principal Induction Program. Therefore, in addition to the literature review, the program developer will use four data sources to develop Craven County's Principal Induction Program:

1. Anecdotal notes based on observations with eleven rookie principals
2. Competencies Survey for all twenty-five principals
3. Competencies Survey from respective supervisors
4. Emotional intelligence appraisal by all twenty-five principals
5. Interviews for the four second year principals

Anecdotal Notes

In *Successful School Improvement*, Fullan (1992) refers to the need for more research examining what principals do and possibilities facing them. He suggests that, in order to fully comprehend the complexities faced, we need to enter their world, share in their experiences and in doing so, "look deeper and more holistically" at the role of the principal (Fullan, 1992, p. 84). Goodson (1995) leads us to believe that "narrative methods" represent the experiences of the leaders within their schools (p. 89). Therefore, anecdotal notes will be one of the data sources used to develop the principal induction program based on observations by the program developer with the rookie principals (see Appendix J). The program developer will summarize information

including the date, participant, nature of the contact (general or targeted), aligned competencies, mastery level of competencies displayed during the visit, and next steps. These notes of competencies will inform the program developer's perception of leadership skills that the eleven rookie principals possess in Craven County Schools. This documentation will give additional insight into the specific examples of activities in which the principals participate in during the year.

It is essential to record all observations in a timely manner in the anecdotal notes to maintain accuracy. The anecdotal notes are recorded on a private Google Docs account to keep the notes organized and secured. The simplicity of the information recorded and the method of recording will give the program developer convenience to reflect and determine action for the next visit. The program developer will present the data collected from the anecdotal notes in a summarized format within the predominate competency.

Competency Assessment

Admittedly, self-ratings tend to be higher than supervisory ratings (Facteau & DeVries, 2001). Although a self-assessment seems to be especially prone to inaccurate evaluations, Roberts (2003) suggests that it is useful because it increases preparation and readiness for the next steps to improvement, as well as enhances overall satisfaction and increases perceived fairness. Conversely, Facteau and DeVries (2001), recognize that self-ratings tend to be higher than supervisory ratings. However, Roberts (2003) contends that the ultimate goal is not absolute agreement, but a process directed towards achieving consensus over time.

Charlotte-Mecklenburg School District's Project Director for the Principal Pipeline Initiative, Courtney Campbell, stated that the district recognized both viewpoints and described their use of a self-assessment, as well as data collected from district personnel as two sources

used to develop their principal induction program. Both Charlotte-Mecklenburg subgroups were surveyed regarding the North Carolina School Executive competencies for which administrators are held accountable (C. Campbell, personal communication, August 4, 2014). Therefore, self-assessments and supervisor assessments will be used to collect data to design Craven County's Principal Induction Program. In an effort to design a principal support program for our administrators to gain a deeper understanding of the educational leadership expectations, all twenty-five principals, will complete self-assessments regarding their level of proficiency using the North Carolina competencies. In addition, the superintendent and three assistant superintendents who evaluate the performance of the principals in Craven County Schools will provide ratings on the same North Carolina School Executive competencies for each principal they are assigned.

The participants will not be randomly chosen. All twenty-five principals and their respective supervisors will be invited to be participants in the study. All participants will be informed in writing of the nature and purpose of the project prior to the assessment, as well as their right to withdraw from the study without penalty. All participants will be requested to complete consent forms prior to completing the assessment (see Appendices K & L). Pseudonyms will be used to refer to the participants to protect their identities and confidentiality will be assured during the collection and reporting of the data. The assessments will be conducted electronically using Google Forms. To limit the concern that participants may take the survey hurriedly, participants will be given the opportunity to select the day and time that works best in their daily schedules to complete the competency assessment survey.

In order to score the self-assessments and the supervisors' assessments, a Likert scale rating will be used to measure the degree of mastery for the 21 North Carolina School Executive

competencies (see Appendices C & M). According to Chang (1994), the four or six points on the Likert scale “tend to reduce measurement consistency” (pp. 212-213). Hence, the assessments will utilize a four point Likert scale that ranges from: Never, Rarely, Often, and Always. The four-point Likert scale was chosen to require participants to specify their level of agreement to a statement and eliminate neutrality. In addition, Chang (1994) stated “studies that found that fewer scale points resulted in higher reliability than more scale points” (p. 205).

As a result of the identical assessment design to all respondents, data collection can be used to make comparisons and inferences about the population surveyed (Taylor-Powell & Hermann, 2000). Once the surveys have been completed by the principals and their respective supervisors, responses to each question will be entered into a database for analysis. Discrepancy levels’ ranges will be calculated as follows:

- a) 2: Supervisor’s rating is two levels higher than the principal’s rating
- b) 1: Supervisor’s rating is one level higher than the principal’s rating
- c) 0: No discrepancy between the supervisor and the principal
- d) -1: Supervisor’s rating is one level lower than the principal’s rating
- e) -2: Supervisor’s rating is two levels lower than the principal’s rating.

These findings will offer insight into the specific competencies in which the Craven County School’s principals identified as needing additional support.

An independent competency graph for rookie principals and their supervisors, as well as a graph for novice principals and their supervisors with the corresponding Likert scale scores will be used to depict all respondents’ choices. A third competency graph will display discrepancies to determine the gap between the self-assessments and the supervisor’s

assessments. The Y axis on the graph will compare the positive or negative correlation between the two separate principal subgroups and their respective supervisors.

Emotional Intelligence Appraisal

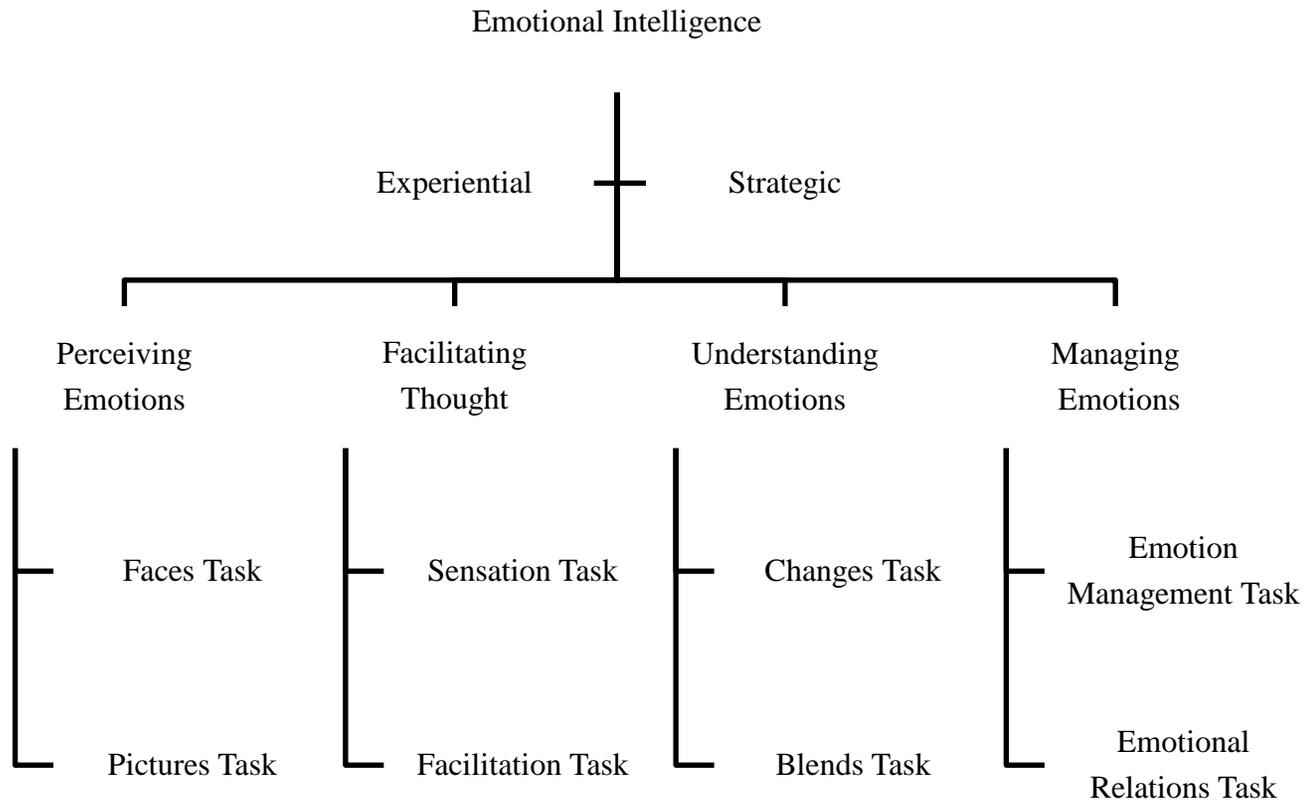
Harvard Business Review OnPoint (2014) dedicated an entire issue to numerous comprehensive articles in which multiple authors detailed the importance and need for all leaders to possess emotional intelligence (Campbell, Whitehead, & Finkelstein, 2014; Goleman, 2014; Goleman, Boyatzis, & McKee, 2014). The MSCEIT yields scores for overall emotional intelligence, two area scores, four branch scores, and eight task scores. The structure of the test is show in Figure 3.

The MSCEIT also provides two additional scores, a positive-negative bias score and scatter score. The positive-negative score can be an indicator of a tendency to read situations as overly positive or negative. The scatter score provides an indication of the amount of fluctuation among a respondent's Task scores (Mayer, Salovey, & Caruso, 2002).

The emotional intelligence test was developed in 1999 from an intelligence-testing tradition formed by the emerging scientific understanding of emotions and their function. This ability-based test consists of a series of objective and impersonal questions designed to measure the four branches of the EI model of Mayer and Salovey (Brackett & Salovey, 2006). The four branches measured are:

Perceiving Emotions: The ability to perceive emotions in oneself and others as well as in objects, art, stories, music, and other stimuli.

Facilitating Thought: The ability to generate, use, and feel emotion as necessary to communicate feelings or employ them in other cognitive processes.



Note. Adapted from MSCEIT User's Manual, p.8. Copyright 2002 by Multi-health Systems Inc.

Figure 3. MSCEIT structure.

Understanding Emotions: The ability to understand emotional information, to understand how emotions combine and progress through relationship transitions, and to appreciate such emotional meanings.

Managing Emotions: The ability to be open to feelings, and to modulate them in oneself and others so as to promote personal understanding and growth (Mayer, Salovey, & Caruso, 2004).

The participants will not be randomly chosen. All twenty-five principals will be invited to complete the Mayer-Salovey-Caruso Emotional Intelligence Test (MSCEIT). All principals who accept the invitation will complete the 141 items on the online MSCEIT appraisal in one session. The principals will respond to items to determine their ability to perceive, use, understand, and regulate emotions based on the scenarios of typical situations rather than a subjective assessment of their emotional skills. According to Mayer et al. (2004), the ability-based model makes the appraisal ideal for situations where participants may want to create a positive impression.

In an effort to analyze the data effectively, the program developer will arrange the information regarding the data from the items received in a spreadsheet format from the external scoring organization, Multi-Health Systems, into a comparison table of the three subgroups: (a) rookie principals, (b) novice principals, (c) all principals. Information will include fifteen scores including an overall emotional intelligence, two general areas-experiential and strategic, four branches of emotional intelligences, as well as the eight specific emotional intelligence tasks (Mayer et al., 2004). Additionally, the qualitative range will be categorized into guidelines to assist in the interpretation of the results. The guidelines are: (a) Consider Development; (b)

Consider Improvement; (c) Low Average Score; (d) High Average Score; (e) Competent; (f) Strength; and (g) Significant Strength (Mayer et al., 2004).

Interviews

Deming (as cited in Watson, 1986), contends that short increments to formatively assess participants' skills are crucial in the success of all implementation models. In addition, the North Carolina Department of Public Instruction recognizes the need to formatively assess skills in order to improve performance (Department of Public Instruction, 2014).

According to Loughram, 2000, reflection occurs best through practical and practice experiences. Ghaye and Lillyman (1997) identify five different types of reflection: structured, hierarchical, iterative, synthetic, and holistic. More specifically, Quinn (2000) suggested that the different models all tend to involve three fundamental processes:

- a) retrospection-thinking back about a situation or experience; b) self-evaluation-critically analyzing and evaluating the actions and feelings associated with the experience, using theoretical perspectives; and c) reorientation-using the results of a self-evaluation to influence future approaches to similar situations or experiences (p. 82).

Therefore, an individualized formative assessment designed as a reflective interview (see Appendix P) with each of the first and second year principals regarding their daily practice of the North Carolina School Executive Competencies will be conducted (see Appendix C).

According to Creswell (2007) and Yin (2009), interviews are an integral part of a qualitative study. Wengraf (2001) stated that the review of literature on a topic typically identifies interview questions that can help to systematically address the central topic.

Therefore, the program developer used existing literature to develop the interview questions

aligned to the North Carolina competencies outlined in the School Executive instrument (State Board of Education et al., 2009).

O'Rourke, Provenzano, Bellamy, and Ballek (2013), stated that beginning principals' insights regarding the type of support for school leadership within their respective buildings based on personal experiences are valuable. Therefore, realizing those who possess the most valuable, current, and precise insight regarding the gap between what they knew and understood at the beginning of the principalship and what was needed to know and understand during the past year are the first and second year principals. In addition, the questions will address the gaps between the skills and competencies they had acquired during their certification and the skills and competencies needed at their respective schools. The interview will be used to formatively assess the current support level provided and determine if it is meeting the needs of the principals. Face-to-face interviews that include open-ended questions aligned to the findings from the literature and data collected during their competency assessment. The interviews will provide access to the perceptions and opinions of the first and second year principals concerning supports that would have been helpful, information they would have determined beneficial, and how they determined it would have been helpful. The open-ended questions will be used in an attempt to encourage the principals to form narratives as they discuss their experiences. This method allows the first and second year principals to provide specific examples with their narrative responses when answering questions. The open ended narrative instrument encourages the first and second year principals to add comments regarding additional information they felt important to this study, yet not addressed. Seidman (2006) stated,

the purpose of in-depth interviewing is not to get answers to questions, nor to test hypotheses, and not to 'evaluate' as the term is normally used. At the root of in-depth

interviewing is an interest in understanding the experience of other people and the meaning they make of that experience (p. 9).

Once the interview assessment is approved by the IRB (see Appendix I), the program developer will administer the research instrument. The researcher will interview stakeholders using competency based questions (see Appendix P). Each first and second year principal will be asked to respond to reflective questions selected from the approved list based on the areas with the -1 discrepancy (one level lower than the supervisor's rating) and a -2 discrepancy (two levels lower than the supervisor's rating) between the self-assessment and the supervisor's competency assessments. Probing questions will be used when the interviewee needs additional support to answer questions completely or the researcher needs clarification. The probing questions will be noted in the written documentation of the interview.

The participants will not be randomly chosen. All first and second year principals will be invited to be participants in the study. The principals will be informed in writing of the nature and purpose of the project prior to conducting the interviews, as well as their right to withdraw from the study without penalty. All principals who accept the invitation will be required to complete consent forms prior to interviews (see Appendix O).

To conduct organized and consistent interviews, the researcher will follow the protocol recommended by The Wallace Foundation in *Workbook G-Conducting In-Person Interviews* (n.d.). Therefore, the program developer will implement four steps to conduct the interviews with the participants. They are: (1) Prepare questions and address logistics; (2) Establish rapport and obtain written consent; (3) Question interviewee and record responses; (4) Summarize the session and thank the interviewee.

Each of the interviews will be conducted at the location selected by the interviewee. The school location will allow the principal to share artifacts and is a familiar setting for interviewee. Additionally, the separate setting supports confidentiality. To help the interviewees feel comfortable in providing their opinions and sharing their experiences, the interviews will be conducted at the time of the principal's choice. The program developer recognizes a semi-structured, interactive interview protocol, and comfortable setting will lend itself to more thorough and valid responses (Wengraf, 2001).

The program developer will audio record the interview with the participant's permission to ensure accuracy which will be transcribed for analysis. Each participant will be asked to review their personal transcription and amend transcribed comments. Data will be grouped by competency and further analyzed and grouped conceptually. The identity of all participants will be protected and confidentiality will be assured during the collection and reporting of the data. Confidentiality of the principals will be maintained due to pseudonyms used to refer to the principals in this study.

The interviews are recorded on a private Google Docs account to keep the notes organized and secured. The simplicity of the information recorded and the method of recording will give the program developer a comparison of the accuracy regarding the summary the data. The program developer will present the data collected from the interviews in a summarized format within the predominate competency.

Data Collection

The process of data collection will begin once permission is granted from Institution Review Board (IRB), Craven County Schools, and each participant. Survey participants will not

be asked for identifying information outside of their professional years of experience to ensure both confidentiality and anonymity.

All data collected will be stored in a secure location in the researcher's office during the study and the data will be destroyed after five years following the completion of the problem of practice to ensure confidentiality.

Summary

Chapter 3 restated the problem of practice, as well as the questions for research. An overview of the methodology used including the rationale for each data source was provided. Data from the school and district administrators will be gained during the study and will provide additional information to develop a better understanding of the solution that will address the challenges identified by Craven County Schools' principals and supervisors. According to Brynam (as cited in Devetak, Glazar, & Vogrinc, 2010), when studying to find a solution, one must "(a) view the world with the eyes of the examinees, (b) describe and take into account the context, (c) emphasize the process and not only the final results, (d) be flexible and develop the concepts and theories as outcomes" (Mitgang et al., 2013).

Recognizing that leaders can be developed, the program developer will triangulate the multiple data sources, including the literature review to develop a comprehensive and tailored leadership program for Craven County Schools. The program developer will organize the data into patterns and cross reference with the literature to identify competencies that will be included in the Craven County Schools Principal Induction program. Limiting the data collection to include only Craven County administrators and their supervisors is based on the need to develop a customized induction program aligned to the district leadership goals.

Although considered secondary data, integrating sources gathered from the literature review which includes other induction programs implemented in the United States will be beneficial in program design and development. This method will ensure the skills and best practices for supporting new principals are not overlooked as the program is developed. The literature reveals that understanding leadership theories and styles are important in the development of leaders. Further understanding of the explicit competencies that are aligned to educational leaders are essential in the development of principals. One specific competency noted in the North Carolina School Executive Instrument that has gained recognition in the field of leadership, yet is widely taught as a soft skill is emotional intelligence. Therefore, the program developer will focus data collection on all twenty-one of the competencies and an emphasis on emotional intelligence based on the studies by multiple researchers (Bradberry & Greaves, 2004; Cherniss et al., 2006; Daniel, 1998; Goleman et al., 2000; Heckman, 1996; Mayer et al., 2004; Mills, 2009; McDowelle & Bell, 1997). In an effort to design the program that will meet the needs of the adult learners, the program developer will implement a plan based on the research that states that adult learners are most interested in learning when it has relevance to their work and personal lives (Knowles et al., 2005). Therefore, once the data is collected, individual, small group, and whole group coaching and mentoring will be aligned to meet the needs pertinent to the principals based on the data collected.

CHAPTER FOUR: RESULTS

Introduction

As the landscape of our educational system changes, the role of principals is becoming more challenging. School districts have difficulty in attracting and retaining experienced principals who balance the external pressures while improving student performance (Davis, Darling-Hammond, LaPointe & Meyerson, 2005). Due to the disconnect from the real-world leadership and changing role of the principalship, districts are designing intensive support systems to build the skills needed to effectively lead their respective schools (Chapman, 2005; Davis et al., 2005).

The purpose of this study was to develop a principal induction program for Craven County Schools that provides support for the challenges building level administrators face daily. Chapter 4 contains the presentation of the data and subsequent analysis of data collected for this study. The data are organized by the two study questions:

1. Using the continuous improvement model, what is the comprehensive design of a Principal Induction Program to prepare school leaders for effective leadership in Craven County?
2. Based on the literature review, anecdotal notes, surveys, emotional intelligence test, and interviews, what components are deemed essential to be a highly qualified principal in Craven County?

Respondents

According to Rogelberg and Stanton (2007), high level of response rates are important to the validity of research and provide greater credibility when presenting results. The national

average response rate for published academic work is 52% (Baruch & Holtom, 2008). The goal was 85% in each of the five data collection sources.

Descriptive consent letters were sent electronically to the Craven County principals. All principals were invited to participate in at least two of the data sources for the study. Eleven (100%) of the rookie principals accepted the invitations to allow anecdotal notes to be collected by the researcher, as well as participate in the self-assessment surveys. Fourteen (100%) of the novice principals accepted the invitations to participate in the self-assessment surveys. All four (100%) of the supervisors accepted the invitation to complete the competency assessments on each of their respective principals. Eight (100%) of the first and second year principals agreed to participate in an interview about the competencies. Additionally, 100% (n=25) agreed to complete the Mayer, Salovey, Caruso Emotional Intelligence Test (MSCEIT). The high response rates ensure the results are representative of the respondents and increases the authenticity of the study. The 100% response rate implies that the data are more aligned and will address Craven County's needs regarding a principal induction program.

Competencies

As a result of the literature review, 21 competencies that are embedded in multiple standards from the NC School Executive Instrument, were identified as needed for educational leaders. Using these competencies, the principals completed self-assessments and their respective supervisors used the same assessments to rate their principals to determine if there were discrepancies between the two ratings. The discrepancy levels' ranges were

- a. 2: two levels higher than the supervisor's rating
- b. 1: one level higher than the supervisor's rating
- c. 0: no discrepancy between the supervisor and the principal

- d. -1: one level lower than the supervisor's rating
- e. -2: two levels lower than the supervisor's rating.

These findings offered insight into the 21 competencies that the Craven County School's principals identified in which they would benefit from additional support.

Each of the first and second year principals were asked to respond to the reflection questions that were identified with -1 discrepancy and a -2 discrepancy between the self-assessment and their respective supervisor's assessment. A complete list of the questions are located in Appendix P. Realizing that all forty-nine of the interview responses would not be included in the data depicted in Chapter 4, the researcher selected the data sources that were the most representative of the documentation collected regarding each of the 21 competencies

In addition, anecdotal notes have been included with each competency. The anecdotal notes were collected during the researcher's interaction with rookie principals. Of the fifty-three anecdotal notes collected, the data sources that were included in Chapter 4 are the most representative of the documentation collected for each of the 21 competencies.

Change Management

According to Michael Fullan (2007), it is essential for leaders to understand the change process. Good change agents create the foundation by developing commitment of others who may or may not be enamored by their ideas. There is not a shortcut to change occurring, it involves hard day-to-day reculturing (Fullan, 2002).

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon the competency of change management that ensures all stakeholders support the change and its implementation process. Additionally, a description of the survey results follows.

Anecdotal note: Staff were reviewing data in a grade level professional learning community to assign groups using a recent assessment. The principal opened discussion about explicit instruction and continued to probe deeper into what was in place for the students who receive on-grade level or intervention support. As a result of a district wide professional development regarding acceleration, she began to “plant the seeds” about the paradigm shift. The principal reflected that her staff works best with subtle change rather than abrupt change.

Interview. The rookie principal shared with me that students were not following the dress code policy according to the student handbook. She also shared that some of the staff thought the item of clothing was appropriate for school. Therefore, the principal brought the issue to the cabinet level. As the principal reflected, she stated that she believed that teachers enforce the dress code policy daily, so they must be in agreement.

Surveys. As evident in the Rookie and Novice graphs in Figure 4, 28% (n=7) of the principals indicated that they *Always* perform at a proficient level in the area of change management. Of the 25 principals, 68% (n=17) of all principals rated themselves at the *Often* level. One rookie principal selected *Rarely* as the level of proficiency. The discrepancy graph in Figure 5 depicts that 60% (n=15) of the principals rated themselves at the same level as their supervisors. Twenty-eight percent (n=7) of the supervisors’ ratings were one level lower than the principals’ self-ratings. The remaining 12% (n=3) of the supervisors’ ratings were one level higher than the principals rated themselves.

Communication and Dialogue/Inquiry

Principals must make communication a priority if they are to gain support from their staffs and school communities (Plattner, 1998). As a result of the need to communicate with

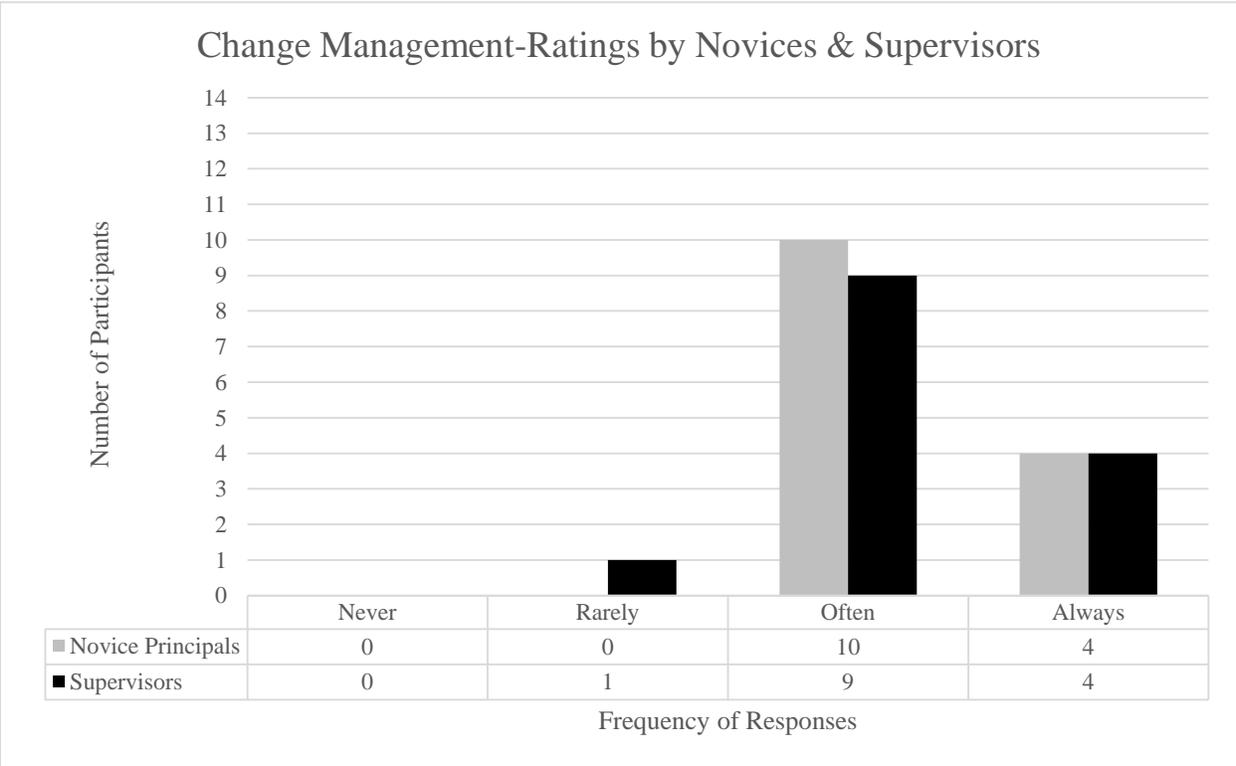
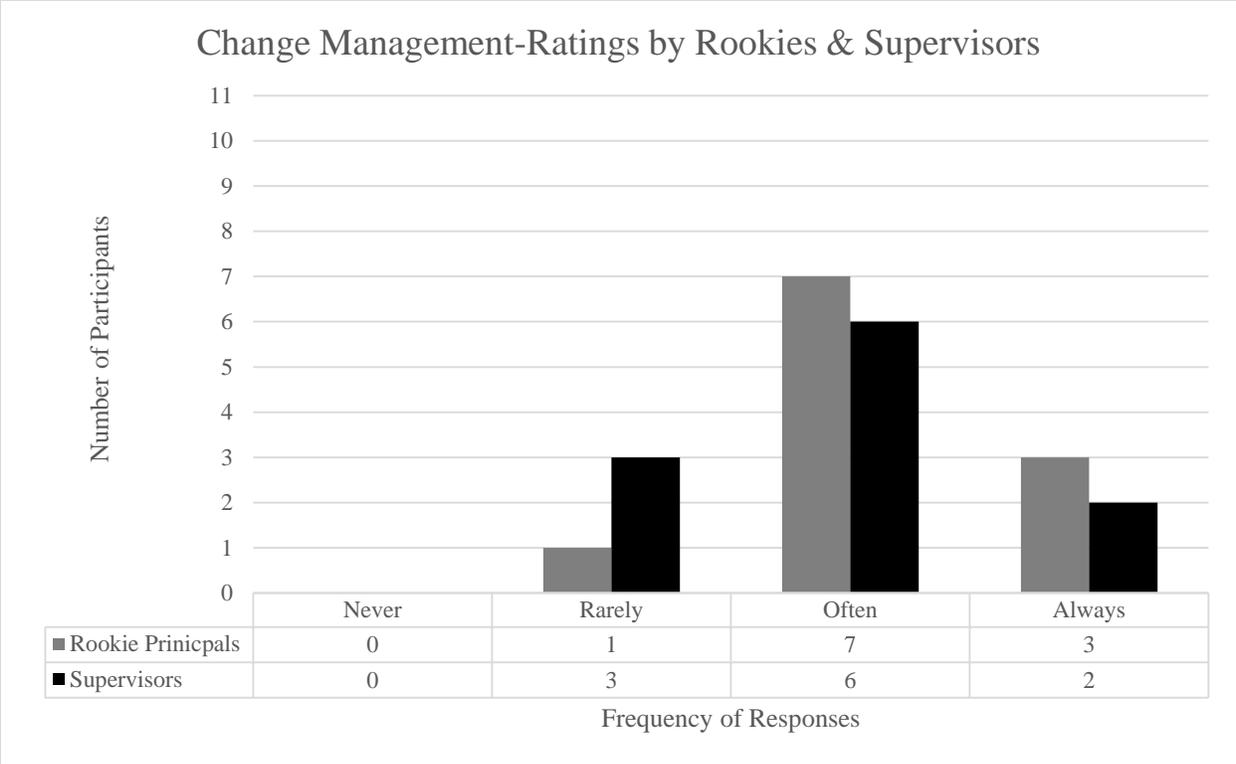


Figure 4. Change management competency assessment ratings by principals & supervisors.

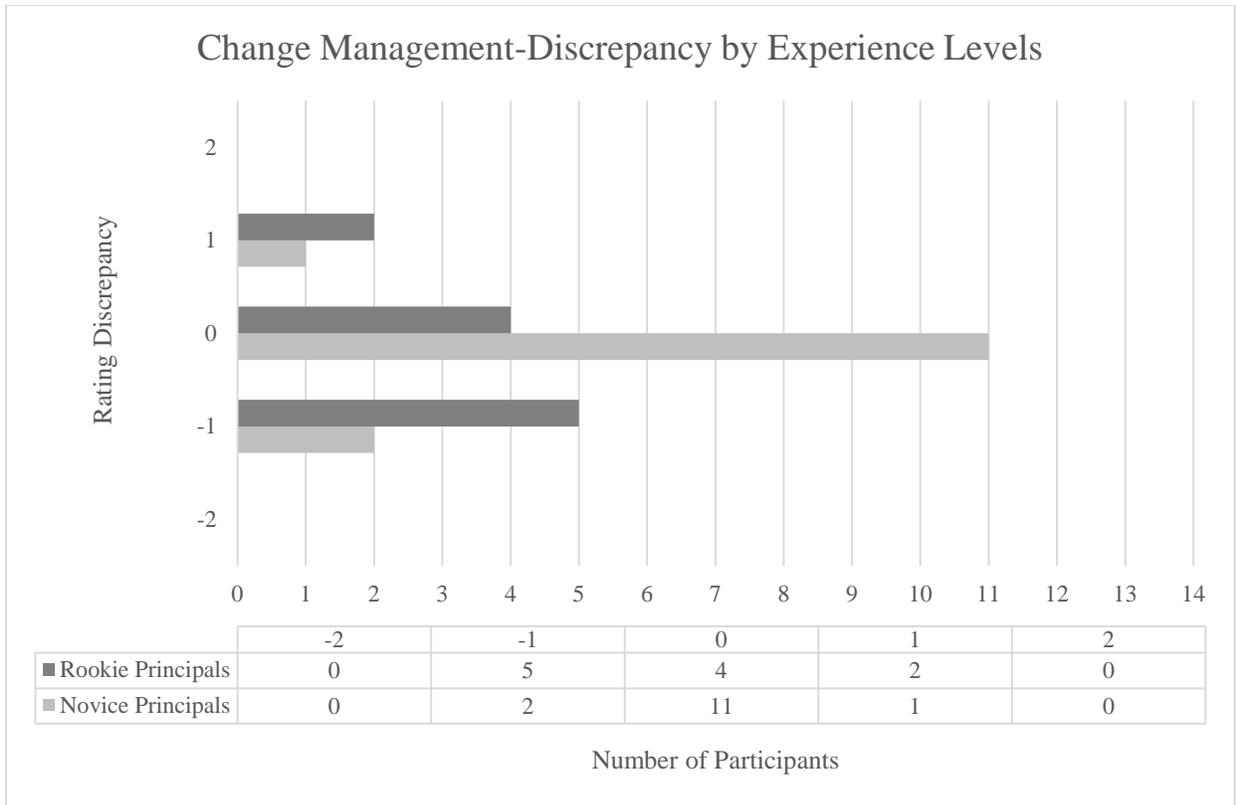


Figure 5. Change management-discrepancy by experience levels.

diverse stakeholders, dialogue/inquiry is an effective communication tool that allows one to understand another's perspective by not using rebuttal or debate which can cause more dissention (Berardo & Lieberman, 2015). Most importantly, effective dialogue occurs through a climate of honesty, inquiry, and continuous learning (Halawah, 2005).

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon how they communicate and engage others in dialogue. Additionally, a description of the survey results follows.

Anecdotal note. The principal talked to the stakeholder informally by phone and in person, yet there was no resolution to the problem. On the third contact, the principal learned that the issue was more than the concern they were discussing. Therefore, a formal meeting was established that allotted time for the stakeholder to share her concern. Although the two did not ultimately agree on the issue that sparked the discussion, they both were able to agree to disagree and solved other concerns.

Interview. The rookie principal shared information regarding a conference with a stakeholder. During the meeting, the principal admitted that a decision she had previously made was wrong. The principal reflected that she should have personally communicated earlier.

Surveys. As evident in the Rookie and Novice graphs in Figure 6, 16% (n=4) of the principals indicated that they *Always* perform at a proficient level in the area of communication. Of the 25 principals, 84% (n=21) of all principals rated themselves at the *Often* level. The discrepancy graph in Figure 7 depicts that 52% (n=13) of the principals rated themselves at the same level as their supervisors. Twenty percent (n=5) of the supervisors' ratings were one level

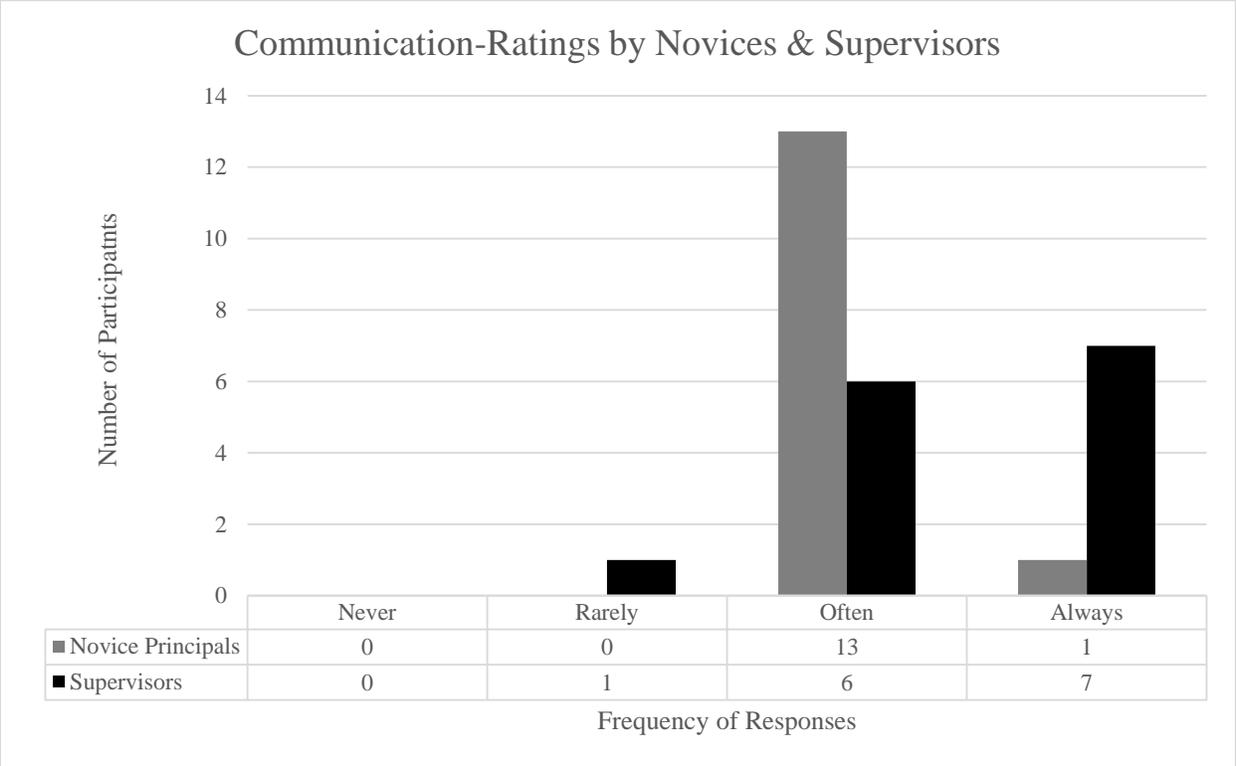
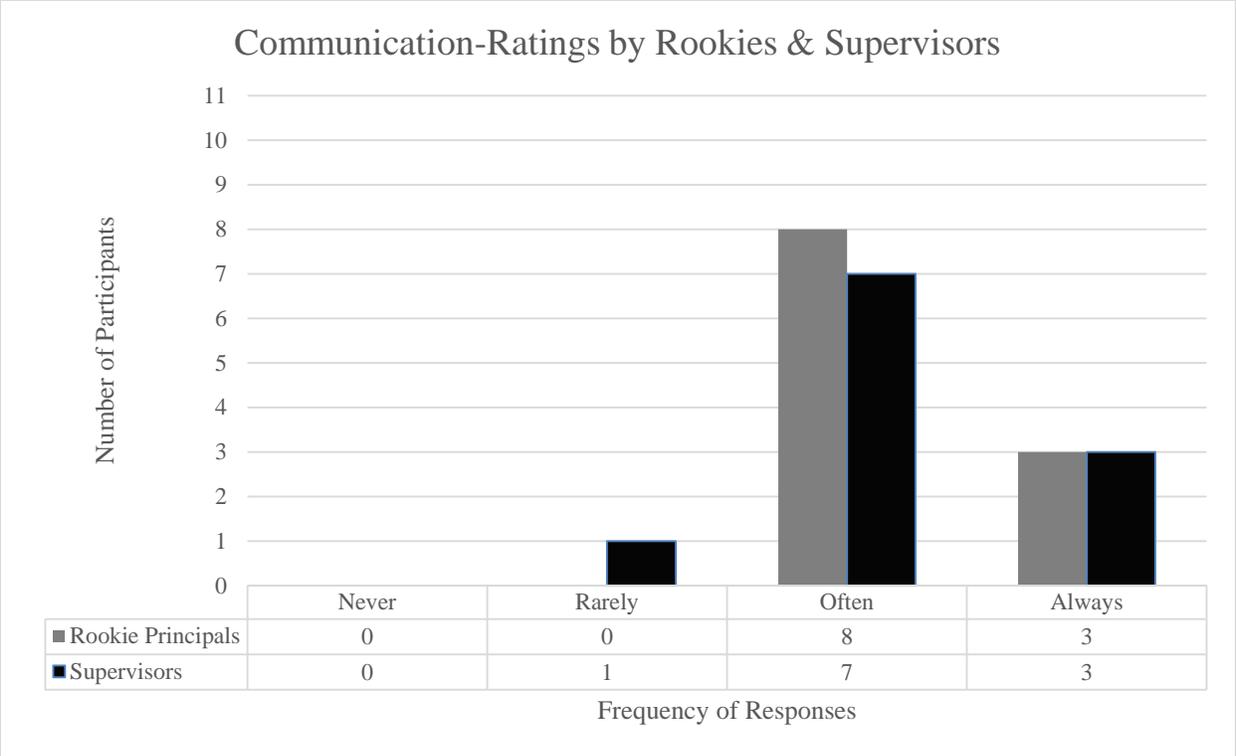


Figure 6. Communication competency assessment ratings by principals and supervisors.

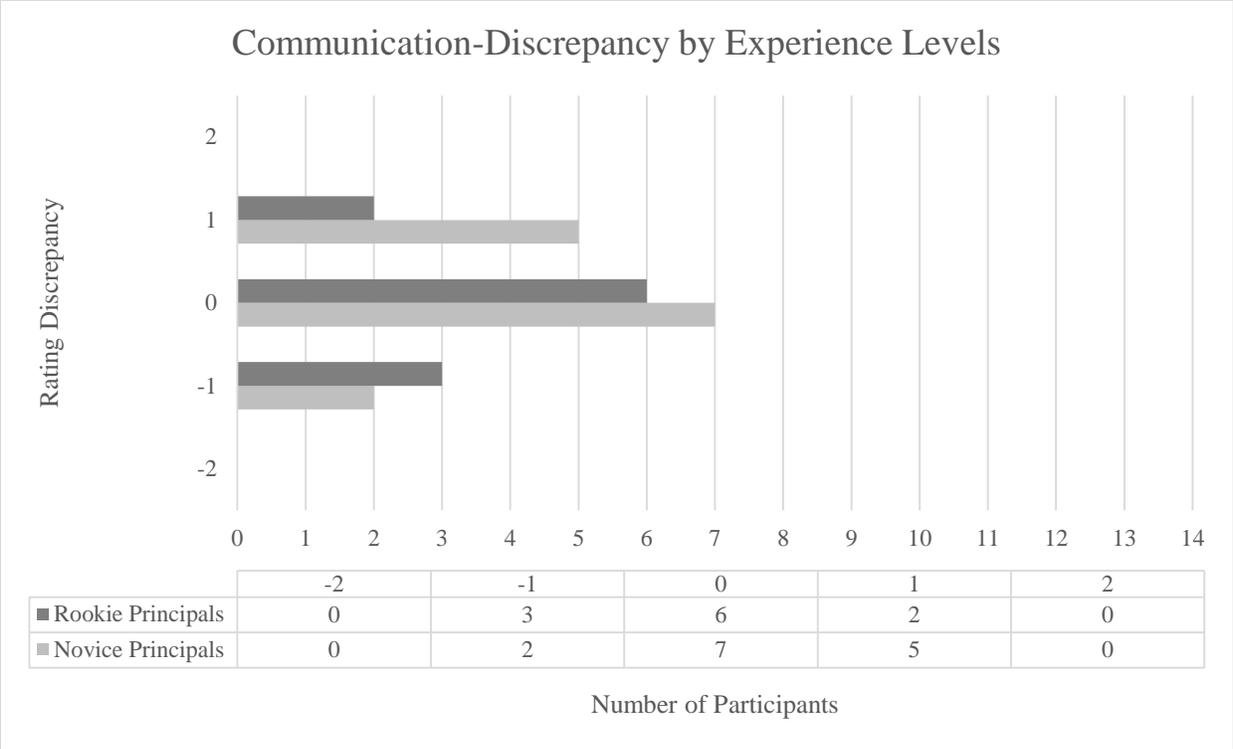


Figure 7. Communication discrepancy by experience levels.

lower than the principals' self-ratings. The remaining 28% (n=7) of the supervisors' ratings were one level higher than the principals rated themselves.

In comparison, as evident in the Rookie and Novice graphs in Figure 8, 28% (n=7) of the principals indicated that they *Always* perform at a proficient level in the area of dialogue/inquiry. Of the 25 principals, 64% (n=16) of all principals rated themselves at the *Often* level. One novice principal selected *Rarely* as the level of proficiency. The discrepancy graph in Figure 9 depicts that 52% (n=13) of the principals rated themselves at the same level as their supervisors. Thirty-two percent (n=8) of the supervisors' ratings were one level lower than the principals' self-ratings. Four percent (n=1) of the supervisors' ratings were two levels lower than the principals rated themselves. The remaining 12% (n=3) of the supervisors' ratings were one level higher than the principals rated themselves.

Conflict Management and Responsiveness

Snodgrass and Blunt (2009) declared that conflict that goes unmanaged can create dysfunctional schools which alienate educators and ultimately deprive the learners. The ability to negotiate and mediate when situations arise is essential for a school principal. Principals who instill a culture of collegiality and collaboration among their staffs are less likely to have conflict when creating change (Leithwood et al., 2004).

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon conflict management and the need to respond in an expedient manner.

Additionally, a description of the survey results follows.

Anecdotal note. The rookie principal had two opposing opinions shared with her regarding the most appropriate way to handle a situation. Her dilemma was that if she agreed with either side, it would appear as being partial. The principal reflected that she could see both

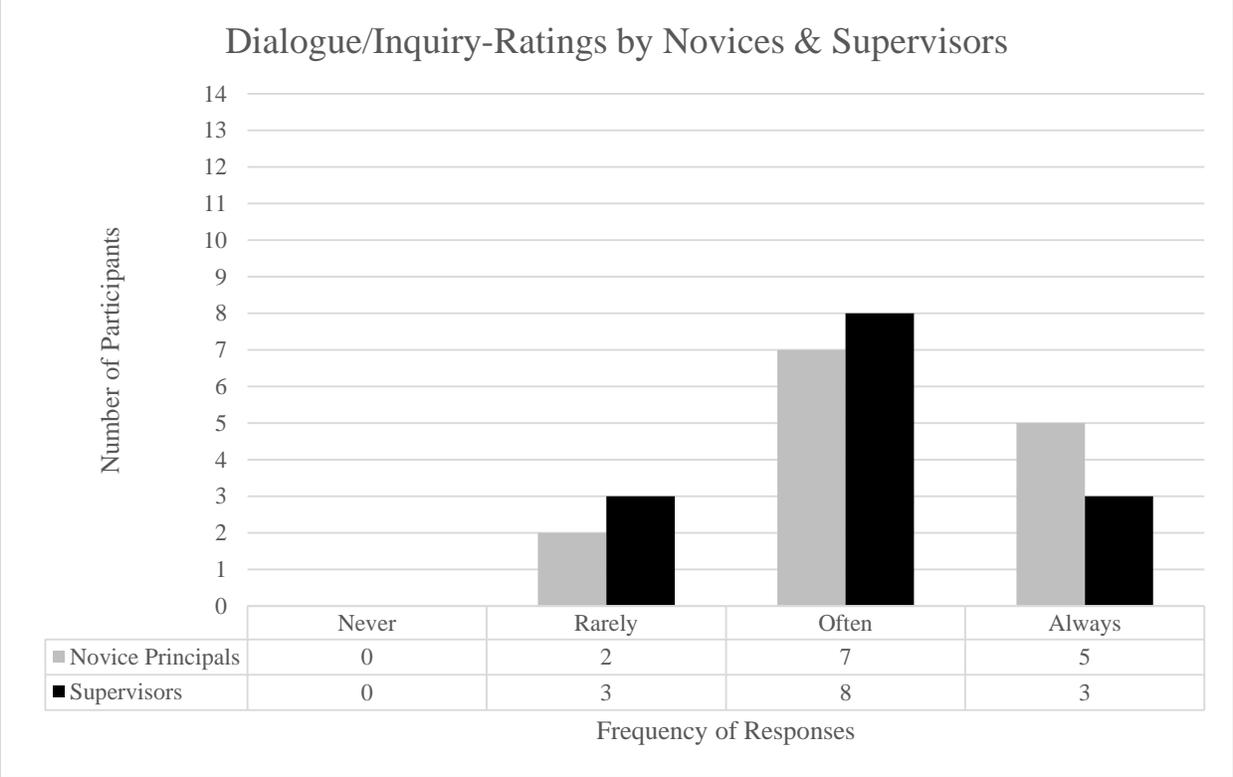
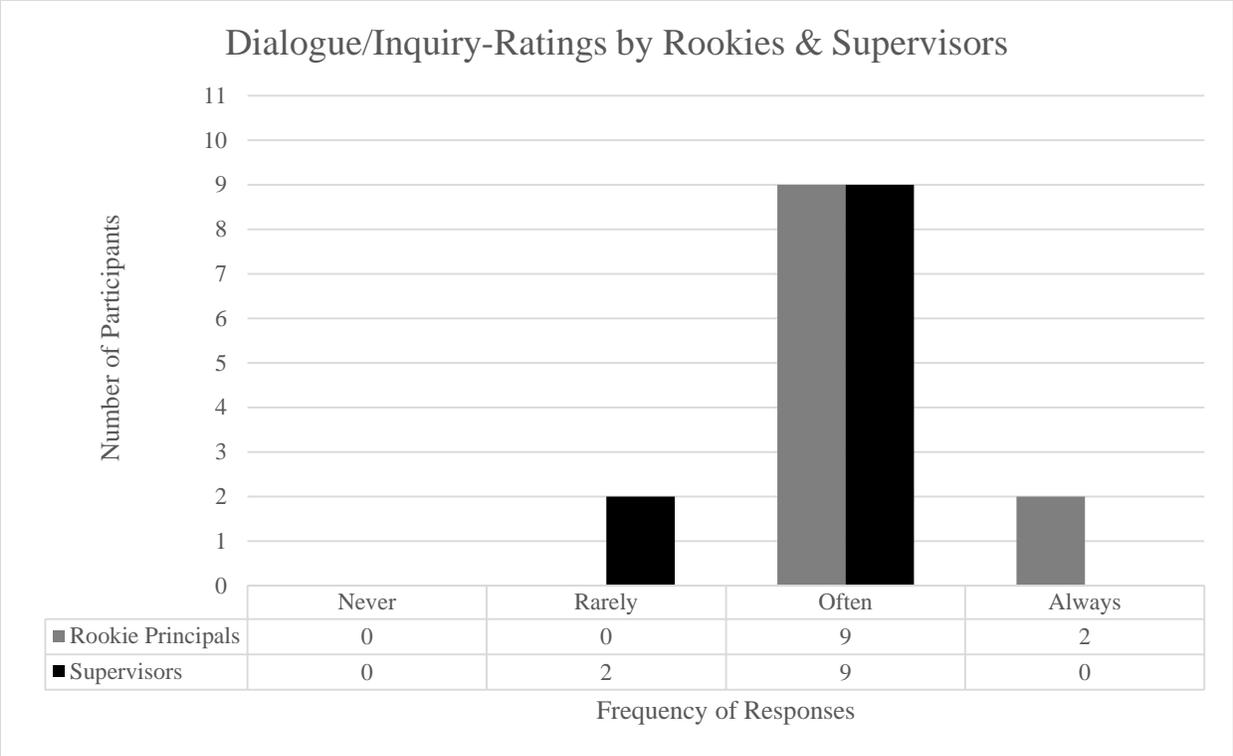


Figure 8. Dialogue/inquiry competency assessment ratings by principals and supervisors.

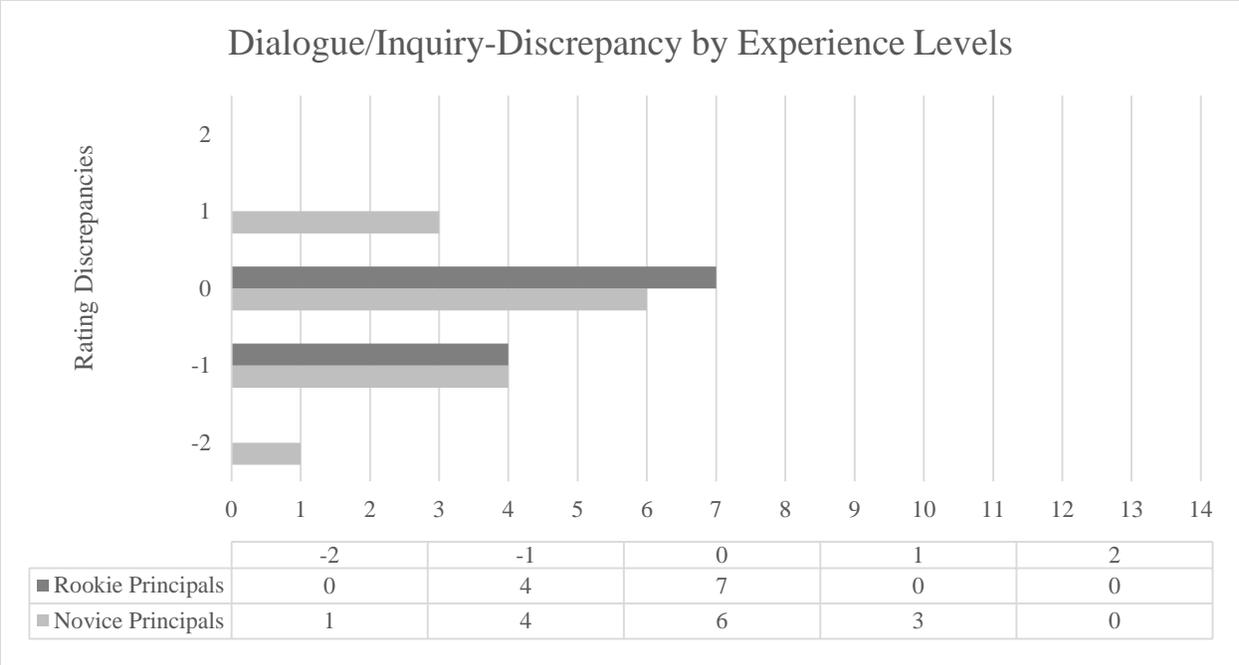


Figure 9. Dialogue/inquiry discrepancy by experience levels.

sides and neither stakeholder was completely correct. The resolution addressed both parties meeting with the principal as the mediator. The principal stated that she understood that it was not about who was right, but to determine the most appropriate way to handle the confrontation and keep the student's best interest as the focus.

Interview. A rookie principal shared about a time when she was invited to a parent/teacher conference. Realizing that the conference had the potential for needing redirection as well as her reflection about a previous conference, she developed a problem solving agenda for parent conferences. The rookie principal participated in the meeting, but allowed the agenda to guide the discussion rather than being led by emotions.

Surveys. As evident in the Rookie and Novice graphs in Figure 10, 48% (n=12) of the principals indicated that they *Always* perform at a proficient level in the area of conflict management. Of the 25 principals, 48% (n=12) of all principals rated themselves at the *Often* level. One novice principal selected *Rarely* as the level of proficiency. The discrepancy graph in Figure 11 depicts that 44% (n=11) of the principals rated themselves at the same level as their supervisors. Thirty-two percent (n=8) of the supervisors' ratings were one level lower than the principals' self-ratings. Additionally, 8% (n=2) of the supervisors' ratings were two levels lower than the principals rated themselves. The remaining 16% (n=4) of the supervisors' ratings were one level higher than the principals rated themselves.

In comparison, as evident in the Rookie and Novice graphs in Figure 12, 32% (n=8) of the principals indicated that they *Always* perform at a proficient level in the area of responsiveness. Of the 25 principals, 64% (n=16) of all principals rated themselves at the *Often* level. One novice principal selected *Rarely* as the level of proficiency. The discrepancy graph in Figure 13 depicts that 40% (n=10) of the principals rated themselves at the same level as their

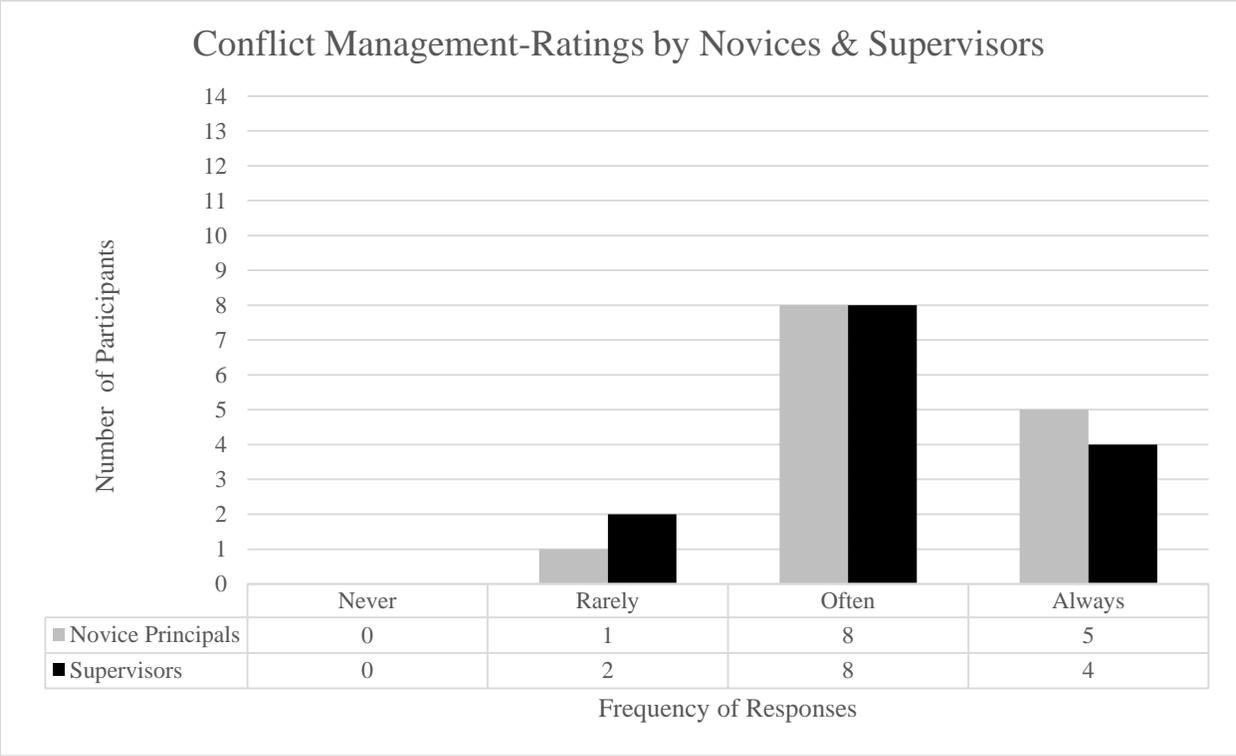
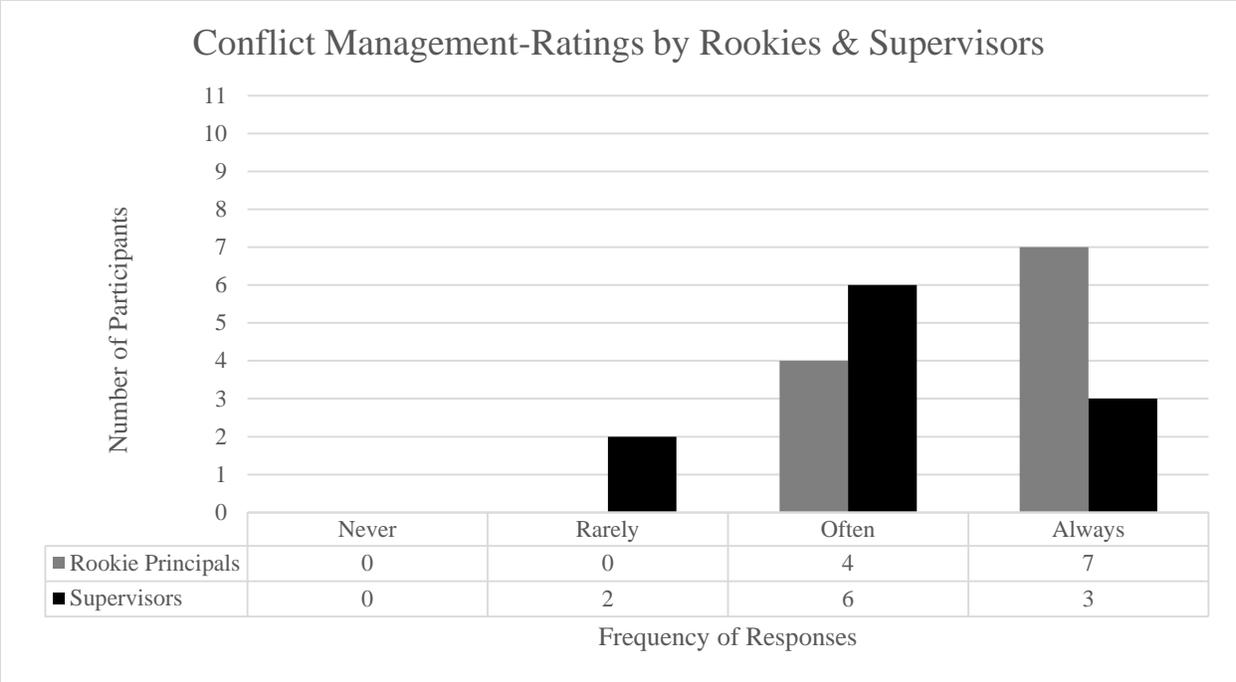


Figure 10. Conflict management competency assessment ratings by principals and supervisors.

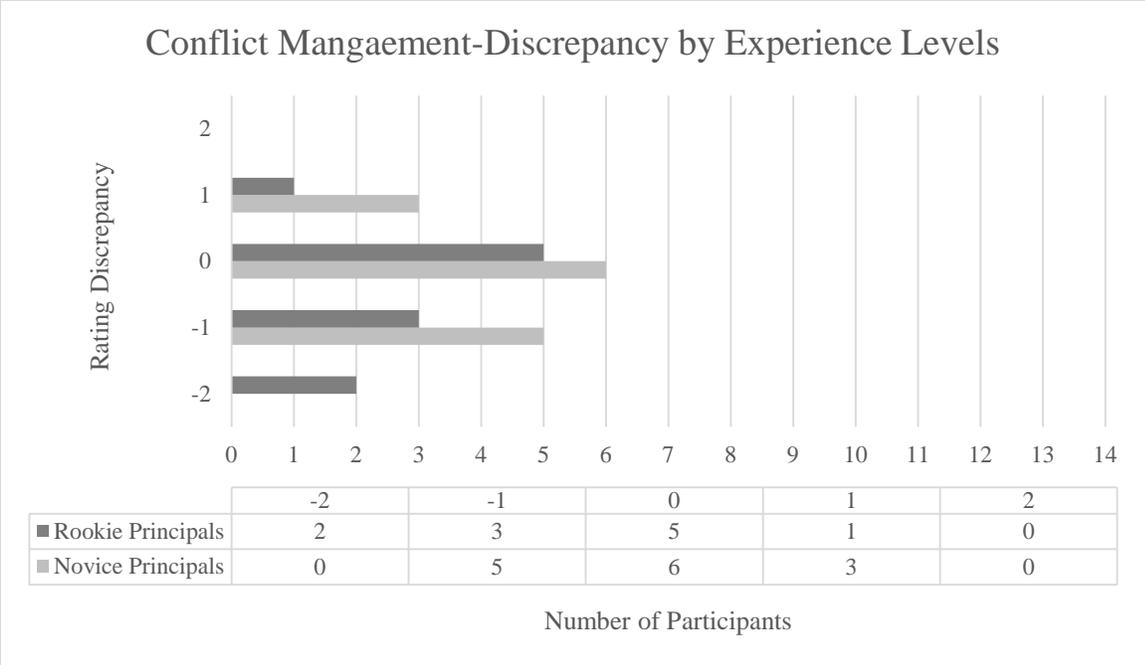


Figure 11. Conflict management discrepancy by experience levels.

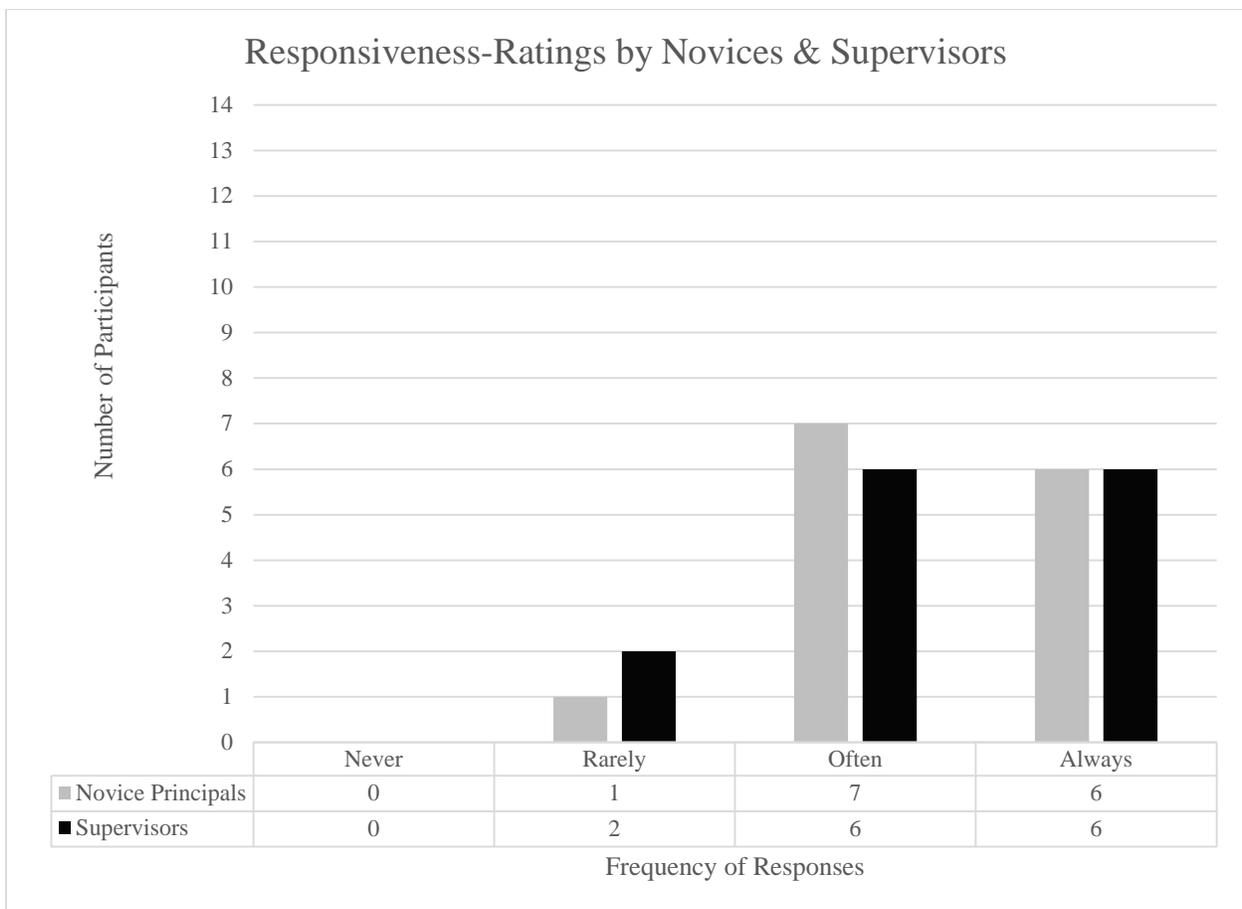
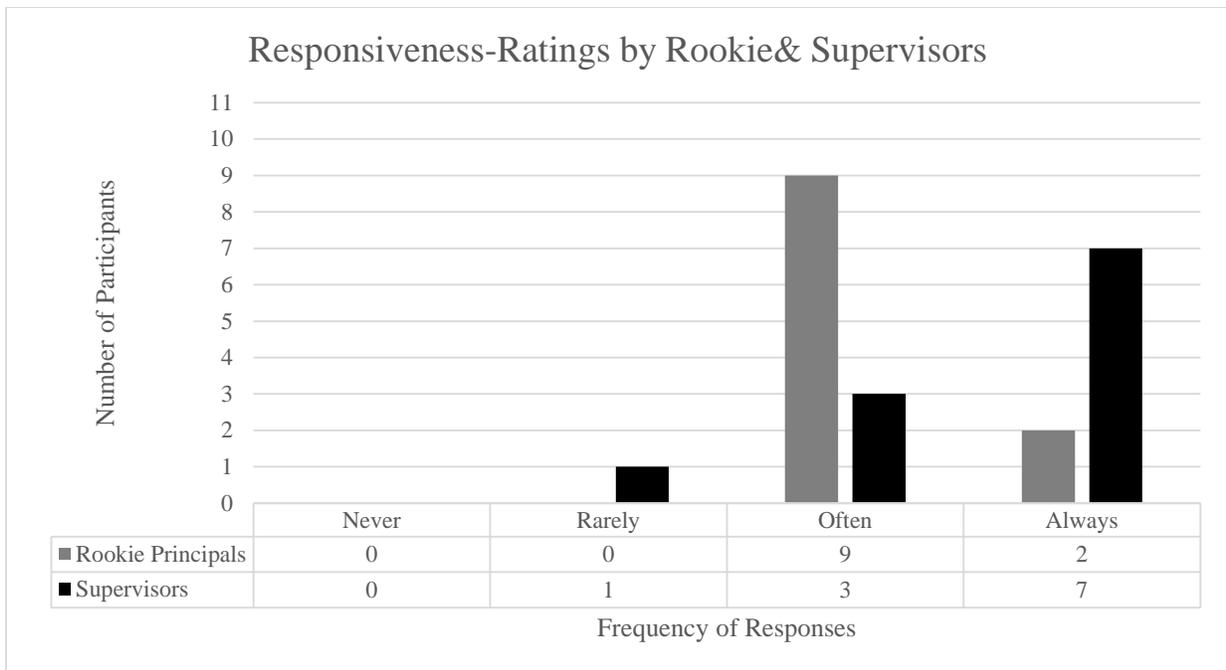


Figure 12. Responsiveness competency assessment ratings by principals and supervisors.

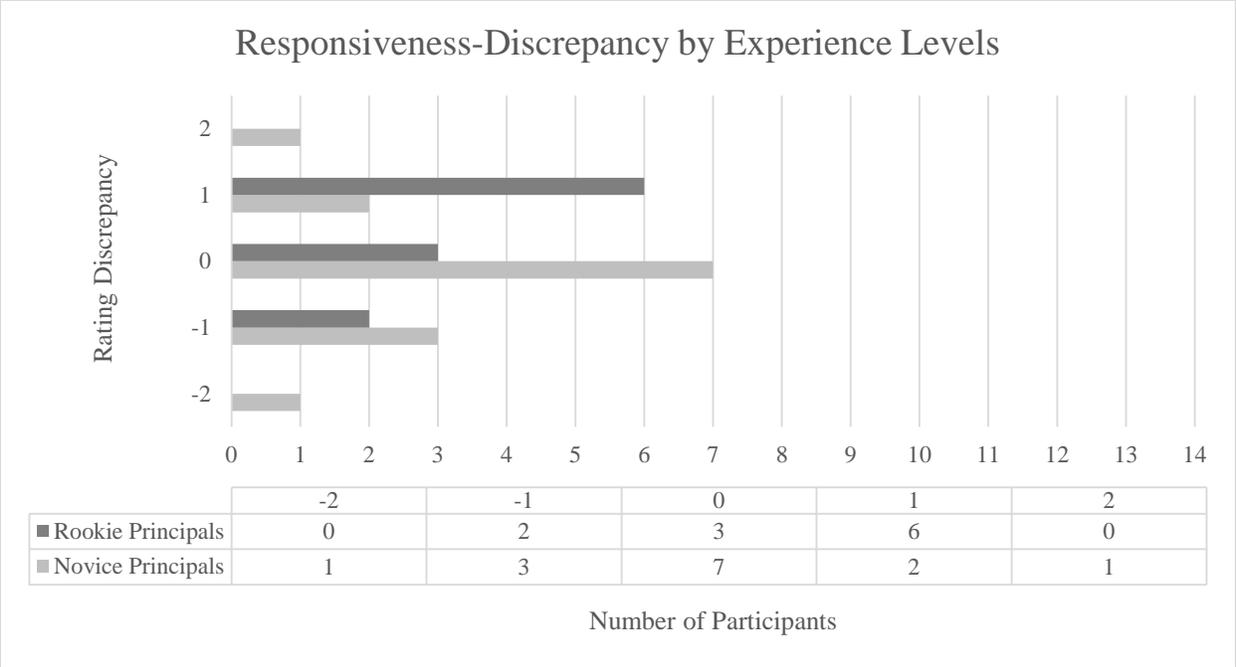


Figure 13. Responsiveness discrepancy by experience levels.

supervisors. Twenty percent (n=5) of the supervisors' ratings were one level lower than the principals' self-ratings. Four percent (n=1) of the supervisors' ratings were two levels lower than the principals rated themselves. Additionally, 32% (n=8) of the supervisors' ratings were one level higher than the principals rated themselves. The remaining 4% (n=1) of the supervisors' ratings were two levels higher than the principals rated themselves.

Creative Thinking

The National Center on Education and the Economy (2008) released a report that touted skills such as creativity and innovation. The report forecasted:

For the past 25 years, we have optimized our organizations for efficiency and quality.

Over the next quarter century, we must optimize our entire society for

innovation...Creativity, innovation, and flexibility will not be the special province for the elite. It will be demanded of virtually everyone who is making a decent living...(p. 25).

According to Baumgartner (2014), creative leadership is not about a leader's creativity, but the team's creativity. A principal must understand the creative process and resist the urge to become a micro-manager. Embracing failure and encouraging diverse opinions are two of the most challenging components of thinking creatively as a team (Baumgartner, 2014).

Below are summaries of an anecdotal note and an interview with two rookie principals who reflected upon the design of the environment for others to engage in innovative thinking. Additionally, a description of the survey results follows.

Anecdotal note. Community members and district personnel were invited to participate in an event at a rookie principal's school. From the moment visitors were greeted at the welcoming station to student tour guides who led visitors to designated locations, and an appreciation celebration to finalize the event, there was evidence of attention to details to make it

exciting and well-organized. Several of the participants were thanking the principal and exclaiming how great the event was, the principal immediately stated, “It wasn’t me. I have a great staff with great ideas. These ladies planned it.”

Interview. The rookie principal shared a time when she and her staff met to plan a school wide activity. A variety of creative ideas and opinions were being shared. Unfortunately, at the end of the meeting, nothing had been accomplished. Although she was excited to hear the diversity in the ideas, the principal quickly recognized that a smaller representation of the school community would have kept the meeting more focused and resulted in a viable plan.

Surveys. As evident in the Rookie and Novice graphs in Figure 14, 32% (n=8) of the principals indicated that they *Always* perform at a proficient level in the area of creative thinking. Of the 25 principals, 68% (n=17) of all principals rated themselves at the *Often* level. The discrepancy graph in Figure 15 depicts that 48% (n=12) of the principals rated themselves at the same level as their supervisors. Thirty-six percent (n=9) of the supervisors’ ratings were one level lower than the principals’ self-ratings. The remaining 16% (n=4) of the supervisors’ ratings were one level higher than the principals rated themselves.

Customer Focus

While customer focus and service excellence is everyone’s responsibility, it is particularly true of a leader (Miller, 2015). Additionally Miller (2015) states that leaders must not only listen to what customers say, but what is not said. Principals recognize that although a customer’s perception may not be accurate, it is reality.

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon how customer focus and servant nature of leadership will improve student performance. Additionally, a description of the survey results follows.

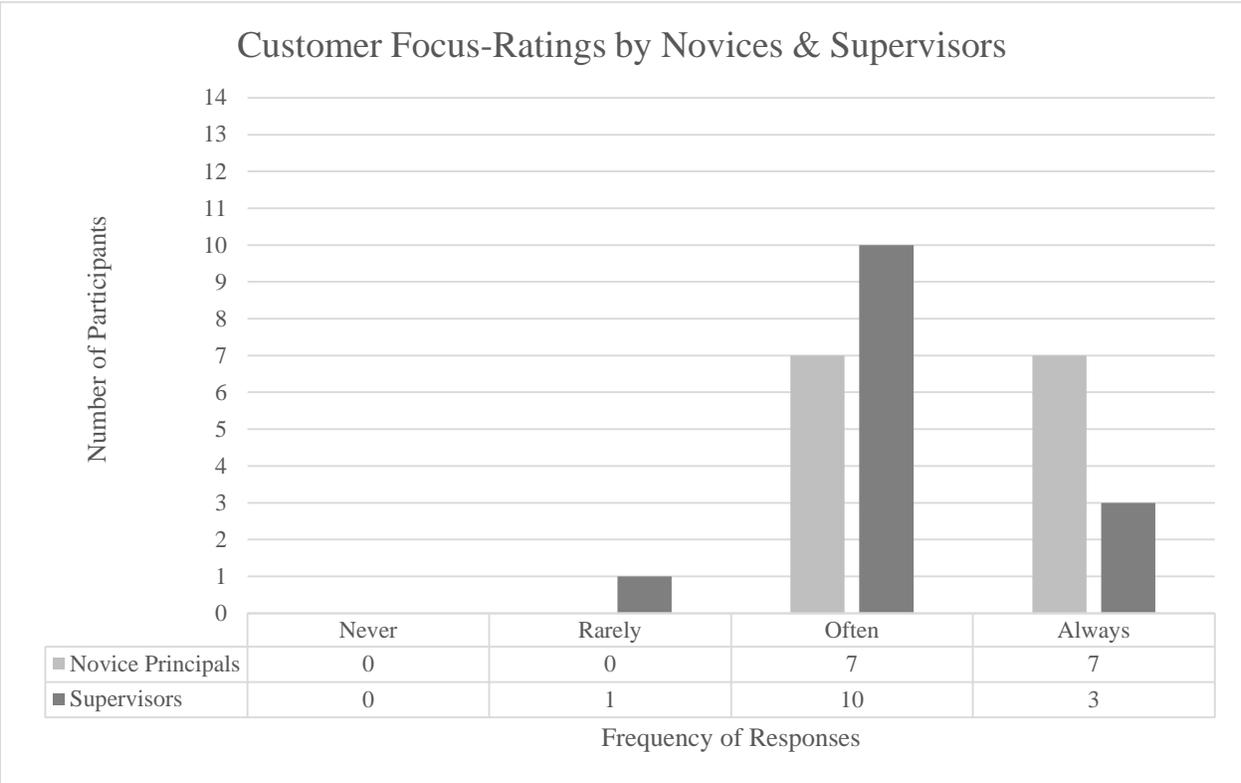
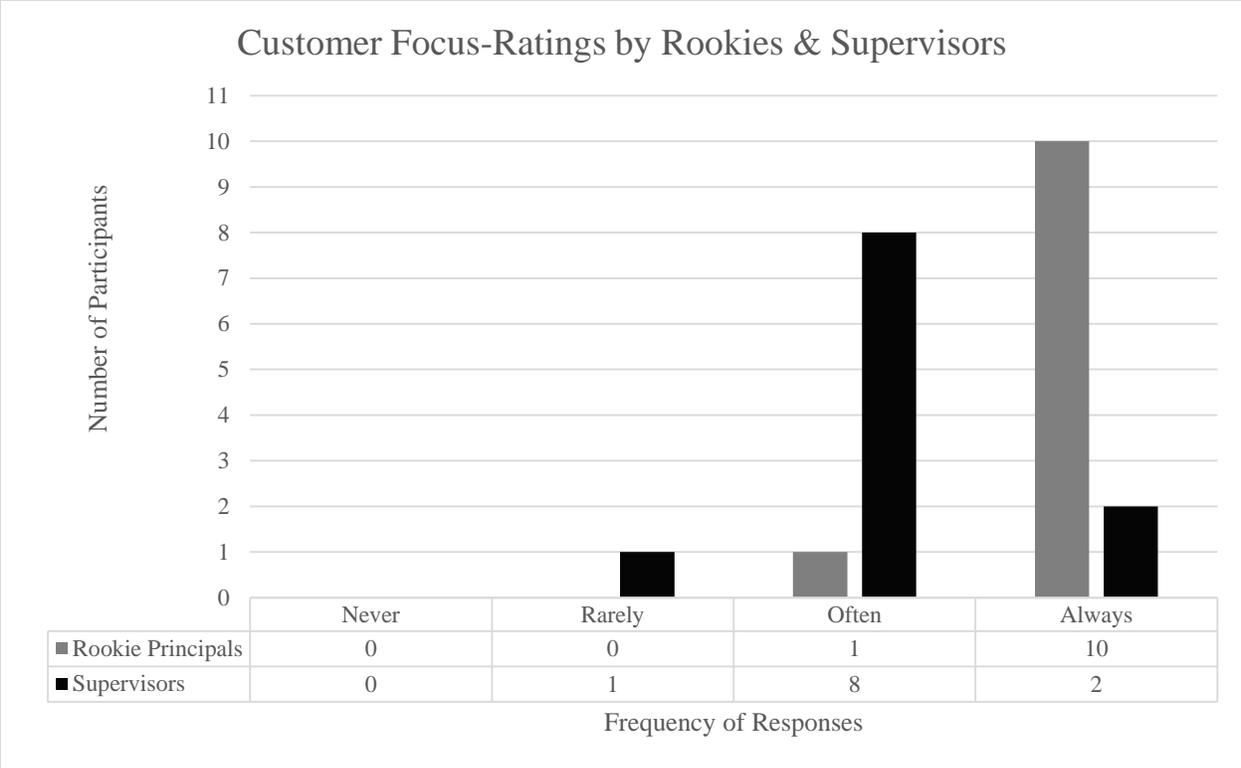


Figure 14. Customer focus competency assessment ratings by principals and supervisors.

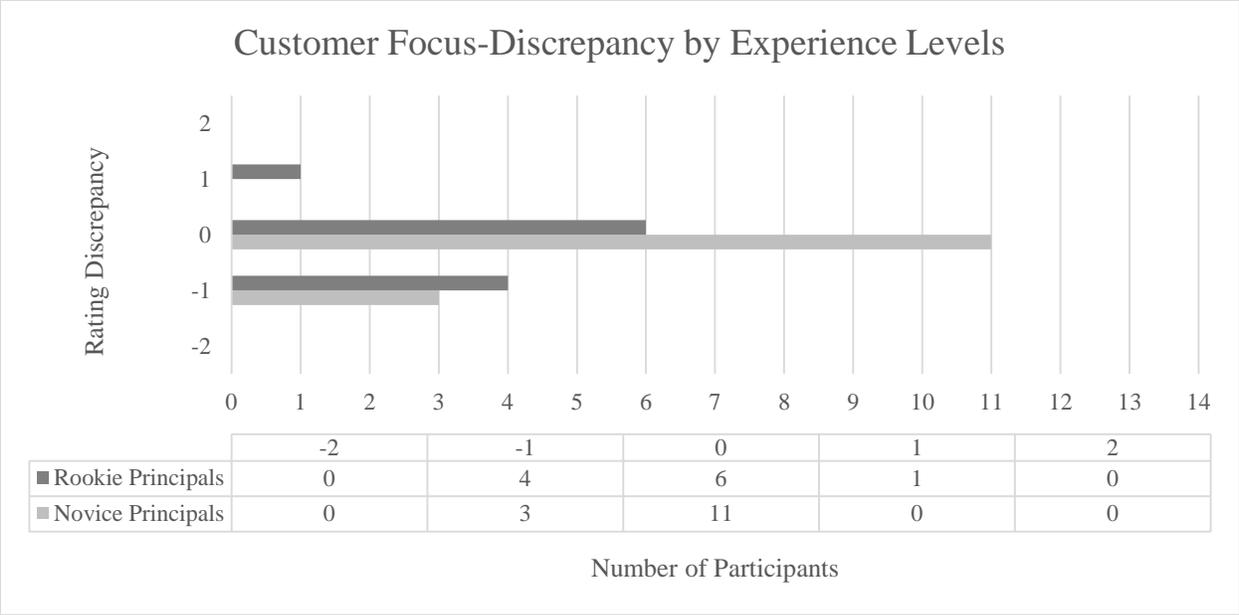


Figure 15. Customer focus discrepancy by experience levels.

Anecdotal note. The rookie principal had received stakeholder concerns based on the new implementation of a process. Interestingly, the change was due to address a previous concern by another set of stakeholders. The principal requested assistance from the external stakeholders, but remained visible and diligent in solving the issue. As the principal reflected, she stated that the process had improved as a result of allowing the stakeholders and time to resolve it rather than selecting a side.

Interview. The principal recognized that keeping parents informed is essential, but struggled during her first year as a school level administrator regarding the most appropriate ways to communicate with stakeholders. The principal had utilized the phone alert system set by the district as a means of primary communication. The principal reflected that she recognized during her first year that although the phone alerts were helpful, parents complained that they were not notified. Based on customer feedback, the principal has returned to monthly newsletters and now includes Facebook, as well as delegating another staff member to be in charge of the website to reach all families.

Surveys. As evident in the Rookie and Novice graphs in Figure 16, 68% (n=7) of the principals indicated that they *Always* perform at a proficient level in the area of customer focus. Of the 25 principals, 32% (n=8) of all principals rated themselves at the *Often* level. The discrepancy graph in Figure 17 depicts that 68% (n=17) of the principals rated themselves at the same level as their supervisors. Twenty-eight percent (n=7) of the supervisors' ratings were one level lower than the principals' self-ratings. The remaining 4% (n=1) of the supervisors' ratings were one level higher than the principals rated themselves.

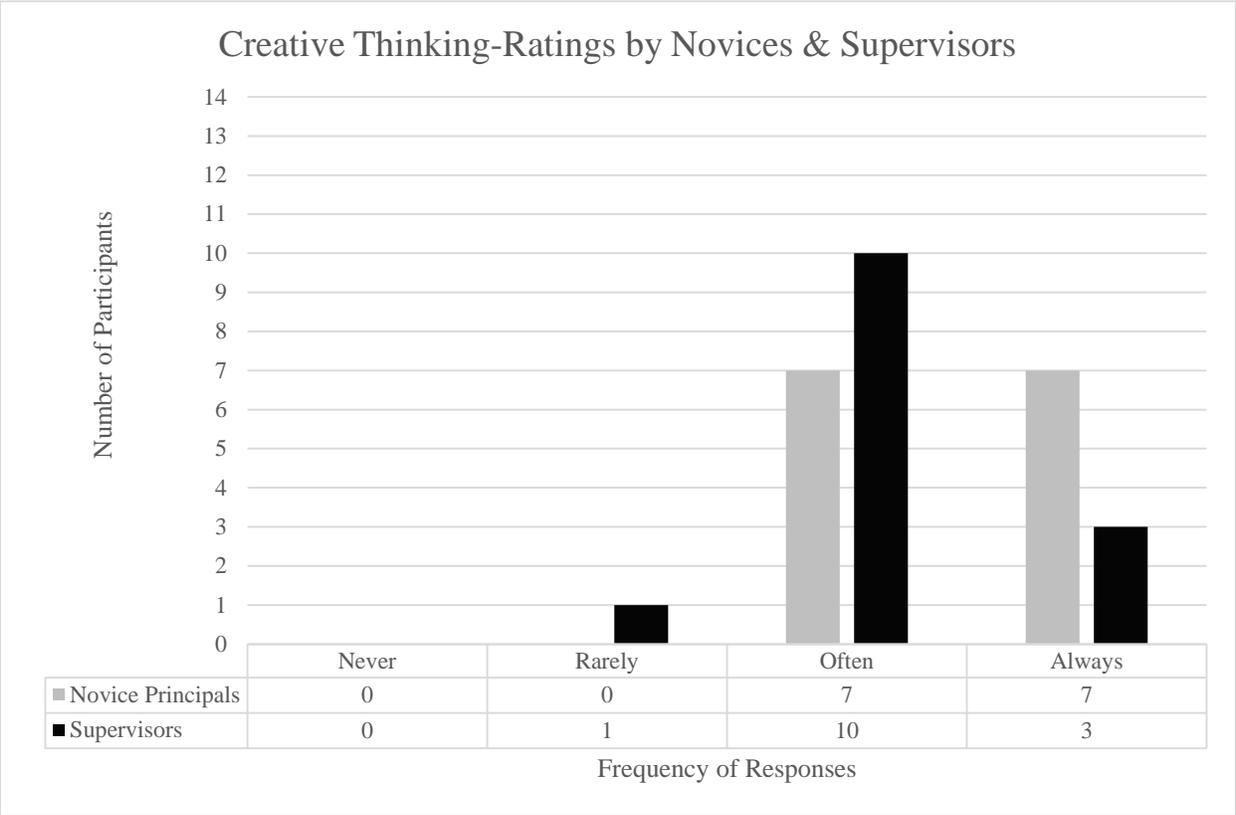
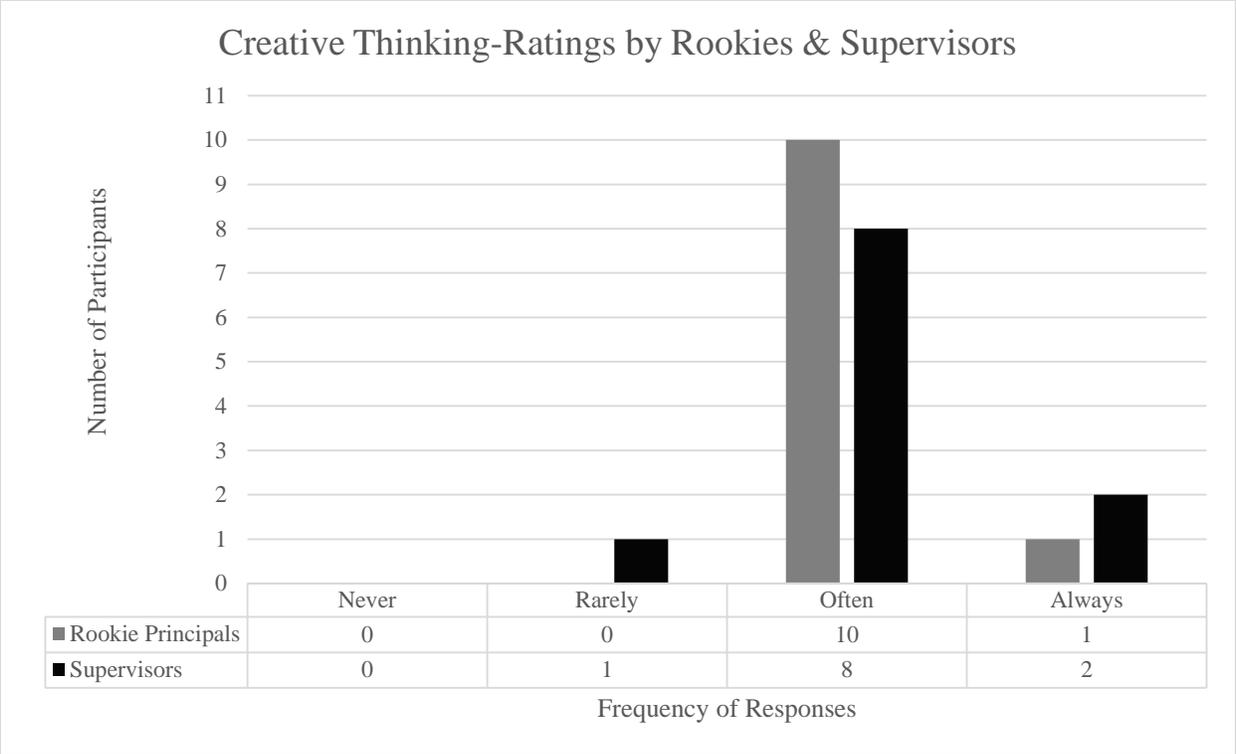


Figure 16. Creative thinking competency assessment ratings by principals and supervisors.

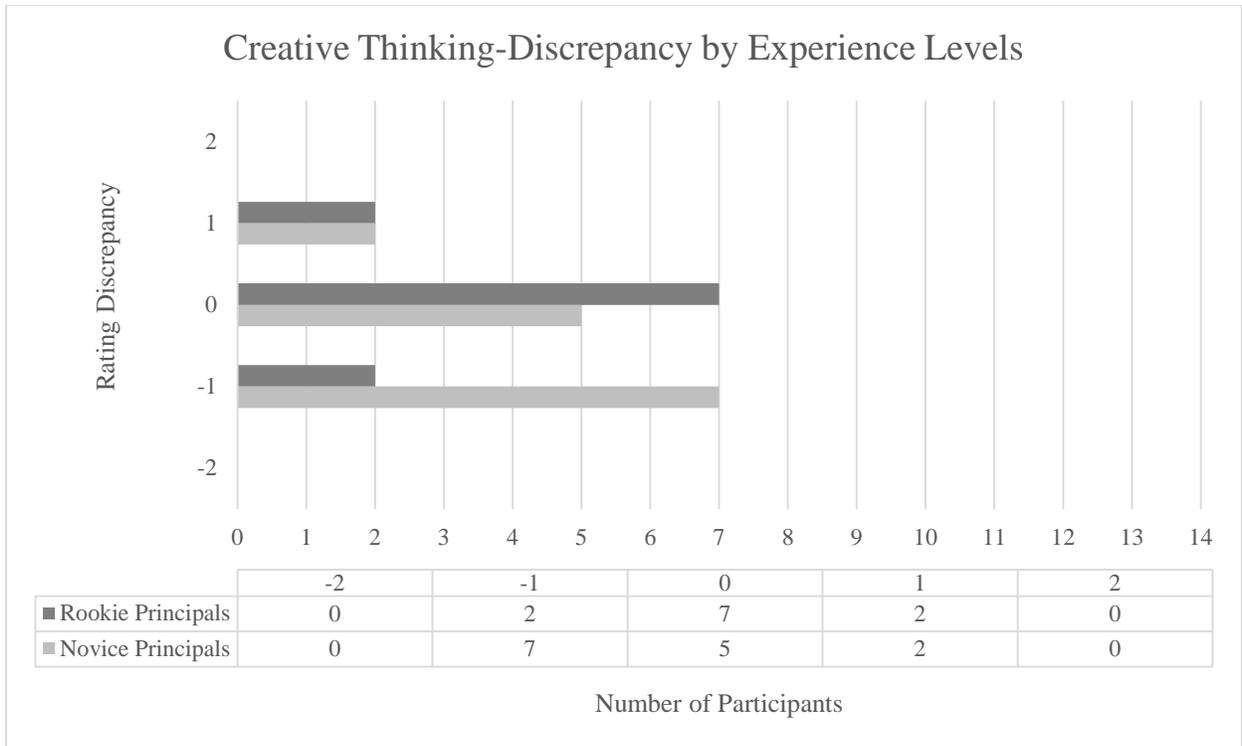


Figure 17. Creative thinking discrepancy by experience levels.

Delegation

Principals are charged with multiple tasks within any given day. They must refrain from the belief that “if you want something done right, you’d better do it yourself” (Stone, 2004, p. 40). Soliciting the assistance of others provides principals with the ability to get more accomplished, as well as allowing others to help lead.

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon they delegate responsibilities and tasks to others. Additionally, a description of the survey results follows.

Anecdotal note. Recognizing that she is not able to complete all of the leadership responsibilities alone, the principal delegated a staff member to help with a duty. The staff member took great pride in the responsibility and completed the tasks associated with the duty in a timely manner and was diligent about others following the plan. The principal noted that staff members were not as receptive to the colleague’s persistence. During the visit, the principal reflected on how to tactfully restore the lead, yet allow the staff member to continue the delegated task.

Interview. Staff were assigned chapters to present a book study over the course of several faculty meetings. Four departments had already presented and each group had done an outstanding job. The fifth group’s presentation was disconnected and not clear even to the presenters. The principal reflected that although she did not want to come across as micro-managing, delegation requires follow-up with the individual or team assigned the task.

Surveys. As evident in the Rookie and Novice graphs in Figure 18, 12% (n=3) of the principals indicated that they *Always* perform at a proficient level in the area of delegation. Of the 25 principals, 84% (n=21) of all principals rated themselves at the *Often* level. One novice

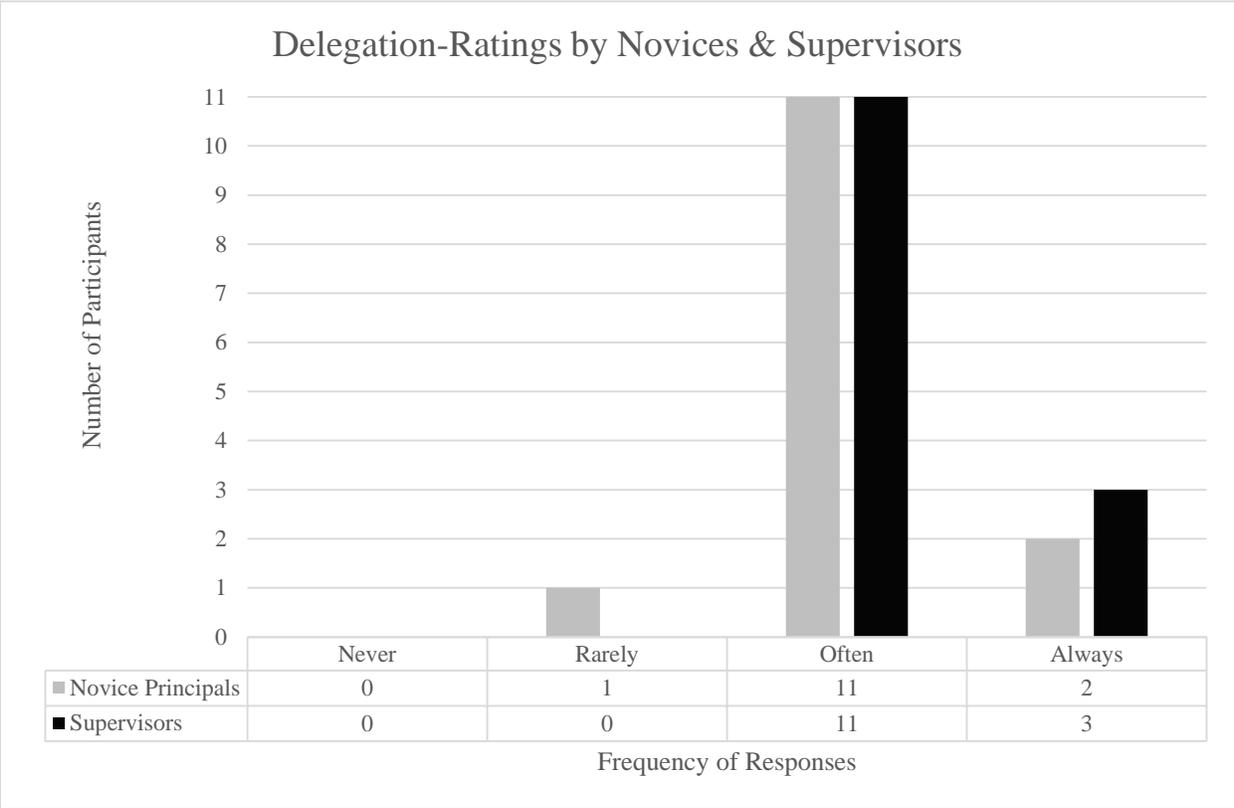
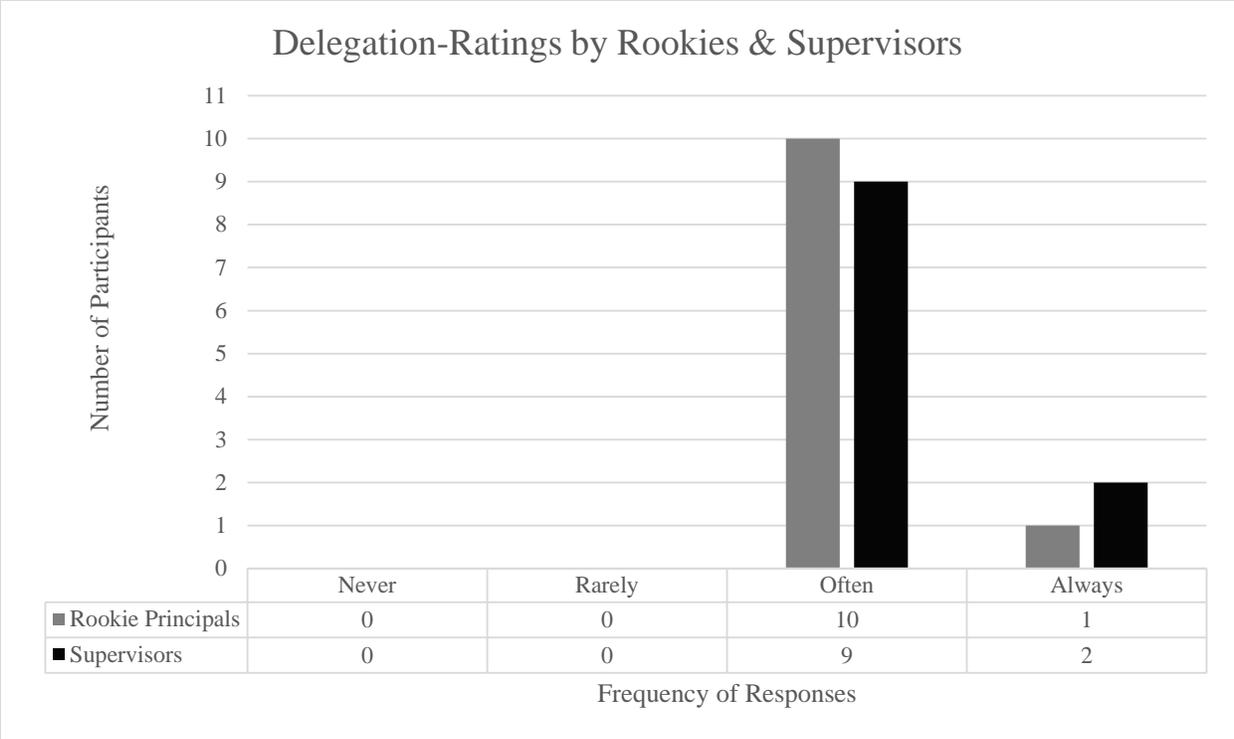


Figure 18. Delegation competency assessment ratings by principals and supervisors.

principal selected *Rarely* as the level of proficiency. The discrepancy graph in Figure 19 depicts that 64% (n=16) of the principals rated themselves at the same level as their supervisors. Twelve percent (n=3) of the supervisors' ratings were one level lower than the principals' self-ratings. The remaining 24% (n=6) of the supervisors' ratings were one level higher than the principals rated themselves.

Emotional Intelligence

According to McWilliam and Hatcher (2007), authoritarian managers are no longer able to be successful, emotion perceptive principals are needed. Emotionally intelligent leaders are aware of their emotions, perceptive and understanding of others' emotions, utilize and manages emotions for rationale behavior and thought, understand appropriate actions and words in given situations, know the importance of relationships and how to develop them and make decisions that get results without negative emotional interference (Mayer et al., 2002; McWilliam & Hatcher, 2007). Futhermore, Bloom (2004) stated that the principalship is a highly stressful career where many factors are out of the principal's control and daily situations produce highly charged emotional experiences.

Below are summaries of an anecdotal note and an interview with two rookie principals who reflected upon building strong, transparent, trusting relationships throughout the school community. Additionally, a description of the survey results follows.

Anecdotal note. The rookie principal had received performance grades published by the state. Knowing the negative impact this could have on the morale of her staff, the principal decided to open the meeting with a "What Makes My School Great?" activity. The principal reflected that although the staff need to know the information, there is more to the school, and

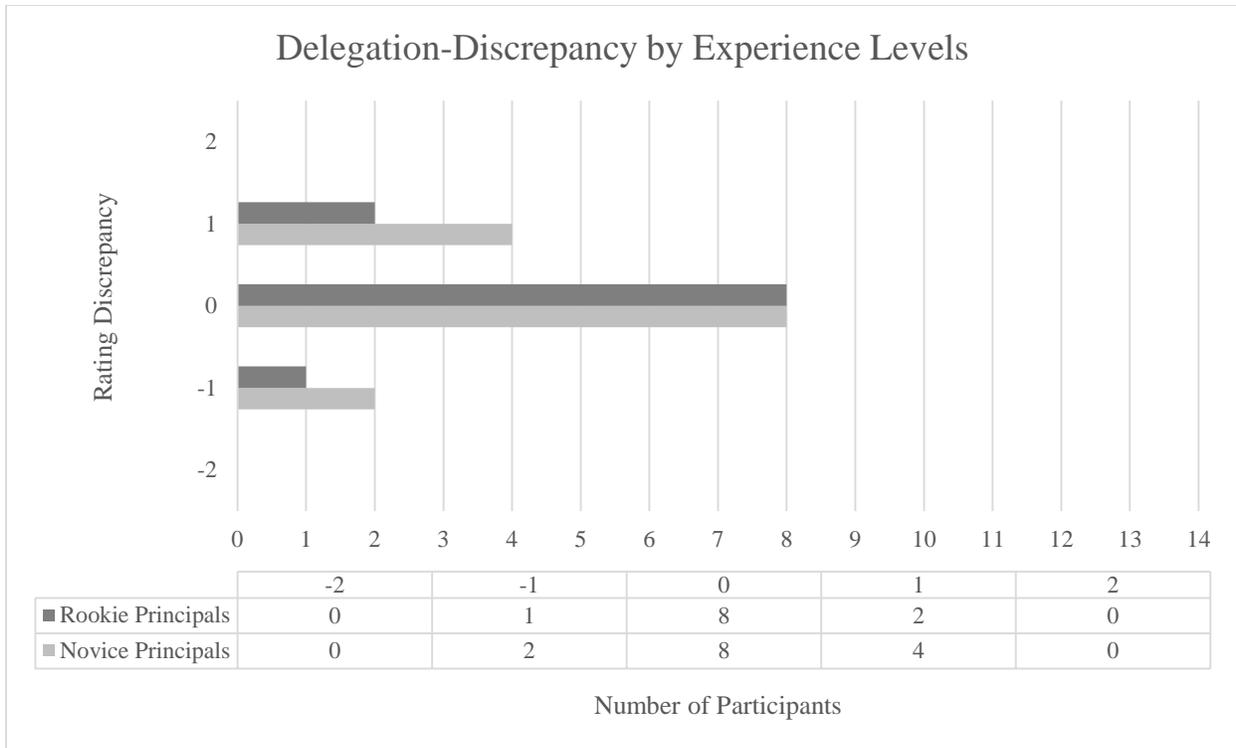


Figure 19. Delegation discrepancy by experience levels.

more to the student than a one test number. She stated that she believed her direction would determine how the teachers share the information.

Interview. The rookie principal shared that knowing when to intervene is not the challenge. She shared that the challenge is knowing at what level to intervene. The principal reflected that it has been easier than the first year because she has been able to use the experiences from the past to help make the decisions. Perceiving emotions of the stakeholders and using the prior knowledge have caused a less stressful decision making process.

Surveys. As evident in the Rookie and Novice graphs in Figure 20, 52% (n=13) of the principals indicated that they *Always* perform at a proficient level in the area of emotional intelligence. Of the 25 principals, 48% (n=12) of all principals rated themselves at the *Often* level. The discrepancy graph in Figure 21 depicts that 44% (n=11) of the principals rated themselves at the same level as their supervisors. Forty percent (n=10) of the supervisors' ratings were one level lower than the principals' self-ratings. Four percent (n=1) of the supervisors' ratings were two levels lower than the principals rated themselves. The remaining 12% (n=3) of the supervisors' ratings were one level higher than the principals rated themselves.

Emotional Intelligence-Based on MSCEIT

In an effort to provide additional insight regarding the emotional intelligence competency, principals completed an online version of the MSCEIT. The MSCEIT was designed as an ability of emotional intelligence by John Mayer, Peter Salovey, and David Caruso in 1995. The authors designed the test of 141 items that yield an overall emotional intelligence score and four branch scores, Perceiving Emotions, Using Emotions, Understanding Emotions, and Managing Emotions.

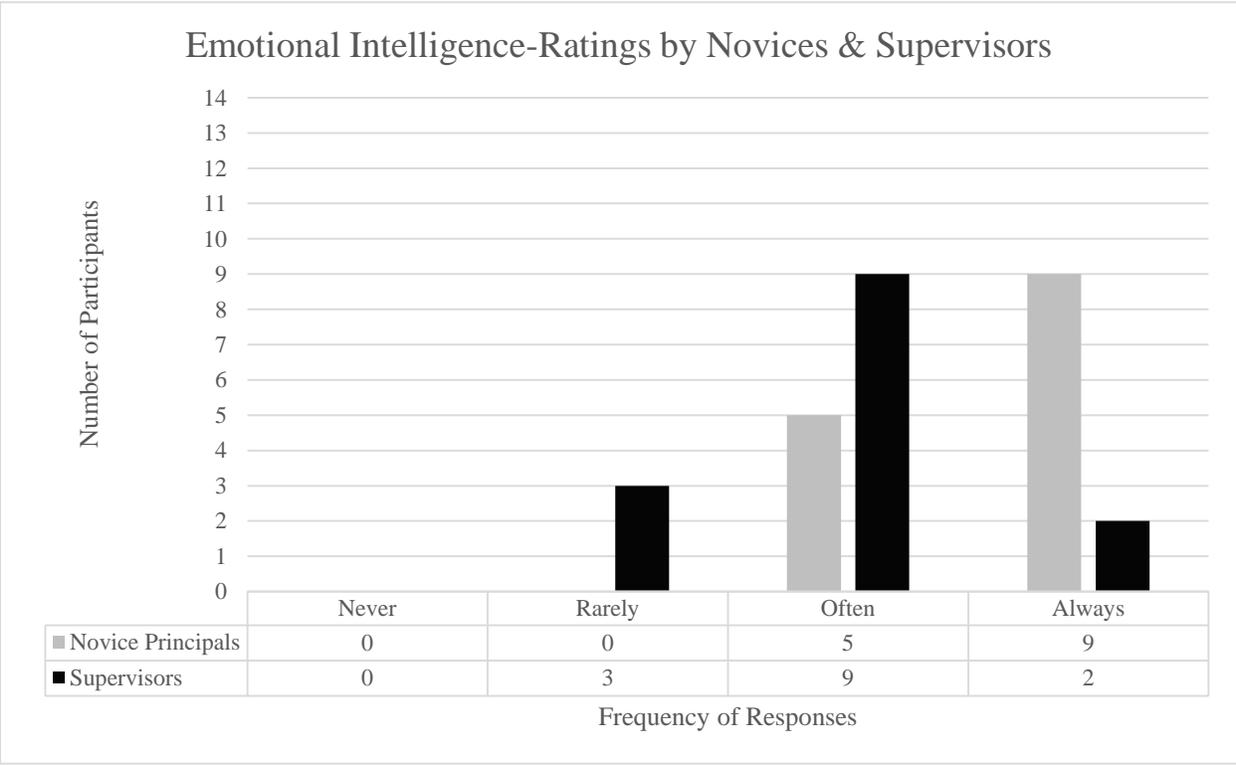
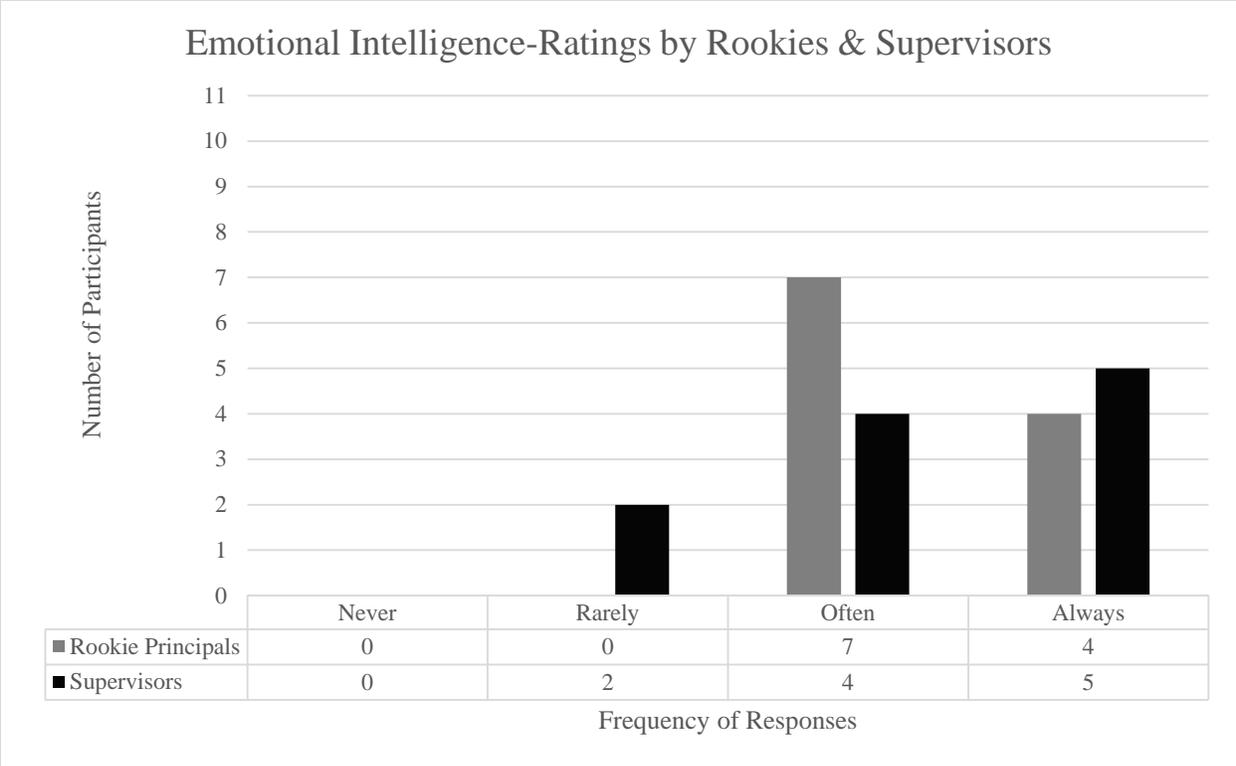


Figure 20. Emotional intelligence competency assessment ratings by principals and supervisors.

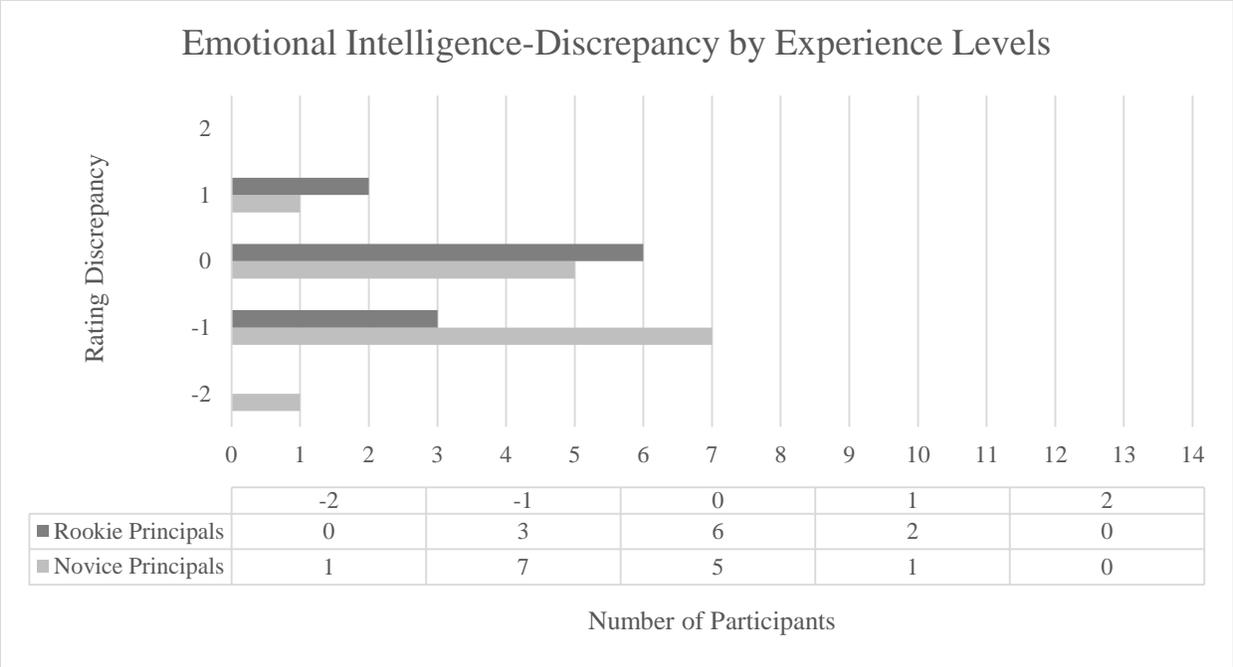


Figure 21. Emotional intelligence discrepancy by experience levels.

The MSCEIT was scored according to a general consensus criterion meaning that the score on each scale compares that individual's performance to more than 5000 people in the normative database who have taken the test. The scores are reported on a normal curve with a mean of 100 and a standard deviation of 15. The response time to complete a task is not calculated in the score. The score guidelines for interpreting MSCEIT scores are outlined in Table 12.

Table 13 presents the Mayer, Salovey, Caruso Emotional Intelligence Test (MSCEIT) standard score data in three subgroups: (a) rookie principals; (b) novice principals and; (c) all principals. An overall score that yields four branches with two tasks for each branch are provided. The Overall Emotional Intelligence mean standard scale score was 98 with a range from 68-123 for rookie principals, 89 with a range from 67-104 for novice principals, and an average of 92 with a range from 67-123.

The MSCEIT is divided into four branches: Perceiving Emotions, Facilitating Thought, Understanding Emotions, and Managing Emotions (Mayer et al., 2002). Below are brief descriptors of the four branches and the two task scores for each.

Perceiving Emotions Branch

Perceiving Emotions refers to the ability to detect and decipher emotions in faces and artistic expressions including expressing one's own emotions. The world around us contains information about how we communicate, send emotional messages and provide feedback. Individuals need to be aware of emotional clues and accurately identify what the emotions mean, as well as their own feelings and emotions when working with others (Mayer et al., 2002).

The Perceiving Emotions Branch standard scale score mean was 97 with a range of 69-132 for rookie principals, a mean of 87 with a range of 69-107 for novice principals, and a mean

Table 12

Guidelines for Interpreting MSCEIT Scores

EQ Range	Qualitative Range
69 or less	Consider Development
70-89	Consider Improvement
90-99	Low Average Score
100-109	High Average Score
110-119	Competent
120-129	Strength
130+	Significant Strength

Note. Adapted from the Mayer, Salovey, Caruso Emotional Intelligence Test User's Manual. Copyright 2002 by Multi-Health Systems, Inc.

Table 13

Mayer, Salovey, Caruso Emotional Intelligence Test-Standard Scores

Emotional Intelligence Score	MSCEIT Branches & Tasks	Rookie Principals		Novice Principals		All Principals	
		Mean	Score Range	Mean	Score Range	Mean	Score Range
Experiential	Perceiving Emotions Branch	97	69-132	87	69-107	91	69-132
	Faces Task	101	70-143	85	65-116	92	65-143
	Pictures Task	97	69-112	91	74-112	94	69-112
	Facilitating Thought Branch	97	59-125	85	66-102	91	59-125
	Facilitation Task	98	63-125	95	77-112	97	63-125
	Sensations Task	97	70-113	87	64-102	91	64-113
Strategic	Understanding Emotions Branch	96	81-112	96	77-104	96	77-112
	Changes Task	96	83-114	97	85-110	97	83-114
	Blends Task	97	84-108	93	69-109	94	69-109
	Managing Emotions Branch	96	85-109	99	80-116	98	80-116
	Emotion Management Task	96	80-104	101	86-116	99	80-116
	Emotional Relations Task	96	81-112	98	80-111	97	80-112
Overall		98	68-123	89	67-104	92	67-123

Note. The average range is 100 and a standard deviation of 15. The scores are based on 100% of the 25 (11 Rookies and 14 Novices) principals in Craven County Schools. Each of the scores are stated in standard scale scores by branches and tasks. Data are from the Scored Dataset provided by MHS Assessments and printed with permission.

of 91 with a range of 69-132 for all principals. Within the Perceiving Emotions Branch, Face Task and Picture Task scores are provided. For the Face Task, respondents identify how a person feels based upon his or her facial expressions (Mayer et al., 2002). The standard scale score mean was 101 with a range of 70-143 for rookie principals, a mean of 85 with a range of 65-116 for novice principals, and a mean of 92 with a range of 65-143 for all principals. For the Picture Task, respondents determine the emotions expressed in the environment (Mayer et al., 2002). The standard scale score mean was 97 with a range of 69-112 for rookie principals, a mean of 91 with a range of 74-112 for novice principals, and a mean of 94 with a range of 69-112 for all principals.

Facilitating Thought Branch

Facilitating Thought is the ability to harness emotions to facilitate cognitive activities, such as thinking and problem solving. The individual can capitalize upon his or her changing moods in order to best fit the task such as problem solving, communicating a vision or leading others. Being able to use one's emotions may help a person solve problems creatively (Mayer et al., 2002).

The Facilitating Thought Branch standard scale score mean was 97 with a range from 59-125 for rookie principals, a mean of 85 with a range from 66-102 for novice principals, and a mean of 91 with a range from 59-125 for all principals. Facilitating Thought yields two task scores: Facilitation Task and Sensations Task. The Facilitating Task measures the respondent's knowledge of how moods interact and support thinking and reasoning (Mayer et al., 2002). The standard scale score mean was 98 with a range from 63-125 for rookie principals, a mean of 95 with a range from 77-112 for novice principals, and a mean of 97 with a range from 63-125 for all principals. For the Sensation Task, respondents are asked to compare different sensations to

light, color, and temperature (Mayer et al., 2002). The standard scale score mean was 97 with a range from 70-113 for rookie principals, a mean of 87 with a range from 64-102 for novice principals, and a mean of 91 with a range from 64-113 for all principals.

Understanding Emotions Branch

Understanding Emotions is the ability to comprehend emotional language and appreciate complicated relationships among emotions. Understanding emotions encompasses the ability to be sensitive to even slight variations between emotions and the ability to describe how emotions change over time to predict how people will emotionally react (Mayer et al., 2002).

The Understanding Emotions Branch mean standard scale score was 96 with a range from 81-112 for rookie principals, a mean of 96 with a range from 77-104 for novice principals, and a mean of 96 with a range from 77-112 for all principals. Understanding Emotions yields two task scores: Changes Task and Blends Task. The Changes Task measures the respondent's knowledge of how emotions transition from one to another (Mayer et al., 2002). The standard scale score mean was 96 with a range from 83-114 for rookie principals, a mean 97 with a range from 85-110 for novice principals, and a mean of 97 with a range from 83-114 for all principals. For the Blends Task, respondents are asked to analyze blends of emotions into parts and assemble simple emotions together into complex emotions (Mayer et al., 2002). The standard scale score mean was 97 with a range from 84-108 for rookie principals, a mean of 93 with a range from 69-109 for novice principals, and a mean of 94 with a range from 69-109 for all principals.

Managing Emotions Branch

The Managing Emotions Branch is the ability to regulate our own emotions and also in others to make effective decisions and achieve intended goals. Managing emotions means that

one feels the emotion rather than repressing it and then uses the feeling to make better decisions. Additionally, one who manages emotions works with feelings in a judicious way, rather than acting on them without thinking (Mayer et al., 2002).

The Managing Emotions Branch mean standard scale score was 96 with a range from 85-109 for rookie principals, a mean of 99 with a range from 80-116 for novice principals, and a mean of 98 with a range from 80-116 for all principals. Managing Emotions yields two task scores: Emotion Management Task and Social Management Task. The Emotion Management Task measures the effectiveness of alternative actions in achieving a certain result in situation where an individual must regulate his or her own emotions (Mayer et al., 2002). The standard scale score mean was 96 with a range from 80-104 for rookie principals, a mean of 101 with a range from 86-116 for novice principals, and a mean of 99 with a range from 80-116 for all principals. For the Social Management Task, respondents are asked to incorporate emotions into decision making that involves other people (Mayer et al., 2002). The standard scale score mean was 96 with a range from 81-112 for rookie principals, a mean of 98 with a range from 80-111 for novice principals, and a mean of 97 with a range from 80-112 for all principals.

Table 14 depicts data from the MSCEIT by Areas-Experiential and Strategic and the Supplemental Scales-Positive/Negative and Scatter Score.

The Experiential score assesses the respondents' ability to perceive, respond, and manipulate emotional information without truly understanding it. It indexes how accurately the individual can read and express emotion, and how well a respondent can compare that information to sensory experiences (Mayer et al., 2002). The mean standard scale score was 96 with a range from 58-131 for rookie principals, a mean of 84 with a range from 63-99 for novice principals, and a mean of 89 with a range from 58-131 for all principals.

Table 14

MSCEIT Areas and Supplemental-Standard Scores

		AREAS		SUPPLEMENTAL SCALES	
		Experiential EIQ	Strategic EIQ	Positive/ Negative Bias	Scatter Score
Rookie Principals	Mean	96	96	102	97
	Score Range	58-131	86-108	83-121	80-126
Novice Principals	Mean	84	98	107	99
	Score Range	63-99	79-108	95-129	82-115
All Principals	Mean	89	97	105	98
	Score Range	58-131	79-108	83-129	80-126

Note. The average range is 100 and a standard deviation of 15. The scores are based on 100% of the 25 (11 Rookies and 14 Novices) principals in Craven County Schools. Each of the scores are stated in percentages. Data are from the Scored Dataset provided by MHS Assessments and printed with permission.

The Strategic score assesses the respondent's ability to understand and manage emotions without having to perceive feelings will or even experience the emotions. It indexes how accurately a respondent understands what emotions indicate and how personal emotions, as well as the emotions of others can be managed (Mayer et al., 2002). The mean standard scale score was 96 with a range from 86-108 for rookie principals, a mean of 98 with a range from 79-108 for novice principals, and a mean of 97 with a range from 79-108 for all principals.

The Positive-Negative Bias score provides a metric of the respondent's tendency to respond to pictorial stimuli with positive or negative emotions. This score is helpful in that a marked tendency to consistently perceive stimuli as overly positive or negative can lead an individual to misread situations (Mayer et al., 2002). The mean standard scale score was 102 with a range from 83-121 for rookie principals, a mean of 107 with a range from 95-129 for novice principals, and a mean of 105 with a range from 83-129 for all principals.

The Scatter score provides an indication of the amount of fluctuation among a respondent's task scores. Although individuals will usually show some variation, a high score indicates the respondent's performance from task to task (Mayer et al., 2002). The mean standard scale score was 97 with a range from 80-126 for rookie principals, 99 with a range from 82-115 for novice principals, and an average of 98 with a range from 80-126 for all principals.

Environmental Awareness

Principals must learn to employ networks for strategic purposes. Hill's model for Team Leadership reminds principals that awareness of the internal and external influences are critical in the effectiveness of the organization (Northouse, 2013). Svendsen (1998) reminds leaders that stakeholders, internal and external, who feel informed about an organization are more likely to

speak highly about it. As leaders gain experience, the model is internalized and becomes tacit (Northouse, 2013).

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon the competency of environmental awareness. Additionally, a description of the survey results follows.

Anecdotal note. During a visit, one rookie principal stated that she recognized the need to learn continuously. She gains insight from the district network with fellow principals, stays current with educational literature, and furthers her learning through a post graduate degree. The rookie principal stated that she uses the ideas, practices, and strategies with her staff as well as gives confidence to stakeholders when questions arise. The rookie principal shared that the performance grade release is an example of how staying informed kept the focus on what the scores mean and emphasized on the performance of the school holistically rather than one day's scores.

Interview. A rookie principal shared how she keeps abreast of current issues by reading not only about educational literature, but information that relates to the age level of students with which she works. The principal reflected that if redistricting occurs then it will be essential to learn more about the community in which the school serves.

Surveys. As evident in the Rookie and Novice graphs in Figure 22, 20% (n=5) of the principals indicated that they *Always* perform at a proficient level in the area of delegation. Of the 25 principals, 76% (n=19) of all principals rated themselves at the *Often* level. One rookie principal selected *Rarely* as the level of proficiency. The discrepancy graph in Figure 23 depicts that 36% (n=9) of the principals rated themselves at the same level as their supervisors. Sixteen percent (n=4) of the supervisors' ratings were one level lower than the principals' self-ratings.

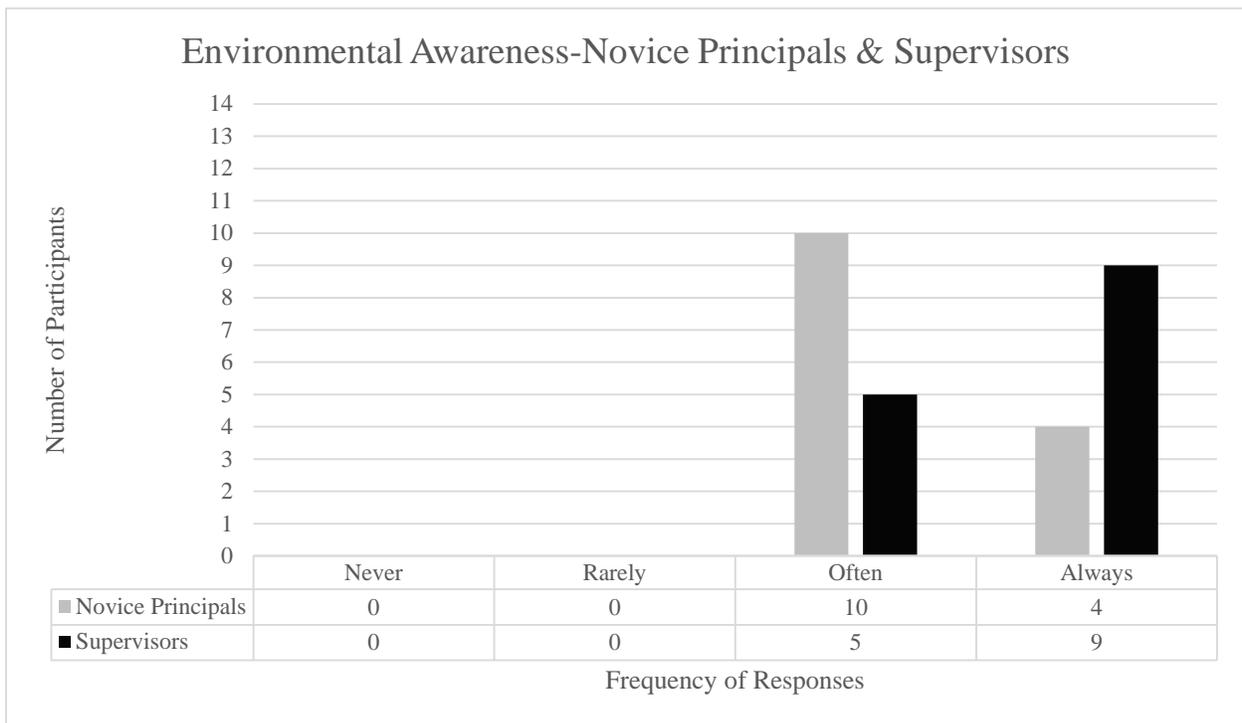
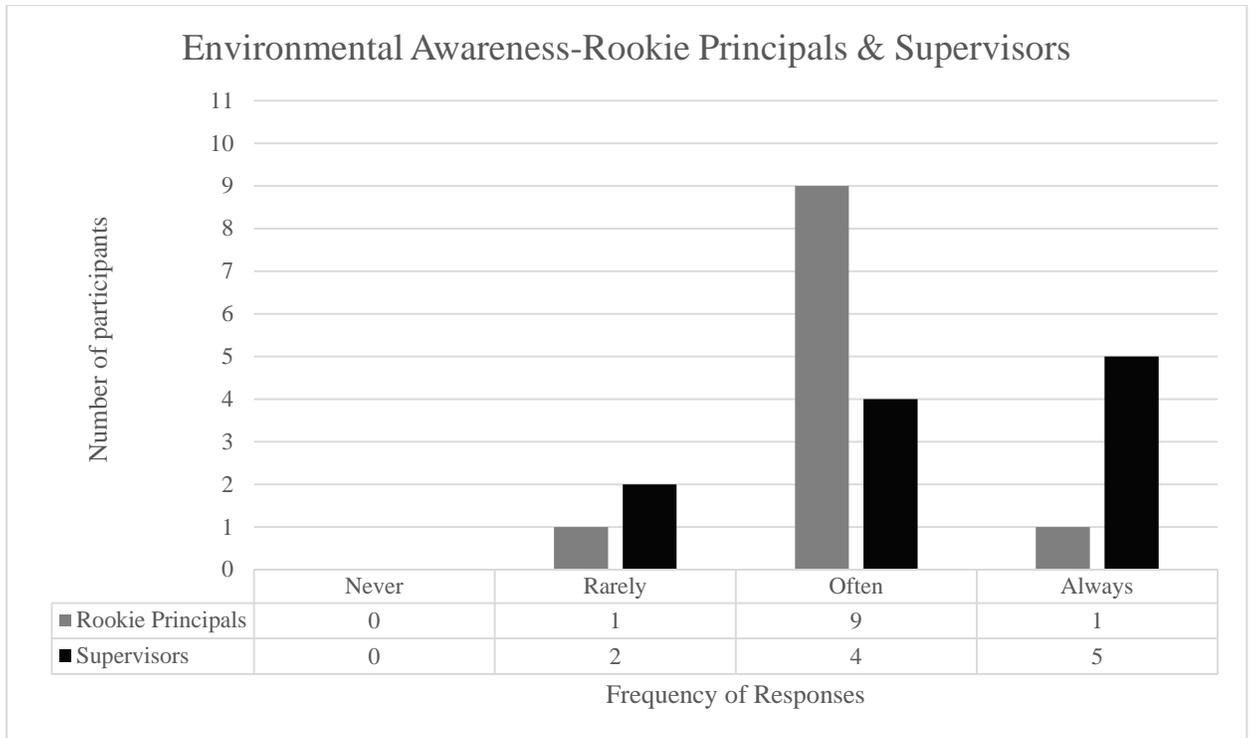


Figure 22. Environmental awareness competency assessment ratings by principals and supervisors.

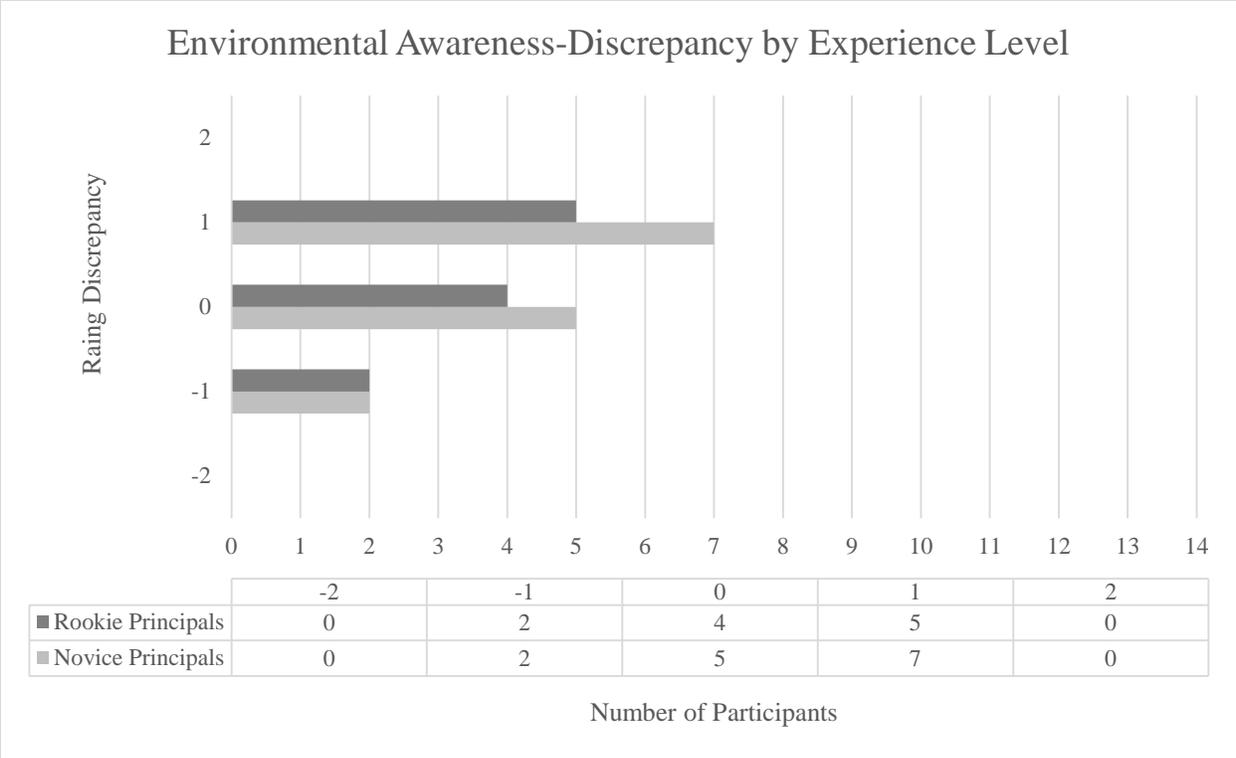


Figure 23. Environmental awareness discrepancy by experience levels.

The remaining 48% (n=12) of the supervisors' ratings were one level higher than the principals rated themselves.

Global Perspective

Today's education is so much more connected to another side of the world, to another economy, to another culture than education of the 20th century (Evans, 1987). Greenberg-Walt and Robertson (2001) described the evolving role of leadership:

The number one characteristic identified by students for "the global leader of the future" is open-mindedness. Participants believe that a leader who embraces the status quo will be easily defeated by a competitor who is willing to try new ideas, seek our new opportunities...(p. 155).

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon the competency of global perspective. Additionally, a description of the survey results follows.

Anecdotal note. During a conversation with a rookie principal regarding the teacher evaluation instrument, she stated that she had found herself having difficulty communicating global perspective with some teachers who work with specific content and/or grade levels. The rookie principal stated that she used the documents provided by the state to guide teachers. In addition, the principal reflected that she hoped that in her effort to assist the teacher in understanding the meaning and behaviors of being globally aware, her interpretation and discretion are accurate.

Interview. The rookie principal believed that she has a global perspective, but recognized the challenge of transforming the school's stakeholders to be more globally minded. She faced the challenge of convincing others that the students are capable and must perform as well as or

better than students at other schools within the district. The rookie principal reflected that by beginning with a small focus, the principal shared that stakeholders have accepted the challenge and ready to move toward students as 21st century college and career ready who are globally competitive.

Surveys. As evident in the Rookie and Novice graphs in Figure 24, 8% (n=2) of the principals indicated that they *Always* perform at a proficient level in the area of global perspective. Of the 25 principals, 88% (n=22) of all principals rated themselves at the *Often* level. One rookie principal selected *Rarely* as the level of proficiency. The discrepancy graph in Figure 25 depicts that 36% (n=9) of the principals rated themselves at the same level as their supervisors. Four percent (n=1) of the supervisors' ratings were one level lower than the principals' self-ratings. Four percent (n=1) of the supervisors' ratings were two levels lower than the principals rated themselves. The remaining 56% (n=14) of the supervisors' ratings were one level higher than the principals rated themselves.

Judgment

Tough decisions are the essence of leadership (Tichy & Bennis, 2007; Molinaro, 2013). Tichy and Bennis (2007) stated that with good judgment, little else matters, but without good judgment, nothing else matters. As the principal, the importance and consequences of judgment are magnified exponentially. Principals must be able to recognize the need to make a decision, frame the issue, determine what is critical, mobilize and energize the stakeholders (Tichy & Bennis, 2008).

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon they make judgment calls in which logical conclusions and decisions are required daily. Additionally, a description of the survey results follows.

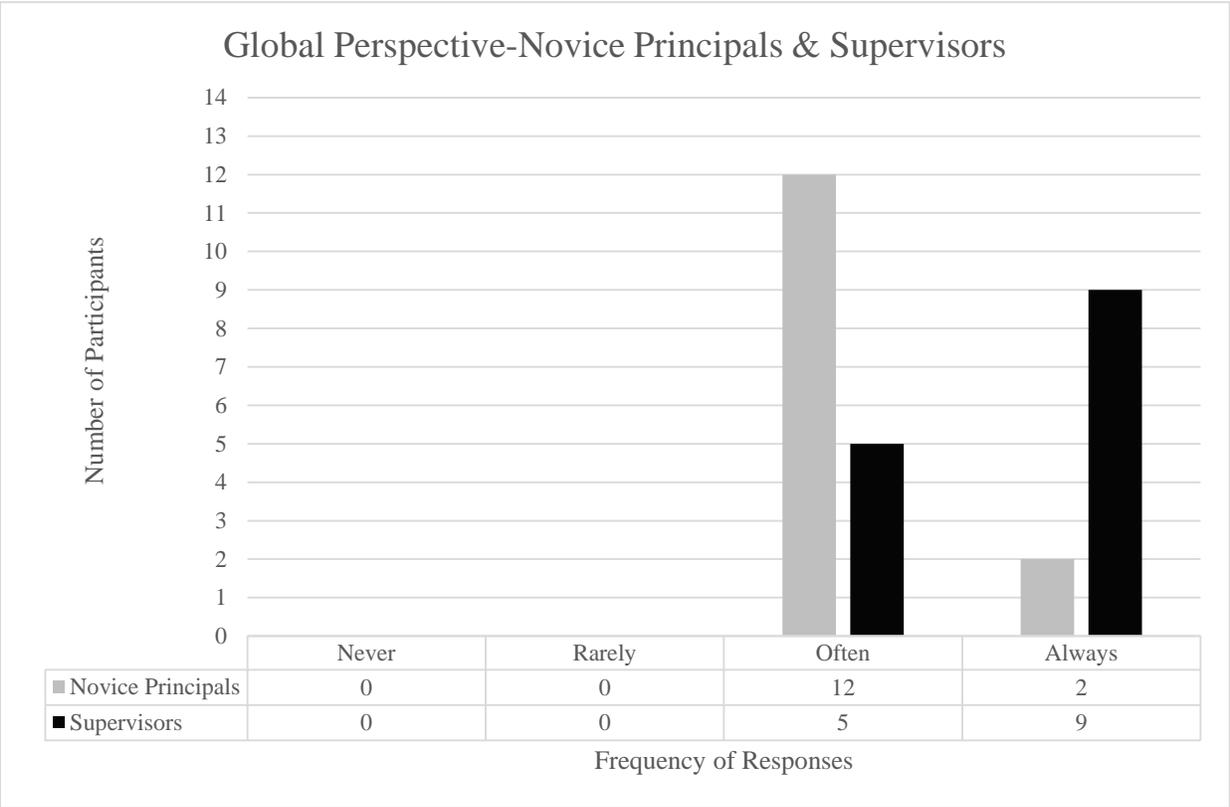
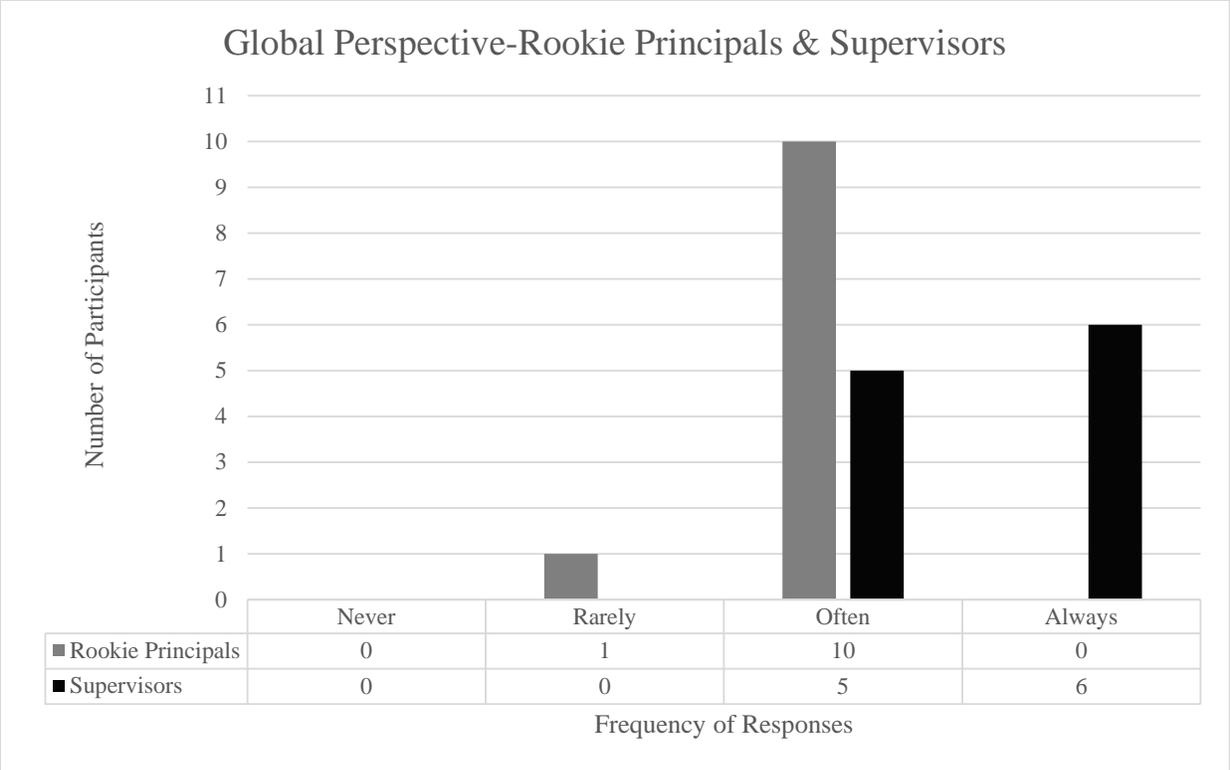


Figure 24. Global perspective competency assessment ratings by principals and supervisors.

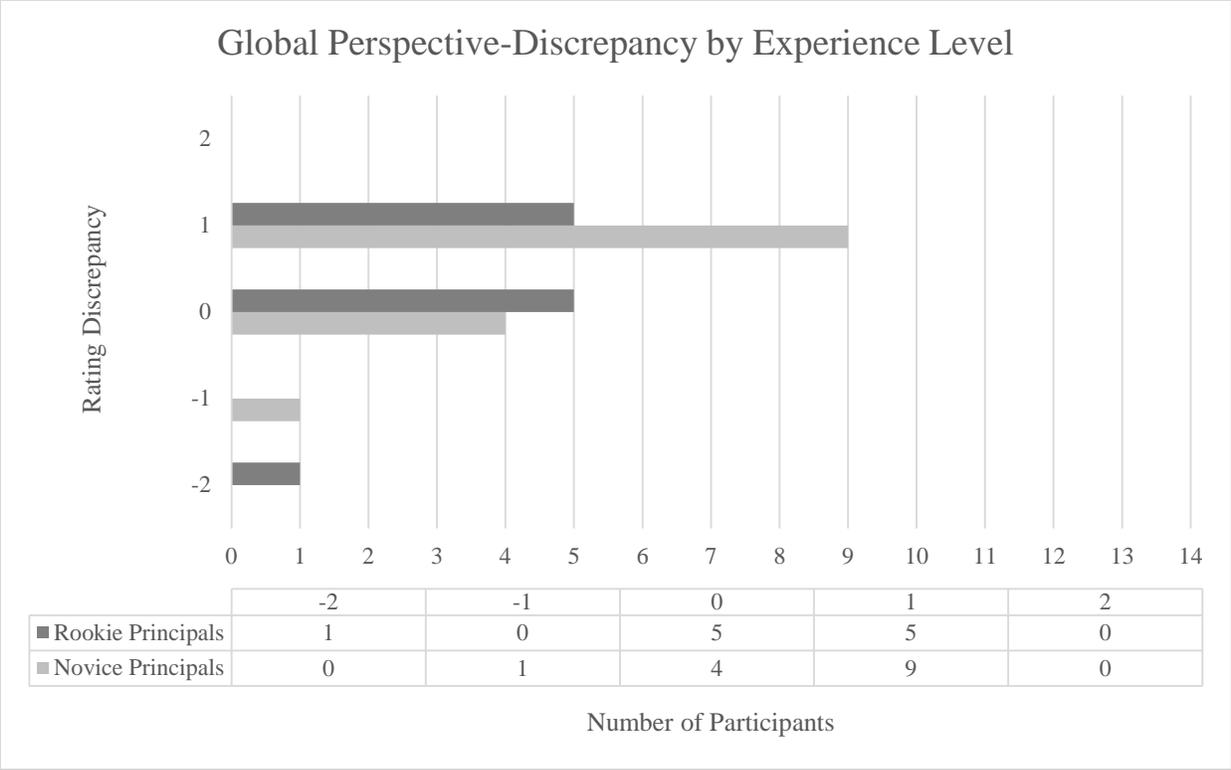


Figure 25. Global perspective discrepancy by experience levels.

Anecdotal note. The rookie principal was dealing with a discipline issue regarding a student's inappropriate actions. The rookie principal used clear, specific questions and redirected the student when he began talking about how others were responsible for his actions that were stated on the discipline referral. In the end, the student accepted responsibility for his behaviors and the principal assured the student that she would investigate the other's conduct. The principal reflected that judgment is not only required on her part, but to work with students, staff, and parents through the judgment process. She added that this process takes time and unfortunately time is not always available and a quick decision is required. But when time is available, the rookie principal believed that getting the stakeholders to understand her judgment call and model for them how to be thorough in the decision making process is essential.

Interview. A rookie principal shared that judgment is happening in every situation, every day with multiple stakeholders. She stated that one area in which judgment must be on point is safety. The rookie principal explained in more detail that it does not matter whether the scope of safety is a discipline issue involving one student to rerouting traffic for all stakeholders. Precise and fair decisions must be delivered in a timely manner always with her students' best interests in mind. The rookie principal reflected that realizing this skill requires as close to perfection as possible, it means that she must be thorough and in the midst of the decision making process reflect on what worked and did not work in the past, as well as when the decision is finalized, reflection to make sure the decision was appropriate and if not, what can be done to fix it?

Surveys. As evident in the Rookie and Novice graphs in Figure 26, 36% (n=9) of the principals indicated that they *Always* perform at a proficient level in the area of judgment. Of the 25 principals, 60% (n=15) of all principals rated themselves at the *Often* level. One novice

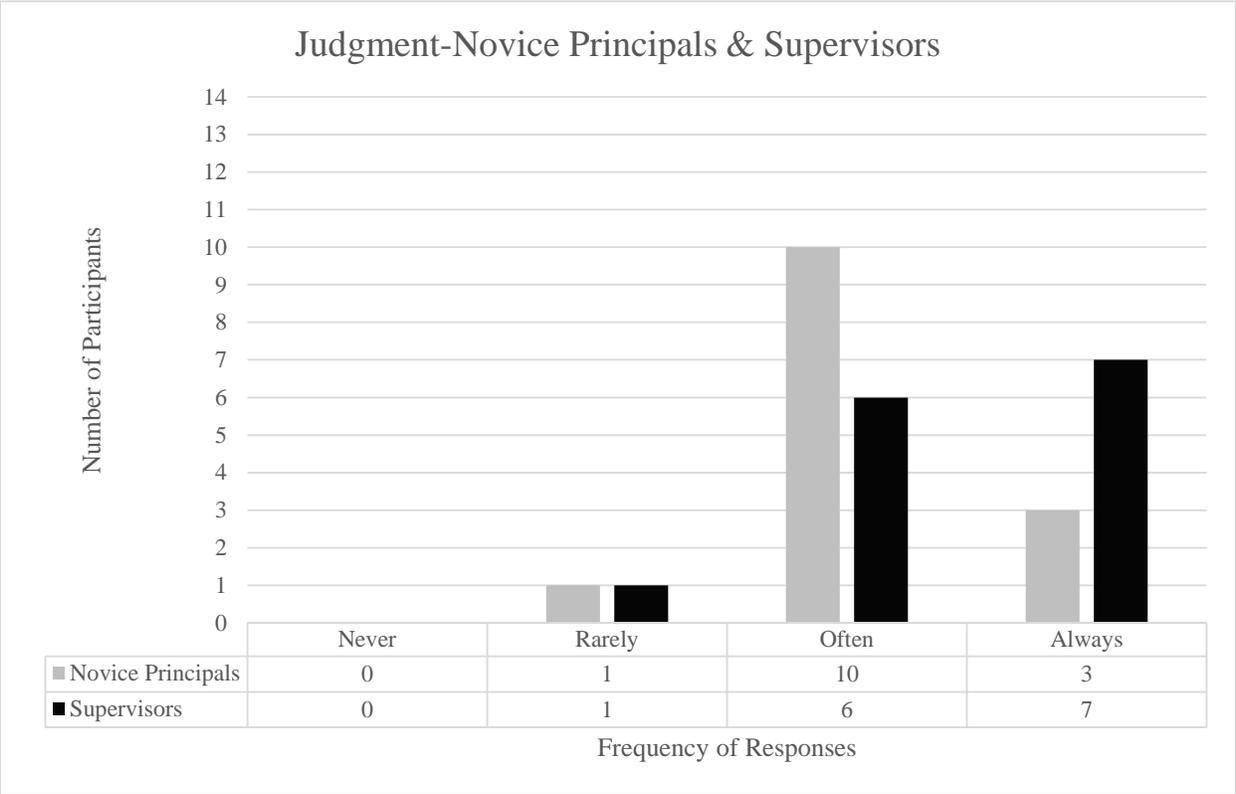
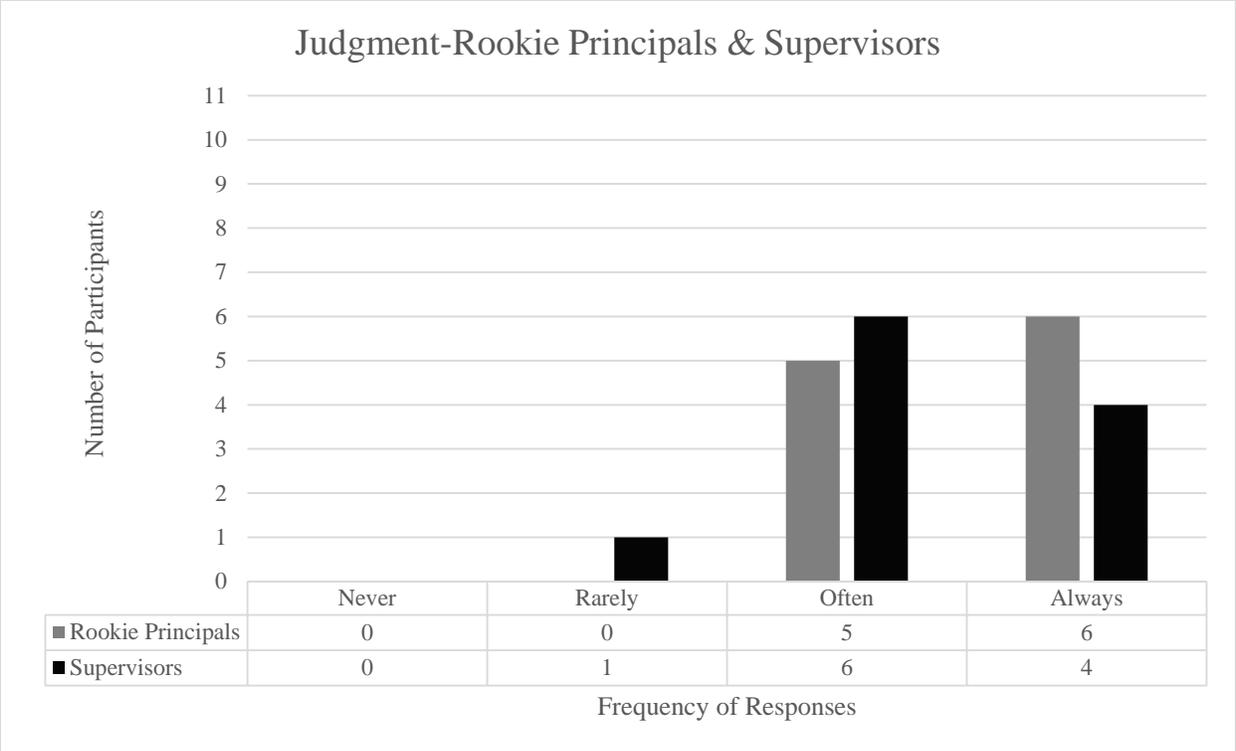


Figure 26. Judgment competency assessment ratings by principals and supervisors.

principal selected *Rarely* as the level of proficiency. The discrepancy graph in Figure 27 depicts that 40% (n=10) of the principals rated themselves at the same level as their supervisors.

Twenty-four percent (n=6) of the supervisors' ratings were one level lower than the principals' self-ratings. Four percent (n=1) of the supervisors' ratings were two levels lower than the principals rated themselves. Twenty-eight percent (n=7) of the supervisors' ratings were one level higher than the principals rated themselves. The remaining 4% (n=1) of the supervisors' ratings were two levels higher than the principals rated themselves.

Organizational Ability

As many researchers have shadowed principals for long periods of time and recorded their activities, they have discovered that principals must design work for themselves, as well as the work for others at a fast pace (Drake & Roe, 2003; Lunenburg & Irby, 2006; Sergiovanni, 2009; Tareilo, 2010; Ubben, Hughes, & Norris, 2011).

Below are summaries of an anecdotal note and an interview with two rookie principals who reflected upon planning one's own work as well as the work of others. Additionally, a description of the survey results follows.

Anecdotal note. The rookie principal was participating in a planning session in which the teachers were learning about explicit instruction by district personnel. As the principal reflected, she stated that she contacted the district for assistance because of the need for support to be designed differently compared to other departments based on a previous planning session.

Interview. The rookie principal shared that planning for her own work never seemed to occur as scheduled. The principal described how she made sure that the activities that needed to be accomplished during the day with staff and students were done, which required the majority of the paperwork be completed at nights and weekends. During her reflection, she emphasized

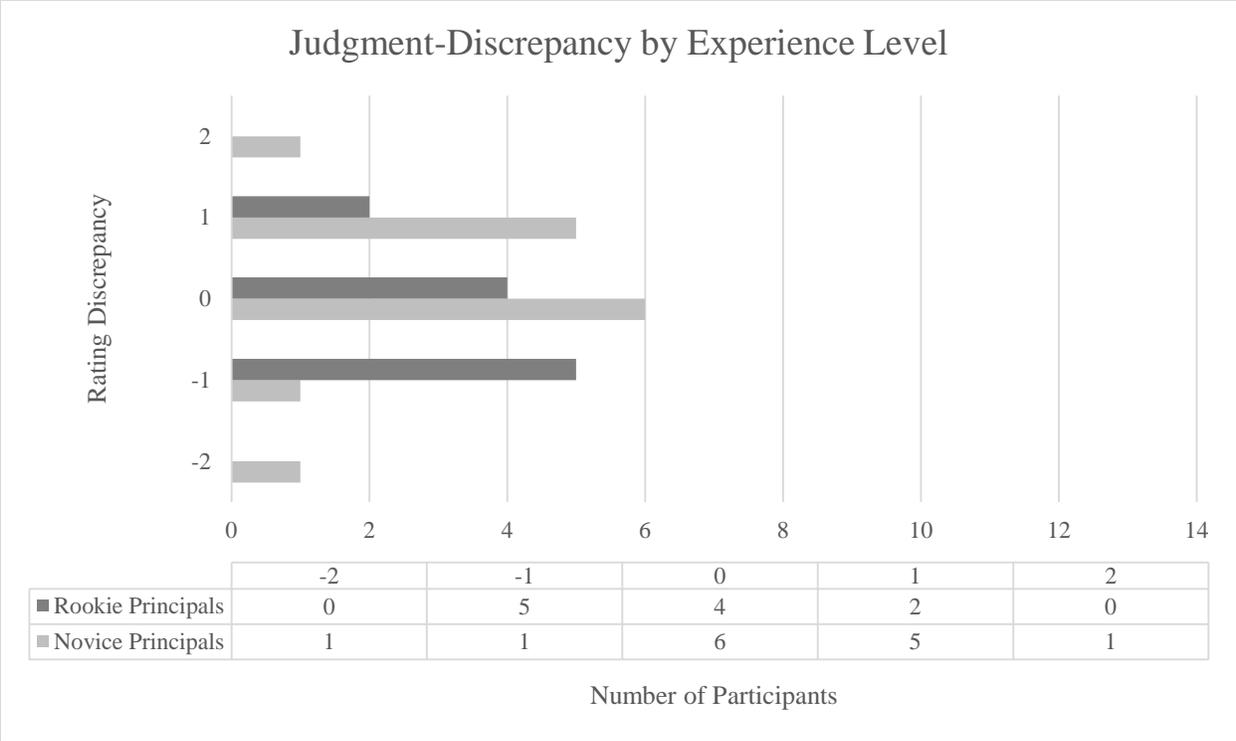


Figure 27. Judgment competency discrepancy by experience levels.

that the nature of the school environment's fast pace left only two solutions-remaining flexible and positive.

Surveys. As evident in the Rookie and Novice graphs in Figure 28, 36% (n=9) of the principals indicated that they *Always* perform at a proficient level in the area of organizational ability. Of the 25 principals, 64% (n=16) of all principals rated themselves at the *Often* level. The discrepancy graph in Figure 29 depicts that 44% (n=11) of the principals rated themselves at the same level as their supervisors. Twenty-eight percent (n=7) of the supervisors' ratings were one level lower than the principals' self-ratings. Four percent (n=1) of the supervisors' ratings were two levels lower than the principals rated themselves. The remaining 24% (n=6) of the supervisors' ratings were one level higher than the principals rated themselves.

Personal Ethics and Values

Principals are faced with hundreds of decisions daily that involve fairness, equity, and success of all students. According to Weaver (2007), their "decisions are based on their personal code of ethics" (p. 52). However, for administrators personal ethics and values may not be aligned to the decisions that they are required to make.

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon how they exhibit personal ethics and values. Additionally, a description of the survey results follows.

Anecdotal note. A rookie principal met with a stakeholder regarding a concern in which several inaccuracies were stated, but allowed the stakeholder to share her concern without interruption. When the stakeholder had finished, the principal addressed each of the areas. The stakeholder left without resolution to every issue, but with more clarity regarding the situation. Upon reflection, the principal shared that she believes that everyone should have a voice. The

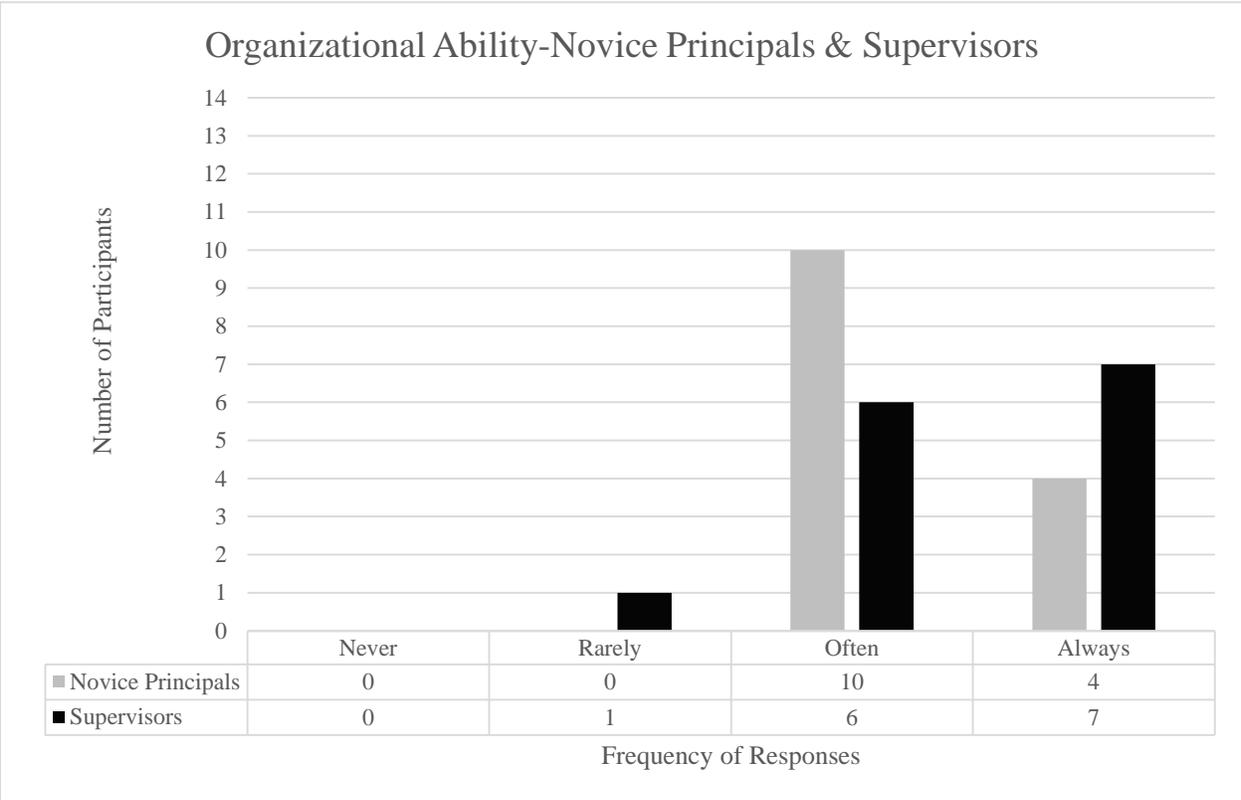
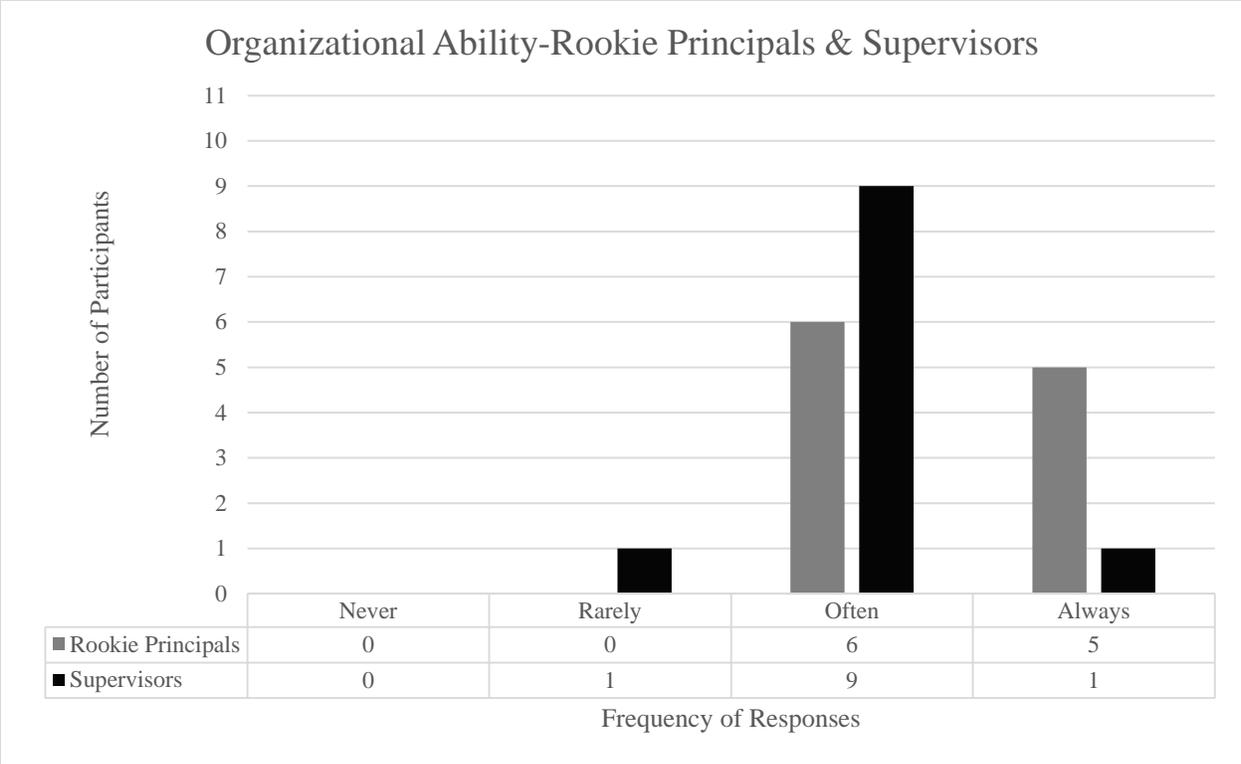


Figure 28. Organizational ability competency assessment ratings by principals and supervisors.

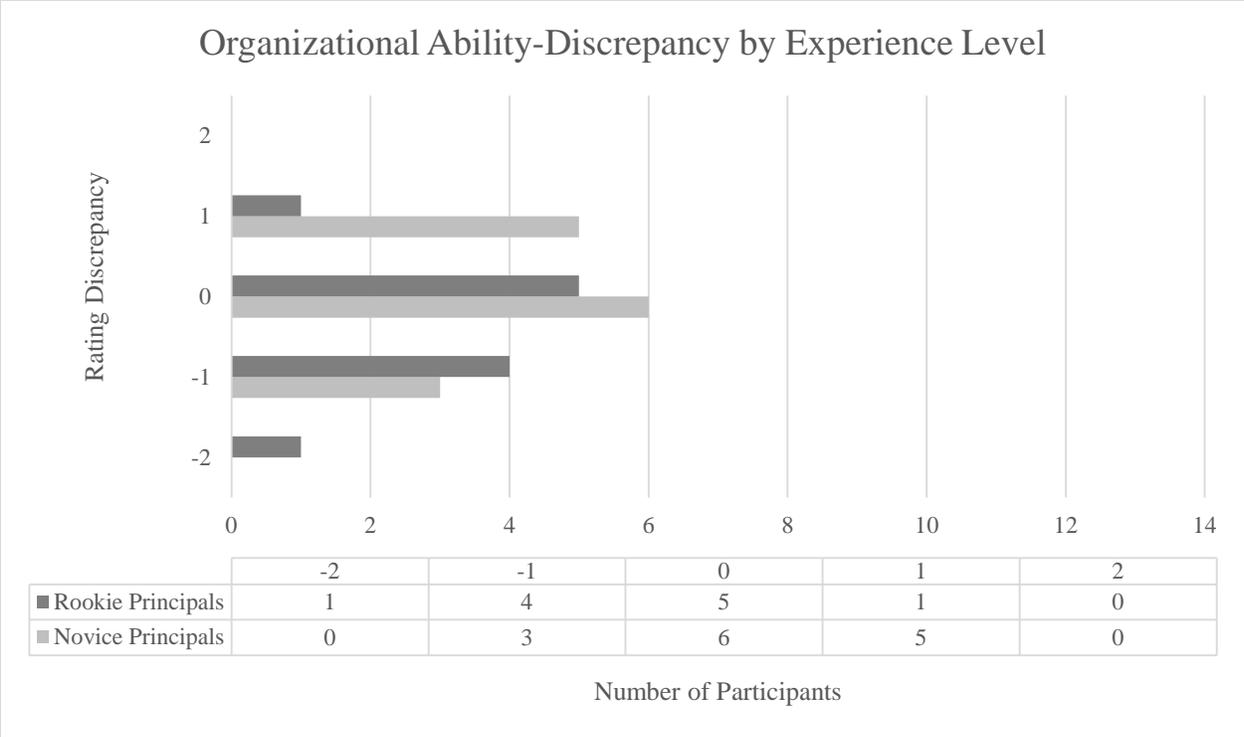


Figure 29. Organizational ability competency discrepancy by experience levels.

principal used the conversation to listen with respect and exhibit the same type of personal ethics and values that she expects of others.

Interview. A rookie principal shared about a time that a stakeholder had given a reason regarding why a request was being made. Although the principal did not believe the reason provided by the stakeholder was true, the principal shared how they had several conversations in an attempt to determine the real reason. During one of the conversations, the stakeholder revealed the real reason for the request. As the principal reflected, she recognized that her calmness and providing time for the stakeholder to share his concerns allowed the principal to exhibit a high standard of personal ethics and values.

Surveys. As evident in the Rookie and Novice graphs in Figure 30, 80% (n=20) of the principals indicated that they *Always* perform at a proficient level in the area of personal ethics. Of the 25 principals, 20% (n=5) of all principals rated themselves at the *Often* level. The discrepancy graph in Figure 31 depicts that 68% (n=17) of the principals rated themselves at the same level as their supervisors. Sixteen percent (n=4) of the supervisors' ratings were one level lower than the principals' self-ratings. The remaining 16% (n=4) of the supervisors' ratings were one level higher than the principals rated themselves.

Personal Responsibility for Performance

In the report, *The school principal as leader: Guiding schools to better teaching and learning* (2013a), The Wallace Foundation recognized that due to the magnification of the accountability systems, the burden of success is placed squarely on the principal's shoulders. Principals who take personal responsibility, understand that they take credit for when things go well, as well as when things do not go well. Thatcher (2012), stated that successful principals

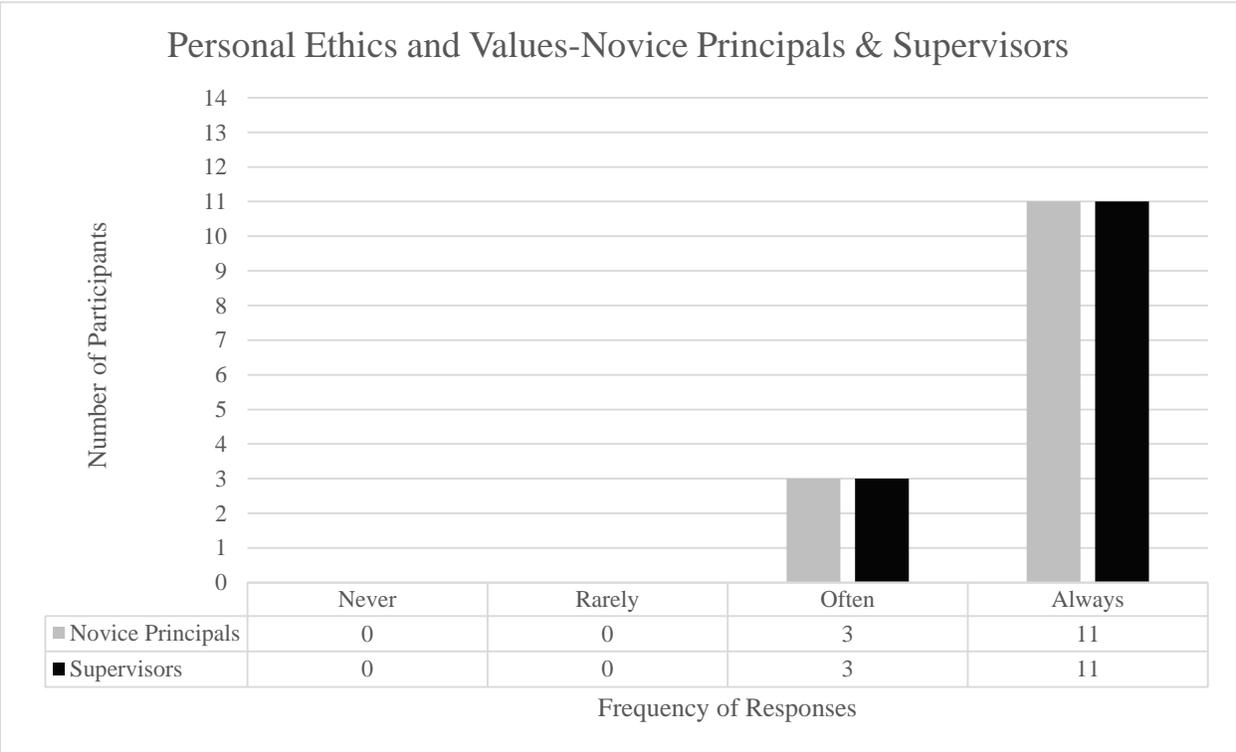
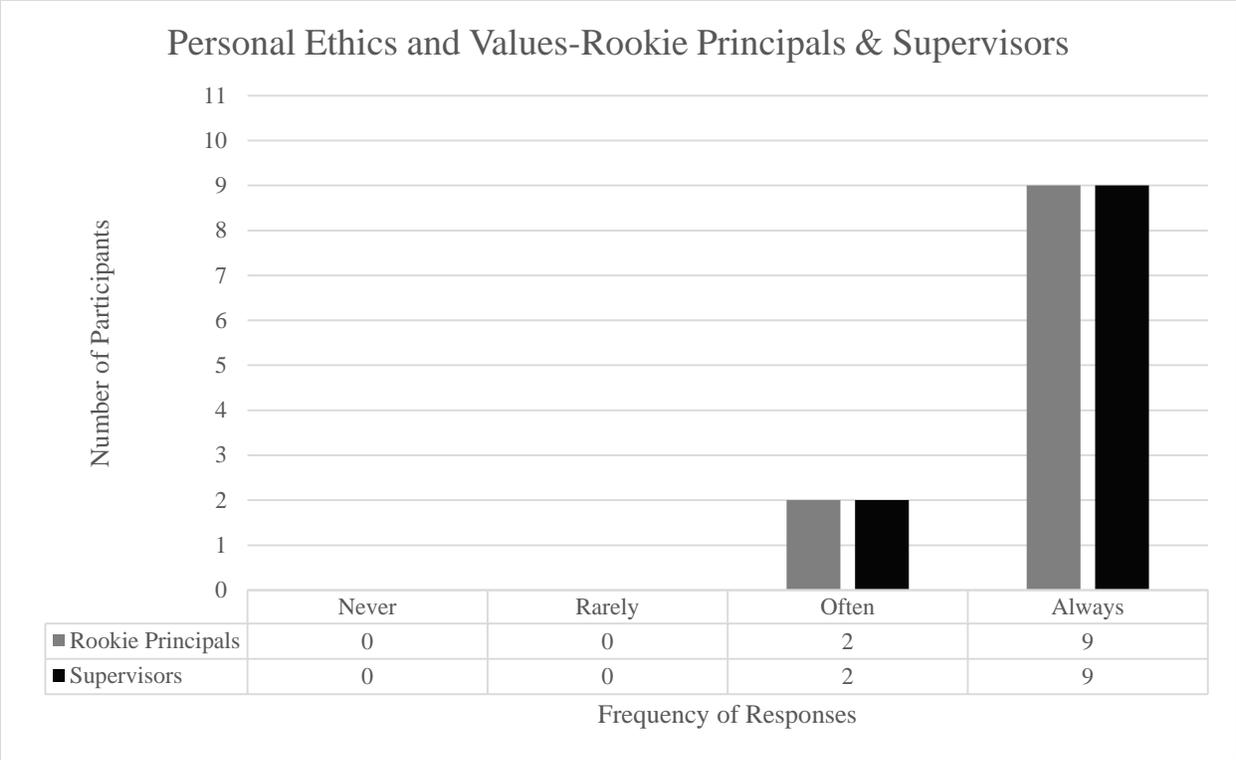


Figure 30. Personal ethics and values competency assessment ratings by principals and supervisors.

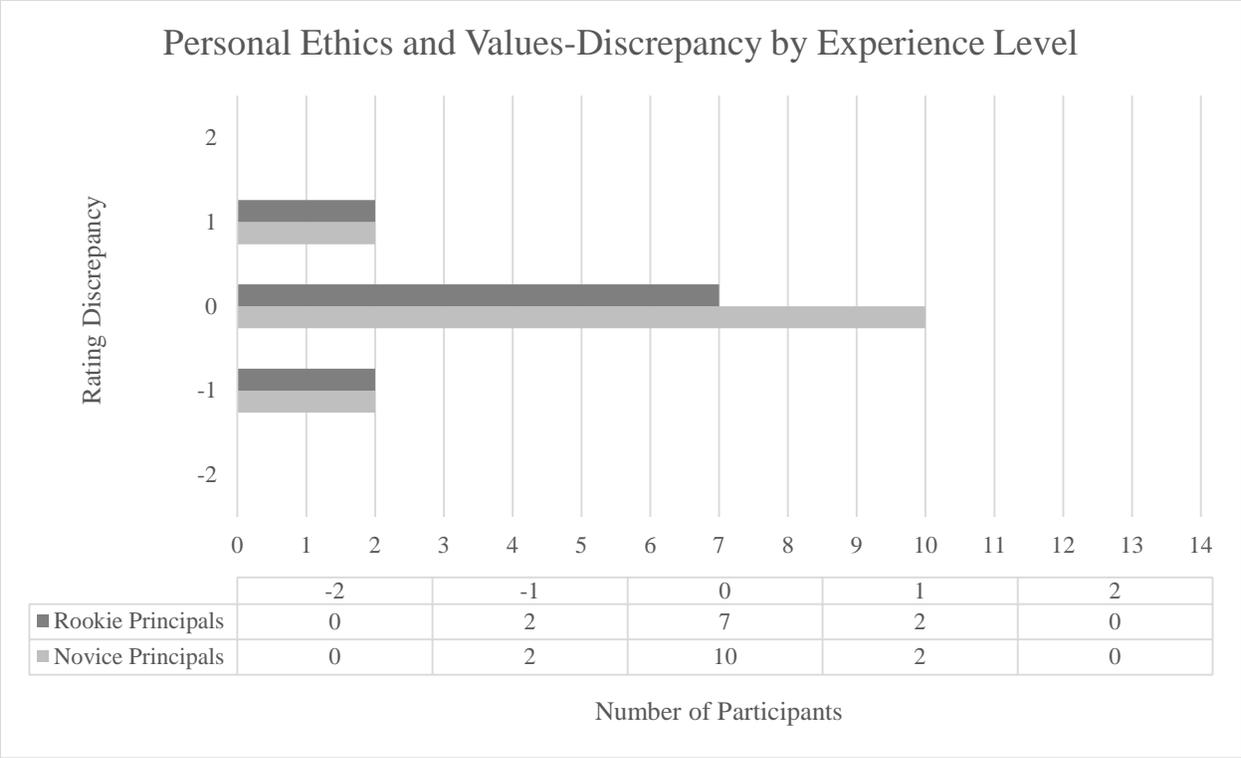


Figure 31. Personal ethics and values competency discrepancy by experience levels.

focus time on problem solving rather than lose time on the counterproductive side of assigning blame.

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon how they keep the focus on accepting responsibility and continuous improvement. Additionally, a description of the survey results follows.

Anecdotal note. A rookie principal designed a presentation for her staff regarding performance results, as well as a discussion about improvements. As the principal reviewed the feedback, she believed that a few of the suggestions were not solution oriented. The principal followed up with the staff the following week. Upon reflection, the principal stated that in the future reminding the staff that continuous improvement is the focus of the school. During our conversation, she stated that this reminder would have changed the direction of the feedback.

Interview. One rookie principal reflected on her previous year's experience regarding a stakeholder concern. She shared with her staff that an issue had been brought to her attention by community stakeholders as well as a few staff members. The rookie principal reflected that although she must ultimately assume responsibility for the behaviors, she recognized that the staff input was needed to solve the problem. She added that this also provided the opportunity for more ideas for improvement. In the end, staff agreed to implement a plan for improvement. According to the rookie principal, stakeholder input reflects a positive change.

Surveys. As evident in the Rookie and Novice graphs in Figure 32, 44% (n=11) of the principals indicated that they *Always* perform at a proficient level in the area of personal responsibility for performance. Of the 25 principals, 56% (n=14) of all principals rated themselves at the *Often* level. The discrepancy graph in Figure 33 depicts that 56% (n=14) of the principals rated themselves at the same level as their supervisors. Four percent (n=1) of the

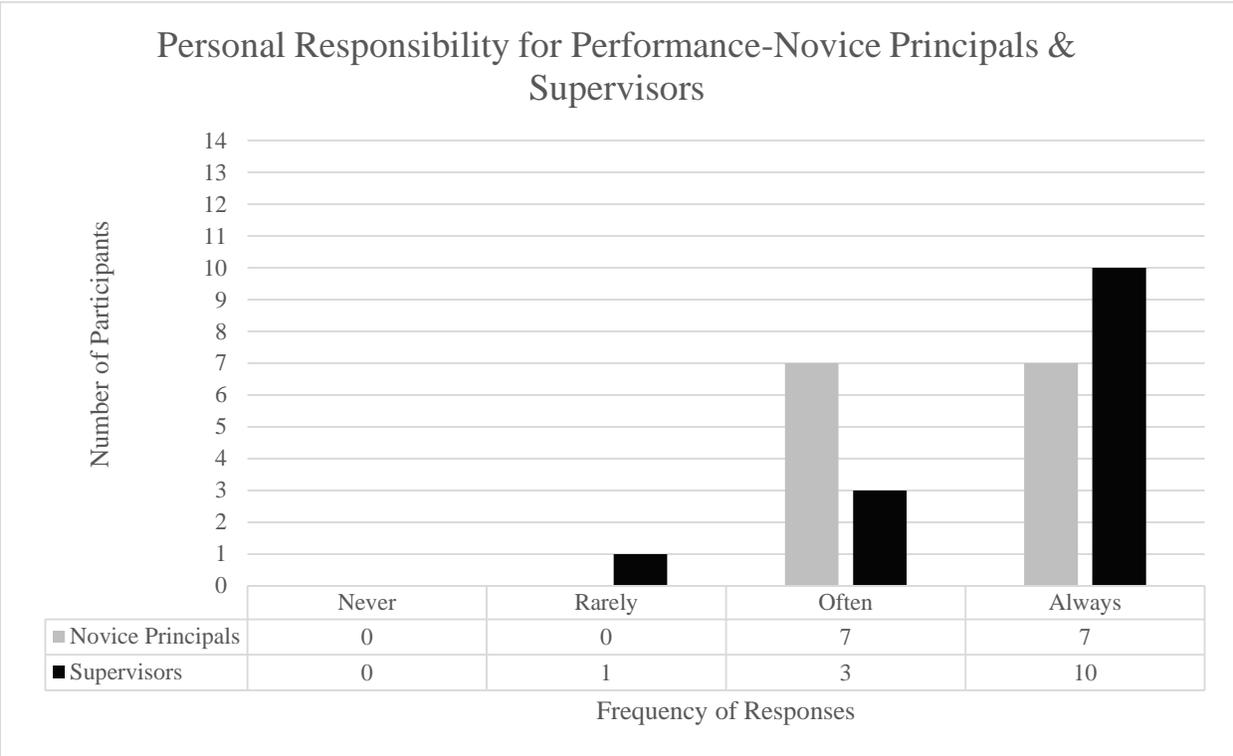
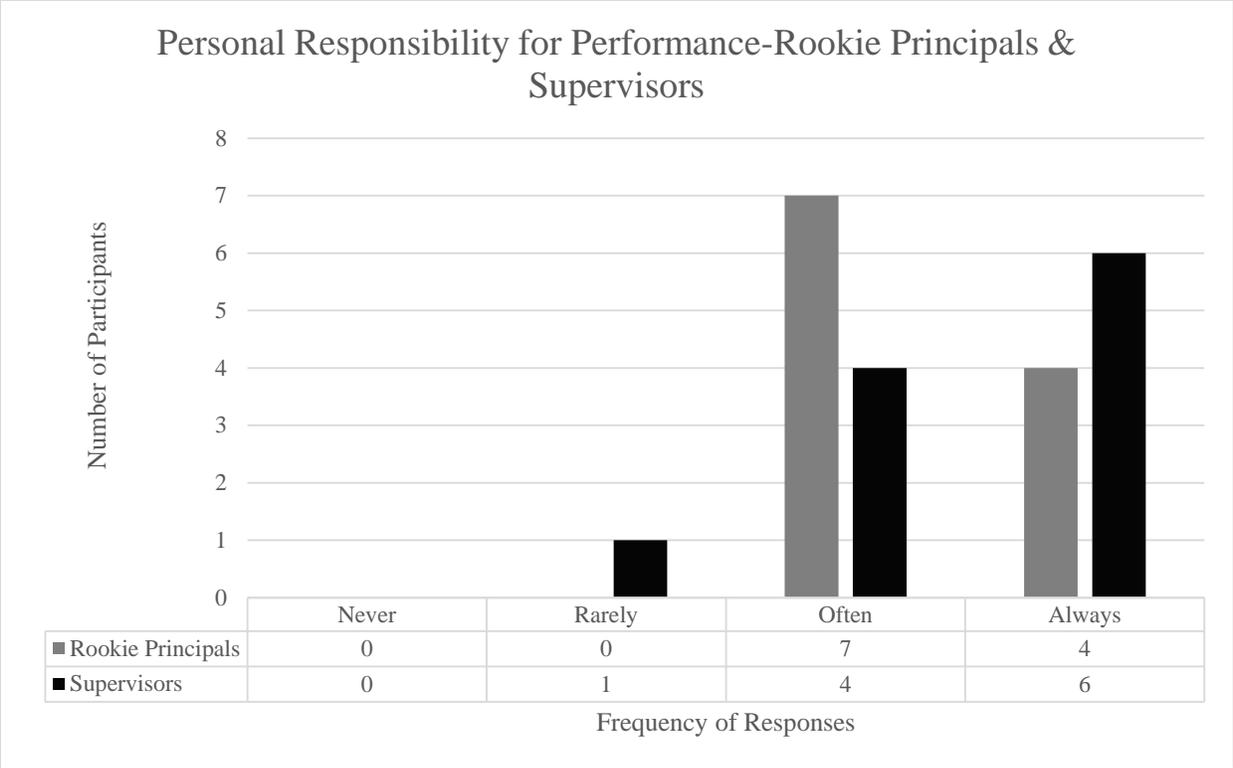


Figure 32. Personal responsibility for performance competency assessment ratings by principals and supervisors.

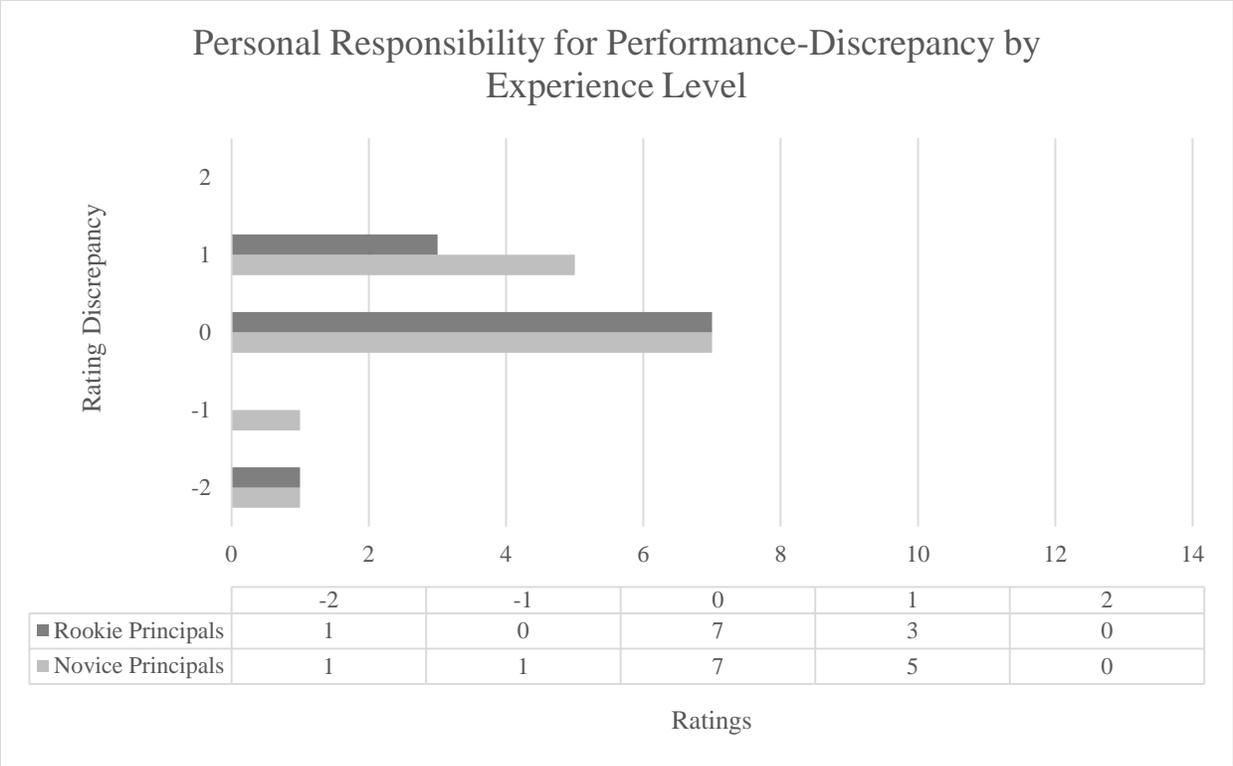


Figure 33. Personal responsibility for performance competency discrepancy by experience levels.

supervisors' ratings were one level lower than the principals' self-ratings. Eight percent (n=2) of the supervisors' ratings were two levels lower than the principals rated themselves. The remaining 32% (n=8) of the supervisors' ratings were one level higher than the principals rated themselves.

Results Orientation

With accountability more predominant in the 21st century, the responsibility for educating students is placed primarily on the school leader (Leithwood & Riehl, 2003). As noted by Cooley and Shen (2003), "The increase in pressure has resulted in a call for more effective principal leadership to address student achievement" (p. 11).

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon how they balance short-term issues with long-term goals. Additionally, a description of the survey results follows.

Anecdotal note. Following an instructional round with a rookie principal, the conversation focused on the connection to student performance data and practices observed. The principal recognized the gap between expectations and the low level of rigor in the student assignments. Discussion continued with a plan to increase the rigor in the questioning. The principal reflected that a plan for professional development would be needed and then require teachers to include the higher level questions in the lesson plans. She added that teachers would discuss the results during data analysis meetings and administration would provide feedback on the questioning instructional practices observed.

Interview. The rookie principal described a situation that involved two stakeholders. The principal stated that she recognized that prompt action was required. Two stakeholders were allowed to share their concerns with the principal separately and together. As the principal

reflected that although she wanted the long-term goal of working professionally with others to occur immediately, she recognized that short-term goals for the stakeholders were required. Therefore, steps were put in place and a schedule shared with the stakeholders to monitor improvement.

Surveys. As evident in the Rookie and Novice graphs in Figure 34, 60% (n=15) of the principals indicated that they *Always* perform at a proficient level in the area of results orientation. Of the 25 principals, 40% (n=10) of all principals rated themselves at the *Often* level. The discrepancy graph in Figure 35 depicts that 44% (n=11) of the principals rated themselves at the same level as their supervisors. Twenty-four percent (n=6) of the supervisors' ratings were one level lower than the principals' self-ratings. Eight percent (n=2) of the supervisors' ratings were two levels lower than the principals rated themselves. The remaining 24% (n=6) of the supervisors' ratings were one level higher than the principals rated themselves.

Sensitivity

Vogt (2004) stated, "Educational programs can have strong positive effects on students' beliefs, attitudes, values, and behaviors" (p. 1). In other words, school is a place where sensitivity must be taught. Fullan (2002) stated "leaders must be consummate relationship builders with diverse people and groups-especially with people different than themselves" (p. 7). Therefore, principals must lead their school in a manner that fosters a sense of respect and tolerance for all.

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon their personal sensitivity and the promotion of being sensitive in their schools. Additionally, a description of the survey results follows.

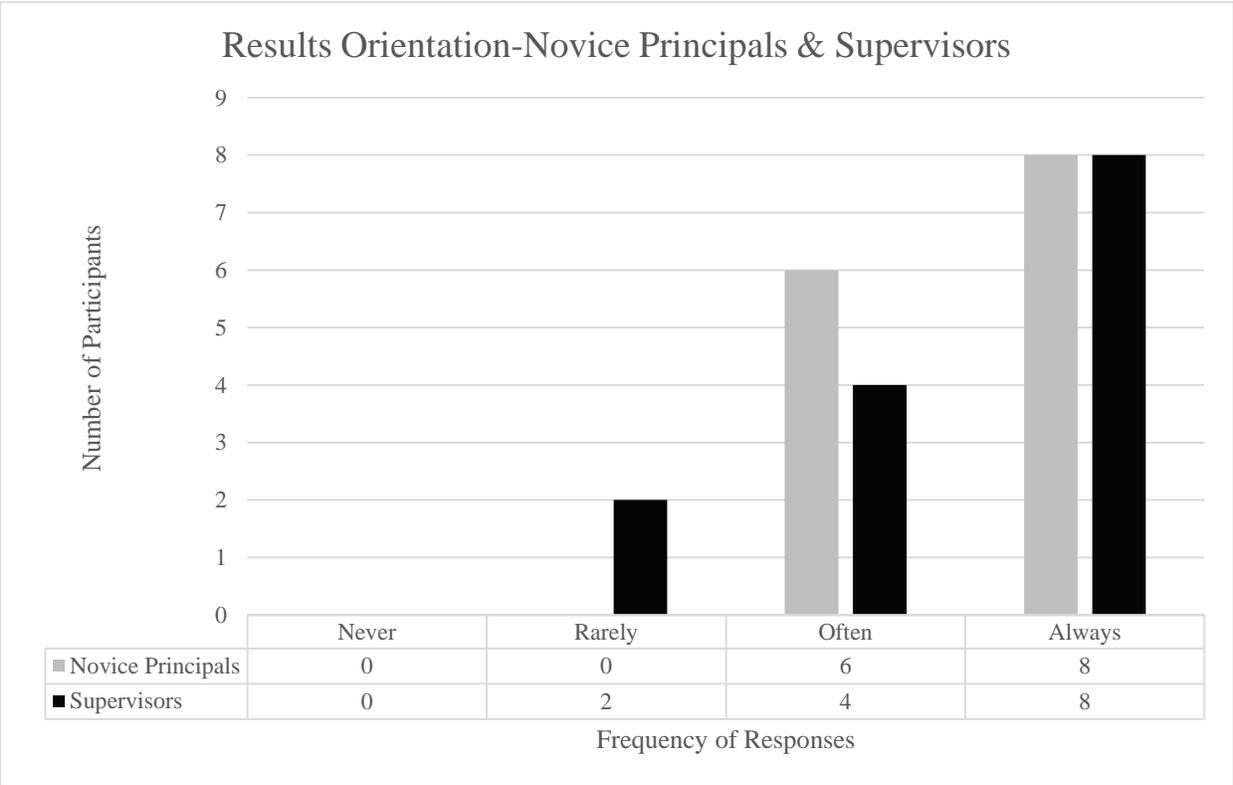
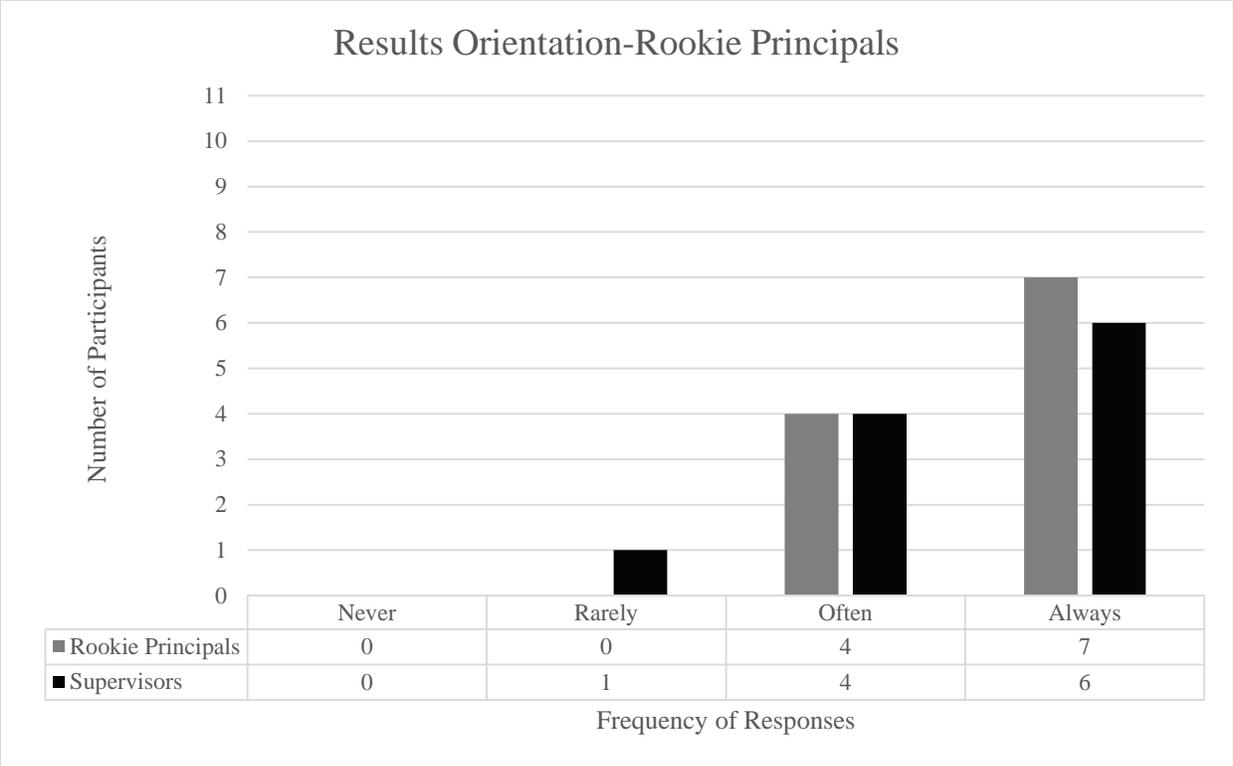


Figure 34. Results orientation competency assessment ratings by principals and supervisors.

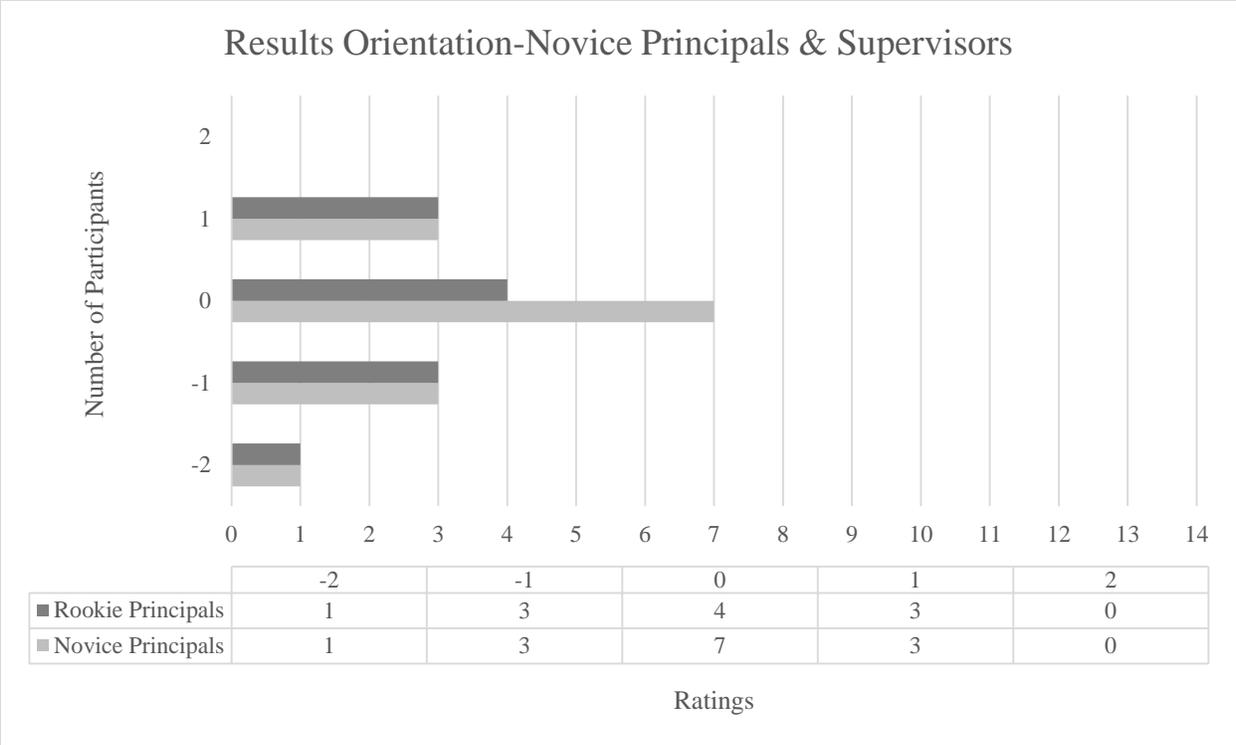


Figure 35. Results orientation competency discrepancy by experience levels.

Anecdotal note. As a result of several absences of a staff member, the rookie principal was faced with the need to solicit assistance of the colleagues to maintain the continuity of student learning. The rookie principal shared her concern of how to maintain confidentiality yet appeal to the colleagues' sensitive emotions to work together as a team. The principal verbalized the scenario regarding the meeting with the colleagues to ensure that most appropriate words were selected for the stressful situation.

Interview. The rookie principal shared that it is difficult to know when "enough is enough." Two grade levels had requested to redesign their resource classes in a contiguous schedule to increase planning and homeroom instructional time. The teams meet at the end of the quarter to review their plan. The principal reflected that she understood the importance to be sensitive to their new ideas because she had asked the staff to take a risk, they did, and it didn't work. The principal recognized that by hastily making the change it may have caused them to be less willing to try another strategy in the future.

Surveys. As evident in the Rookie and Novice graphs in Figure 36, 56% (n=14) of the principals indicated that that they *Always* perform at a proficient level in the area of sensitivity. Of the 25 principals, 44% (n=11) of all principals rated themselves at the *Often* level. The discrepancy graph in Figure 37 depicts that 60% that (n=15) of the principals rated themselves at the same level as their supervisors. Twenty-eight percent (n=7) of the supervisors' ratings were one level lower than the principals' self-ratings. Four percent (n=1) of the supervisors' ratings were two levels lower than the principals rated themselves. The remaining 8% (n=2) of the supervisors' ratings were one level higher than the principals rated themselves.

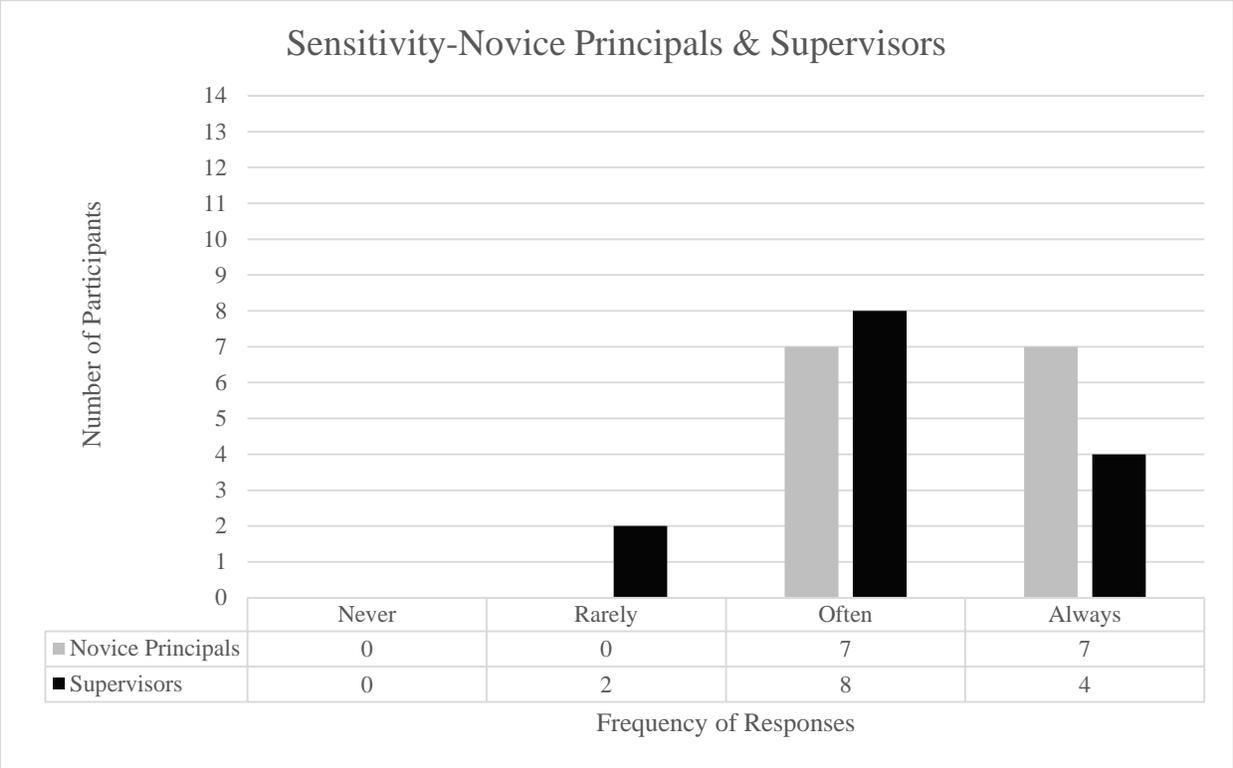
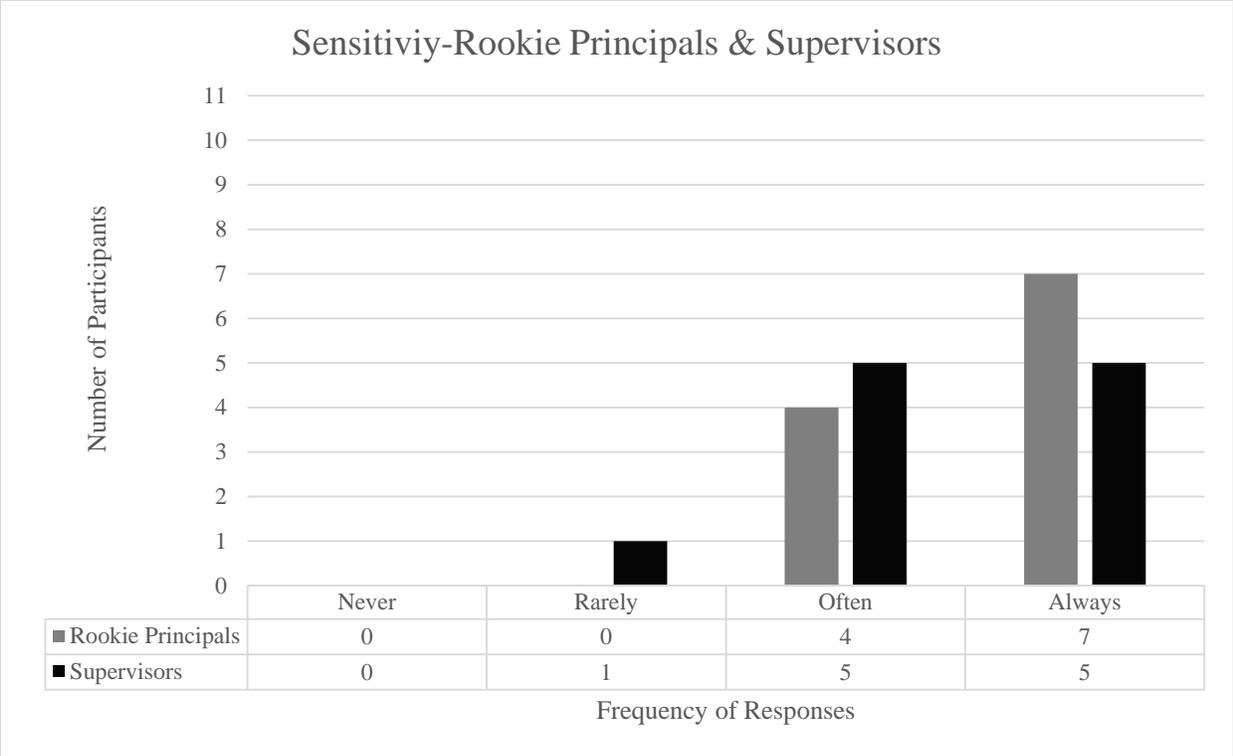


Figure 36. Sensitivity competency assessment ratings by principals and supervisors.

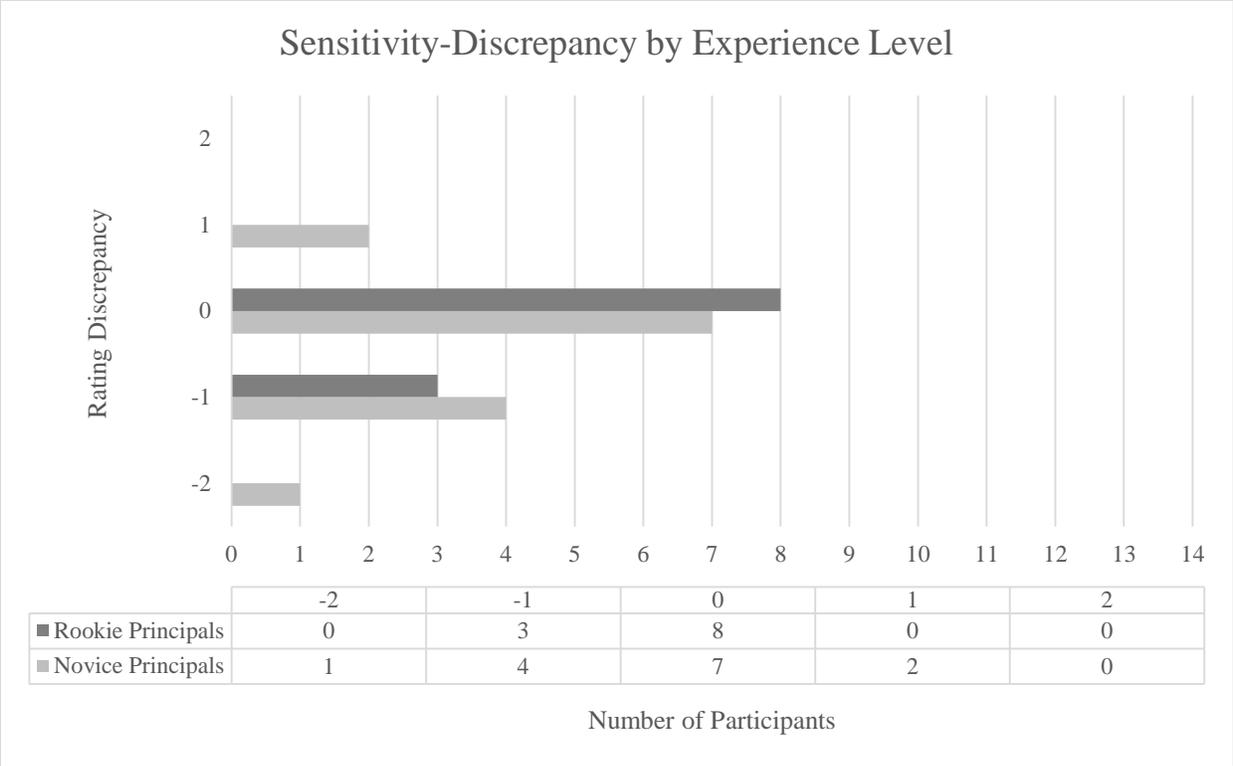


Figure 37. Sensitivity competency assessment discrepancy by experience levels.

Systems Thinking

In *Preferred Futuring*, Lippitt (1998) presented the following story to demonstrate how some individuals are not systems thinkers.

...There is a couple who are sitting in one end of a rowboat, both are very calm and enjoying the scenery. In the other end of the boat, another couple is furiously bailing water that is pouring in from a hole in the bottom of the boat. One member of the calm couple says to the other, "Aren't you glad that hole is in their end of the boat?" (p.6).

The essence of systems thinking lies in a shift of mind: seeing interrelationships, rather than linear cause-effect chains (Senge, Kleiner, Roberts, Ross, & Smith, 1994). It is based on the awareness of the whole, part, and all of the interactions between the two (Asayesh, 1993).

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon they understand the interrelationship of the school and the district to advance the achievement of their schools. Additionally, a description of the survey results follows.

Anecdotal note. Walking into one rookie principal's school, a visitor will be sure to find one special community volunteer every day. The community member realizes his role is important to the children and staff, so the volunteer notifies the principal if he is sick and unable to fulfill his duties. Additionally, the principal proudly proclaims her increase in parental support and involvement, although she recognized that it has not come easily. The principal and the leadership team have coordinated several activities to encourage families to visit the school. The rookie principal recognized that the community partners are assisting helping in a much needed capacity each day, they are also communicating the general public about the accomplishments within the school.

Interview. With the help of the parent organization, the rookie principal initiated the support of the students, staff, and community to build a positive culture. Six months after the partnership, the principal stated that she has had more compliments from the community regarding student behavior when visitors enter the building. The principal reflected that the change has occurred as a result of all of the stakeholders being a part of the solution.

Surveys. As evident in the Rookie and Novice graphs in Figure 38, 40% (n=10) of the principals indicated that they *Always* perform at a proficient level in the area of systems thinking. Of the 25 principals, 60% (n=15) of all principals rated themselves at the *Often* level. The discrepancy graph in Figure 39 depicts that 52% (n=13) of the principals rated themselves at the same level as their supervisors. Thirty-two percent (n=8) of the supervisors' ratings were one level lower than the principals' self-ratings. The remaining 16% (n=4) of the supervisors' ratings were one level higher than the principals rated themselves.

Technology

Currently, principals are faced with managing technology and empowering students and staffs with technological tools unlike their predecessors (Lortie, 2009). Principals are not required to be the technology experts, but to lead their schools they must remain informed (Gosmire & Grady, 2007).

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon they utilize the technology to improve learning. Additionally, a description of the survey results follows.

Anecdotal note. The principal shared a database of student EOG scores, benchmark scores, attendance, behavior, and previous retentions that she had created including all of the students in the school. She used this database as she conferenced with teachers. The principal

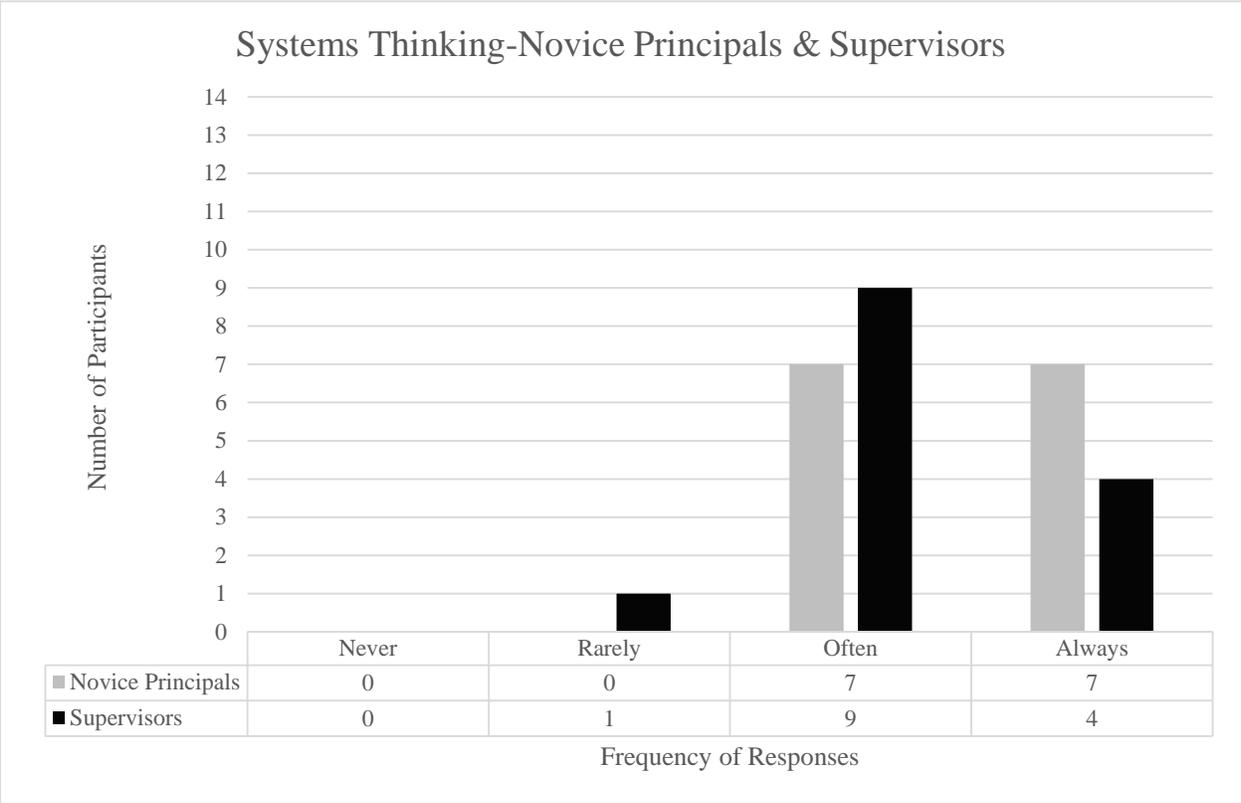
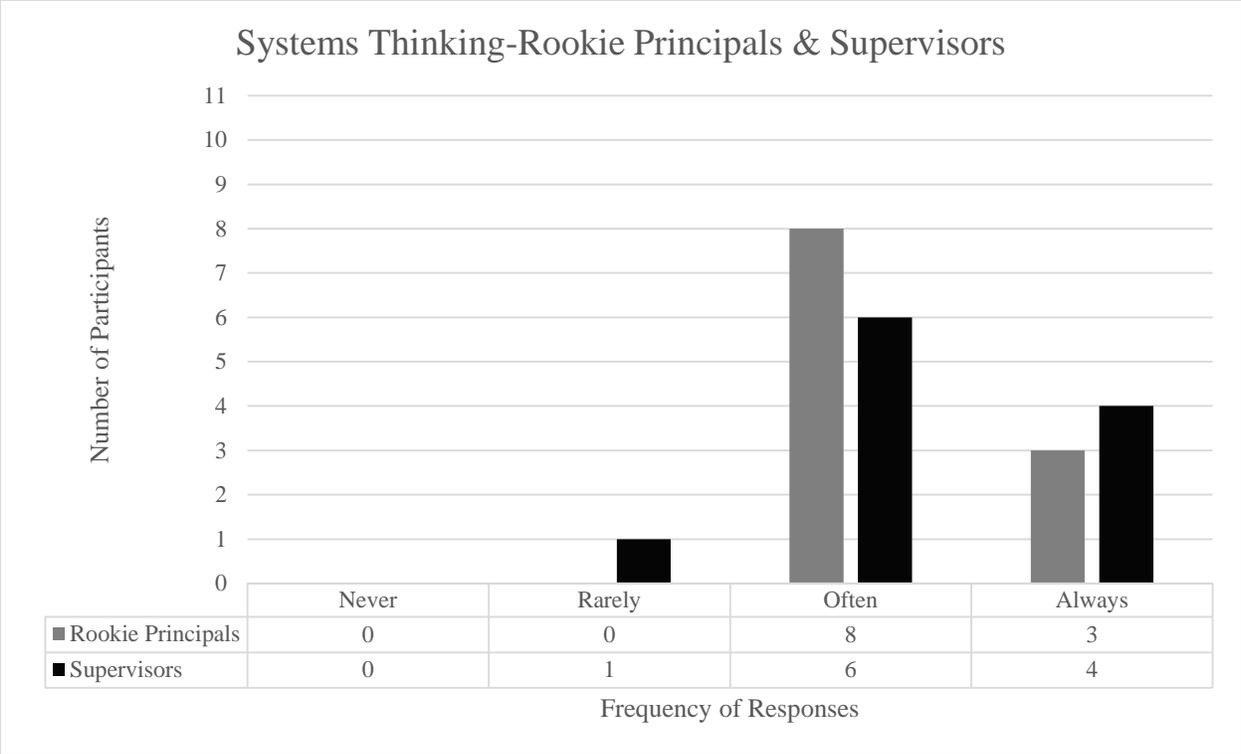


Figure 38. Systems thinking competency assessment ratings by principals and supervisors.

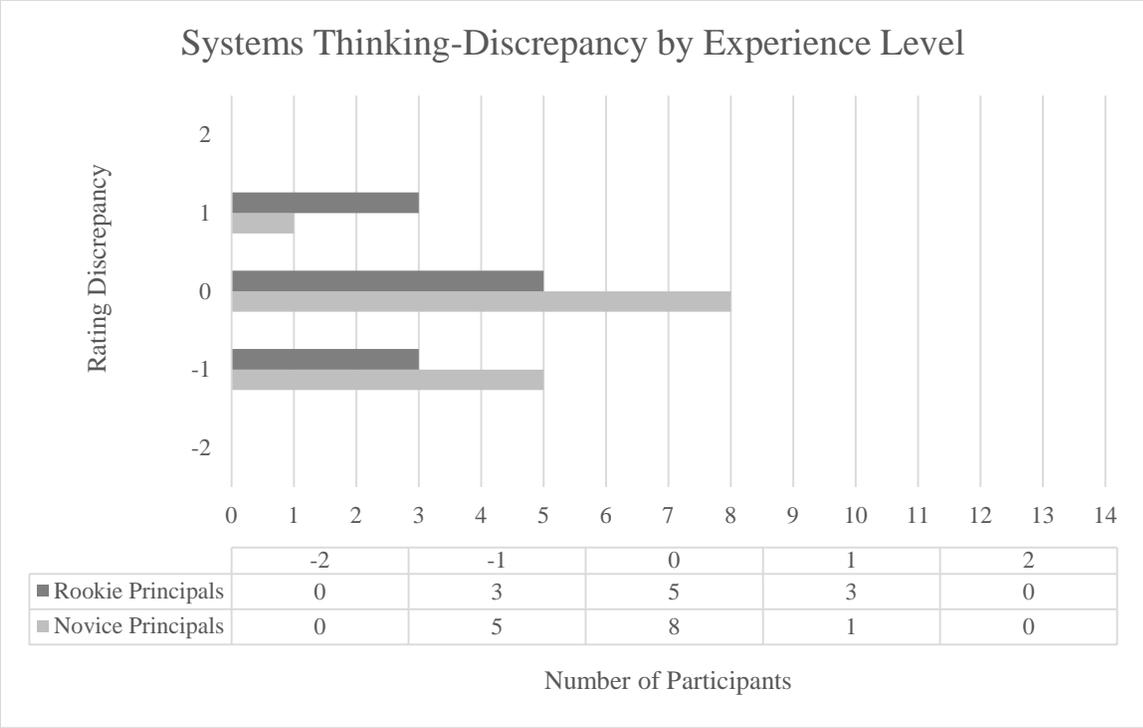


Figure 39. Systems thinking competency assessment discrepancy by experience levels.

reflected that although she learned a great deal about the students, the teachers are the ones who are closest to the instruction. She noted that by the teachers creating the database in the future, they will take ownership and recognize how valuable the tool is when conferencing with students, parents, and administration.

Interview. A rookie principal shared that technology must begin with the availability of the equipment. In an effort to provide support, the principal has designed a schedule in which district personnel provide professional development regarding how to use the technology and determine which is best for instruction. Additionally, the principal shared that leading by example through presentations and communication is one way technology is encouraged at her school.

Surveys. As evident in the Rookie and Novice graphs in Figure 40, 28% (n=7) of the principals indicated that they *Always* perform at a proficient level in the area of technology. Of the 25 principals, 68% (n=17) of all principals rated themselves at the *Often* level. One rookie principal selected *Rarely* as the level of proficiency. The discrepancy graph in Figure 41 depicts that 44% (n=11) of the principals rated themselves at the same level as their supervisors. Twelve percent (n=3) of the supervisors' ratings were one level lower than the principals' self-ratings. Four percent (n=1) of the supervisors' ratings were two levels lower than the principals rated themselves. The remaining 40% (n=10) of the supervisors' ratings were one level higher than the principals rated themselves.

Time Management

According to Marshall (2008), "Principals can easily find their time eaten up by things that are urgent, but not important" (p. 17). Spending too much time on the wrong things and not enough on the right things may seem straightforward, but principals often have difficulty

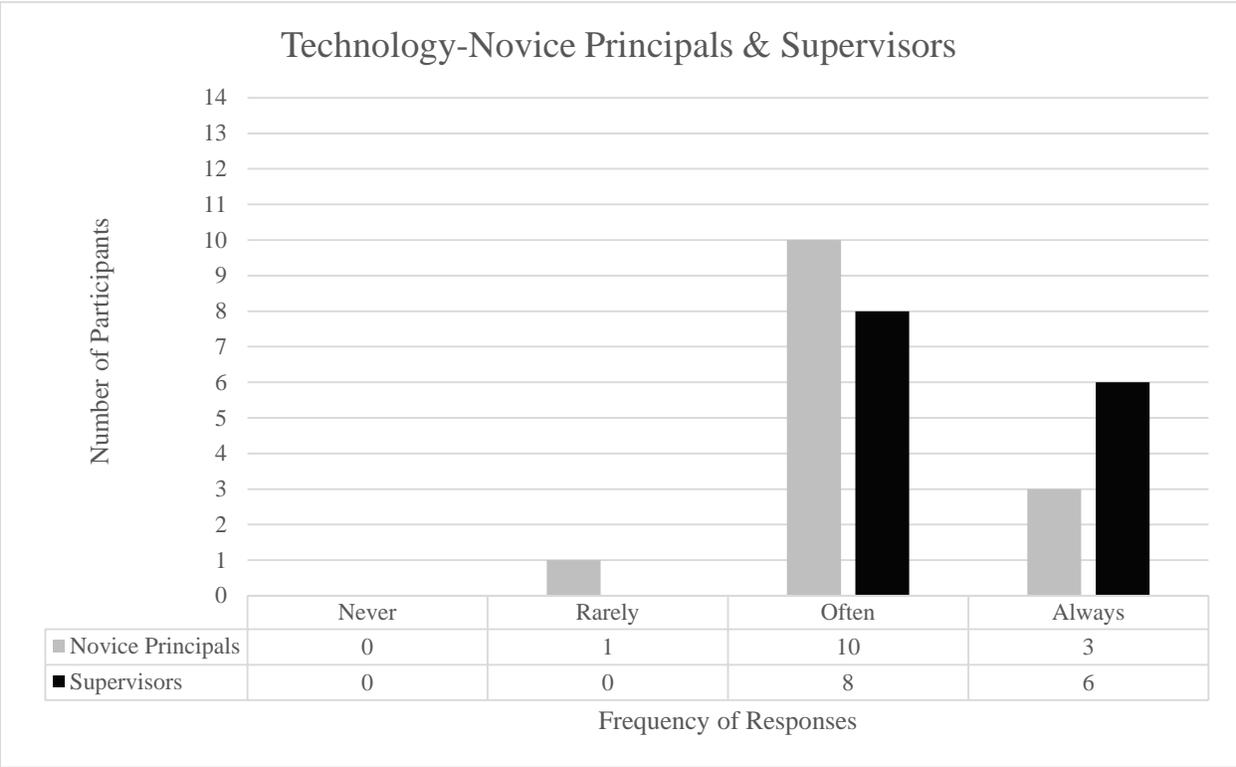
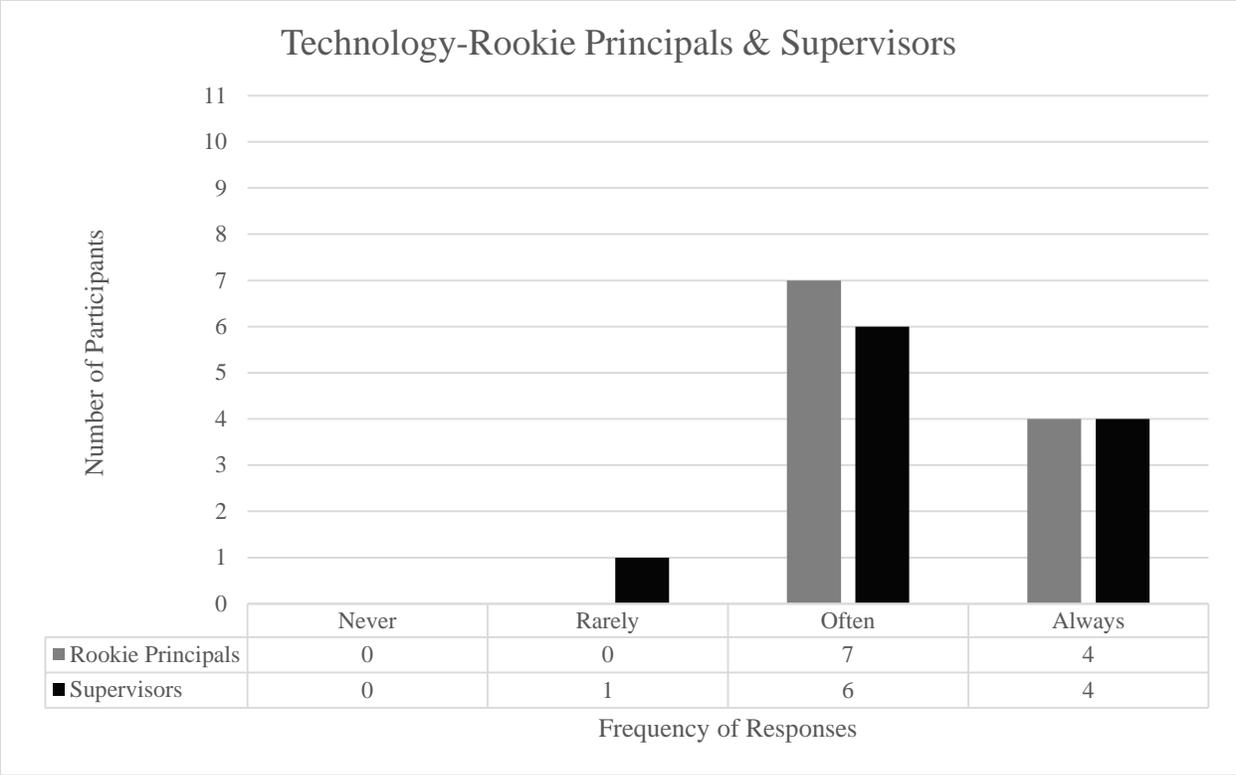


Figure 40. Technology competency assessment ratings by principals and supervisors.

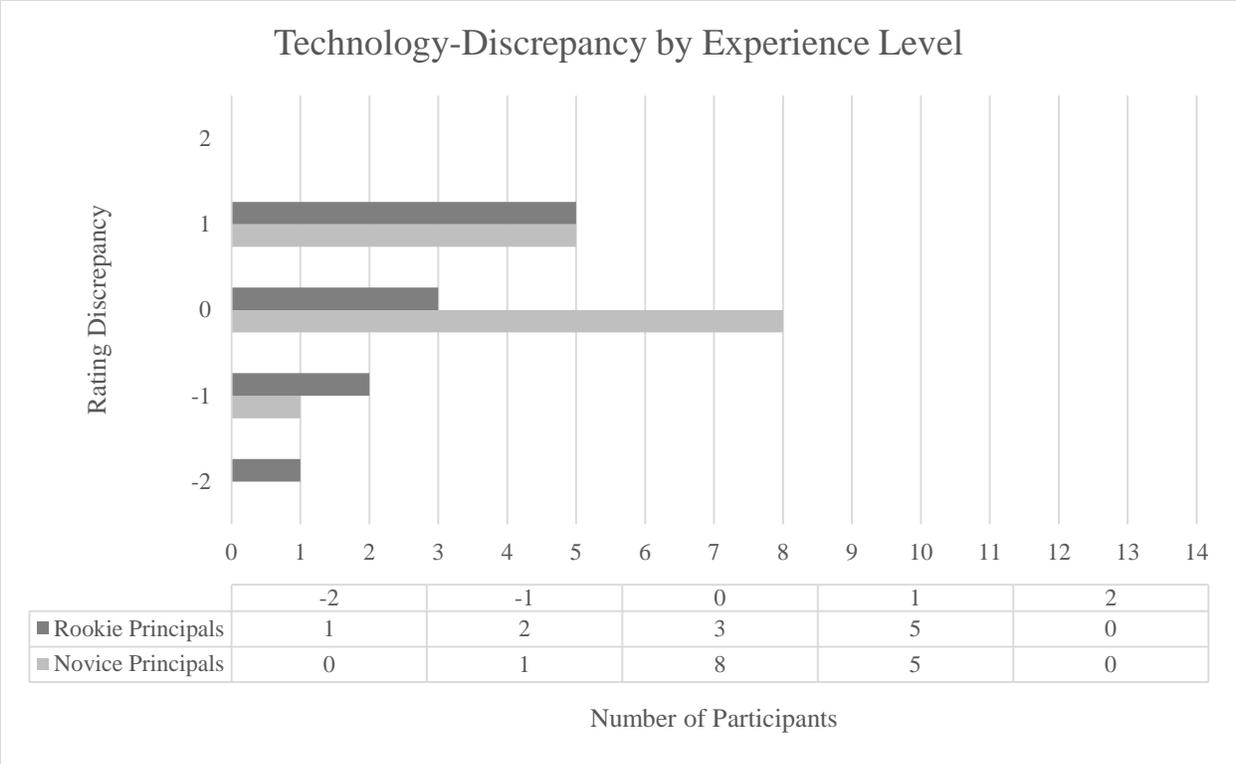


Figure 41. Technology competency assessment discrepancy by experience levels.

determining what to delegate and what to do themselves (Marshall, 2008). Covey (1989) said it best, “The key is not to prioritize what’s on your schedule, but to schedule your priorities” (p. 161).

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon they use time wisely. Additionally, a description of the survey results follows.

Anecdotal note. One rookie principal shared the previous year’s observation schedule and the current observation schedule. Although the principal provided rationale for the new format, there seemed to be an issue that remained. Both administrators scheduled observations at the same time during the day, leaving no administrator available to handle operational issues or concerns. Therefore, the rookie principal developed a calendar that would align each other’s observations and post conferences. This plan would also inform office staff regarding which administrator to contact.

Interview. During the rookie principal’s first year, she and staff members were concerned that the master schedule was fragmented throughout the day leaving no large blocks of instructional time. The principal reflected that although she had created a schedule with blocks of interruptions grouped together, the plan continued to need revisiting. Beginning with the grade levels with the most variables would be where she starts creating a new schedule for the upcoming year with hopes that fewer editions would be needed.

Surveys. As evident in the Rookie and Novice graphs in Figure 42, 32% (n=8) of the principals indicated that they *Always* perform at a proficient level in the area of time management. Of the 25 principals, 64% (n=16) of all principals rated themselves at the *Often* level. One novice principal selected *Rarely* as the level of proficiency. The discrepancy graph in Figure 43 depicts that 28% (n=7) of the principals rated themselves at the same level as their

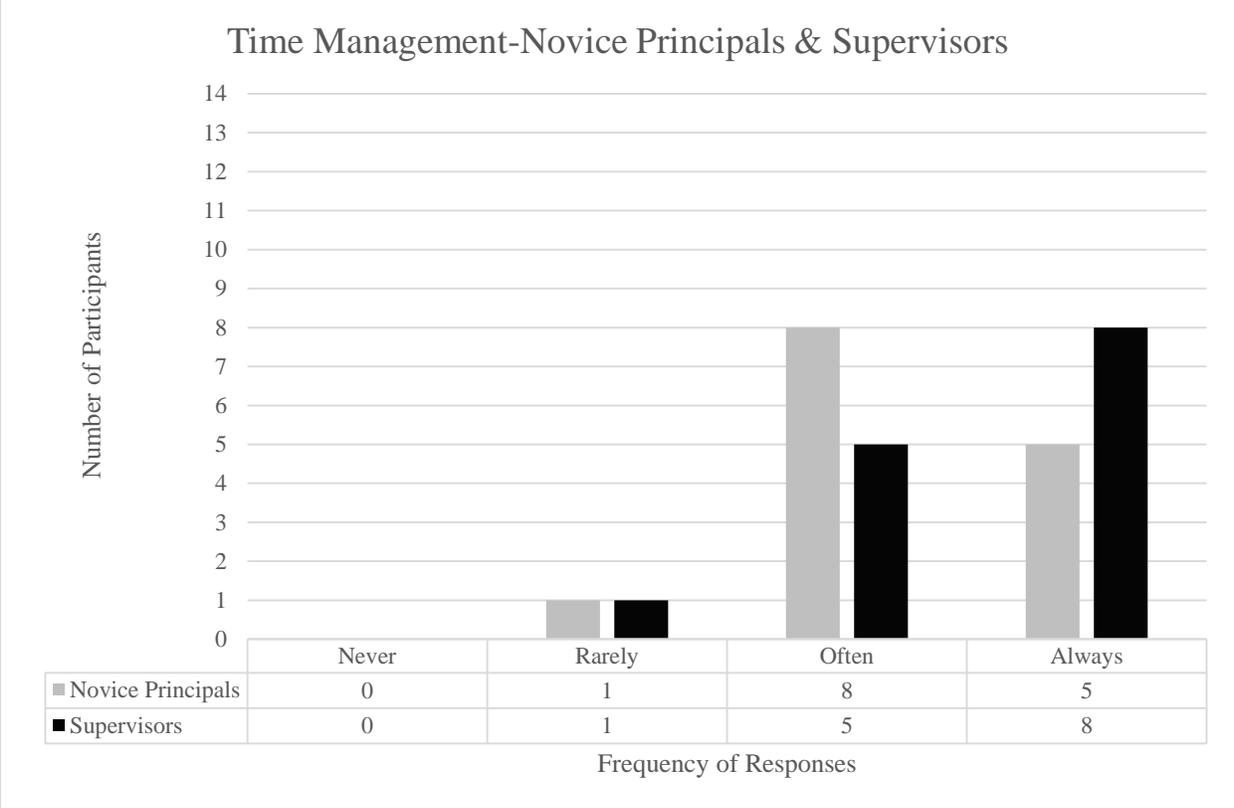
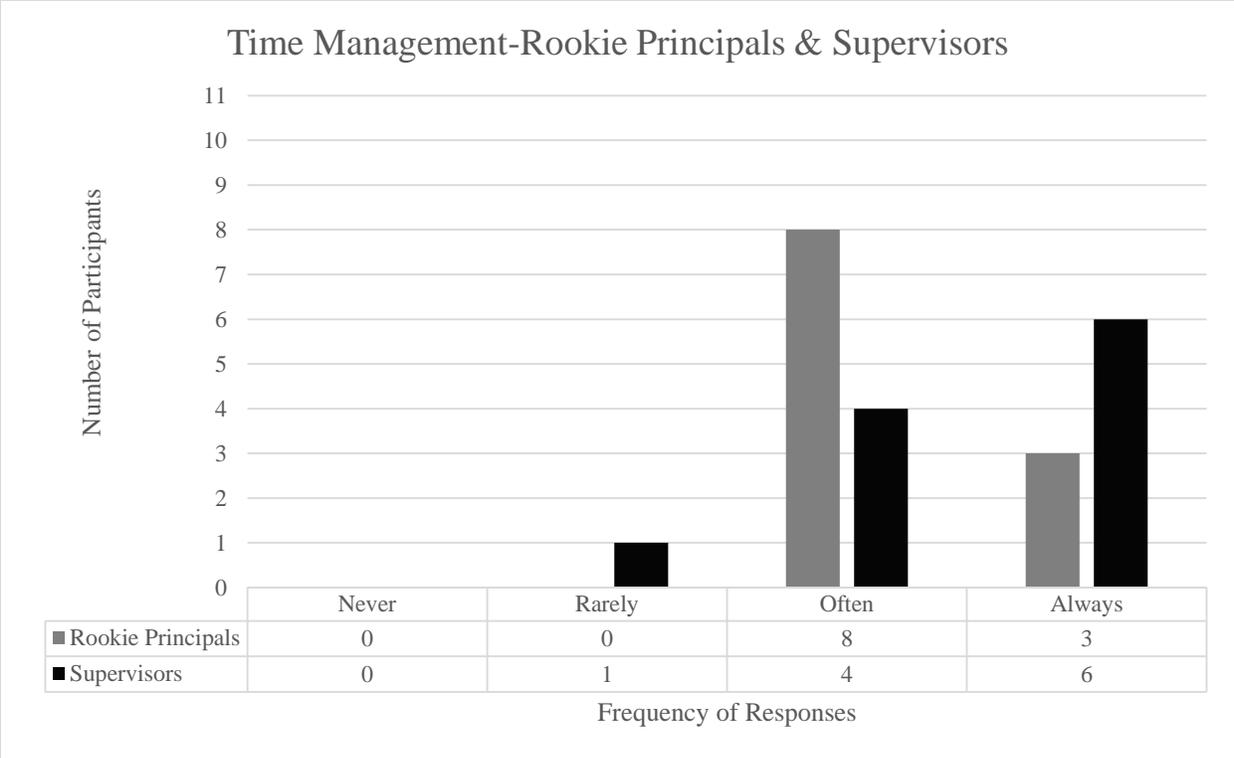


Figure 42. Time management competency assessment ratings by principals and supervisors.

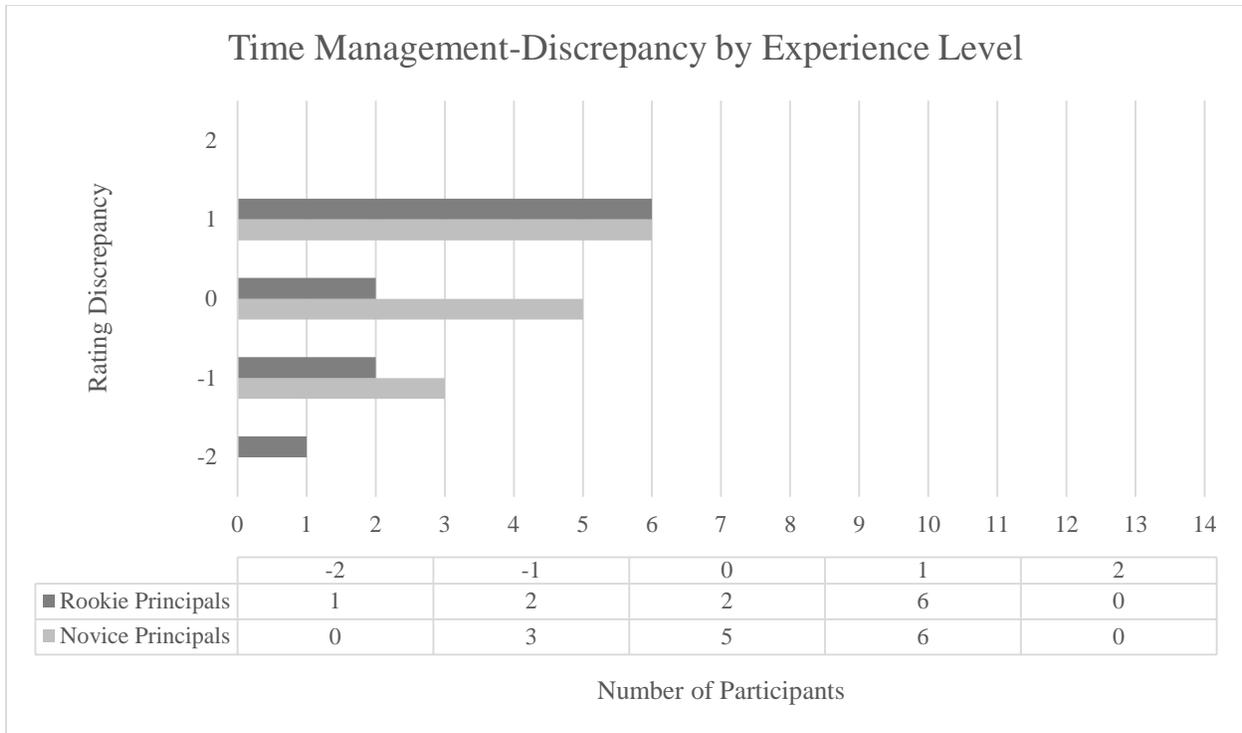


Figure 43. Time management competency assessment discrepancy by experience levels.

supervisors. Twenty percent (n=5) of the supervisors' ratings were one level lower than the principals' self-ratings. Four percent (n=1) of the supervisors' ratings were two levels lower than the principals rated themselves. The remaining 48% (n=12) of the supervisors' ratings were one level higher than the principals rated themselves.

Visionary

According to Bennis and Nanus (1985), a leader must have a clear picture of the future for the organization as evidenced through the vision. Manasse (1995) agreed with this statement as he recommended for principals to have two types of vision: one for the school and another for how the change process will proceed with others. Bennis (1984) suggested that building the capacity of others evokes members to work towards a commitment of the vision and mission of the organization.

Below are summaries of an anecdotal note and interview with two rookie principals who reflected upon how they capture stakeholder dreams of the vision of the school. Additionally, a description of the survey results follows.

Anecdotal note. During one visit with a rookie principal, a student discipline issue was addressed. Following the investigation, the principal reviewed the policy and the vision of the school with the student to focus on the expectations. Upon reflection, the principal stated that she follows this practice so stakeholders recognize that policy must be followed, but a vision that can be repeated is easier to remember than the large number of policies.

Interview. The rookie principal shared that her primary focus the first year was building the culture of the school and it is now time that the school needs to revisit the current vision. The principal was candid when she described how her understanding of the vision has evolved and now recognizes that the document can be used to make decisions. The principal was

confident that the staff could probably develop a vision and mission without guidance because they now know what to accomplish and how.

Surveys. As evident in the Rookie and Novice graphs in Figure 44, 56% (n=14) of the principals indicated that they *Always* perform at a proficient level in the area of visionary. Of the 25 principals, 44% (n=11) of all principals rated themselves at the *Often* level. The discrepancy graph in Figure 45 depicts that 40% (n=10) of the principals rated themselves at the same level as their supervisors. Forty-eight percent (n=12) of the supervisors' ratings were one level lower than the principals' self-ratings. Four percent (n=1) of the supervisors' ratings were two levels lower than the principals rated themselves. The remaining 8% (n=2) of the supervisors' ratings were one level higher than the principals rated themselves.

Overall Competency Findings

Based on the overall competency assessment data, 55% (n=6) of the 11 rookie principals were 80% aligned regarding their competency self-assessments compared to their supervisors' ratings and 57% (n=8) of the 14 novice principals were 80% aligned regarding their competency self-assessments to their supervisors' ratings (see Appendices U & V).

As a subgroup, rookie principals perceived themselves more confident than their supervisors in the following competencies: Conflict Management, Customer Focus, Organizational Ability, and Visionary (see Appendices S & T). Additionally, rookie principals perceived themselves less confident than their supervisors in the following competencies: Environmental Awareness, Global Perspective, and Responsiveness (see Appendices S & T).

As a subgroup, novice principals perceived themselves more confident than their supervisors in the following competencies: Creative Thinking, Customer Focus, Emotional Intelligence, and Visionary. In addition, novice principals perceived themselves less confident

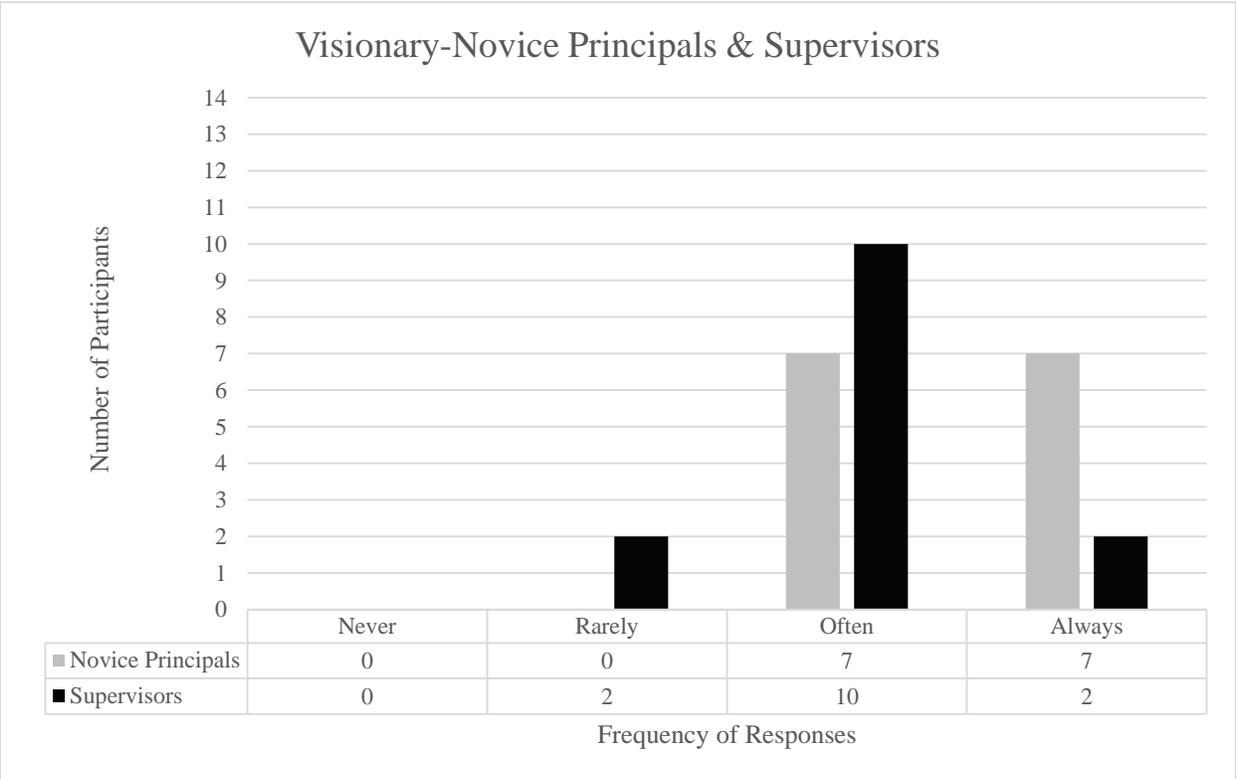
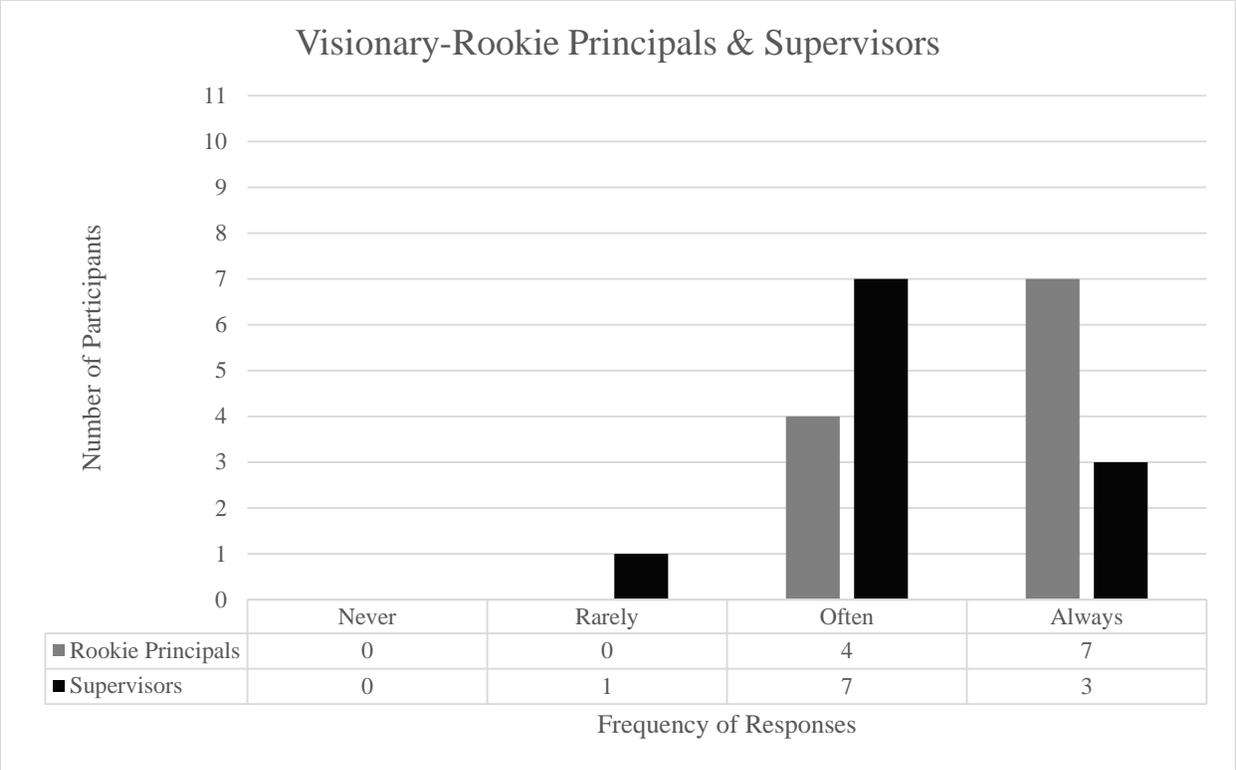


Figure 44. Visionary competency assessment ratings by principals and supervisors.

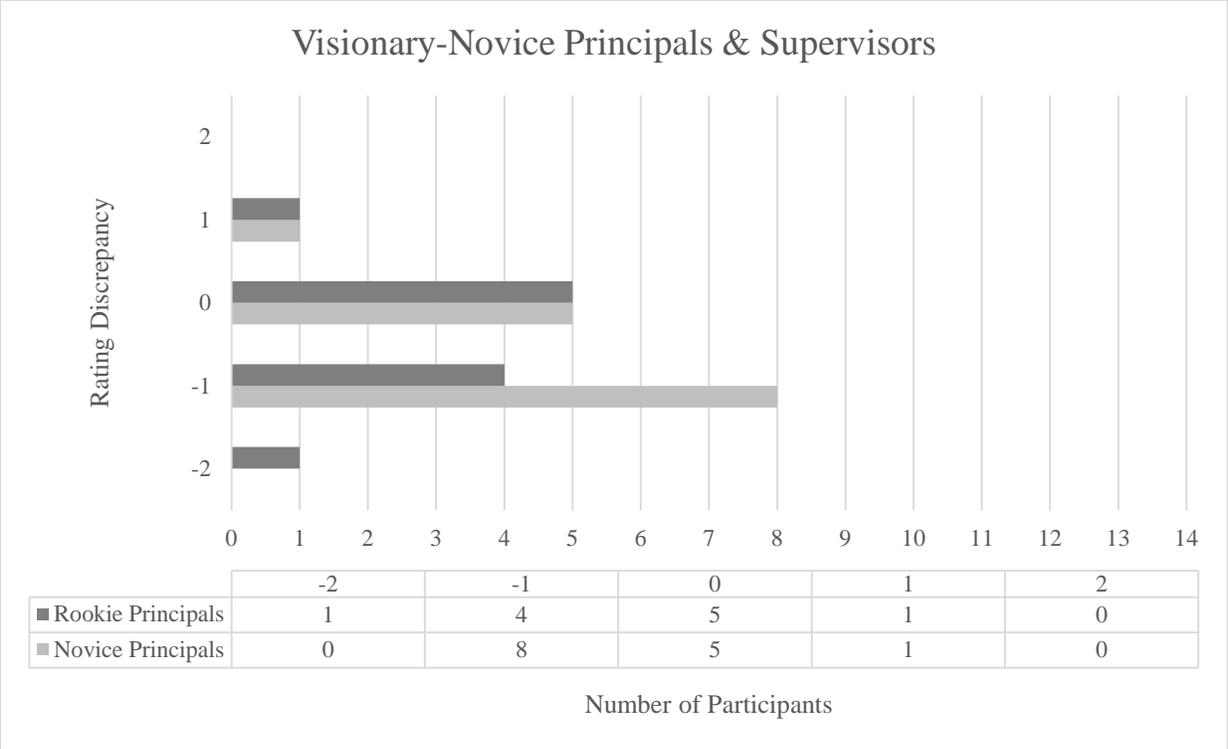


Figure 45. Visionary competency assessment discrepancy by experience levels.

than their supervisors in the following competencies: Communication, Environmental Awareness, Global Perspective, and Judgment (see Appendices S & T). All principals and their respective supervisors were aligned in their overall rating in Personal Ethics and Value (see Appendices S & T).

Study question two involves the development of a comprehensive design of a Principal Induction Program for Craven County Schools. Using the cyclic continuous improvement model, the researcher identified the problem, researched literature and collected data to develop a principal induction program.

Table 15 depicts the alignment of the competencies and five of the seven standards located in the North Carolina School Executive Instrument to be used in the Craven County Schools' Principal Induction Program. The five standards identified are: (a) Strategic, (b) Instructional, (c) Micro-political, (d) Human Resources, and (e) Cultural. Charlotte-Mecklenburg had identified the five standards depicted in Table 8 as the super standards.

As a result of the researcher following the method used by Charlotte-Mecklenburg Schools for collecting feedback from stakeholders, the researcher collected data from all principals and principal supervisors to determine the most critical competencies for Craven County Schools (C. Campbell, personal communication, August 4, 2014). For Craven County Schools' Principal Induction Program, there are sixteen competencies aligned to the five standards. The remaining five competencies are aligned to the Managerial and External Development Standards. Twelve of the competencies are embedded in more than one of the standards.

Table 16 depicts the positive and negative discrepancies between the supervisors' ratings and the principals' self-ratings of the competencies aligned to the five super standards. The

Table 15

Craven County’s Model for Leadership Competencies Aligned to the Super Standards from the North Carolina School Executive

Instrument

Competencies	Strategic	Instructional	Micro-political	Human Resources	Cultural
Change Management	●				
Communication			●	●	
Conflict Management			●		
Creative Thinking	●				
Customer Focus	●		●	●	●
Delegation	●				●
Dialogue/Inquiry			●	●	
Emotional Intelligence	●		●	●	●
Judgment	●			●	
Personal Ethics			●	●	●
Responsibility for Performance	●	●			
Responsiveness	●			●	
Results Orientation	●	●			
Sensitivity	●		●	●	●
Technology	●	●			
Visionary	●				

Note. Managerial and External Development Standards are not represented in the chart. If principals demonstrate competency in the Super Standards, competency in these areas is assumed. Adapted from “Recent Leaders Standards, From Six Principal Pipeline Districts: 2013,” by The Wallace Foundation, 2013, <http://www.wallacefoundation.org/knowledge-center/school-leadership/principal-training/Documents/Recent-Leader-Standards.pdf>, p.5. Copyright 2013 by The Wallace Foundatio

Table 16

Discrepancies Identified in the Super Standards' Competencies

Competency	-2	-1	0	1	2
Change Management		7	15	3	
Communication		5	13	7	
Conflict Management	2	8	11	4	
Creative Thinking		9	12	4	
Customer Focus		7	17	1	
Delegation		3	16	6	
Dialogue/Inquiry		8	13	3	
Emotional Intelligence	1	10	11	3	
Judgment	1	6	10	7	1
Personal Ethics		4	17	4	
Responsibility for Performance	2	1	14	8	
Responsiveness	1	5	10	8	1
Results Orientation	2	6	11	6	
Sensitivity	1	7	15	2	
Technology	1	3	13	8	
Visionary	1	12	10	2	

Note. Twenty-five principals completed self-assessments and four supervisors rated their respective principals using a 4 point Likert scale. The ratings were: Never, Rarely, Often, or Always. 0 indicates no discrepancy between the supervisor's rating and the principal's self-rating; -1 indicates supervisor's rating one level lower than the principal's self-rating; -2 indicates supervisor's rating two levels lower than the principal's self-rating; 1 indicates supervisor's rating one level higher than the principal's self-rating; and 2 indicates supervisor's rating two levels higher than the principal's self-rating.

super standards are identified as Strategic, Instructional, Micro-Political, Human Resource, and Cultural. External and managerial standards are not a part of the super standards due to their focus in principal preparation programs. More specific data for all competencies and subgroups are in Appendices Q, R, S, & T).

Based on the competency assessment, a higher number of rookie principals perceived themselves as *Always* being proficient compared to their supervisors' perceptions in 3 of the 21 competencies identified in the Strategic Leadership Standard. They are: Customer Focus, Responsiveness and Visionary. Whereas, a higher number of novice principals perceived themselves as *Always* being proficient compared to their supervisors' perceptions in 5 of the 21 competencies identified in the Strategic Leadership Standard. They are: Creative Thinking, Customer Focus, Emotional Intelligence Judgment, and Visionary (see Appendices S & T).

Summary

This chapter presented a detailed analysis of the quantitative and qualitative data collected to answer two study questions regarding the components needed to develop a comprehensive principal induction program for Craven County Schools. Initially, this study began with an intensive review of the literature in the area of principal leadership. Based on the information gained, a continuous improvement cycle was created as a framework to develop a principal induction program. Once the research was completed, analysis of the data collection sources began. This chapter presented the findings of the data collected and was organized by the 21 competencies including the anecdotal note summaries, interview summaries, and survey results with their aligned competencies. In addition, graphs depict each of the assessment survey results. Tables with brief descriptions demonstrated the Mayer-Salovey-Caruso Emotional Intelligence Test (MSCEIT) results. The structure of the results found in this chapter support the

presentation of the conclusion, implications, recommendations for practice an future research in
Chapter 5.

CHAPTER FIVE: SUMMARY

Introduction

This chapter provides a summary of the study based on the results presented in the previous chapter. During the data analysis, conceptually conclusions began to emerge. Implications, limitations, and recommendations are provided for future consideration by education leaders and researchers.

Background

The purpose of this study was to develop a principal induction program for Craven County Schools. The researcher's interest in the development of such a program was prompted when superintendent, Dr. Lane Mills shared that Craven County Schools had a high number of principals with little experience (see Appendix A). According to the NC Report Card, Craven County Schools' principal turnover rate increased from 4% in 2011 to 20% to 2013 (Atkinson & Cobey, 2014). Of the 25 principals, 44% (n=11) are identified as rookies with 0-3 years of experience and 56% (n=14) as novices with 4-10 years of experience. Mitgang and Gill (2012) stated that developing a principal induction program is critical because leadership is "second only to instruction among school-related factors that affect student learning" (p. 3).

An examination of the literature indicates there is a shortage of highly qualified candidates for the principalship (Lovely, 2004; Medina, 2003). The shortage of qualified applicants seems to be attributed to how principals operate schools (Jones, 2001). However, according to Farlow (2012), "Contrary to many opinions, leaders do not just spring up from a genetically determined mold. They are developed over time with practice" (p. 5). Farlow (2012) also stated that anyone with the appropriate training could be a part of the elite society of naturally gifted leaders. The researcher explored the history of the principalship, leadership

theories, styles, competencies, components in exemplary induction programs to move a principal from good to great.

Methodology

Program development was selected as the best methodology to collect data for the development of the Craven County Principal Induction Program. The design initially began with an exploratory stance, as well as an understanding of the problem. This exploration was a qualitative study that includes description, interpretation, understanding, and identification of recurrent patterns (Merriam, 1998). The program development design was selected to obtain robust, detailed and descriptive data that could be integrated into designing an induction program that developed principals from good to great tailored for Craven County Schools.

A framework for program development helps to improve program effectiveness, facilitate modification and adjustment, ensure monitoring and evaluation, as well as promote program continuity over time (Mendels, 2012). In an effort to design a comprehensive continuous improvement model, several models were researched (W. K. Kellogg Foundation, 1998; Deming, 2000; Tague, 2005). Additional research was conducted to design a model that met the specific needs for Craven County. The following steps were determined to be aligned to Mendels (2012) recommendation: Identify, Research, Design, Implement, Analyze, and Refine.

Data was collected based on the two study questions that directed this study:

1. Using the continuous improvement model, what is the comprehensive design of a Principal Induction Program to prepare school leaders for effective leadership in Craven County?

2. Based on the literature review, anecdotal notes, surveys, emotional intelligence test, and interviews, what components are deemed essential to be a highly qualified principal in Craven County?

Conclusions

Conclusions derived from this study were based on the data analyzed from principals and supervisors in Craven County Schools. The findings from this study provided the researcher with the components needed to develop the Craven County's Principal Induction Program. Multiple data sources were used to collect quantitative and qualitative data. The following conclusions can be drawn from this study:

Conclusion 1

The principalship requires a multidimensional leader. Based on the literature review and the data collected, today's principals must be the leaders of learning who can develop a team consisting of an entire school to deliver effective instruction while efficiently and effectively managing the operational issues within a school (Cuban, 2010; Leithwood et al., 2004; Usden et al., 2000). According to the State Board of Education and Department of Public Instruction (2009) the expectation is that principals are to respond to each stakeholder in a timely, professional manner in all 7 of the standards outlined in the North Carolina School Executive Instrument (see Appendix G).

It was evident that all 21 competencies were demonstrated consistently by the rookie principals based on the interview data. Also the rookie principals exemplified all 21 competencies during the visits with the researcher from the anecdotal notes. The notes from the interviews and anecdotal records were reported by the overall competency, but there were evidences that depicted several competencies within one anecdotal note.

Additionally, the literature review suggests that there are three practices associated with successful leaders. Setting direction with a shared understanding of the organization and vision, as well as developing the people within the organization. The third practice, redesigning the organization, supports the understanding of the organization and vision. The redesigning of the organization include: (a) strengthening school culture, (b) modifying organizational structures, and (c) building collaborative process among the staff (Leithwood et al., 2004).

This study also suggests that Strategic Leadership is critical to principals. Twelve out of the 21 competencies identified are aligned to the Strategic Leadership standard. Based on the competency assessments, 2 of the competencies from the Strategic Leadership Standard identified as needs for rookie and novice principals are: Visionary and Emotional Intelligence. Twelve principals perceived themselves at a higher level than their supervisors' ratings in the Visionary competency (see Figure 24). Ten principals perceived themselves at a higher level than their supervisors' ratings in the Emotional Intelligence competency (see Figure 12).

Visionary leadership is found in the Strategic Leadership standard. However, the implications of not being visionary transcend to the other 20 competencies and 6 standards. Starratt (1995) stated that vision is key: "Vision is a dynamic source of leadership that imbues other aspects of leadership with a special energy and significance" (p. 13).

Emotional Intelligence is found in Strategic Leadership, Micro-political Leadership, Human Resources Leadership, and Cultural Leadership. Leadership is an emotional business particularly due to the local, state, and national levels of accountability (Hyatt, Hyatt, & Hyatt, 2007). Fullan (2002) stated that principals must be relationship builders with many stakeholders. Fullan (2002) also stated "In complex times, emotional intelligence is a must" (p. 7).

Conclusion 2

Principals of various experience levels perceive themselves differently than others.

Based on the literature review, self-ratings tend to be higher than supervisory ratings (Facteau & DeVries, 2001). Although a self-assessment can be prone to inaccurate evaluations, Roberts (2003) suggests that the process directed towards achieving consensus over time is beneficial.

The data from the competency assessment suggested that all principals perceive themselves at a higher level of proficiency as compared to their supervisors in at least one of the 21 competencies. Also, all principals perceived themselves at a lower level of proficiency as compared to their supervisors in at least one of the 21 competencies. However, neither principal subgroup perceived themselves more aligned to the competencies than their respective supervisors.

Additionally, the competency assessment data supported that although the principals and their respective supervisors had discrepancies, their described behaviors from the interviews and anecdotal notes, were aligned to the descriptions of the competencies defined in the NC School Executive Instrument. While there are evidences of variations in the rating levels in the competency assessments, the interviews and anecdotal notes were aligned with the rookie principals' responses to their competency self-assessments.

Conclusion 3

Principal support should include a multifaceted approach through individualized and cohort based activities. Based on the literature review, rookie principals cite individualized coaching as the most valuable form of on-the-job support tailored to the individual leader's needs (NewSchools Venture Fund, 2008). Coaching sessions can vary from unstructured (impromptu

discussions) to highly structured (protocol-driven). Additionally, support may be frequent, structured, and/or focused (NewSchools Venture Fund, 2008).

The literature review also suggests that principals who participate in cohorts promote collaboration, networking, and teamwork. Furthermore, cohorts reduce principal isolation in a supportive, non-judgmental setting (NewSchools Venture Fund, 2008). Davis et al. (2005) stated that cohorts provide natural opportunities for rookie principals to share knowledge, reflect on practice, identify challenges and weaknesses and develop new skills and strategies.

According to the data from the competency assessments, the rookie principals' perceptions of their emotional intelligence on the self-assessment are more similar to their respective supervisors' ratings in comparison to the novice principals and their respective supervisor's ratings.

An analysis of the data indicate that the standard scale scores on the nationally normed and validated MSCEIT are within the normal range for each of the branches, areas and supplemental scales in all principal subgroups. However, the principals' self-assessments and their supervisors' ratings regarding emotional intelligence suggest that the data do not consistently correlate regarding individual principals. This data is evident in the individual MSCEIT scatter standard scores (see Appendices W & X).

Additionally, the MSCEIT data suggest that within the standard scale score branches, the rookie principals' ranges were more scattered between the Perceiving Emotions and Facilitating Emotions in comparison to the Understanding Emotions and Managing Emotions. For the novice principals, the MSCEIT data suggest that within the standard scale score branches, the novice principals' ranges were less scattered between the four branches: Perceiving Emotions, Facilitating Emotions, Understanding Emotions, and Managing Emotions.

Implications

Multiple data sources and the analysis of the data yielded significant conclusions from this study. Results of the study contribute to the body of knowledge future educational leaders need to know. In addition to the implications listed below for Craven County Schools and other school districts, program developers need to consider the 22 key components outlined in Dr. Kathy Spencer's research from her 2003 dissertation, *A Study of Formal Induction Programs in North Carolina for Public School Principals Identifying Key Components of North Carolina Principal Induction Program*.

Within Craven County Schools

Realizing that principals are responsible for student achievement, it is in Craven County's current and future interests to implement a coaching/mentoring principal induction program. It is not acceptable to hand over the keys to a building and expect the principal to be successful. Mitgang and Gill (2012) states "Leadership is second only to classroom instruction among school-related factors that affect student learning in school" (p. 3). Ultimately, as the highest-ranking educator at the school level, principals are responsible for the performance of every staff member and accountable for the performance of every student. Therefore the implications of the development of a successful principal induction program for Craven County Schools is not only making a difference directly to the individual in the program, but making a difference with every child in the district.

The development of the program needs to be focused on the individualized needs of the multidimensional leader who is held accountable for all 21 competencies. Realizing that the principals perceived themselves at a different level, further discussions to determine the rationale for the discrepancies and synthesis of the individual data will provide the coach/mentor insight to

design an individualized program. Additionally, the study results show that the program needs to include a cohort support system based on the similarities of some principal's data. Based on the data collected, priority should be placed on targeting the competencies aligned to the Strategic Leadership standard.

Outside Craven County Schools

School districts outside of Craven County can capitalize on the literature review, data sources, and results to develop a principal induction program to meet their leaders' needs. Designers need to consider their current level and the commitment level of those involved. Hernez-Broome and Hughes (2004) recommend that program developers recognize that experiences integrated with one another make the design and implementation of the program meaningful.

Limitations

This study used a small sample size of 25 principals and their supervisors from one local education agency in eastern North Carolina. As a result of the small sample size, the results should be implemented with caution. The sample was comprised of more elementary principals than middle and high principals due to the structural design of the school system. The selection of the participants was deliberate and although was useful for the purpose of this study, the results can only be generalized to this sample.

Two of the assessments (Competency and MSCEIT) used in this study were self-assessment type instruments. According to Bradberry and Greaves (2003), self-rating bias is a concern when participants are given self-assessments. Individuals have difficulty rating their behavior with accuracy. As a result of the limited knowledge of the skill assessed, individuals may over rate themselves, some even underestimate themselves. Self-reporting assessments can

be developed to minimize self-rating bias, but not eliminate it (Bradberry & Greaves, 2003). To minimize this limitation, a definition was provided with each competency skill.

An additional limitation is that although the principals volunteered to participate, they may not have had enough time to reflect and may have rushed through the assessments and interviews. The researcher recognized that principals have time constraints due to their busy schedules (Leithwood et al., 2004). Therefore to reduce their hurriedness, principals were provided approximate time constraints to complete the competency assessment surveys, MSCEIT, and interviews. To minimize the limitation, the researcher was allowed by the rookie principals to collect documentation regarding their everyday lives as a principal in anecdotal notes with little to no additional time allotted outside of their routine.

Another limitation that is important to note is in an effort to protect the privacy of the participants and the organizations they serve, anecdotal notes and interviews were reported in summary statements rather than direct quotes. The anecdotal notes and interviews produced compelling stories describing that the rookie principals recognized and exhibited the 21 competencies. However, the reader should be cautioned not to make generalizations about individual principals based on the findings of this study.

Recommendations for Practice

Based upon the analysis of data generated from the study questions, the following recommendations are made to strengthen Craven County Schools Principal Induction Program:

- 1. Design the principal induction program by settings goals and determining strategies and resources.* The literature reviews regarding how adults learn and when to coach/mentor need to be synthesized in an effort to determine the most appropriate avenue (individually, small group, or whole group) for developing specific competencies.

Based on the goals developed, design the measurable and attainable objectives for each of the determined levels (Deming, 2000; W. K. Kellogg Foundation, 1998).

2. *Present the findings to the board of education.* The proposed design of the Craven County Principal Induction Program components following the continuous improvement model as the framework should be shared (see Table 15).

3. *Replicate the data collection yearly with Craven County Schools' principals to individualize the needs of the principals.* The data collected need to be analyzed to refine the program according to the results as outlined in the Craven County's Continuous Improvement Model for Principal Induction Program (see Figure 2).

4. *Conduct an extended exploration of the characteristics and behaviors of the each of the principals included in this study.* The third year rookies and all of the novice principals need to be interviewed and then triangulate the data collected with the competency assessments. Additional data would provide a more comprehensive set of competencies for the cohort groups of principals.

5. *Replicate the study with the aspiring principal program.* The results of this study can benefit assistant principals. The data sources can be collected, analyzed and interpreted to provide professional development specifically for the current assistant principals regarding the competencies.

6. *Continue to seek a stable funding source to support the Principal Induction Program.*

Realizing that budget cuts have forced the district to be even more resourceful with funds, stability outside of state and federal resources would provide security to the principal induction program. The researcher can collaborate with the local grant writer to secure donors that recognize the importance of leadership.

7. *Employ constructive two-way feedback between principal and coach/mentor.* To identify the appropriate level of support, principals need the opportunity to discuss what is working for them and what is not working for them as they work toward transforming their schools.

Recommendations for Future Research

Based upon the findings of this study the following recommendations are made regarding further research to improve the program and address any issues that may have hampered the successful implementation:

1. *Investigate the performance level of the principal's instructional leadership.*

Realizing that a principal is charged as the instructional leader, a focus on the link between the principal's competency skills and increasing student performance. Effective instructional leaders are visiting classrooms, talking with students about academic pursuits, focusing on analysis of data, and making instruction the priority (Mitgang & Gill, 2012; Supovitz, 2000).

2. *Revisit Craven County's Principal Induction Program with individuals who continue as building level administrators in 5 years to determine effectiveness.* Recognizing that retention is a focal concern, determining the effectiveness of a principal induction program in retaining building level administrators is essential. This examination would allow the researcher to review the changes over time and determine if the same conclusions would be found in a longitudinal study (Saldana, 2003).

3. *Create and conduct exit surveys with principals who relocate or retire to determine the effectiveness of the Craven County's Principals Induction Program.* Research is needed on what issues influenced the building level administrator's decisions to leave the

district or profession. An exit survey would provide feedback of what worked and did not work (Deming, 2000).

4. *Compare Craven County's Principal Induction Program with other districts.* Bogan and English (1994) state that no single organization dominates with effective processes and ideas, but must look externally as well as internally for continuous improvement.

Therefore, the program developer, should contact districts in and out of North Carolina to seek additional components to enhance the program.

Summary

Leaders possess key leadership qualities that set them apart from non-leaders (Bennis, 1984; Collins, 2011; Kirkpatrick & Locke, 1991; Northouse, 2013). In 2001, Collins catapulted to national attention with his investigation of companies and their leaders who moved from *Good to Great* and in 2011, he identified *Great by Choice* strategies leaders implement. Farkas and Wetlauger (1996) stated that leadership is not about a born nor made talent, but approaches leaders strategically employ. Based on the literature and these findings from the data collected, it is clear that principals will continue to face challenges and the complexity of the job is expected to increase. Therefore, principals need support and strategic practice today and in the future.

Organizations that move from good to great invest in their people and work to build their capacity. Craven County Schools recognizes this and in an attempt to address this concern, like many other districts across the nations has attempted to increase the quantity and quality of principals within their school districts through developing a principal induction program (Miracle, 2006; Morrison, 2005).

In conclusion, in the spring of 2007, I began a journey in education as a new principal. This study has provided me the opportunity to reflect and evaluate the experiences I encountered as a building level administrator. Although I successfully completed the expected college preparation program and an assistant principalship, it was only when I became the principal that I truly understood the magnitude of the multiple roles of the building level administrator. I was afforded the opportunity of several great mentors as a teacher, but learned quickly that no coach nor mentor was formally assigned for principals. Therefore, I created an informal network of critical friends to help me gain the skills to be a successful building level administrator.

I have the following quote from an unknown author on a plaque that was given to me by a student many years ago, "Teaching is the profession that creates all others." Although it was designed for a classroom teacher, one can consider the principal as the teacher of the staff. The magnitude of the quote exemplifies the enormous responsibility of the building level administrator. The development of an induction program to support the individuals who teach the teachers and who have the second largest impact on student performance is critical (Leithwood et al., 2004). It is exciting to see what has begun as a beginning portrait of Craven County's Principal Induction Program.

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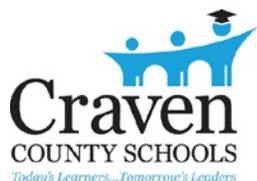
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APPENDIX A: LETTER OF SUPPORT



Board Of Education

CARROLL G. IPOCK, II, *Chairman* • LINDA M. THOMAS, *Vice Chairman*
FRANCES H. BOOMER • DAVID HALE • BEATRICE R. SMITH • KIMBERLY R. SMITH • JOSEPH L. WALTON
DR. LANE B. MILLS, *Superintendent*

February 15, 2014

Dr. Jim McDowelle
East Carolina University

Dear Dr. McDowelle,

Ten years ago, school leadership was noticeably absent from school reform. What a difference a decade makes. Today, improving school leadership ranks high on the list of top priorities for school improvement. Traditionally, the principal resembled the middle manager-coordinating bus schedules, mollifying angry parents, disciplining children, overseeing the cafeteria, keeping inventory and responding to all the concerns and issues with poise and precision. In a changing era of standards-based reform and accountability, a different paradigm has emerged. This intensifies the need for principals to become even more effective educational leaders. Frequently, beginning principals are unprepared for the demands that are placed upon them as they accept the responsibility for an entire school. According to the document, *The Making of a Principal: Five Lessons on Leadership* published by The Wallace Foundation, school districts are seeking tools to develop highly effective school administrators as a result of the emphasis on the performance and accountability.

Craven County Schools has adopted a five year strategic plan for improvement which includes the development of a high quality mentoring support program for all new administrators. A key strategy specifically designed for the district is to develop and implement a principal induction program. Administrators in Craven County Schools have historically been given the keys to a building in hopes that the university preparation program in which they participated was enough to be successful. In reality, many have masked their uncertainty, misaligned priorities, and addressed inappropriately issues to their own detriment, as well as

those in their care. Therefore, it is essential that Craven County Schools provides a support program for the 52% of administrators who have three or less years of experience.

To provide a support system for our current principals and prepare our assistant principals for the next level, I have asked Cheryl F. Wilson to complete a comprehensive study based on a thorough literature review and data collection of current administrators in Craven County to determine what are the needed components of an induction program to support our principals in their first three years in the district.

The study will examine the characteristics and behaviors that move a principal from good to great as measured by the Super Standards and the competencies required for administrators from the North Carolina School Executive Instrument. It is the expectation that the research from the problem of practice will provide Craven County Schools with data that will impact the decision regarding the development of a district policy for the implementation of a school executive induction program. Findings from this research will be needed in preparing administrators for the work of a 21st century principal.

In addition to the synthesis of the literature, quantitative and qualitative research will be utilized. Data for this study will be collected by way of questionnaire responses, interviews, and focus groups with current principals, assistant principals, as well as former principals who serve at the district level.

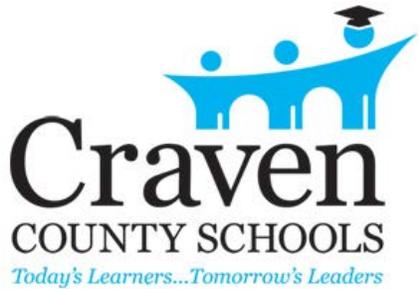
It is my pleasure to write a letter in support of *Developing a Principal Induction Program for Craven County Schools* that will be submitted by Cheryl F. Wilson to the Educational Leadership Department at East Carolina University.

Sincerely,

A handwritten signature in cursive script that reads "Dr. Lane B. Mills".

Lane B. Mills
Superintendent

APPENDIX B: LEADERSHIP DEVELOPMENT COACH JOB DESCRIPTION



JOB TITLE:

District Leadership Development Coach

DESCRIPTION: Responsible for ensuring a quality education for every student by coaching school leadership teams. This includes developing the knowledge, skills and abilities in these teams throughout the district to effectively implement district goals and strategic priorities; providing differentiated support to specific school leaders; and monitoring efforts to ensure implementation that will lead to student success. Also responsible for working closely with the Superintendent's Cabinet to facilitate support between central services and schools focused on academic achievement and equitable practices for all.

ESSENTIAL DUTIES & RESPONSIBILITIES:

The following statements of duties and responsibilities are intended to describe the general nature and level of work being performed by individuals assigned to this position. These statements are not intended to be an exhaustive list of all duties and responsibilities required of all personnel within this position.

- Provide guidance to school leadership teams to develop goals that are aligned to the District's missions, beliefs, and strategic priorities.
- Assist school leadership teams with shaping a vision of academic success for *all* students.
- Assist school leadership teams in creating positive climates where stakeholders feel a cooperative spirit and take risks.
- Build capacity for school stakeholders to promote standards-driven instruction and professional growth within professional learning communities.
- Create opportunities for school leaders across school sites to collaborate and learn from one another.
- Support the development of school leaders as reflective practitioners.
- Ensure a link between professional development and a change in practice by building and/or deepening the knowledge in school leaders on how to progress monitor, including observation, feedback and reflection.
- Facilitate solutions and identify discrepancies between goals and current status in order to stimulate achievement.
- Provide support for assigned schools' continuous improvement objectives and strategic priorities.
- Assist with the coordination of instructional programs and services to ensure efficient implementation and avoid duplication or overlap of efforts, and support a systemic approach to curriculum and instructional planning, development, implementation, and evaluation.

- Help school leadership identify significant problems and issues that act as barriers to school improvement, as well as help design and support meaningful solutions to these
- Provide principals with mentoring support to help them understand performance expectations and develop a deep understanding of the NC Teacher and School Executive Standards and the evaluation system.
- Perform other duties as assigned.

KNOWLEDGE, SKILLS, AND ABILITIES:

- Ability to communicate effectively with a variety of audiences in written and oral form using positive interpersonal skills
- Ability to employ effective coaching and facilitation skills to lead school teams to plan for and respond to learning across content areas
- Ability to reflect and apply knowledge from current research on best practices for improving student achievement
- Ability to work collaboratively with others and facilitate groups to consensus
- Knowledge and understanding of the Common Core State Standards and effective instructional strategies

MINIMUM QUALIFICATIONS:

- Master's in School Administration degree from an accredited institution
- Experience in leadership of curriculum and instruction
- Demonstrated experience as a public school principal that has achieved results
- Must have a combined total of at least five years of leadership experience as a principal and in leadership of curriculum and instruction.

APPENDIX C: NORTH CAROLINA SCHOOL EXECUTIVE COMPETENCIES

Change Management – Effectively engages staff and community in the change process in a manner that ensures their support of the change and its successful implementation.

Communication – Effectively listens to others; clearly and effectively presents and understands information orally and in writing; acquires, organizes, analyzes, interprets, maintains information needed to achieve school or team 21st century objectives.

Conflict Management – Anticipates or seeks to resolve confrontations, disagreements, or complaints in a constructive manner.

Creative Thinking – Engages in and fosters an environment for others to engage in innovative thinking.

Customer Focus – Understands the students as customers of the work of schooling and the servant nature of leadership and acts accordingly

Delegation – Effectively assigns work tasks to others in ways that provide learning experiences for them and in ways that ensure the efficient operation of the school.

Dialogue/Inquiry – Is skilled in creating a risk free environment for engaging people in conversations that explore issues, challenges or bad relationships that are hindering school performance.

Emotional Intelligence – Is able to manage oneself through self-awareness and self-management and is able to manage relationships through empathy, social awareness and relationship management. This competency is critical to building strong, transparent, trusting relationships throughout the school community.

Environmental Awareness – Becomes aware and remains informed of external and internal trends, interests and issues with potential impacts on school policies, practices, procedures and positions.

Global Perspective – Understands the competitive nature of the new global economy and is clear about the knowledge and skills students will need to be successful in this economy.

Judgment – Effectively reaching logical conclusions and making high quality decisions based on available information. Giving priority and caution to significant issues. Analyzing and interpreting complex information.

Organizational Ability – Effectively plans and schedules one’s own and the work of others so that resources are used appropriately, such as scheduling the flow of activities and establishing procedures to monitor projects.

Personal Ethics and Values – Consistently exhibits high standards in the areas of honesty, integrity, fairness, stewardship, trust, respect, and confidentiality.

Personal Responsibility for Performance – Proactively and continuously improves performance by focusing on needed areas of improvement and enhancement of strengths; actively seeks and effectively applies feedback from others; takes full responsibility for one’s own achievements.

Responsiveness – Does not leave issues, inquiries or requirements for information go unattended. Creates a clearly delineated structure for responding to requests/situations in an expedient manner.

Results Orientation – Effectively assumes responsibility. Recognizes when a decision is required. Takes prompt action as issues emerge. Resolves short-term issues while balancing them against long-term goals.

Sensitivity – Effectively perceives the needs and concerns of others; deals tactfully with others in emotionally stressful situations or in conflict. Knowing what information to communicate and to whom. Relating to people of varying ethnic, cultural, and religious backgrounds.

Systems Thinking – Understands the interrelationships and impacts of school and district influences, systems and external stakeholders, and applies that understanding to advancing the achievement of the school or team.

Technology – Effectively utilizes the latest technologies to continuously improve the management of the school and enhance student instruction.

Time Management – Effectively uses available time to complete work tasks and activities that lead to the achievement of desired work or school results. Runs effective meetings.

Visionary – Encourages Imagineering by creating an environment and structure to capture stakeholder dreams of what the school could become for all the students.

Note: Description of North Carolina School Executive Competencies. North Carolina Department of Public Instruction (2012). Retrieved <http://www.dpi.state.nc.us/docs/ihe/remodeling/executive/nc-standards-executive.pdf>
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**APPENDIX D: PERMISSION TO USE EXEMPLARY DISTRICT MENTORING
AND INDUCTION PROGRAMS**

Confirmation Number: 11222830

Order Date: 06/14/2014

Customer Information

Customer: Cheryl Wilson

Account Number: 3000801504

Organization: Craven County Schools

Email: cheryl.wilson@craven.k12.nc.us

Phone: +1 (252)5146300

Order Details

Mentoring and induction programs that support new principals

Billing Status:

Order detail ID: 65171085

ISBN: 978-0-7619-3145-4

Publication Type: Book

Publisher: CORWIN PRESS

Author/Editor: VILLANI, SUSAN

Permission Status: Granted

Permission type: Republish or display content

Type of use: Republish in a thesis/dissertation

Order License Id: 3407981254704

Note: This item was invoiced separately through our RightsLink service.

Total order items: 1

Order Total: \$0.00

APPENDIX E: EXEMPLARY DISTRICT MENTORING

AND INDUCTION PROGRAMS

**Principal Induction Program
Wake Leadership Program
Raleigh, NC**

Dr. Joseph Peel
Director of the Wake Leadership Academy
3600 Wake Forest Road Raleigh, NC 27611
919-850-8783

Urban/suburban/rural school	Urban and suburban	Grade levels of schools	PreK-12
Student population	114,000	Per Pupil expenditure	\$6,700
Mentoring is/is not mandated for ongoing certification/licensure	Internships are part of earning a master's degree, which is required for certification	Mentoring program is/is not funded by the state	Funds from the state are available for some students to get their master's degree in school administration
Unique feature of program	Half day of media training for new administrators; monthly topical presentations on topics of need	Duration of program for new principals	One year
Mentors are Full time principals from same district from another district Retired principals	New principals are not assigned mentors; they are assigned buddies	Mentor selection criteria exist/do not exist Mentor matching process exists/does not exist	Not applicable Not applicable
Mentors are trained/not trained for role	Not applicable	Mentors are/are not part of a team to support new principals	Not applicable
Mentors receive/do not receive ongoing support	Not applicable		

Coaching is/is not a component	Coaching is not a component	Daily/weekly/yearly expectations for mentors	Not applicable
Mentors evaluation/do not evaluate the new principals	Not applicable	Portfolio is required/not required	Not required
Mentor remuneration	Not applicable	Higher education affiliation	None
Cost of program	\$10,000	Funding	Wake School District and business community
Years program in existence	Six years	Full-time/part-time program coordinator/program coordination is part of other role in system/organization/state	Coordination and presentations are part of the responsibilities of the Wake Leadership Academy coordinator

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Leadership Initiative for Transformation (LIFT) Chicago Public Schools

Sallie Penman, Director
Illinois Administrators Academy-Chicago
221 North LaSalle Avenue, Suite 1550, Chicago, IL 60601
312-263-1976

Urban/suburban/rural school	Urban	Grade levels of schools	K-12
Student population	43,419	Per Pupil expenditure	\$8,482
Mentoring is/is not mandated for ongoing certification/licensure	Mentoring is not mandated for certification of licensure	Mentoring program is/is not funded by the state	Mentoring is not funded by the state
Unique feature of program	Program is part of a group of academies to support principals	Duration of program for new principals	One year

Mentors are Full time principals from same district from another district Retired principals	Mentors are full-time principals and/or recently retired principals from the Chicago Public Schools	Mentor selection criteria exist/do not exist Mentor matching process exists/does not exist	Mentor selection criteria do exist Mentor matching process does exist
Mentors are trained/not trained for role Mentors receive/do not receive ongoing support	Mentors are trained for their role Mentors do receive specific ongoing support	Mentors are/are not part of a team to support new principals	Mentors are among several support providers for new principals
Coaching is/is not a component	Cognitive coaching is a component of the program	Daily/weekly/yearly expectations for mentors	Mentors participate in monthly trainings with new principals
Mentors evaluation/do not evaluate the new principals	Mentors do not evaluate new principals	Portfolio is required/not required	Portfolios are required by area instructional officers
Mentor remuneration	\$1,500/per protégé	Higher education affiliation	None
Cost of program	\$262,500 plus LIFT staff salaries	Funding	Internally
Years program in existence	Nine years	Full-time/part-time program coordinator/program coordination is part of other role in system/organization/state	There is a full-time program coordinator

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**New Principal Induction Program
Sheridan School District
Englewood, CO**

Mike Poore, Superintendent
Sheridan School District
P.O. Box 1198, Englewood CO 80150
720-833-6616

Urban/suburban/rural school	Rural and urban	Grade levels of schools	PreK-12
Student population	1,861	Per Pupil expenditure	\$6,718
Mentoring is/is not mandated for ongoing certification/licensure	Induction is mandated	Mentoring program is/is not funded by the state	Not funded
Unique feature of program	Mentoring within very small rural/urban district	Duration of program for new principals	Two years
Mentors are Full time principals from same district from another district Retired principals	Superintendent and assistant superintendent	Mentor selection criteria exist/do not exist Mentor matching process exists/does not exist	Do not exist Does not exist
Mentors are trained/not trained for role Mentors receive/do not receive ongoing support	Mentors are not trained Mentors do not receive ongoing support	Mentors are/are not part of a team to support new principals	Mentors are the team to support new principals
Coaching is/is not a component	Coaching is a component	Daily/weekly/yearly expectations for mentors	Four times/month meetings +as needed
Mentors evaluation/do not evaluate the new principals	Superintendent and assistant superintendent	Portfolio is required/not required	Portfolio is required for the state induction
Mentor remuneration	None: Central Office administrators mentors	Higher education affiliation	Principals may take offerings at area IHE's

Cost of program	\$10,000	Funding	Within school district budget
Years program in existence	One year	Full-time/part-time program coordinator/program coordination is part of other role in system/organization/state	Coordination is done by superintendent and assistant superintendent

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New Administrator Induction Program Bridgeport, CT

Linda Hartzer, Program Administrator
 Bridgeport Public Schools Administrative Offices
 948 Main Street, Bridgeport, CT 06604

203-847-8943 Urban/suburban/rural school	Urban	Grade levels of schools	PreK-12
Student population	23,000	Per Pupil expenditure	\$8,617
Mentoring is/is not mandated for ongoing certification/licensure	Mentoring is not mandated	Mentoring program is/is not funded by the state	Mentoring is not funded
Unique feature of program	New administrators participate in a regional network of collegial support; includes all positions in administration; includes expanded definition of "new"	Duration of program for new principals	Two years

<p>Mentors are Full time principals from same district from another district Retired principals</p>	<p>A program facilitator mentors new principals: Mentors of other administrative positions are typically full-time administrators in the same district; occasionally retired principals are utilized</p>	<p>Mentor selection criteria exist/do not exist</p> <p>Mentor matching process exists/does not exist</p>	<p>District selects its own mentors</p> <p>Mentor matching process does exist</p>
<p>Mentors are trained/not trained for role</p> <p>Mentors receive/do not receive ongoing support</p>	<p>Mentors are trained</p> <p>Mentors receive ongoing support</p>	<p>Mentors are/are not part of a team to support new principals</p>	<p>Mentors are part of a team to support new principals</p>
<p>Coaching is/is not a component</p>	<p>Coaching is encouraged, not required</p>	<p>Daily/weekly/yearly expectations for mentors</p>	<p>Mentors meet monthly with new administrators</p>
<p>Mentors evaluation/do not evaluate the new principals</p>	<p>Mentors do not evaluate</p>	<p>Portfolio is required/not required</p>	<p>Portfolio is not required</p>
<p>Mentor remuneration</p>	<p>District mentors are not remunerated; outside mentors are remunerated</p>	<p>Higher education affiliation</p>	<p>None</p>
<p>Cost of program</p>	<p>Cost of part-time facilitator/principal mentor plus \$4,000 budget for books, materials, resources, conferences, and meetings (budget depends on the number of new administrators)</p>	<p>Funding</p>	<p>Grant and district</p>

Years program in existence	Seven years	Full-time/part-time program coordinator/program coordination is part of other role in system/organization/state	Part-time director
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**Extra Support for Principals (ESP)
Principal Mentor Program
Albuquerque Public Schools
Albuquerque, NM**

Carl J. Weingartner, Coordinator
Albuquerque Public Schools
10209 Santa Paula, NE, Albuquerque, NM 87111-3652
505-299-2918

Urban/suburban/rural school	All	Grade levels of schools	PreK-12
Student population	83,000	Per Pupil expenditure	\$5,713
Mentoring is/is not mandated for ongoing certification/licensure	Mentoring is not mandated	Mentoring program is/is not funded by the state	Not funded
Unique feature of program	New principals have a strong voice in the selection of their mentors	Duration of program for new principals	One year
Mentors are Full time principals from same district from another district Retired principals	Full-time principals from the same district; occasionally retired principals	Mentor selection criteria exist/do not exist Mentor matching process exists/does not exist	Mentor selection criteria do not exist Mentor matching process does exist
Mentors are trained/not trained for role Mentors receive/do not receive ongoing support	Mentors are oriented by the coordinator Mentors receive ongoing support	Mentors are/are not part of a team to support new principals	Mentors are part of a team

Coaching is/is not a component	Coaching is not a component	Daily/weekly/yearly expectations for mentors	Contact every other week
Mentors evaluation/do not evaluate the new principals	Mentors do not evaluate the new principals	Portfolio is required/not required	Portfolio is not required
Mentor remuneration	\$1,000	Higher education affiliation	None
Cost of program	\$30,000	Funding	District and business partnership
Years program in existence	Ten years	Full-time/part-time program coordinator/program coordination is part of other role in system/organization/state	Part-time coordinator

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**APPENDIX F: PERMISSION TO INCLUDE TABLE FROM
DR. KATHY SPENCER'S DISSERTATION**

Use of Table 10

Wilson, Cheryl Fillingame
Sun 08/03/2014 08:19 PM
Thank you so much!

Spencer, Kathy <SPENCERKA14@ECU.EDU>
Sat 08/02/2014 10:02 PM
Dear Cheryl:

Absolutely! I am glad to know the issue of principal induction remains one of interest. I am very passionate about this topic. Good luck!

Kathy T. Spencer, Ed. D.

Wilson, Cheryl Fillingame
Sat 08/02/2014 01:47 PM
Sent Items
To:
Spencer, Kathy;
Dr. Spencer,

I am currently working on my dissertation, Developing a Principal Induction Program for Craven County Schools. As a part of my dissertation, I am including information regarding exemplary programs. I would like to use your Table 10: Key Components for Principal Induction in North Carolina from your dissertation. Please let me know if this is permissible. I will most definitely properly cite the source.

Thank you,

Cheryl F. Wilson

APPENDIX G: NORTH CAROLINA SCHOOL EXECUTIVES STANDARDS

Standard I: Strategic Leadership

School executives will create conditions that result in strategically re-imagining the school's vision, mission, and goals in the 21st century. Understanding that schools ideally prepare students for an unseen but not altogether unpredictable future, the leader creates a climate of inquiry that challenges the school community to continually re-purpose itself by building on its core values and beliefs about its preferred future and then developing a pathway to reach it.

Standard II: Instructional Leadership

School executives will set high standards for the professional practice of 21st century instruction and assessment that result in a no nonsense accountable environment. The school executive must be knowledgeable of best instructional and school practices and must use this knowledge to cause the creation of collaborative structures within the school for the design of highly engaging schoolwork for students, the on-going peer review of this work and the sharing of this work throughout the professional community.

Standard III: Cultural Leadership

School executives will understand and act on the understanding of the important role a school's culture contributes to the exemplary performance of the school. School executives must support and value the traditions, artifacts, symbols and positive values and norms of the school and community that result in a sense of identity and pride upon which to build a positive future. A school executive must be able to "reculture" the school if needed to align with school's goals of improving student and adult learning and to infuse the work of the adults and students with

passion, meaning and purpose. Cultural leadership implies understanding the school as the people in it each day, how they came to their current state, and how to connect with their traditions in order to move them forward to support the school's efforts to achieve individual and collective goals.

Standard IV: Human Resource Leadership

School executives will ensure that the school is a professional learning community. School executives will ensure that processes and systems are in place that results in the recruitment, induction, support, evaluation, development and retention of a high performing staff. The school executive must engage and empower accomplished teachers in a distributive leadership manner, including support of teachers in day-to-day decisions such as discipline, communication with parents, and protecting teachers from duties that interfere with teaching, and must practice fair and consistent evaluation of teachers. The school executive must engage teachers and other professional staff in conversations to plan their career paths and support district succession planning.

Standard V: Managerial Leadership:

School executives will ensure that the school has processes and systems in place for budgeting, staffing, problem solving, communicating expectations and scheduling that result in organizing the work routines in the building. The school executive must be responsible for the monitoring of the school budget and the inclusion of all teachers in the budget decisions so as to meet the 21st century needs of every classroom. Effectively and efficiently managing the complexity of

everyday life is critical for staff to be able to focus its energy on improvement.

Standard VI: External Development Leadership

A school executive will design structures and processes that result in community engagement, support, and ownership. Acknowledging that schools no longer reflect but in fact build community, the leader proactively creates with staff opportunities for parents, community and business representatives to participate as “stockholders” in the school such that continued investments of resources and good will are not left to chance.

Standard VII: Micro-political Leadership

The school executive will build systems and relationships that utilize the staff ’s diversity, encourage constructive ideological conflict in order to leverage staff expertise, power and influence to realize the school’s vision for success. The executive will also creatively employ an awareness of staff ’s professional needs, issues, and interests to build social cohesion and to facilitate distributed governance and shared decision-making.

Standard VIII: Academic Achievement Leadership

Summary: The school executive will contribute to the academic success of students. The work of the school executive will result in acceptable, measurable progress for students based on established performance expectations using appropriate data to demonstrate growth.

Note: Description of North Carolina School Executive Standards. North Carolina Department of Public Instruction (2012). Retrieved <http://www.dpi.state.nc.us/docs/ihe/remodeling/executive/nc-standards-executive.pdf>
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APPENDIX H: PERMISSION TO USE MOBIUS STRIP

FROM BLENDED COACHING

RE: permission to use mobius strip
From: "permissions (US)" <permissions@sagepub.com>
To: Cheryl.Wilson@craven.k12.nc.us
Date: Thursday - May 8, 2014 5:40 PM
Subject: RE: permission to use mobius strip
Attachments: TEXT.htm; Mime.822
Dear Cheryl,

Thank you for your request. You can consider this email as permission to use the figure as detailed below in your upcoming dissertation. Please note that this permission does not cover any 3rd party material that may be found within the work. We do ask that you properly credit the original source, SAGE Publications. The service only provides only provides permission for reuse of material; it does not provide material. Please contact us for any further usage of the material.

Best regards,
Michelle Binur

Rights Assistant
SAGE Publications Inc.
Michelle.Binur@sagepub.com

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APPENDIX I: IRB APPROVAL



EAST CAROLINA UNIVERSITY

University & Medical Center Institutional Review Board Office

4N-70 Brody Medical Sciences Building · Mail Stop 682

600 Moye Boulevard · Greenville, NC 27834

Office **252-744-2914** · Fax **252-744-2284** · www.ecu.edu/irb

Notification of Initial Approval: Expedited

From: Social/Behavioral IRB

To: Cheryl Wilson

CC:

Jim McDowelle

Date: 1/5/2015

Re: UMCIRB 14-001947

Developing a Principal Induction Program for Craven County Schools

I am pleased to inform you that your Expedited Application was approved. Approval of the study and any consent form(s) is for the period of 1/4/2015 to 1/3/2016. The research study is eligible for review under expedited category #6, 7. The Chairperson (or designee) deemed this study no more than minimal risk.

Changes to this approved research may not be initiated without UMCIRB review except when necessary to eliminate an apparent immediate hazard to the participant. All unanticipated problems involving risks to participants and others must be promptly reported to the UMCIRB. The investigator must submit a continuing review/closure application to the UMCIRB prior to the date of study expiration. The Investigator must adhere to all reporting requirements for this study.

Approved consent documents with the IRB approval date stamped on the document should be used to consent participants (consent documents with the IRB approval date stamp are found under the Documents tab in the study workspace).

The approval includes the following items:

Name	Description
Anecdotal Notes Consent Form	Consent Forms
Competency Assessment	Surveys and Questionnaires
Competency Assessment Consent Form	Consent Forms
Developing a Principal Induction Program for Craven County Schools	Study Protocol or Grant Application
Emotional Intelligence Appraisal Consent Form	Consent Forms
Interview Consent Form	Consent Forms
Interview Questions for Rookie Principals	Interview/Focus Group Scripts/Questions
MSCEIT	Surveys and Questionnaires

The Chairperson (or designee) does not have a potential for conflict of interest on this study.

APPENDIX J: CONSENT FORM FOR ANECDOTAL NOTES

East Carolina University



Consent to Participate in Research

Anecdotal Notes

Dear Participant,

I am a student at East Carolina University in the Educational Leadership department. I am asking you to take part in my research study entitled, “Developing a Principal Leadership Program in Craven County”.

The purpose of this research is to develop a principal induction program for Craven County Schools. Craven County Schools has too few experienced administrators. The problem is evident from Craven County’s principal turnover rate of 4% in 2011 to 20% in 2013, well above the state average of 10%. In addition to the high turnover rate, possible retirements, and limited advanced degrees, there are eleven principals who have three or less years of experience, fourteen principals with four to ten years of experience, and no principals with ten plus years of experience in the principalship. By doing this research, I hope to learn about the following:

1. Using the continuous improvement model, what is the comprehensive design of a Principal Induction Program to support school leaders for effective leadership in Craven County?
2. Based on the literature review, anecdotal notes, competency assessment surveys, emotional intelligence appraisal, and interviews, what components are deemed as essential to be an effective principal in Craven County?

Your participation is completely voluntary.

You are being invited to take part in this research because you are currently employed in Craven County Schools as a principal. The amount of time it will take you to complete this survey is approximately 15-60 minutes during each interaction with the researcher.

If you agree to take part in this interaction, you will be demonstrating competencies that are outlined in the North Carolina School Executive instrument. They are: Communication, Change Management, Conflict Management, Creative Thinking, Customer Focus, Delegation, Dialogue/Inquiry, Emotional Intelligence, Environmental Awareness, Global Perspective, Judgment, Organizational Ability, Personal Ethics and Values, Personal Responsibility for

Performance, Responsiveness, Results Orientation, Sensitivity, Systems Thinking, Technology, Time Management, and Visionary.

This research is overseen by the ECU Institutional Review Board. Therefore some of the IRB members or the IRB staff may need to review my research data. Your identity will be evident to those individuals who see this information. However, I will take precautions to ensure that anyone not authorized to see your identity will not be given that information.

If you have questions about your rights when taking part in this research, call the Office of Research Integrity & Compliance (ORIC) at phone number 252-744-2914 (days, 8:00 am-5:00 pm). If you would like to report a complaint or concern about this research study, call the Director of ORIC, at 252-744-1971.

You do not have to take part in this research, and you can stop at any time. If you decide you are willing to take part in this study, check the AGREE box below.

Thank you for taking the time to participate in my research.

Sincerely

Cheryl F. Wilson, Principal Investigator

_____AGREE to participate

_____Do NOT AGREE to participate

**APPENDIX K: CONSENT FORM FOR COMPETENCY SELF ASSESSMENT
OF PRINCIPALS**

East Carolina University



Survey Consent to Participate in Research
Competency Assessment

Dear Participant,

I am a student at East Carolina University in the Educational Leadership department. I am asking you to take part in my research study entitled, “Developing a Principal Leadership Program in Craven County”.

The purpose of this research is to develop a principal induction program for Craven County Schools. Craven County Schools has too few experienced administrators. The problem is evident from Craven County’s principal turnover rate of 4% in 2011 to 20% in 2013, well above the state average of 10%. In addition to the high turnover rate, possible retirements, and limited advanced degrees, there are eleven principals who have three or less years of experience, fourteen principals with four to ten years of experience, and no principals with ten plus years of experience in the principalship. By doing this research, I hope to learn about the following:

1. Using the continuous improvement model, what is the comprehensive design of a Principal Induction Program to support school leaders for effective leadership in Craven County?
2. Based on the literature review, anecdotal notes, competency assessment surveys, emotional intelligence appraisal, and interviews, what components are deemed as essential to be an effective principal in Craven County?

Your participation is completely voluntary.

You are being invited to take part in this research because you are currently employed in Craven County Schools as a principal or supervisor of a principal. The amount of time it will take you to complete this competency assessment survey is approximately fifteen minutes.

If you agree to take part in this survey, you will be asked questions that relate to North Carolina School Executive Competencies. They are: Communication, Change Management, Conflict Management, Creative Thinking, Customer Focus, Delegation, Dialogue/Inquiry, Emotional Intelligence, Environmental Awareness, Global Perspective, Judgment, Organizational Ability, Personal Ethics and Values, Personal Responsibility for Performance, Responsiveness, Results Orientation, Sensitivity, Systems Thinking, Technology, Time Management, and Visionary.

This research is overseen by the ECU Institutional Review Board. Therefore some of the IRB members or the IRB staff may need to review my research data. Your identity will be evident to those individuals who see this information. However, I will take precautions to ensure that anyone not authorized to see your identity will not be given that information.

If you have questions about your rights when taking part in this research, call the Office of Research Integrity & Compliance (ORIC) at phone number 252-744-2914 (days, 8:00 am-5:00 pm). If you would like to report a complaint or concern about this research study, call the Director of ORIC, at 252-744-1971.

You do not have to take part in this research, and you can stop at any time. If you decide you are willing to take part in this study, continue with the online survey:
<http://goo.gl/forms/sNGzeTESq0>

Thank you for taking the time to participate in my research.

Sincerely,

Cheryl F. Wilson, Principal Investigator

**APPENDIX L: CONSENT FORM FOR COMPETENCY ASSESSMENT
OF PRINCIPALS BY SUPERVISORS**

East Carolina University



Survey Consent to Participate in Research

Competency Assessment

Dear Participant,

I am a student at East Carolina University in the Educational Leadership department. I am asking you to take part in my research study entitled, “Developing a Principal Leadership Program in Craven County”.

The purpose of this research is to develop a principal induction program for Craven County Schools. Craven County Schools has too few experienced administrators. The problem is evident from Craven County’s principal turnover rate of 4% in 2011 to 20% in 2013, well above the state average of 10%. In addition to the high turnover rate, possible retirements, and limited advanced degrees, there are eleven principals who have three or less years of experience, fourteen principals with four to ten years of experience, and no principals with ten plus years of experience in the principalship. By doing this research, I hope to learn about the following:

1. Using the continuous improvement model, what is the comprehensive design of a Principal Induction Program to support school leaders for effective leadership in Craven County?
2. Based on the literature review, anecdotal notes, competency assessment surveys, emotional intelligence appraisal, and interviews, what components are deemed as essential to be an effective principal in Craven County?

Your participation is completely voluntary.

You are being invited to take part in this research because you are currently employed in Craven County Schools as a principal or supervisor of a principal. The amount of time it will take you to complete this competency assessment survey is approximately fifteen minutes.

If you agree to take part in this survey, you will be asked questions that relate to North Carolina School Executive Competencies. They are: Communication, Change Management, Conflict Management, Creative Thinking, Customer Focus, Delegation, Dialogue/Inquiry, Emotional Intelligence, Environmental Awareness, Global Perspective, Judgment, Organizational Ability, Personal Ethics and Values, Personal Responsibility for Performance, Responsiveness, Results Orientation, Sensitivity, Systems Thinking, Technology, Time Management, and Visionary.

This research is overseen by the ECU Institutional Review Board. Therefore some of the IRB members or the IRB staff may need to review my research data. Your identity will be evident to those individuals who see this information. However, I will take precautions to ensure that anyone not authorized to see your identity will not be given that information.

If you have questions about your rights when taking part in this research, call the Office of Research Integrity & Compliance (ORIC) at phone number 252-744-2914 (days, 8:00 am-5:00 pm). If you would like to report a complaint or concern about this research study, call the Director of ORIC, at 252-744-1971.

You do not have to take part in this research, and you can stop at any time. If you decide you are willing to take part in this study, continue with the online survey:

<http://goo.gl/forms/G5XSeycFyg>

Thank you for taking the time to participate in my research.

Sincerely,

Cheryl F. Wilson, Principal Investigator

APPENDIX M: COMPETENCY ASSESSMENT

A competency is a combination of knowledge (factual and experiential) and skills that one needs to effectively implement the practices. Factual knowledge is simply “knowing” content; experiential knowledge is the knowledge one gains from understanding; it is knowing the when and why. Skills bring structure to experiential knowledge. It is when one can put their accumulated knowledge into a series of steps that, if followed, will lead to practice.

There are many competencies that are obviously inherent in the successful performance of all of the practices listed under each of the seven critical functions of leadership. The principal may or may not personally possess all of these competencies but must ensure that a team is in place that not only possesses them but can effectively and efficiently execute them. Although the principal may not personally possess them all, he or she is still responsible for their effective use in the various leadership practices.

The competencies listed below are not so obvious in the practices, can be applied to multiple practices and are absolutely essential for all school executives to possess to ensure their success. For example, the competency “conflict management” is important in Micro-political, Leadership, Strategic Planning, Cultural Leadership, and perhaps one could argue that this competency is necessary in all eight Standards.

Thank you for agreeing to participate in the rating of the North Carolina principal competencies in relation to their relevance of school leadership. Select one of the four ratings on a scale of 1 to 4 (1 being the lowest and 4 being the highest). For this study, consider the scale of *1-Never, 2-Rarely, 3-Often, 4 Always* that you believe that best describes your competency level.

North Carolina Competencies for School Executives	Never (1)	Rarely (2)	Often (3)	Always (4)
Change Management – Effectively engages staff and community in the change process in a manner that ensures their support of the change and its successful implementation.				
Communication – Effectively listens to others; clearly and effectively presents and understands information orally and in writing; acquires, organizes, analyzes, interprets, maintains information needed to achieve school or team 21st century objectives.				
Conflict Management – Anticipates or seeks to resolve confrontations, disagreements, or complaints in a constructive manner.				
Creative Thinking – Engages in and fosters an environment for others to engage in innovative thinking.				
Customer Focus – Understands the students as customers of the work of schooling and the servant nature of leadership and acts accordingly				
Delegation – Effectively assigns work tasks to others in ways that provide learning experiences for them and in ways that ensure the efficient operation of the school.				
Dialogue/Inquiry – Is skilled in creating a risk free environment for engaging people in conversations that explore issues, challenges or bad relationships that are hindering school performance.				
Emotional Intelligence – Is able to manage oneself through self-awareness and self-management and is able to manage relationships through empathy, social awareness and relationship management. This competency is critical to building strong, transparent, trusting relationships throughout the school community.				
Environmental Awareness – Becomes aware and remains informed of external and internal trends, interests and issues with potential impacts on school policies, practices, procedures and positions.				

Global Perspective – Understands the competitive nature of the new global economy and is clear about the knowledge and skills students will need to be successful in this economy.				
Judgment – Effectively reaching logical conclusions and making high quality decisions based on available information. Giving priority and caution to significant issues. Analyzing and interpreting complex information.				
Organizational Ability – Effectively plans and schedules one’s own and the work of others so that resources are used appropriately, such as scheduling the flow of activities and establishing procedures to monitor projects.				
Personal Ethics and Values – Consistently exhibits high standards in the areas of honesty, integrity, fairness, stewardship, trust, respect, and confidentiality.				
Personal Responsibility for Performance – Proactively and continuously improves performance by focusing on needed areas of improvement and enhancement of strengths; actively seeks and effectively applies feedback from others; takes full responsibility for one’s own achievements.				
Responsiveness – Does not leave issues, inquiries or requirements for information go unattended. Creates a clearly delineated structure for responding to requests/situations in an expedient manner.				
Results Orientation – Effectively assumes responsibility. Recognizes when a decision is required. Takes prompt action as issues emerge. Resolves short-term issues while balancing them against long-term goals.				
Sensitivity – Effectively perceives the needs and concerns of others; deals tactfully with others in emotionally stressful situations or in conflict. Knowing what information to communicate and to whom. Relating to people of varying ethnic, cultural, and religious backgrounds.				
Systems Thinking – Understands the interrelationships and impacts of school and district influences, systems and external stakeholders, and applies that understanding to advancing the achievement of the school or team.				

Technology – Effectively utilizes the latest technologies to continuously improve the management of the school and enhance student instruction.				
Time Management – Effectively uses available time to complete work tasks and activities that lead to the achievement of desired work or school results. Runs effective meetings.				
Visionary – Encourages Imagineering by creating an environment and structure to capture stakeholder dreams of what the school could become for all the students.				

Note: Description of North Carolina School Executive Competencies. North Carolina Department of Public Instruction (2012). Retrieved <http://www.dpi.state.nc.us/docs/ihe/remodeling/executive/nc-standards-executive.pdf> Copyright 2012 by North Carolina Department of Public Instruction.

**APPENDIX N: CONSENT FORM FOR MAYER SALOVEY CARUSO EMOTIONAL
INTELLIGENCE TEST (MSCEIT)**

East Carolina University



Survey Consent to Participate in Research

Emotional Intelligence Appraisal

Dear Participant,

I am a student at East Carolina University in the Educational Leadership department. I am asking you to take part in my research study entitled, “Developing a Principal Leadership Program in Craven County”.

The purpose of this research is to develop a principal induction program for Craven County Schools. Craven County Schools has too few experienced administrators. The problem is evident from Craven County’s principal turnover rate of 4% in 2011 to 20% in 2013, well above the state average of 10%. In addition to the high turnover rate, possible retirements, and limited advanced degrees, there are eleven principals who have three or less years of experience, fourteen principals with four to ten years of experience, and no principals with ten plus years of experience in the principalship. By doing this research, I hope to learn about the following:

1. Using the continuous improvement model, what is the comprehensive design of a Principal Induction Program to support school leaders for effective leadership in Craven County?
2. Based on the literature review, anecdotal notes, competency assessment surveys, emotional intelligence appraisal, and interviews, what components are deemed as essential to be an effective principal in Craven County?

Your participation is completely voluntary.

You are being invited to take part in this research because you are currently employed in Craven County Schools as a principal. The amount of time it will take you to complete this survey is approximately 30 minutes.

If you agree to take part in this survey, you will be asked questions that relate to Emotional Intelligence. The four branches assessed will be Perceiving Emotions, Facilitating Thought, Understanding Emotions, and Managing Emotions.

This research is overseen by the ECU Institutional Review Board. Therefore some of the IRB members or the IRB staff may need to review my research data. Your identity will not be evident to those individuals who see this information because a pseudonym will be used. I will take precautions to ensure that anyone not authorized to see your identity will not be given that information.

If you have questions about your rights when taking part in this research, call the Office of Research Integrity & Compliance (ORIC) at phone number 252-744-2914 (days, 8:00 am-5:00 pm). If you would like to report a complaint or concern about this research study, call the Director of ORIC, at 252-744-1971.

You do not have to take part in this research, and you can stop at any time. If you decide you are willing to take part in this study, continue with the online survey [https://www.mhsassessments.com/\(qnmj3cjz0twfro55xbp4qa3h\)/logon.aspx](https://www.mhsassessments.com/(qnmj3cjz0twfro55xbp4qa3h)/logon.aspx)

Thank you for taking the time to participate in my research.

Sincerely,

Cheryl F. Wilson, Principal Investigator

APPENDIX O: CONSENT FORM FOR INTERVIEWS
Consent to Participate in Research

East Carolina University



Interview

Dear Participant,

I am a student at East Carolina University in the Educational Leadership department. I am asking you to take part in my research study entitled, “Developing a Principal Leadership Program in Craven County”.

The purpose of this research is to develop a principal induction program for Craven County Schools.

Craven County Schools has too few experienced administrators. The problem is evident from Craven County’s principal turnover rate of 4% in 2011 to 20% in 2013, well above the state average of 10%. In addition to the high turnover rate, possible retirements, and limited advanced degrees, there are eleven principals who have three or less years of experience, fourteen principals with four to ten years of experience, and no principals with ten plus years of experience in the principalship. By doing this research, I hope to learn about the following:

1. Using the continuous improvement model, what is the comprehensive design of a Principal Induction Program to support school leaders for effective leadership in Craven County?
2. Based on the literature review, anecdotal notes, competency assessment surveys, emotional intelligence appraisal, and interviews, what components are deemed as essential to be an effective principal in Craven County?

Your participation is completely voluntary.

You are being invited to take part in this research because you are currently employed in Craven County Schools as a principal with three or less years of experience as a principal. The amount of time it will take you to complete this interview is approximately thirty minutes. I will email the questions to you ahead of time.

If you agree to take part in this interview, you will be asked questions that relate to the North Carolina School Executive Competencies. They are: Communication, Change Management, Conflict Management, Creative Thinking, Customer Focus, Delegation, Dialogue/Inquiry, Emotional Intelligence, Environmental Awareness, Global Perspective, Judgment,

Organizational Ability, Personal Ethics and Values, Personal Responsibility for Performance, Responsiveness, Results Orientation, Sensitivity, Systems Thinking, Technology, Time Management, and Visionary.

This research is overseen by the ECU Institutional Review Board. Therefore some of the IRB members or the IRB staff may need to review my research data. Your identity will be evident to those individuals who see this information. However, I will take precautions to ensure that anyone not authorized to see your identity will not be given that information.

If you have questions about your rights when taking part in this research, call the Office of Research Integrity & Compliance (ORIC) at phone number 252-744-2914 (days, 8:00 am-5:00 pm). If you would like to report a complaint or concern about this research study, call the Director of ORIC, at 252-744-1971.

You do not have to take part in this research, and you can stop at any time. If you decide you are willing to take part in this study, please initial the AGREE box below and I will contact you for a convenient day and time for the interview. Please check either YES or NO regarding permission to audio/video record to ensure the accuracy of the data collected.

Thank you for taking the time to participate in my research.

Sincerely

Cheryl F. Wilson, Principal Investigator

_____ YES to audio/video record interview

_____ NO to audio/video record interview

**APPENDIX P: INTERVIEW QUESTIONS FOR
FIRST & SECOND YEAR PRINCIPALS**

1. *Communication*-Describe a time when you communicated as a principal with a stakeholder. Upon reflection, how would you have communicated differently in the same situation?
2. *Change Management*-Describe an incident when you engaged staff and the community in the change process. Upon reflection, how would you have engaged the staff and community differently?
3. *Conflict Management*-Describe a time when you dealt with a confrontation, disagreement, or a complaint. Upon reflection, how would you have handled the conflict differently?
4. *Creative Thinking*-Describe an event in which you engaged others in fostering an environment of creative thinking. Upon reflection, how would you have engaged others differently?
5. *Customer Focus*-Describe a time when you exhibited an understanding of stakeholder needs. Upon reflection, how would you have focused stakeholder needs differently?
6. *Delegation*-Describe a time when you assigned work tasks to others to provide a learning opportunity and ensure the efficient operation of the school. Upon reflection, how would you have delegated differently?
7. *Dialogue/Inquiry*-Describe a time when you engaged others in conversations to explore issues, challenges or bad relationships. Upon reflection, how would you have had conducted the conversations differently?

8. *Emotional Intelligence*-Describe a time when you had to manage your emotions and remain aware of others emotions to build or maintain a positive relationship with others. Upon reflection, how would you have handled the situation differently?
9. *Environmental Awareness*-Describe how you remain aware of the external and internal trends, interests, and issues. Upon reflection, how would you have kept aware of the issues for the future?
10. *Global Perspective*-Describe how you remain aware of the competitive nature of the global economy and its impact of student success. Upon reflection, how would you have remained aware differently of the global knowledge and skills students need?
11. *Judgment*-Describe an incident in which you were required to reach a logical conclusion and make a high level decision. Upon reflection, how would you have prioritized, analyzed, and interpreted differently?
12. *Organizational Ability*-Describe a time when you planned and scheduled your own work and the work of others. Upon reflection, how would you have organized differently?
13. *Personal Ethics and Values*-Describe an event in which you were required to exhibit high standards. Upon reflection, how would you have exhibited the standards differently?
14. *Personal Responsibility for Performance*-Describe a time when you exercised continuous improvement. Upon reflection, how would you have focused on the process of continuous improvement differently?
15. *Responsiveness*-Describe an incident that you were required to respond to an issue or stakeholder. Upon reflection, how would you have responded differently?

16. *Results Orientation*-Describe a time when you assumed responsibility and resolved issues while balancing them with goals. Upon reflection, how would you have responded differently?
17. *Sensitivity*-Describe an incident in which you perceived a need and dealt with the concern tactfully. Upon reflection, how would you have handled the situation differently?
18. *Systems Thinking*-Describe an event where you demonstrated an understanding of the interrelationship of the internal and external stakeholders. Upon reflection, how would you have applied the knowledge differently to advance the achievement of the school?
19. *Technology*-Describe a time when you utilized technology to improve management of the school and enhance student learning. Upon reflection, how would you have applied technology differently?
20. *Time Management*-Describe an event when you implemented time management. Upon reflection, how would you have used time differently?
21. *Visionary*-Describe a time when you shared the vision of your school. Upon reflection, how would you have shared the vision differently?

**APPENDIX Q: COMPETENCY ASSESSMENT DISCREPANCIES BY
INDIVIDUAL ROOKIE PRINCIPALS AND THEIR SUPERVISORS**

Principal Level	Communication	Change Management	Conflict Management	Creative Thinking	Customer Focus	Delegation	Dialogue/Inquiry	Emotional Intelligence	Environmental Awareness	Global Perspective	Judgment	Organizational Ability	Personal Ethics and Values	Personal Responsibility for Performance	Responsiveness	Results Orientation	Sensitivity	Systems Thinking	Technology	Time Management	Visionary
Rookie A	A	A	0	0	0	0	0	A	A	A	A	0	A	A	0	A	A	A	A	A	A
	A	0	A	0	0	0	0	A	0	0	A	A	0	A	A	0	A	0	0	0	0
	0	1	-1	0	1	0	0	0	1	1	0	-1	0	1	-	1	0	1	1	1	1
Rookie B	0	0	0	0	0	0	0	0	0	0	0	0	A	0	0	0	0	0	0	0	0
	0	R	0	0	A	0	0	0	0	0	0	0	0	0	0	A	0	0	0	0	A
	0	1	0	0	-1	0	0	0	0	0	0	0	1	0	0	-1	0	0	0	0	-1
Rookie C	0	0	A	0	A	0	0	A	0	0	0	A	A	0	A	A	A	0	0	A	0
	A	0	0	0	A	0	0	R	0	0	0	0	A	0	0	A	A	A	0	0	A
	-1	0	1	0	0	0	0	1	1	0	0	0	0	0	1	-1	0	-1	0	1	-1

Principal Level	Communication	Change Management	Conflict Management	Creative Thinking	Customer Focus	Delegation	Dialogue/Inquiry	Emotional Intelligence	Environmental Awareness	Global Perspective	Judgment	Organizational Ability	Personal Ethics and Values	Personal Responsibility for Performance	Responsiveness	Results Orientation	Sensitivity	Systems Thinking	Technology	Time Management	Visionary	
Rookie D	R	R	R	R	O	O	R	R	R	O	R	R	A	R	R	R	O	R	R	R	R	
	O	O	A	O	A	O	O	O	O	O	O	A	A	A	O	A	A	A	A	A	A	A
	-1	-1	-2	-1	-1	0	-1	-1	-1	0	-1	-2	0	-2	1	-2	-1	-1	-2	-2	-2	-2
Rookie E	O	R	R	O	O	O	R	R	O	A	O	O	O	O	O	A	R	O	O	O	A	O
	O	O	A	O	A	A	O	O	R	A	A	A	A	O	O	A	A	O	O	A	O	A
	0	-1	-2	0	-1	-1	-1	-1	-2	-1	-1	-1	-1	0	0	0	-1	0	-1	-1	1	-1
Rookie F	A	A	O	A	A	O	O	A	A	A	A	O	A	A	A	A	A	A	A	A	A	A
	O	A	A	O	A	O	A	O	O	O	A	O	A	A	O	A	A	A	A	A	A	A
	1	0	-1	1	0	0	-1	0	1	1	0	0	0	0	1	0	0	0	1	1	1	0
Rookie G	O	O	A	O	A	A	O	A	A	A	A	A	A	A	A	A	O	A	A	A	A	O
	O	A	A	O	A	O	O	O	O	O	O	O	A	A	O	O	O	O	A	A	O	O
	0	-1	0	0	0	1	0	0	1	1	1	1	0	0	1	1	0	1	0	1	0	0

Principal Level	Communication	Change Management	Conflict Management	Creative Thinking	Customer Focus	Delegation	Dialogue/Inquiry	Emotional Intelligence	Environmental Awareness	Global Perspective	Judgment	Organizational Ability	Personal Ethics and Values	Personal Responsibility for Performance	Responsiveness	Results Orientation	Sensitivity	Systems Thinking	Technology	Time Management	Visionary
Rookie H	A	O	O	O	A	O	O	A	O	O	A	O	A	A	A	A	A	O	O	O	O
	O	O	A	O	A	O	O	O	O	O	O	A	A	O	O	O	A	O	O	A	A
	1	0	-1	0	0	0	0	1	0	0	1	-1	0	1	1	1	0	0	0	-1	-1
Rookie I	O	R	O	O	O	O	O	O	R	O	O	O	O	O	A	O	O	O	O	O	O
	O	O	O	O	A	O	O	O	O	O	A	O	A	O	O	O	O	O	A	O	O
	0	-1	0	0	-1	0	0	0	-1	0	-1	0	-1	0	1	0	0	0	-1	0	0
Rookie J	O	O	O	A	A	A	O	O	A	A	O	O	A	A	A	A	O	A	A	A	A
	A	A	O	O	A	O	O	A	O	O	A	A	O	O	O	A	A	O	O	O	A
	-1	-1	0	1	0	1	0	-1	1	1	-1	-1	1	0	1	0	-1	1	1	1	0
Rookie K	O	O	A	O	A	O	O	A	A	A	O	O	A	A	A	A	A	O	O	O	O
	O	O	A	A	A	O	A	A	A	O	A	O	A	A	A	A	A	A	O	A	O
	0	0	0	-1	0	0	-1	0	0	1	-1	0	0	1	0	-1	0	-1	0	-1	0

Note. A=Always O=Often R=Rarely N=Never. The discrepancies range from -2 to 2. Key= 2: Supervisor's rating is two levels higher than the principal's rating; 1: Supervisor's rating is one level higher than the principal's rating; 0: No discrepancy between the supervisor and the principal; -1: Supervisor's rating is one level lower than the principal's rating; -2: Supervisor's rating is two levels lower than the principal's rating

**APPENDIX R: COMPETENCY ASSESSMENT DISCREPANCIES BY
INDIVIDUAL NOVICE PRINCIPALS AND THEIR SUPERVISORS**

Principal Level	Communication	Change Management	Conflict Management	Creative Thinking	Customer Focus	Delegation	Dialogue/Inquiry	Emotional Intelligence	Environmental Awareness	Global Perspective	Judgment	Organizational Ability	Personal Ethics and Values	Personal Responsibility for Performance	Responsiveness	Results Orientation	Sensitivity	Systems Thinking	Technology	Time Management	Visionary	
Novice L	0	0	0	0	0	0	R	R	0	0	0	0	0	0	A	0	R	0	0	A	0	0
	0	0	0	0	0	0	R	0	0	0	0	0	0	0	0	0	0	0	A	0	0	0
	0	0	0	0	0	0	0	1	0	0	0	0	0	0	1	0	-1	0	-1	1	0	0
Novice M	0	0	A	0	A	0	0	0	A	A	0	0	A	A	A	A	0	A	A	A	0	0
	0	0	0	A	A	0	0	0	0	A	0	0	0	0	R	A	0	A	0	0	A	0
	0	0	1	-1	0	0	-1	0	1	1	0	0	1	1	2	0	0	0	1	1	-1	-1
Novice N	R	R	R	R	0	0	R	0	0	0	R	R	A	R	R	R	R	R	A	0	R	0
	0	0	0	0	A	0	0	0	0	A	A	0	A	A	A	0	A	0	A	A	0	0
	-1	-1	-1	-1	-1	0	-1	-1	0	-1	-2	-1	0	-2	-2	-1	-2	-1	0	-1	-1	-1

Principal Level	Communication	Change Management	Conflict Management	Creative Thinking	Customer Focus	Delegation	Dialogue/Inquiry	Emotional Intelligence	Environmental Awareness	Global Perspective	Judgment	Organizational Ability	Personal Ethics and Values	Personal Responsibility for Performance	Responsiveness	Results Orientation	Sensitivity	Systems Thinking	Technology	Time Management	Visionary
Novice	0	0	0	0	A	0	0	0	A	0	0	0	A	A	0	0	A	0	0	0	0
	0	0	0	0	A	R	R	A	A	0	0	0	A	0	0	A	A	A	0	0	A
	0	0	0	0	0	1	1	-1	0	0	0	0	0	1	0	-1	0	-1	0	0	-1
Novice																					
P	A	0	0	0	0	A	0	0	A	A	0	0	A	A	0	0	0	A	A	A	0
	0	0	A	A	0	0	0	A	A	A	0	A	A	A	0	0	A	A	0	A	0
	-1	0	-1	-1	0	1	0	-1	0	1	0	-1	0	0	0	0	-1	0	1	0	0
Novice																					
Q	0	0	0	0	0	0	0	R	0	0	0	0	0	0	R	0	0	0	0	R	0
	0	0	A	A	A	0	0	A	A	0	0	0	A	A	0	A	A	0	0	0	A
	0	0	-1	-1	-1	0	0	-2	-1	0	0	0	-1	-1	-1	-1	-1	0	0	-1	-1

Principal Level	Communication	Change Management	Conflict Management	Creative Thinking	Customer Focus	Delegation	Dialogue/Inquiry	Emotional Intelligence	Environmental Awareness	Global Perspective	Judgment	Organizational Ability	Personal Ethics and Values	Personal Responsibility for Performance	Responsiveness	Results Orientation	Sensitivity	Systems Thinking	Technology	Time Management	Visionary
Novice R	A	A	A	O	A	O	A	A	A	A	A	A	A	A	A	A	A	O	O	O	O
	O	A	A	A	A	O	A	A	O	O	R	O	A	O	A	A	A	R	R	R	A
	1	0	0	-1	0	0	0	0	1	1	2	1	0	1	0	0	0	-1	1	1	-1
Novice S	A	A	A	A	A	O	A	A	A	A	AI	A	A	A	O	A	A	A	A	A	A
	O	O	O	O	A	O	O	A	O	O	O	O	O	O	O	O	O	O	O	O	O
	1	1	1	1	0	0	1	0	1	1	1	1	1	1	0	1	1	0	1	1	1
Novice T	O	A	R	O	A	O	R	O	O	O	O	O	A	A	O	R	A	O	O	O	R
	O	A	R	A	A	A	A	A	A	O	A	A	A	A	A	A	A	A	O	A	O
	0	0	0	-1	0	-1	-2	-1	-1	0	-1	-1	0	0	-1	-2	1	-1	0	-1	-1

Principal Level	Communication	Change Management	Conflict Management	Creative Thinking	Customer Focus	Delegation	Dialogue/Inquiry	Emotional Intelligence	Environmental Awareness	Global Perspective	Judgment	Organizational Ability	Personal Ethics and Values	Personal Responsibility for Performance	Responsiveness	Results Orientation	Sensitivity	Systems Thinking	Technology	Time Management	Visionary
Novice U	A	0	0	0	A	0	0	0	A	A	AI	A	A	A	0	A	0	A	A	A	0
	0	0	0	0	A	0	0	0	0	0	0	0	A	0	A	0	0	0	0	0	0
	1	0	0	0	0	0	0	0	1	1	1	1	0	1	-1	1	0	1	1	1	0
Novice V	0	0	0	0	A	0	0	0	A	A	A	A	A	0	A	A	0	0	0	0	0
	0	0	0	0	0	0	0	0	0	0	0	0	A	0	0	A	0	0	0	0	0
	0	0	0	0	-1	0	0	0	1	1	1	1	0	0	1	0	0	0	0	0	0
Novice W	A	0	0	A	0	A	A	0	A	A	A	A	0	A	0	A	0	0	0	A	0
	0	0	A	0	0	0	0	A	0	0	0	0	A	A	0	A	A	A	0	0	A
	1	0	-1	1	0	1	1	-1	1	1	1	1	-1	0	0	0	-1	-1	0	1	-1

Principal Level	Communication	Change Management	Conflict Management	Creative Thinking	Customer Focus	Delegation	Dialogue/Inquiry	Emotional Intelligence	Environmental Awareness	Global Perspective	Judgment	Organizational Ability	Personal Ethics and Values	Personal Responsibility for Performance	Responsiveness	Results Orientation	Sensitivity	Systems Thinking	Technology	Time Management	Visionary
Novice X	A	O	O	O	A	A	O	O	O	A	A	A	A	A	A	A	O	O	O	A	O
	A	A	A	A	A	O	A	A	O	O	A	A	A	A	A	A	O	O	O	A	A
	0	-1	-1	-1	0	1	-1	-1	0	1	0	0	0	0	0	0	0	0	0	0	-1
Novice Y	A	A	A	A	A	O	O	O	A	A	A	A	A	A	A	A	O	A	A	A	A
	O	A	O	A	A	A	A	A	O	O	O	A	A	A	A	O	O	A	A	A	A
	1	0	1	0	0	-1	-1	-1	1	1	1	0	0	0	0	1	0	0	0	0	0

Note. A=Always O=Often R=Rarely N=Never. The discrepancies range from -2 to 2. Key= 2: Supervisor's rating is two levels higher than the principal's rating; 1: Supervisor's rating is one level higher than the principal's rating; 0: No discrepancy between the supervisor and the principal; -1: Supervisor's rating is one level lower than the principal's rating; -2: Supervisor's rating is two levels lower than the principal's rating.

**APPENDIX S: COMPETENCY ASSESSMENT PERCEPTIONS BY
PRINCIPALS AND THEIR SUPERVISORS**

Competency	Ratings	Rookie	Supervisors	Novice	Supervisors
		Principals		principals	
Change Management	Never	0	0	0	0
	Rarely	1	3	0	1
	Often	7	6	10	9
	Always	3	2	4	4
Communication	Never	0	0	0	0
	Rarely	0	1	0	1
	Often	8	7	13	6
	Always	3	3	1	7
Conflict Management	Never	0	0	0	0
	Rarely	0	2	1	2
	Often	4	6	8	8
	Always	7	3	5	4
Creative Thinking	Never	0	0	0	0
	Rarely	0	1	0	1
	Often	10	8	7	10
	Always	1	2	7	3
Customer Focus	Never	0	0	0	0
	Rarely	0	1	0	1
	Often	1	8	7	10
	Always	10	2	7	3
Delegation	Never	0	0	0	0
	Rarely	0	0	1	0
	Often	10	9	11	11
	Always	1	2	2	3
Dialogue/Inquiry	Never	0	0	0	0
	Rarely	0	2	2	3
	Often	9	9	7	8
	Always	2	0	5	3

Emotional Intelligence	Never	0	0	0	0
	Rarely	0	2	0	3
	Often	7	4	5	9
	Always	4	5	9	2
Environmental Awareness	Never	0	0	0	0
	Rarely	1	2	0	0
	Often	9	4	10	5
	Always	1	5	4	9
Global Perspective	Never	0	0	0	0
	Rarely	1	0	0	0
	Often	10	5	12	5
	Always	0	6	2	9
Judgment	Never	0	0	0	0
	Rarely	0	1	1	1
	Often	5	6	10	6
	Always	6	4	3	7
Organizational Ability	Never	0	0	0	0
	Rarely	0	1	0	1
	Often	6	9	10	6
	Always	5	1	4	7
Personal Ethics	Never	0	0	0	0
	Rarely	0	0	0	0
	Often	2	2	3	3
	Always	9	9	11	11
Responsibility for Performance	Never	0	0	0	0
	Rarely	0	1	0	1
	Often	7	4	7	3
	Always	4	6	7	10
Responsiveness	Never	0	0	0	0
	Rarely	0	1	1	2
	Often	9	3	7	6
	Always	2	7	6	6
Results Orientation	Never	0	0	0	0
	Rarely	0	1	0	2
	Often	4	4	6	4
	Always	7	6	8	8

Sensitivity	Never	0	0	0	0
	Rarely	0	1	0	2
	Often	4	5	7	8
	Always	7	5	7	4
Systems Thinking	Never	0	0	0	0
	Rarely	0	1	0	1
	Often	8	6	7	9
	Always	3	4	7	4
Technology	Never	0	0	0	0
	Rarely	0	1	1	0
	Often	7	6	10	8
	Always	4	4	3	6
Time Management	Never	0	0	0	0
	Rarely	0	1	1	1
	Often	8	4	8	5
	Always	3	6	5	8
Visionary	Never	0	0	0	0
	Rarely	0	1	0	2
	Often	4	7	7	10
	Always	7	3	7	2

Note. Total of 25 principals, 11 Rookie principals and 14 Novice principals. Each principal self-assessed using a 4 point Likert scale of Never, Rarely, Often, or Always, regarding the 21 competencies outlined in the NC School Executive Instrument. Each supervisor assessed their respective principals using the same 4 point Likert scale.

**APPENDIX T: COMPETENCY DISCREPANCIES BETWEEN PRINCIPALS AND
THEIR SUPERVISORS**

COMPETENCY	Ratings	Rookie	Novice	COMPETENCY	Ratings	Rookie	Novice
Change Management	-2	0	0	Communication	-2	0	0
	-1	5	2		-1	3	2
	0	4	11		0	6	7
	1	2	1		1	2	5
	2	0	0		2	0	0
Conflict Management	-2	2	0	Creative Thinking	-2	0	0
	-1	3	5		-1	2	7
	0	5	6		0	7	5
	1	1	3		1	2	2
	2	0	0		2	0	0
Customer Focus	-2	0	0	Delegation	-2	0	0
	-1	4	3		-1	1	2
	0	6	11		0	8	8
	1	1	0		1	2	4
	2	0	0		2	0	0
Dialogue/Inquiry	-2	0	1	Emotional Intelligence	-2	0	1
	-1	4	4		-1	3	7
	0	7	6		0	6	5
	1	0	3		1	2	1
	2	0	0		2	0	0
Environmental Awareness	-2	0	0	Global Perspective	-2	1	0
	-1	2	2		-1	0	1
	0	4	5		0	5	4
	1	5	7		1	5	9
	2	0	0		2	0	0
Judgment	-2	0	1	Organizational Ability	-2	1	0
	-1	5	1		-1	4	3
	0	4	6		0	5	6
	1	2	5		1	1	5
	2	0	1		2	0	0

Personal Ethics and Values	-2	0	0	Responsibility for Performance	-2	1	1
	-1	2	2		-1	0	1
	0	7	10		0	7	7
	1	2	2		1	3	5
	2	0	0		2	0	0
Responsiveness	-2	0	1	Results Orientation	-2	1	1
	-1	2	3		-1	3	3
	0	3	7		0	4	7
	1	6	2		1	3	3
	2	0	1		2	0	0
Sensitivity	-2	0	1	Systems Thinking	-2	0	0
	-1	3	4		-1	3	5
	0	8	7		0	5	8
	1	0	2		1	3	1
	2	0	0		2	0	0
Technology	-2	1	0	Time Management	-2	1	0
	-1	2	1		-1	2	3
	0	5	8		0	2	5
	1	3	5		1	6	6
	2	0	0		2	0	0
Visionary	-2	1	0				
	-1	4	8				
	0	5	5				
	1	1	1				
	2	0	0				

Note. Total of 25 principals, 11 Rookie principals and 14 Novice principals. Supervisors used a 4 point Likert scale of Never (1), Rarely (2), Often (3), or Always (4) to rate their respective principals regarding the 21 competencies outlined in the NC School Executive Instrument. The results were compared to the principals' ratings using the same Likert scale and the 21 competencies. The discrepancies range from -2 to 2. Key= 2: Supervisor's rating is two levels higher than the principal's rating; 1: Supervisor's rating is one level higher than the principal's rating; 0: No discrepancy between the supervisor and the principal; -1: Supervisor's rating is one level lower than the principal's rating; -2: Supervisor's rating is two levels lower than the principal's rating.

**APPENDIX U: INDIVIDUAL ROOKIE EMOTIONAL INTELLIGENCE
STANDARD SCALE SCORES**

	Experiential Emotional Intelligence				Strategic Emotional Intelligence				Total	Positive/Negative Bias	Scatter Score
	Perceiving Emotions		Facilitating Thought		Understanding Emotions		Managing Emotions				
	Faces	Pictures	Facilitation	Sensations	Changes	Blends	Emotional Management	Emotional Relations			
Rookie A	70	77	74	99	114	108	99	81	80	102	126
Rookie B	91	98	111	100	94	99	104	99	100	96	82
Rookie C	101	105	106	112	90	94	96	98	103	121	92
Rookie D	87	69	63	70	89	90	99	81	68	83	87
Rookie E	85	105	119	108	97	95	95	111	104	110	108
Rookie F	71	105	84	84	93	100	89	84	83	112	97
Rookie G	97	112	77	91	85	107	80	91	89	95	110
Rookie H	75	79	86	91	83	84	98	89	78	102	80
Rookie I	143	112	123	113	106	98	104	106	123	106	92
Rookie J	143	103	125	85	103	99	96	105	109	100	104
Rookie K	143	107	111	112	105	90	102	112	115	94	94

Note. The average range is 100 and a standard deviation of 15. Each of the scores are stated in standard scale scores. Data are from the Scored Dataset provided by MultiHealth Systems Assessments and printed with permission.

**APPENDIX V: INDIVIDUAL NOVICE EMOTIONAL INTELLIGENCE
STANDARD SCALE SCORES**

	Experiential Emotional Intelligence				Strategic Emotional Intelligence				Total	Positive/Negative Bias	ScatterScore
	Perceiving Emotions		Facilitating Thought		Understanding Emotions		Managing Emotions				
	Faces	Pictures	Facilitation	Sensations	Changes	Blends	Emotional Management	Emotional Relations			
Rookie A	70	77	74	99	114	108	99	81	80	102	126
Rookie B	91	98	111	100	94	99	104	99	100	96	82
Rookie C	101	105	106	112	90	94	96	98	103	121	92
Rookie D	87	69	63	70	89	90	99	81	68	83	87
Rookie E	85	105	119	108	97	95	95	111	104	110	108
Rookie F	71	105	84	84	93	100	89	84	83	112	97
Rookie G	97	112	77	91	85	107	80	91	89	95	110
Rookie H	75	79	86	91	83	84	98	89	78	102	80
Rookie I	143	112	123	113	106	98	104	106	123	106	92
Rookie J	143	103	125	85	103	99	96	105	109	100	104
Rookie K	143	107	111	112	105	90	102	112	115	94	94

Note. The average range is 100 and a standard deviation of 15. Each of the scores are stated in standard scale scores. Data are from the Scored Dataset provided by MultiHealth Systems Assessments and printed with permission.

	Experiential Emotional Intelligence				Strategic Emotional Intelligence				Total	Positive/Negative Bias	ScatterScore
	Perceiving Emotions		Facilitating Thought		Understanding Emotions		Managing Emotions				
	Faces	Pictures	Facilitation	Sensations	Changes	Blends	Emotional Management	Emotional Relations			
Novice L	85	95	96	73	85	91	104	85	82	117	91
Novice M	65	87	91	64	92	69	88	80	67	113	82
Novice N	88	86	90	102	101	102	108	104	96	95	98
Novice O	106	94	95	103	102	90	92	107	102	101	92
Novice P	96	85	94	92	96	92	116	111	96	94	102
Novice Q	71	109	77	84	93	84	86	88	79	106	93
Novice R	71	103	81	89	86	97	97	108	87	122	105
Novice S	70	81	111	91	100	85	111	91	86	129	115
Novice T	75	84	90	74	103	83	105	95	85	103	101
Novice U	76	74	81	69	95	102	93	99	77	106	103
Novice V	94	96	104	99	98	97	116	108	104	96	90
Novice W	116	96	104	84	102	102	93	89	97	112	102
Novice X	89	77	110	85	110	93	96	98	89	97	105
Novice Y	92	112	112	82	94	109	104	106	104	101	109

Note. . The average range is 100 and a standard deviation of 15. Each of the scores are stated in standard scale scores. Data are from the Scored Dataset provided by MultiHealth Systems Assessments and printed with permission.

