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Leadership Characteristics of Georgia High Performance Middle School Principals Compared to Collins' Level 5 Leaders

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LEADERSHIP CHARACTERISTICS OF GEORGIA HIGH PERFORMANCE
MIDDLE SCHOOL PRINCIPALS COMPARED TO
COLLINS' LEVEL 5 LEADERS

by

SANDRA T. DOMINY

(Under the Direction of Barbara Mallory)

ABSTRACT

Business and social sectors have identified characteristics of exemplary leaders. In 2006, the Georgia Department of Education established criteria for a Georgia High Performance Principal, which was based on student achievement instead of leadership performance; however, Collins' description of exemplary leaders in the business sector as Level 5 leaders was based on individual performance not solely on the organization. Level 5 leaders showed characteristics of personal humility and professional will as well as the following characteristics: modesty; calm determination; supporting established standards; training successors; giving credit to others; creating excellent results; supporting change; unwavering resolve; modeling expectations; and never blaming. Collins' asserted that Level 5 leaders existed everywhere. Thus, the purpose of this study was to examine the similarities of middle school Georgia High Performance Principals and Level 5 leaders.

The multiple case study approach allowed the researcher to observe three middle school principals in their school settings, to interview assistant principals and others in the schools, and to review documents related to their leadership characteristics. The researcher also assessed the personality profile of these principals, using the True Colors™ personality profile. Additionally, data form Collins' description of a Level 5

leader was collected and analyzed.

Common themes and patterns obtained from the data yielded the following leadership characteristics found in all three Georgia High Performance Principals: modesty; calm determination; supporting established standards; training successors; giving credit to others; creating excellent results; supporting change; unwavering resolve; modeling expectations; never blaming; promoting professional development; clear vision; good communication; trusting; inspiring others to reach goals; supportive leader; and serving as a role model. According to the findings of this study, Georgia High Performance Principals share common leadership characteristics of Collins' Level 5 leaders. In conclusion, high performance principals can be described to possess personal humility and professional will. Additionally, the Level 5 principals had a long-term relationship with the school they lead. Thus, this relationship was a major benefit to "growing your own" leaders. Therefore, recommendations from this study included, school systems should provide training to prospective and current leaders on topics related to Level 5 leadership, personal humility, and professional will.

INDEX WORDS: Georgia High Performance Principals, Exemplary leaders, Effective leadership, Principal leadership characteristics, Qualitative research

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DEDICATION

This study is dedicated to my husband, Andy Dominy. I cannot thank you enough for your patience, encouragement, and selflessness while I worked toward this personal and professional goal. You never complained about the time working toward this degree took away from our family time. I love and appreciate you more than I can ever express in words. Thank you for making my life so happy and being my soul mate. I love you!

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CHAPTER 1

Introduction

"Potential Level 5 leaders exist all around us, if we just know what to look for, and that many people have the potential to evolve into Level 5" (Collins, 2001,p.39).

School leaders have great potential to influence school improvement and student achievement (Marzano, Waters & McNulty, 2005). In both higher education and school district settings, an increased emphasis on leadership training has emerged. As a matter of fact, in many states, new certification requirements aligned to new standards, such as Interstate School Leaders' Licensure Consortium (ISLLC) and Educational Leadership Consortium Council (ELCC) have reframed leadership training and development. For example, the state of Georgia sunset all university principal preparation programs in 2007 and called for redesign of leadership programs in order to focus on skills and behaviors needed by school leaders in 21st century schools.

For many years educational leadership training was influenced by the business sector. However, a business model of leadership did not converge with leadership characteristics required of modern day school leaders. The business sector defined effective leaders as possessing a certain level of leadership needed to achieve greatness (Collins, 2001; Kouzes & Posner, 1995). Along the same view, the social sector, particularly education, continued the attempt to define the level of leadership of effective leaders, or high performance principals. According to Reeves (2006), schools with high results were thought to have an effective leader. If the school had low results, the leader was considered ineffective. This assumption, however, did not discern between the leader who achieved high results through luck or through professional effectiveness.

This study focused on a comparison of leadership characteristics of designated Georgia High Performance Principals and Collins' Level 5 leaders. Principals who are trained and developed are serving in schools as leaders, yet the literature is unclear as the effectiveness of principals selected as high performing. Are high performing leaders comparable to business leaders and political leaders who have attained greatness? The purpose of the study was to examine the commonalities of middle school Georgia High Performance Principals and Level 5 leaders as described in the literature.

Background of the Study

Effective leadership was studied from a global view which included leaders in the business and social sectors. Education has long focused on effective leadership being tied to high student achievement (Reeves, 2002). According to Covey (1989), effective leaders demonstrated several behaviors that generated positive results, such as the following: controlling the work environment; responding to key circumstances; keeping the goals of the organization as the focus; concentrating on behaviors that directly relate to the organizational goals; ensuring all members of the organization benefit when established goals were met; encouraging collaboration and cooperation among all stakeholders to improve production; keeping strong lines of communication; and understanding the needs within the organization. Covey's effective leaders also learned from previous mistakes and developed strategies to avoid repeating errors (Marzano, Waters & McNulty, 2005).

Yukl's (2002) research findings showed leaders who exhibited certain behaviors in personality, motivation, and skill had a higher probability of being successful. They were described as transformational leaders as they reshaped the school to be an effective

institution. Sousa (2003) agreed in part with Yukl, but concluded leadership was more than personality. He believed the leader had to develop skills to motivate people to work for the goals of the organization. Effective leaders knew the rules that governed their positions. These leaders had the knowledge base and skills to demonstrate effective instructional strategies (Sousa, 2003).

High Performing Leader

Not surprisingly, education was influenced by ideas from the business sector as far back as the 1980's with Deming's Total Quality Management (TQM). Kouzes and Posner (1995) through interviews, case analysis, and surveys of approximately 60,000 participants found five fundamental practices of exemplary leaders. Participants in this study included middle- and senior-level managers in private- and public-sectors, community leaders, student leaders, church leaders, government leaders, and other non-managerial positions. Findings showed exemplary leaders were able to challenge the process, inspire a shared vision, enable others to act, model the way, and encourage the heart. Applying these behaviors, Lockhart (2007) conducted a study on principals who had completed the Georgia's Leadership Institute for School Improvement (GLISI) training to determine the impact of the training on changing leadership behaviors. This researcher found that principals believed the GLISI training benefited them in creating a vision, setting goals, empowering teachers, and becoming examples for teachers and staff by modeling leadership behaviors. Whether in business or school settings, effective leaders were expected to serve as a role model and model the expected behaviors.

High performing leaders in education exhibited these behaviors as instructional leaders (Sergiovanni, 1991). Many studies had been conducted on the principal as the

instructional leader (Arikewuyo, 2007; Eck, 2005; Mercer, 2004; O'Donnell & White, 2005). Furthermore, most of these studies based the leader's effectiveness on the Hallinger's (1987) Principal Instructional Management Rating Scale (PIMRS). Hallinger's instrument assessed three dimensions of the principal's instructional leadership role: (a) Defining the School Mission; (b) Managing the Instructional Program; and (c) Promoting the School Learning Climate. This instrument then provided information on the frequency of behaviors, not the quality or level of the behaviors. Some researchers had modified the PIMRS by adding leadership related topics such as communication skills, management, and traits (Eck, 2005). Other countries, such as China and Nigeria, had used a similar instrument known as the Principal's Leadership Capacities Questionnaire (PLCQ), which was originally developed to measure the capacities of Chinese principals to determine principal effectiveness (Arikewuyo, 2007).

In 2006, the Georgia Department of Education defined a high performance leader as one who met the established criteria for a Georgia High Performance Principal, including: (1) the candidate's school showed higher than expected scores on state Criterion Referenced Competency Test (CRCT) in four of five subjects assessed in elementary and middle schools; (2) the candidate's school showed higher than expected scores on Georgia High School Graduation Tests (GHSGT) in three of four subjects; (3) the candidate was principal for three consecutive years at the same site; (4) the candidate's school was not currently in the Needs Improvement (NI) status; (5) the candidate met other goals relating to Adequate Yearly Progress (AYP), such as graduation rate, End of Course Test (EOCT) performance, and gains on Scholastic Aptitude Test (SAT) scores (Governor Sonny Perdue - Office of the Governor, n.d.).

Terris R. Ross, Data Analysis Specialist at the Georgia Department of Education, explained that the phrase "higher than expected" referred to achievement levels that were higher than the levels predicted for the school based on its percentage of economically disadvantaged students. Additionally, this level was calculated using a statistical procedure known as linear regression. Ross further expanded by stating the selection of schools from which Georgia High Performance Principals were identified, the percentage of economically disadvantaged students was used as a predictor of student achievement in reading, English/language arts, math, science and social studies because student socioeconomic status was significantly correlated to academic achievement. Linear regression (or prediction) equations were produced that provided evidence of the amount of variation in achievement explained by the percent of economically disadvantaged students in the school. Generally speaking, the greater the percentage of students who were economically disadvantaged, the lower the predicted mean score was for that school on achievement tests in each content area.

Therefore, when the state referred to schools that perform "higher than expected," this meant the school's mean scale score (in the highest grade assessed) for a given content area was (statistically) significantly higher than the score predicted for them using the regression/prediction equation. For the Georgia High Performance Principals program, the criteria for school selection were set at 0.5 standard deviations (or more) above the predicted or "expected" score. Schools that met this criterion (and others) have obtained achievement levels higher than what would be expected given the population of economically disadvantaged students in their school. In the absence of other explanations/predictors of student achievement levels, the state believed the

school/school leader's implementation of strategies and interventions to address subgroup needs had resulted in "higher than expected" achievement. In effect, the state was attempting to identify schools and school leaders who had success in meeting the needs of all students and specifically those students who were economically disadvantaged (T. Ross, personal communication, June 18, 2008). Therefore, Georgia had based the criteria for a high performance principal solely on student achievement as defined by the No Child Left Behind Act (NCLB) (Public Law 107-110), after accounting for percentages of economically disadvantaged students within the school.

However, as a school leader who had been able to generate high performance from the school as an organization, it might be taken for granted that the principal exhibited behaviors of leadership that could identify him or her as an exemplary leader. Even though the NCLB act required each school to break down standardized test data by gender, race, family income, and other categories, the high performance principals in Georgia led schools to engage in high student performance in four of the five subject areas assessed.

Middle schools were held accountable for several categories of students, including racial/ethnic categories, disabilities, limited English proficiency, and socio-economic status. Each category was referred to as a subgroup. Students were expected to show academic progress each year toward an established annual measurable objective (AMO) in order for the school to make AYP (Georgia Department of Education, 2007). Most middle schools had several subgroups due to the student population. Each subgroup as well as the total school population met the AMO for four of the five subject areas on

the CRCT in order for a middle school principal to be considered a high performance

principal.

Unlike other school levels with a few AYP accountable grade levels, all grade

levels were AYP accountable at a middle school (Georgia Department of Education,

2007). The Georgia legislature recognized the importance of strong leadership in middle

schools by the passing of Senate Bill 486. This bill, passed on February 8, 2006,

established a $3 million dollar grant program to recruit high performance principals for

middle and high schools (Governor Sonny Perdue - Office of the Governor).

Level 5 Leader

Jim Collins (2001), author of *Good to Great*, concluded there were different

levels of leadership in the business sector. Each level of leadership was composed of

certain leadership characteristics. After studying eleven companies from the Fortune 500

list which made the transition from being "good to great," Collins found a common

factor. All eleven companies had a Level 5 leader. According to Collins, a Level 5 leader

demonstrated behaviors of personal humility and professional will. Personal humility

included behaviors such as modesty, calm determination, supporting established

standards, training successors, and giving credit to others for the success of the

organization. Professional will included behaviors such as creating excellent results,

being supportive through changes, having an unwavering resolve to do whatever it takes,

modeling the expectations for everyone, and never blaming others for the organization's

failures. Level 4 leaders could be effective, but they did not demonstrate two dimensions,

personal humility and professional will, of the Level 5 leader. Level 4 leaders took an

organization from the mediocrity of good to obtain greatness (Collins, 2001), but the

greatness of the organization was not sustained, which Collins accounted for by absence of professional will and personal humility.

Several research studies cited a need for Level 5 leaders in education (Fullan, 2003, 2005; Hargreaves & Fink, 2003). Fullan (2003) stated, "the current principalship has plenty of Level 1 through 3 leaders who are good principals. Level 4 leaders were fewer in number. These principals could turn around a failing school, but were unable to sustain greatness. There was a need for Level 5 leaders as principals who were more like chief operating officers than managers" (pp.10-11). Marzano (2003) emphasized strong leadership from a principal could influence school reform. He also refuted Collins' finding by citing that an individual's professional will and personal humility were not major factors in school reform.

The literature was not clear on the distinction of evidence of Level 5 leaders in the educational setting. Several of the instruments used to measure principal effectiveness, for example, Hallinger's (1987) Principal Instructional Management Rating Scale (PIMRS) did not measure personal humility and professional will. Fullan and Hargreaves agreed Level 5 leaders were needed in education. Marzano did not find evidence of research supporting that an individual could influence change by will and personal humility (Marzano, 2003). Many states and professional organizations recognized great leaders, such as Georgia's designation of high performance principals. However, how the characteristics of the principals compared to the business Level 5 leader was less clear.

<div align="center">Statement of the Problem</div>

Were Georgia High Performance Principals Level 5 leaders? A Level 5 leader was an individual who displayed behaviors characteristic of personal humility and

professional will, as well as leadership behaviors of a Level 4 leader which included commitment to vision, high expectations, organizing people and resources, and being a team member. These leaders had obtained a level of greatness through consistent leadership characteristics. Level 5 leaders had typically been identified in the business sector. Several mixed method studies of effective leaders concluded that successful corporations had a person in leadership who exhibited behaviors similar to the Level 5 leader. However, there was more research on the level of leadership in the business sector than the social sector, including education.

Furthermore, education typically defined an effective leader based on the accomplishments of the school. Since the NCLB Act, the success of a school was based largely on the performance of students on state tests. Schools were publicly designated as having met adequate yearly progress or not based mainly on state accountability measures. Much of educational research focused on the effective principal being an instructional leader. In 2006, the Georgia Department of Education set criteria for Georgia High Performance Principals based on student achievement. This title demonstrated that the leader was effective in improving performance. However, little was known of high performance principals' leadership characteristics and behaviors. Even less was known about the similarities of high performance principals in comparison to the traits of the Level 5 leader.

Therefore, the purpose of this study was to explore the characteristics of Georgia's High Performance Principals at the middle school level to understand the similarities of their leadership to Level 5 leaders in business. More specifically, the researcher intended to focus on a common group of middle school principals because the

setting and context of their leadership were similar in nature. In other words, Georgia's criteria for high performance principals were based on student achievement and each grade level within the middle school was accountable for achieving AYP under NCLB guidelines. The researcher's intent was to examine the leadership characteristics of these principals to understand how or if they were demonstrative of Level 5 leaders.

Research Questions

The overarching research question in this study was: How are Georgia High Performance Principals in middle schools demonstrative of Level 5 leaders?

1. What are the leadership characteristics of Georgia's High Performance Principals at the middle school level?

2. What common leadership characteristics describe Georgia's High Performance Principals at the middle school level?

3. How are leadership characteristics of high performance middle school principals related to Level 5 leader characteristics?

Significance of the Study

This research study was significant because little or no research had been conducted on an effective principal's level of leadership related to Collins' Level 5 leaders. The focus of most educational research was on an effective principal's being an instructional leader, identifying such characteristics as being a role model, a change agent, a good communicator, establishing a clear vision, being a resource provider, and encouraging shared leadership. While the business sector had identified several leadership characteristics describing a Level 5 leader, this application was not thoroughly examined in the educational sector. Georgia identified high performance principals based

on student performance on standardized achievement tests. Limited research had been

conducted to understand how high performance principals were demonstrative of Level 5

leaders. This researcher's findings could provide principals, the state department of

education, and professional educators' organizations with an understanding of

commonalities of high performance leadership in education compared to high

performance leadership in the business sector.

The political arena could also be impacted by this study by possibly influencing

policies relating to leadership performance criteria. If principals are comparable to Level

5 leaders in business, personnel policies could be impacted to include recognition and

incentives for high performance principals. During the time of this study, Georgia

required all personnel employed by local educational agencies to have an annual

performance evaluation by a trained evaluator. The Official Code of Georgia Annotated

(O.C.G. A.) 20-2-210 required administrators to have an annual performance evaluation,

but did not state the instrument or the criteria for the evaluation (The State of Georgia,

n.d.). Some local educational agencies took this state code and developed local

professional personnel evaluation policies. These local policies usually restated the

Georgia code of requiring an annual performance evaluation along with specifying the

evaluation instrument which was used (Appling County Schools Board Policy Manual,

2002). This study could assist local districts in developing criteria for adequate leadership

performance in relation to high performance leadership characteristics.

Local school districts, schools, administrators, colleges, universities and teachers

could benefit from the results of this study. Additionally, results of this study could

provide topics for professional development training. School districts and school

personnel could provide training for assistant principals, counselors, instructional coaches, department heads or grade-level chairs to develop Level 5 leaders within the school setting. Training for inexperienced principals and assistant principals could be on-going. The findings of this study could benefit colleges and universities by examining modules of leadership characteristics that may need to be included in programs of study for teachers and administrators seeking a higher degree in leadership.

Education in the 21st century has continued to change due to the NCLB Act of 2001 (Public Law 107-110, 2002). This legislation placed pressure on principals to improve student achievement. The participants in this study were Georgia High Performance Principals of middle schools. Achieving this distinction was difficult for a middle school principal to achieve due to the criteria of students scoring higher than expected on the state CRCT in four of five categories and every grade level is AYP accountable. The findings of this study could benefit middle school principals in learning common leadership characteristics of those who achieved the distinction of high performance principal. Principals seeking to improve leadership characteristics could have data to support request for professional development in growing Level 5 leaders within themselves, the school, and the district. This study provided participants a venue in which to share leadership characteristics with other leaders, as well as recognition within education that Level 5 leaders exist.

This researcher took special interest in determining the commonalities of Georgia High Performance Principals at the middle school level in comparison to leadership characteristics of a Level 5 leader. As Director of Instruction for the school district, it was a passion of the researcher to continue searching for professional learning opportunities

for all educators. Professional learning should be modeled by the principal. DuFour (2001) stated, "When principals model a commitment to their own ongoing professional development, when they demonstrate openness to new experiences and ideas, when they are willing to pose questions and engage in action research, they increase the likelihood that others on the staff will make a similar commitment" (p.16). This researcher was in a position to offer professional learning services to current leaders and prospective leaders. It was also an interest of this researcher to develop school leadership characteristics descriptive of a Level 5 leader.

<div align="center">Procedures</div>

The qualitative research design was used in this study. This design allowed the researcher to study the participants in their natural settings. The case study approach of the qualitative research design was applied since the researcher examined the lived experiences of Georgia High Performance Principals in middle schools (Creswell, 2007).

The participants of this study consisted of three middle school principals in the First District Regional Educational Service Agency (FDRESA) who were 2007 and 2008 Georgia High Performance Principals. Other participants included the assistant principal and three staff members at each school. These participants were selected using criterion sampling. Each of the three middle schools was located in the FDRESA and was considered a distinguished school. All schools had greater than 62% economically disadvantaged student population. Enrollment for these schools in 2007 ranged from 410 to 696 students (Georgia Department of Education, n.d.a).

Data was collected through semi-structured, open-ended interviews, archival data, observations and principals' personality profiles. Using the multiple case study approach,

the researcher analyzed the participants' statements for common themes and patterns of leadership characteristics. Principals also completed a True Colors™ personality profile.

The researcher acted as a participant observer and collected field notes based upon the school setting, actions, events, and communications with informants. Data from the qualitative research design was analyzed, coded, and categorized to determine relationships of high performance principals and Level 5 leaders. This researcher utilized triangulation by using different sources of data such as interview, observation, and personality profiles.

The researcher designed an interview matrix to identify and code common themes and patterns for each of the participant's individual responses. Other data was analyzed, coded and categorized to confirm patterns among Georgia High Performance Principals. Data gathered through interviews, observations, and personality profiles were transcribed using Microsoft Word. Following transcription the data was exported from Microsoft Word to Microsoft Excel. Using the Excel spreadsheet, frequency codes were calculated.

<div align="center">Delimitations</div>

- This researcher confined this study to middle school Georgia High Performance Principals in FDRESA. This district had four of the six 2007 Georgia High Performance Principals in School Improvement Region Two. Three of the four principals were studied due to one principal transferring to a high school principal's position in fall 2008.
- This study was designated to compare high performance principals and Collins' Level 5 leaders.

Limitations

- Sustainability of academic performance was unknown due to the principal's remaining the leader of the school at the current time of the study. The Level 5 leader in the business model led an organization that sustained success after the leader left the organization. Although sustainability was not used as a factor, this study was limited to the number of years the principal has held his/her current leadership role.

- Results of this study may have revealed a different outcome if conducted on Georgia High Performance Principals at different grade levels due to other factors such as organizational goals and structure.

- The findings of this study were based on the defined Level 5 characteristics of professional will and personal humility. These characteristics were viewed differently when taken out of the business setting and placed into the education setting. Thus, the researcher defined a professional as a person with certain skills required for a specific job description and humility as someone who does not think that he or she is better or more important than others in the education setting.

- In this qualitative study, evidence of trust was difficult to identify and document from the interviews, observations, and personality profiles. Additionally, the researcher had a dilemma separating coded responses for trust and several other characteristics identified throughout the study. Therefore, the researcher coded trust whenever the term was verbalized by the participants.

Definition of Terms

- *Behavior*: The manner in which one acts or manages oneself (*The American Heritage Dictionary of the English Language, Fourth Edition*, 2006).

- *Characteristic*: That which defines the identity of, or is thought of as belonging to a person or thing; distinguishing or essential element, property, or trait (*The American Heritage Dictionary of the English Language, Fourth Edition*, 2006).

- *Georgia High Performance Principal*: Defined by Georgia as a leader who has met the following criteria: (1) the candidate's school shows higher than expected scores on state Criterion Referenced Competency Test (CRCT) in four of five subjects assessed in elementary and middle schools; (2) the candidate's school shows higher than expected scores on Georgia High School Graduation Tests (GHSGT) in three of four subjects; (3) the candidate has been principal for three consecutive years at the same site; (4) the candidate's school is not currently in the Needs Improvement (NI) status; (5) the candidate meets other goals relating to Adequate Yearly Progress (AYP), graduation rate, End of Course Test (EOCT) performance and gains on Scholastic Aptitude Test (SAT) scores (Governor Sonny Perdue - Office of the Governor).

- *Level 5 leader*: A leader of an organization who embodies a paradoxical mix of personal humility and professional will (Collins, 2001).

- *Modesty*: The act of avoiding praise or credit, humble, unassuming; (2) bashful and retiring, reserved; (3) not grand or showy, unpretentious, simple (*The American Heritage Dictionary of the English Language, Fourth Edition*, 2006).

- *Personal Humility*: Characteristics which include modesty, possesses calm determination, supports established standards, trains successors, and gives credit to others for the organization's success (Collins, 2001).

- *Professional Will*: Characteristics that include creating excellent results, being supportive through change, having unwavering resolve, modeling expectations, and never blaming others for the organization's failures (Collins, 2001).

Summary

Although much research existed regarding effective principals as instructional leaders, only a small quantity of research described the level of leadership based on the principal's leadership characteristics. The NCLB Act challenged many principals to reflect on the most important leadership characteristics necessary to move a school to greatness. Therefore, the researcher's study of exploring common leadership characteristics exhibited by Georgia High Performance Principals at the middle school level compared to Level 5 leaders was necessary. This study was based on the lived experiences of three Georgia High Performance Principals using the qualitative, multiple case study research method.

CHAPTER 2

REVIEW OF LITERATURE

Introduction

This study focused on leadership characteristics of high performance principals in Georgia. The purpose of the study was to examine the commonalities of Georgia High Performance Principals at the middle school level and Level 5 leaders as described in the literature. This study examined the leadership characteristics of Georgia High Performance Principals at the middle school level compared to the Level 5 leader described in Jim Collins' *Good to Great*. Specific questions addressed in this study included the overarching research question: How are Georgia High Performance Principals in middle schools demonstrative of Level 5 leaders?

The sub-questions to guide the study were as follows:

1. What are the leadership characteristics of Georgia's High Performance Principals at the middle school level?

2. What common leadership characteristics describe Georgia's High Performance Principals at the middle school level?

3. How are leadership characteristics related to Level 5 leader characteristics?

In this chapter, school leadership was defined along with a review of several types and characteristics of leaders. In addition, this review focused on the role of accountability in determining a distinguished leader. Collins' research on the Level 5 leader and high performance leaders was also explored. A Level 5 leader is someone who has learned to lead with personal humility and professional will, as well as someone who displays characteristics of Level 4 leaders that include: commitment to vision; high

expectations; organizes people; organizes resources; and is considered a team member. A summary of the need for Level 5 leaders as school administrators concludes this chapter.

<div align="center">Overview of Leadership</div>

Definition of Leadership

Howell and Costley (2001) and Northouse (2004), agreed on certain key characteristics defining leadership. Leadership is a process whereby an individual influences a group of individuals to achieve a common goal (Northouse, 2004). First, leadership is a process. It is not a trait or characteristic, but a pattern of behaviors that is demonstrative of a leader over a period of time. Second, leadership implies the leader influences and is influenced by followers. A group is a necessary part of leadership since it is within the group context that leadership occurs. Next, the leader is viewed as having legitimate influence, meaning the followers usually comply with the leader because the influence is reasonable considering the situation. Last, leadership includes setting the goals for the group and assisting with achieving the goals. Both leaders and followers are part of the leadership process (Howell & Costley, 2001; Northouse, 2004). Sousa (2003) supports this definition, but adds that leadership is more than personality traits. It is the result of acquiring characteristics that motivate people to work for the common goal of the organization.

School Leadership

Today, effective or exemplary educational leaders are described in many different ways. Since the No Child Left Behind Act, school administrator effectiveness has been based on the rise and fall of student achievement (Freeman-Smalls, 2007; Hooker, 2004; Mercer, 2004; O'Donnell & White, 2005). Several quantitative studies used Hallinger's

Principal Instructional Management Rating Scale (PIMRS) to determine if there was a relationship between leadership behaviors and student achievement (Mercer, 2004; O'Donnell & White, 2005). Both studies focused on middle schools and both concluded that principals with a high level of leadership had higher student achievement.

Mid-continent Research for Education and Learning (McREL) conducted a series of studies of classroom, school, and leadership practices that were highly correlated with student achievement. The 70 studies conducted included a sample size of 2,894 schools, 14,000 teachers, and more than 1.1 million students. These studies asked teachers to rate principals' leadership qualities and included the following findings: (1) a positive correlation between effective school leadership and student achievement; (2) 21 areas of leadership responsibilities correlating to student achievement; and (3) effective leaders knowing what changes would most likely improve student achievement.

The 21 leadership responsibilities had specific defining characteristics:

(1)   Culture fostered shared beliefs.

(2)   Order established a set of expectations.

(3)   Discipline protected teachers' instructional time.

(4)   Resources provided teachers with the means to achieve the end.

(5)   Curriculum, instruction, and assessment were consistent and pervasive.

(6)   The leader was knowledgeable about curriculum and instruction.

(7)   Focus meant establishing clear goals.

(8)   High visibility or management by walking around was prevalent.

(9)   Rewarding individual accomplishments was common.

(10)   The leader had strong lines of communication.

(11)   The leader was an advocate for the school.

(12)   Teachers were involved in the decision-making.

(13)   The leader encouraged celebrating school accomplishments.

(14)   They related to staff on a personal level.

(15)   They were change agents.

(16)   Inspiring followers was a key role.

(17)   Ideals and beliefs were communicated by the principal.

(18)   Monitoring school practices and the impact on student achievement was

          continuous.

(19)   The principal was able to adapt leadership behaviors to compliment each

          unique situation.

(20)   Using situational awareness, the leader was able to trouble shoot potential

          problems.

(21)   The leader took on the responsibility for the entire staff's intellectual

          stimulation through current literature and professional development.

Along with these 21 characteristics, researchers found the average effect size between

leadership and student achievement is .25 (Marzano, Waters, & McNulty, 2005). Effect

size was calculated by taking the mean score of two groups and indicating the percentile

equivalent on the distribution of scores earned by the control group or the total score

distribution across two groups. An effect size of .00 meant there was no difference

between the experimental and control groups.

     The average score of the experimental group was at the 50th percentile of the

score distribution of the control group. This meant the score distributions of the two

groups were equal (Gall, Gall, & Borg, 2007). The effect size of .25 represented an estimate of the relationship between leadership behavior of principals and the overall achievement of the students in the school. Researchers calculated that with the .25 correlation, the average achievement of the school would remain at the 50th percentile. Researchers also predicted that by increasing the principal's leadership ability by one standard deviation, from the 50th percentile to the 84th percentile, average achievement of the school would rise. Principals could improve leadership ability through professional development courses or seminars. Using the .25 correlation, it was predicted if a principal increased leadership ability from the 50th to the 99th percentile, student achievement would have a 22% increase. This meant school leadership has great potential to impact student achievement (Marzano, Waters & McNulty, 2005), thereby effecting the school as an organization.

McEwan (2003) identified similar traits of highly effective principals. Highly effective principals were great communicators, educators, visionaries, facilitators, change agents, culture builders, activators, producers, character builders, and contributors. These leaders included all stakeholders, motivated others to see their vision, had strong human relations skills, were realistic and were role models. They were enthusiastic, results-oriented, honest, and servant leaders.

Sousa (2003) found seven attributes which consistently emerged in the literature for defining great leaders. He found great leaders were the result of the development of characteristics that inspired people to work toward a common goal. These leaders had the knowledge base to be successful in the school. A clear vision and plan on how to obtain the vision was necessary. Mutual respect between leaders and followers was essential.

High expectations were set and implemented by the leader. The leader–follower

relationship depended on trust among all. Successful leaders lead by example. Effective

leaders possessed these common attributes.

Several types of leaders shared common characteristics of effective educational

leaders. These characteristics supported an effective leader was a change agent, an

inspirational leader, a servant leader, a transformational leader, an instructional leader,

and a leader who promoted sustainability.

<div align="center">Types of Leaders</div>

Inspirational/Motivational Leader

Reeves (2004) found effective leaders provided encouragement and support to the

staff through transition. They knew what was going on in the school. Researchers

characterized these leaders as the source of support and resources. They identified this

type of leader as a servant leader (Marzano, Waters & McNulty, 2005). Collins (2001)

chooses not to use this label for fear of the individual's being seen as weak and the

possible loss of the professional will aspect of the leader. Howell and Costley (2001)

found supportiveness was a common factor in effective leadership. Their findings showed

several types of supportive leadership behaviors. These included being considerate,

helping followers develop professionally, showing trust and respect, being sympathetic

for others, being encouragers, and showing concern for followers' needs. Burke (1965)

found supportiveness would keep a group together to achieve the common goals of the

organization and meet the established expectations. Educational leaders had high

expectations for teachers and students (Marzano, Waters & McNulty, 2005; Sousa, 2003;

VanBerkum, 1997). Effective leaders modeled the desired behaviors and standards for

their followers (DuFour, 2001; Marzano, Waters & McNulty, 2005). In other words, exemplary leaders did not just "talk the talk," they "walked the walk."

Collins (2001) found a Level 5 leader had honesty and integrity as critical characteristics of personal humility. Researchers found leaders with these qualities were known for meaning what they said (Conzemius & O'Neill, 2002; Marzano, 2003), leading to credible leadership by "walking the walk." Fullan (2003) identified studies which found restraint, modesty, and tenacity as moral qualities of effective leadership. Badaracco (2002) added responsibility, acting behind the scenes, and wanting the 'right thing' for the organization to the list of characteristics of an inspirational leader. Effective principals had high standards and modeled the behavior they desired in others. VanBerkum (1997) added that a quality principal would be known and respected by all in the organization. These characteristics along with a clear vision for the school inspired others to work harder to meet expectations (Sousa, 2003).

Many times inspirational leaders were considered parallel to charismatic leaders. Some experts believed it was the leaders' personality characteristics that caused followers to view them as charismatic leades while others believed it was the situation surrounding the leader. Important characteristics of a charismatic leader included advocating the vision and mission of the organization, taking risk to achieve the mission, using the focus of the mission to guide followers, role modeling the high expectations that he or she had established, building up his or her own image in the eyes of the followers and making inspirational speeches (Howell and Costley, 2008).

Charismatic leaders often produced results, but there could be risk for the followers based on the leaders' motive. Research findings showed that charismatic

leaders were classified as ethical or unethical leaders, the difference being in the motive.

An ethical charismatic leader used power to serve others, whereas an unethical leader

used power for personal gains. The difference in the leaders' motives determined the

sustainability of ethical charismatic leaders. Senge (1990) supported the belief that a

leader who relied on personal charisma and power to influence would not have a lasting

influence on the organization. This type of leadership would inhibit schools from having

sustainability.

Instructional Leader

Instructional leadership was one of the most prevalent educational concepts of

leadership. Yet, it had many definitions (Leithwood, Jantzi, & Steinbach, 1999). In an

effort to define the roles of an instructional leader, Smith and Andrews (1989) identified

the following four dimensions of instructional leaders: resource provider; instructional

resource; communicator; and visible presence. Resource provider meant the principal

ensured that teachers had what they needed to perform their duties and responsibilities.

Instructional resource meant the principal supported the instructional goals through

modeling expected behaviors and participating in professional growth opportunities. As a

communicator, the principal established clear goals for the school and ensured that

everyone knew the goals or expectations. The principal used management by walking

around, thus making him or her more visible and more easily accessed by the staff (Smith

& Andrew, 1989).

Sergiovanni (1991) described an effective principal as an instructional leader who

had strong views about instruction and used management by walking around. Smith and

Andrew (1989) also found instructional leadership to be one of the traits of an effective

principal. Edmonds (1979) researched schools to determine the characteristics that were "effective." He found the top priority to be the leadership of the school. The effective principal was seen as an essential part of the school's success because of practicing instructional leadership.

Hallinger, Murphy, Weil, Mesa, and Mitman (1983) identified three functions of the instructional leader: defining the school's mission; supervising the curriculum and instruction; and promoting a positive learning environment. Nelson and Sassi (2005) found many principals engaged in instructional leadership through the inquiry learning process. These administrators were curious about how students learned and the instructional strategies needed to permit students' success.

Much of the research agreed that instructional leadership was important in improving student achievement. Lezotte (1994) believed instructional leadership and effective schools went together. Leithwood (1992) suggested that instructional leadership embodied the ideas of being a first-order and second-order change agent. As a first-order change agent, the principal sought to improve technology and instructional strategies through closely monitoring classroom activities. The second-order change agent was more descriptive of an instructional leader which included establishing a vision, having clear communication, and implementing shared decision-making.

Leithwood and Montgomery (1986) identified four levels of leadership behavior. Their findings showed the higher level of leadership corresponded with the higher level of student achievement. In level one, the Administrator believed the teachers were there to teach and the principal was there to run the school. The Humanitarian, or level two principal, believed that a good education was associated with a good interpersonal school

climate. Level three, the Program Manager, believed the principal's job was to provide excellent programs for students. Finally, level four, the Systematic Problem Solver, included principals who believed in doing whatever it took to give all students the best opportunities for success. Principals at level four were found to have greater success than those at the other three levels of leadership. Sergiovanni (1995) added that a strong instructional leader might not be necessary in a school with competent and committed teachers. In these schools, it would be more important for the principal to be the leader of many leaders to promote continued success.

Hallinger (2003) found both instructional leadership and transformational leadership influenced the success of a school. He reiterated earlier findings on the three dimensions of instructional leadership: defining the school's mission; managing instruction and curriculum; and promoting a positive learning environment. According to Leithwood, Jantzi, and Steinbach (1999), transformational leadership was an expansion of instructional leadership.

Change Agent

A change agent was a leader who challenged the status quo. This leader continuously searched for new and better avenues of improvement. A change agent understood the risks and the uncertainty, but took the challenge anyway (Marzano, Waters, & McNullty, 2005). Schmoker (2006) supported the crucial role the principal played as the change agent. He believed the school administrator was the only one who could lead a reform effort. Schools would not make the transition unless the principal visibly took the lead.

Those schools with leaders who went with the flow encouraged mediocrity and not improvement (Schmoker, 2006). Fullan (2003) emphasized the strategic role of the principal in transforming schools, even though he believed the current level of leadership in schools today was not sufficient for successful school reform. Sousa (2003) reinforced this idea by commenting, "modern schools need leaders; there are already too many managers (p.17)."

Conzemius and O'Neill (2002) found leaders in SMART schools looked different from the leaders in more traditional schools. SMART schools were characterized by the use of five major goals: (1) Strategic and specific goals focused on the needs of the students; (2) Measurable meant tools were used to determine if actions were making a difference; (3) Attainable meant it was in the school's realm of control; (4) Results-based emphasized goals could be measured or observed; (5) Time-bound kept the focus on attainability and urgency. Leaders in SMART schools were self-motivated, committed to growth, and made difficult decisions based on the best interest of the students.

Reeves (2004) described an effective leader as one who focused attention on the most important task of the school. Sousa (2003) added that these leaders knew what was going on in the school and were willing to do whatever it took to be successful. Many times being an exemplary leader was a difficult road to travel. Exemplary leaders made decisions based on long-term results regardless of the difficulty. These leaders provided hope and consideration during those difficult transitional periods (Marzano, 2003).

Several researchers agreed with Collins' concept of exemplary leadership by stating that these leaders had a clear vision of where they wanted the organization to be and they searched for the needed resources to get there (Conzemius & O'Neill, 2002;

Reeves, 2004; Sousa, 2003). Marzano (2003) concluded that leadership could be the critical factor in successful school reform. He determined that effective leadership for change was characterized by behaviors that boosted interpersonal skills.

Blasé and Kirby (2000) identified three necessary leadership characteristics which contributed to effective reform based on a survey completed by over 1,200 kindergarten through twelfth grade teachers. These characteristics included (1) optimism; (2) honesty; and (3) consideration. The optimist did not view a challenge as impossible. These leaders were able to increase self-esteem and motivation among followers. Honesty was being able to see the relationship between the words and actions of the leader. This built trust among the followers, and they were willing to support the leaders' change efforts more freely. Consideration or concern for the followers was established as a critical role of effective leaders (Marzano, 2003).

Marzano (2003) added that strong leadership was necessary for school reform, but he did not support the belief that an individual could make necessary changes through personal will and personality alone. Principals at Breakthrough High Schools (BTHS) shared several personal leadership qualities. First, the principal established a clear vision based on the students' needs. Second, the principal instilled a high level of confidence among the followers by sharing the leadership for the vision. Third, the principal had to sell this vision to the staff and achieve a buy in. Fourth, the principal modeled a strong work ethic of doing whatever it took to be successful (DiMartino & Miles, 2006). Many of the characteristics of a change agent were similar to the characteristics of a transformational leader (Marzano, Waters, & McNullty, 2005).

Transformational Leader

Transformational leadership was the style that was understood to produce results beyond expectations. This type of leadership exemplified many of the same characteristics of a change agent and an inspirational leader. Kenneth Leithwood (1994) expanded on the Four I's of transformational leadership developed by Bass and Avolio (1994). His findings showed principals needed the Four I's in order to meet the challenges of education in this century.

The first factor was idealized influence or charisma. The principal was a role model for the behavior expected of the teachers. These type leaders possessed high moral and ethical values. They provided followers with a vision and mission. Followers trusted this leader to take them where the organization needed to go.

The second factor was inspirational motivation. Leaders communicated high expectations to followers. They were able to energize people into making a commitment to achieving established goals. Intellectual stimulation was the third factor. Leaders were able to challenge followers to search for creative means of solving problems. This type leader also supported followers as they ventured out in new directions. Individualized consideration was the last factor. This type leader paid attention to individuals' need for growth and development. A supportive climate enabled the leader and the followers to communicate personal needs to grow professionally (Hoy & Miskel, 2005; Marzano, Waters, & McNulty, 2005; Northouse, 2004).

Hooker (2005) reported that transformational leadership was the style needed to improve student achievement. He conducted a qualitative study using teacher and principal interviews, observations, and school documents. The population for this study

included eight middle schools in Northeast Georgia who met AYP in 2003, but did not

meet AYP in 2004. Findings showed strategies and techniques used by principals in each

of the middle schools were characteristic of techniques used by a transformational leader.

A similar qualitative study was conducted to examine leadership behaviors that improved

student achievement in three Georgia high schools (Freeman-Smalls, 2007). Fifteen

leaders of eight high schools who made AYP during 2005- 2006 were interviewed using

seven interview questions. Findings concluded that several leadership behaviors emerged

such as high expectations, building relationships, identifying the right personnel, making

decisions based on data, setting high expectations, supporting those working toward

achievement, and implementing strategies to promote continuous improvement

(Freeman-Smalls, 2007).

Yukl's (2002) research supported some of these same traits as being essential for

an effective leader. These traits were categorized as personality, motivation, and skills.

Personality traits of a leader included self-confidence, stress-tolerance, emotional

maturity, and integrity. Motivational traits of a leader were being task oriented,

achievement-driven, and having concern for others' welfare.

An effective leader must also have technical, interpersonal, and conceptual skills.

Yukl (2002) concluded that one style of leadership behavior would not be used in all

situations. He developed a three-category framework of leadership behavior. He

concluded that leaders would engage in all three types of behaviors. Task-oriented

behaviors included establishing roles, planning, organizing, and monitoring the functions

of the organization. Relation-oriented behaviors included supporting, developing,

recognizing, consulting, and managing conflicts. Change-oriented behaviors included

analyzing and interpreting external factors, communicating a vision, promoting

innovative programs, being a change agent, and creating support for the implementation

of change (Yukl, 2002).

Sousa (2003) believed that leadership was more than personality traits. He defined

leadership as the result of developing characteristics that motivated people to work for

the goals of the organization. Sousa thought effective leaders knew the rules that

governed their positions. These leaders exhibited the knowledge base and skills to

demonstrate effective instructional strategies. They knew the goal of the organization and

how to achieve the goal. Effective leaders realized they needed the assistance of others in

the organization to meet and exceed goals. These leaders had high expectations for

themselves and the organization. They were trustworthy and modeled the type of

behavior they sought in others (Sousa, 2003). Conzemius and O'Neill (2002) agreed with

Sousa's findings, but added integrity as an important characteristic of an effective leader.

These findings supported the importance of a transformational leader being essential to

student achievement and school improvement.

Servant Leader

Servant leaders have been known as a variation of a transformational leader

(Howell & Costley, 2001). The servant leader was a servant first and a leader second.

They were supportive and charismatic. They communicated a vision and mission to the

followers. These leaders modeled ethical behavior and were awarded a high level of trust

from their followers (Howell & Costley, 2001).

Greenleaf (2003) discussed the need for a servant-leadership model. He identified

ten critical aspects of servant leaders. First, these leaders were valued for their

communication and decision-making skills. They listened to their followers. Second, they empathized with others. Third, these leaders had the potential to heal themselves and others. They afforded people the opportunity to grow. Awareness was a fourth characteristic. This characteristic assisted leaders in making ethical and value judgments. Fifth was persuasion. Rather than relying on authority based on the hierarchy of titles, the servant-leader relied on the ability to convince others based on established trust. Next was conceptualization, which meant these leaders had great visions and aspirations. Closely associated with conceptualization was foresight, enabling the leader to glean from the past in predicting the future. This single characteristic was instinctive and could not be consciously developed. These leaders were good stewards for the organization. They had the good of the organization at heart and were committed to the personal and professional growth of every individual in the organization.

The servant-leader sought ways to build community among all those in the organization (Greenleaf, 2003, 1990). Greenleaf (1997) emphasized that a servant leader had the courage to step ahead knowing he would always be under a shadow of doubt. Servant leadership's foundation can be seen in the biblical verse: "Ye know that the rulers of the Gentiles lorded over them, and that their great ones exercised authority over them. Not so shall it be among you: but whosoever would become great among you shall be your minister and whosoever would be first among you shall be your servant" (Matthew 20:25). Servant leadership described a principal well. The principal was responsible for ministering to the needs of the school. The principal as a minister was devoted to a cause or mission and was obligated to serve that cause (Sergiovanni, 1995).

Sustainability and Leadership

Collins and Porras (1997) findings showed continuity within leadership was a key component in the visionary companies studied. Talent grown from within the organization made for greater continuity. Hargreaves and Fink (2003) made a similar point by expressing the need to promote insiders who could continue with the vision instead of hiring "fresh blood" to come in and turn everything upside down. Sustainability was linked to continuity because "an effective principal is not just someone who has an impact on student achievement. It is someone who leaves many leaders behind to continue the vision (Fullan, 2005, p. 31)." These ideas aligned with a Collins' Level 5 leader who focused on setting up successors to carry the organization on to greatness.

Hargreaves and Fink (2006) identified seven principles of sustainability which included depth, length, breadth, justice, diversity, resourcefulness, and conservation. The first principle was leadership for learning and caring for others. The next principle emphasized that sustainable leadership endured or lasted from one leader to the next. The third principle supported the ideas of distributed leadership which enabled leadership to spread. Justice was the next principle which meant leadership was not self-centered, it was socially just. Sustainable leadership also promoted diversity. This principle allowed cohesiveness and networking. The sixth principle was resourcefulness which meant leadership did not waste money or its people. The last principle was the idea that sustainable leadership recognized the accomplishments of the past and learned from the best practices for the future (Hargreaves & Fink, 2006). Hargreaves and Fink's (2006) findings found that sustainability depended on a successful leader.

Charismatic leaders could take a school to great accomplishments, but the shoes were too big for anyone to fill after the leader was gone. If one relied on a charismatic and powerful leader to generate influence, the influence would leave when they left (Hargreaves & Fink, 2006; Senge, Kleiner, Roberts, Ross & Smith, 1994). In light of all the educational changes which resulted from No Child Left Behind (Public Law 107-110) and the need for continuity, principals need to begin mentoring the next generation of leaders.

Sustainability of Great Schools

Sustainability of schools was not like a buffet. One could not pick and choose based on his or her immediate needs. Hargreaves and Fink (2006) stressed that test scores only provided a snapshot of school success, but sustainability was about enduring learning. Improving the learning for all as a long term goal would outlast the short term achievements. Adlai Stevenson High School District was a school that had sustained over time. Richard DuFour began as principal in 1983; Stevenson High was not in the top 50 ranked schools in the Midwest. By 1995, this school ranked as the top high school in the Midwest and sixth in the world (Schmoker, 2001). DuFour pointed out several factors that enabled Stevenson to make improvements without becoming complacent. These factors included the simple vision of getting all students over the established bar, using data to drive improvement, establishing benchmarks to gauge progress, and having a leader who believed in shared collaborative leadership (Schmoker, 2001).

In 2006, twenty-seven K-12 schools in Arizona participated in a study which examined student performance and improvement. Of these twenty-seven schools, 12 schools showed either steady performance or steady improvement for a seven year

period. The Center for the Future of Arizona (CFA) used the Collins' *Good-to-Great* methodology to identify schools that were succeeding at a continuous pace; their findings closely emulated those of Jim Collins' *Good-to-Great* companies. These schools continued to show gains in student achievement due to several factors. One common factor was leaders not waiting for something to change, but doing what was best for all students. Another factor was frequent assessments to identify problems early. All schools had a strong and steady principal who was willing to push forward no matter what the obstacles. Problem solving was a shared endeavor. All schools selected a good program and remained committed to it, always looking for avenues of improvement. Interventions were customized to the individual student's need. Nine of the schools in the study were under the principal's leadership since 1997 (Waits, et al., 2006). These schools had sustained over time and continued to make improvements.

<div align="center">Common Leadership Behaviors</div>

Several types of leaders shared common leadership behaviors. All leadership types reviewed shared the desire of the leader promoting professional development for them and staff members. These leaders searched for professional growth opportunities and afforded everyone the chance to participate. They were committed to personal and professional growth. All leaders agreed the leader was responsible for establishing a clear vision for the school and inspiring others to strive toward reaching the organization's goals. An inspirational leader, instructional leader, change agent, and transformational leader all shared the belief that the leader was the role model for the organization. They agreed the leader should model expected behavior. Instructional, transformational, and servant leaders were all good communicators. Good communication meant making

expectations and goals clear. One of the prevalent behaviors among these three types of leaders was strong communication skills.

The instructional leader, transformational leader, servant leader, and change agent were known for their supportive behavior. They were considered leaders who provided encouragement and support. They were a source of hope and support during times of reform or change. In order for followers to accept support from the leader, there must be a level of trust. Trust was a common behavior among change agents, transformational, inspirational, and servant leaders. A leader had to establish trust among followers for the needed staff support during reform. A trustworthy leader took an organization where it needed to go by modeling ethical behavior and thus was awarded a high level of trust from the followers. Instructional leaders, transformational leaders, and change agents shared the most leadership behaviors of the types of effective leaders reviewed. Many of these same characteristics were found in Collins' Level 5 leader (Appendix J).

<div align="center">Accountability of Educational Leaders</div>

No Child Left Behind

Education in the 21st century has continued to change due to the No Child Left Behind Act of 2001 (Public Law 107-110, 2002). In order to close the achievement gap, states were commissioned to have a system of sanctions and rewards in place to hold everyone accountable for student achievement. This law required states to develop criterion-based assessments in basic skills to be given to students in specific grades. The Federal government provided funds through several Title programs to assist states and districts in this endeavor (Public Law 107-110, 2002).

The NCLB act required each school to break down standardized test data by gender, race, family income, and other categories. Each category was referred to as a subgroup. Students were expected to show academic progress each year toward an established annual measurable objective (AMO) in order for the school to make adequate yearly progress (AYP). If a school does not met AYP for two consecutive years, the school falls into the needs improvement (NI) classification. This part of the Act was designed to assure that schools were meeting the academic needs of all students (Tucker & Toch, 2004).

The 39th Annual Phi Delta Kappa/Gallup Poll of the publics' attitude toward public education continued to focus on NCLB. This poll was one source of information or data for those who were making decisions concerning the educational system. Findings from this poll concluded that as the public knowledge of NCLB increased, so did the dissatisfaction with the policy. A majority of those surveyed believed the standard for schools should be student improvement and not based on a percentage of students passing the mandated test (Rose & Gallup, 2007). Regardless of public opinion, states are mandated to set the standards for AYP for all public school entities.

Adequate Yearly Progress

Adequate Yearly Progress (AYP) as required under the No Child Left Behind Act of 2001 has been on the mind of school leaders. AYP was a component of the Accountability Profile based on a series of performance goals that every school, Local Education Agency (LEA), and state must achieve in order to meet the 100% proficiency goal by the year 2014 which was established by the federal No Child Left Behind Act of 2001 (No child left behind, 2002). Since this legislation, Georgia has commissioned each

school to be accountable for the academic progress of all students. AYP criteria have

forced all school administrators to focus on accountability.

To make Adequate Yearly Progress (AYP), each school must meet the following

criteria: (1) 95% of students enrolled in AYP grades must participate in assessment; (2)

Annual Measurable Objective (AMO) must be met for subgroups of 40 or more students

enrolled in AYP grades on selected state assessments in Reading/English Language Arts

and Mathematics. In addition, a second indicator may be required. Each school must meet

the standard set for the second indicator or show progress on this indicator as determined

by the school. Georgia chose to use the Georgia Criterion Referenced Competency Test

(CRCT) for determining AYP in elementary and middle schools. Students were assessed

in reading and English/language arts combined and mathematics for elementary and

middle schools (Georgia Department of Education, 2005).

Standards and Accountability for Principal Leaders

In 1996, the Interstate School Leaders Licensure Consortium (ISLLC), acting

under the support of the Council of Chief State School Officers, adopted national

performance standards for school leaders. Although the ISLLC standards could be

applied to all leadership positions, the target audience was school principals. The ISLLC

recognized that effective leaders champion different beliefs and actions from the majority

in the profession. They established six standards for aspiring principals to be used as a

guide for becoming an effective leader.

The six ISLLC standards focused on the following: (1) developing a vision of

learning that was shared by all school stakeholders; (2) nurturing and sustaining a

productive school culture and instructional program; (3) managing schools in a safe,

efficient and effective manner; (4) enhancing collaboration with faculty and the community; (5) modeling integrity, fairness, and appropriate ethics; and (6) influencing the political, social economic, legal, and cultural contexts of schooling through hands-on leadership (ISLLC). Accompanying each standard was a set of indicators that defined what the school leaders should know, believe, and do to be able to perform the job of an effective school leader.

The ISLLC standards served as expectations for the development of highly qualified principal leaders. The National Association of Secondary Schools (NASSP) in agreement with the ISLCC developed an instrument to assist principals in assessing their leadership skills. The NASSP developed a similar instrument for mentors, observers, and others to assess the leader's skills (*Interstate School Leaders Licensure Consortium*, 1996). Reeves (2003) found 18 percent of school leaders have never had an evaluation in their present leadership role. A minority of leaders evaluated believed the evaluation had no correlation with student achievement. Reeves also found the higher the leadership position, the weaker the evaluation process. These findings supported the need to examine how the ISLLC standards could be used to guide university leadership preparation programs, the evaluation process of leaders, and professional development for leadership.

In January of 2002, the Educational Leadership Constituents Council (ELCC) published seven standards for advanced programs in educational leadership for principals, superintendents, curriculum directors, and supervisors. Standard one emphasized the leader being responsible for creating and articulating a vision of high expectations for learning. The second standard focused on the leader ensuring that all

decisions relating to curriculum and instruction were based on research and best practices. Leaders were expected to make educational decisions to permit all students to become life-long learners.

Standard three required the leader to create a learning environment conducive to learning opportunities for all students. This standard meant finding the resources to promote student success. The next standard required leaders to involve the community and all stakeholders in educational processes. Standard five required the leaders to demonstrate integrity, fairness, and ethical behavior. The sixth standard required leaders to demonstrate the ability to develop a collaborative relationship with the economic and political decision makers in relation to the school's role. The last standard required a leadership candidate to complete a six-month internship (National Policy Board for Educational Administration, 2002).

The ISLLC standards capitalized on behaviors necessary to become an effective principal. The ELCC standards focused on the requirements necessary for a candidate to successfully complete a graduate level program in educational leadership. Both the ISLLC and the ELCC standards exemplified several characteristics of a Level 5 leader as defined by Collins as an individual with professional will and personal humility, although personal humility was a missing component in the standards. This supported the need for examining the characteristics of principals in high performing schools in comparison with Collins' (2001) findings of a Level 5 leader. This research examined the relationship of Georgia High Performing Principals in middle schools to Level 5 leaders.

Supply and Demand of Effective School Leaders

The supply and demand of qualified principals have been subjects of concern for several years. The National Association of Elementary School Principals (NAESP) and the National Association of Secondary School Principals (NASSP) asked the Educational Research Service (ERS) to conduct a study of school districts with openings for principals. This study was conducted in 1997 focusing on the experiences of school districts that were recruiting principals to fill current vacancies. One-half of the districts surveyed reported a shortage of qualified candidates for the principalships. This shortage was seen in rural areas (52%), suburban areas (45%), and urban areas (47%). Shortages have occurred at all educational levels: elementary school (47%), middle school (55%), and high school (55%). The Montana School Board Association reported that the candidate pool was too small to fill the principal positions needed (Educational Research Service, 2000).

Gerald Eads, analyst for Georgia Professional Standards Commission (GPSC) reported that the number of leadership certificates awarded from 2003 to 2007 had decreased from 3,395 to 2,988. Also, the number of educators who received raises in Georgia for a leadership certificate but did not hold an administrative position ranged from 382 in 2004 to 775 in 2007. The number of Georgia educators with leadership certification whether or not in leadership positions ranged from 11,460 in 2003 to 16,563 in 2007. Data from the GPSC showed that by 2003, 15.5% of principals previously employed left the principalships. This number decreased to 14.4% in 2007. These numbers did not include principals who moved from one school to another, but they did

include principals who were promoted or transferred to a non-principal position (G. Eads, personal communication, June 19, 2008).

Participants in the 1997 ERS study were asked to identify the factors they believed were discouraging educators from applying for principal positions. The top barrier was compensation not comparable to the level of responsibility (Educational Research Service, National Association of Elementary School Principals & National Association of Secondary School Principals, 2000). In a 1999 meeting of executive directors and presidents of state associations of principals attending a joint NAESP/NASSP leadership meeting, leaders discussed factors that discouraged good candidates from applying for principal positions. Several common factors emerged: stress; long working hours; lack of understanding of job responsibilities by the community; salary too low for the number of responsibilities; being held accountable for results but not able to control all the factors that affected results; and not enough parental support. Most practicing principals surveyed noted satisfaction with their jobs despite these barriers to attracting new candidates to the principalship (Educational Research Service, National Association of Elementary School Principals & National Association of Secondary School Principals, 2000).

<div style="text-align:center">Models of High Performance Leaders</div>

Education has been influenced by corporate ideas since the end of the nineteenth century with Fredrick Taylor's Principles of Scientific Management. Taylor (1911) endorsed the idea that there was "one best way" to complete any task or solve any organizational problem. It was management's job to identify the one best way, train the workers, and provide supervision and monitoring to ensure that workers were adhering to

the prescribed model. Success of the scientific management approach relied solely on the administrator's ability to apply the fourteen principles to the educational arena. Later, in the 1980's, Deming's Total Quality Management (TQM) was introduced as an ideology from the corporate sector to correct all the problems in public schools. Deming's (1982, 1986) principles focused on statistical methods, quality control, and customer satisfaction as the means of increasing success.

Bjork (1997) concluded that both the scientific management approach and TQM were not successful in education due to the reliance on collecting only quantitative data to solve problems. TQM suggested that administrators and teachers gathered data, analyzed it, and applied findings to resolve problems. This method totally excluded qualitative data for discovering organization and educational problems. Several of Deming's 14 points were advantageous to the public schools, such as applying data collection for making decisions, involving employees in the decision-making process, and viewing change as a continuous process instead of a one time event. Many of these principles were not successful in school reform efforts because to top management used them as a means of power and coercion (Bjork, 1997).

With the increased accountability on public schools to prepare all students to master rigorous content, produce skilled workers, and compete in a global world, the industrial models of the past were inadequate. The administrator's role changed from a manager to a merger of a manager and a leader (DuFour & Eaker, 1998). No longer could he be one or the other. Kotter (1990) described the different functions of management and leadership. He believed management produced order and consistency. Managers were responsible for planning and budgeting which included establishing agendas, setting

time frames, and allocating resources. Managers were also responsible for organizing and staffing which encompassed providing structure, making job placements, and establishing procedures. Managers had to be problem solvers.

Leaders, on the other hand, produced change and movement. According to Kotter (1990), leaders established direction. They created visions and established strategies for achieving goals. Leadership involved aligning people, which meant communicating goals, seeking commitment, and building teams. Finally, Kotter found that leaders were charged with motivating and inspiring others through empowerment and satisfying unmet needs. He emphasized that an effective organization had a combination of competent management and skilled leadership (Kotter, 1990).

Business Sector

The educational community continued to learn from business ideologies. Covey's (1989) book entitled *The 7 Habits of Highly Effective People* revealed several characteristics used to determine a leader's effectiveness. Covey (1989) discussed the idea of beginning with the end in mind or having a clear vision of desired results. He emphasized, "Leadership was not management" (p.101). Leaders were individuals who had been proven to conquer unbelievable obstacles, not just manage mundane tasks. They had a win/win mentality and would do whatever it took to be successful. They synergized or supported those around them in achieving the organization's goals (Covey, 1989). Many of Covey's principles are found in descriptions of today's effective business and educational leaders.

Peters and Waterman (1982) conducted a study of seventy-five of America's best-run companies. Through interviews, they concluded that all excellent companies had

strong leaders. These companies had leaders who developed a culture by incorporating values into the workplace. They found two main characteristics among leaders of excellent companies: (1) the leaders shared their vision and standards with the organization resulting in an enduring effect on the company long after the leader was gone; and (2) the leader knew managing the values of the company was the "real" role of the leader.

By the 1990's, Kouzes and Posner (1995) used interviews, case analysis, and surveys to collect data from over 60,000 respondents in leadership roles ranging from managers to non-managers in all disciplines. Through interviews and a Leadership Practices Inventory (LPI), these researchers were able to identify five fundamental practices of exemplary leaders. First, they discovered leaders who lead companies to greatness sought and accepted challenges. Accepting a challenge meant the leader was willing to take risk for the good of the organization. The leaders understood that experimentation, innovation, and all involved risk of failure, but this situation did not inhibit them from proceeding. Next, exemplary leaders instilled hope in others by having a vision and sharing the excitement about the future path of the organization with the employees. Third, these leaders empowered others in order to mentor future leaders. This type of empowerment by the leader promoted trust and teamwork. Fourth, exemplary leaders set the standard and modeled the expected behavior for everyone to follow.

Kouzes and Posner (1995) commented that "titles are granted, but it's behavior that wins you respect" (p.12). The final practice of exemplary leaders was encouraging the heart. Findings concluded that exemplary leaders were supportive of employees during challenges and transitions (Kouzes & Posner, 1995). Kouzes and Posner (1995)

found embedded in the five practices of exemplary leadership 10 key behaviors which they concluded to be the 10 commitments of leadership. These commitments included the following: (1) searching for challenging opportunities to grow; (2) experimenting and taking risks; (3) envisioning a progressive future; (4) enlisting others to share a common vision for the organization; (5) promoting collaboration and building trust; (6) giving power away; (7) modeling the way; (8) celebrating small successes; (9) recognizing individuals who contribute to each success; (10) celebrating team accomplishments. These researchers concluded from interviews and case studies that leadership was an observable, learnable set of practices. They believed leadership could be learned and should be everyone's business (Kouzes & Posner, 1995).

School Sector

Educational studies have used Kouzes and Posner's Leadership Practice Inventory (LPI) to determine the prevalence of the five leadership domains which included the following processes: Model the Way, Inspire a Shared Vision; Challenge the Process; Enable Others to Act; and Encourage the Heart. Lockhart (2007) researched the impact of GLISI (Georgia's Leadership Institute for School Improvement) on the change in leadership behaviors of principals. The Kouzes and Posner's LPI revealed significant differences between GLISI-trained principals and observers on all five of the domains. After surveying and interviewing 18 GLISI-trained principals and five non-GLISI-trained principals, the most influential domains to lead school improvement were to Model the Way, to Inspire a Shared Vision, and to Enable Others to Act.

Adler (2007) agreed that great leaders in great workplaces shared specific characteristics: (1) open channels of communication that led to collaboration; (2)

continuous support; (3) established goals and a method to measure success; and (4)

passion about values and culture. Adler (2007) emphasized that leaders in great

organizations built trust by modeling these key characteristics. Collins (2001) referred to

these great or exemplary   leaders as Level 5 leaders.

<div align="center">Overview of Level 5 Leaders</div>

Collins (2005) believed leadership only existed if people followed when they did

not have to. If people followed a leader because they had no choice, then the leader was

not leading. Collins researched companies for over a 30 year period. He found several

companies successfully made the transition from good to great. He defined good as being

the enemy of great (2001). His findings indicated that organizations satisfied with being

good never worked toward achieving greatness. Of the 1,435 companies in the Fortune

500 list who were studied, 11 companies were identified as good-to-great companies. All

11 companies had one commonality, a Level 5 leader. The absence of a Level 5 leader

showed up consistently in all the comparison companies.

Collins (2001) found that "A Level 5 leader was an individual who blended

extreme personal humility with intense professional will" (p. 21). These leaders were

ambitious for the organization, not themselves. They were known for diverting the

success of the company away from themselves and discussing the contributions of others

rather than personal accomplishments. When things were not going as planned, Level 5

leaders tended to look internally for the reason rather than blaming others for the

organizations inadequacies. Collins (2001) found that "Employees described these

leaders as quiet, humble, modest, reserved, shy, gracious, mild-mannered, self-effacing,

understated" (p. 27).

Furthermore, Collins (2001) discovered that Level 5 leaders were in every good-to-great organization regardless of the situation the company was experiencing. His research findings rejected the belief that an organization needed a larger than life savior to move the company to greatness. Research findings revealed that bringing in a high-profile change agent as a leader from outside the organization negatively correlated with transition of a good company to a great company. This type of change agent included normal people who had the level of leadership to produce extreme results but were missing the self-effacing, quietness, and reserve found in a Level 5 leader.

A historical example of a Level 5 leader was Abraham Lincoln. Many considered President Lincoln a weak leader because of his modesty, shyness, and awkwardness. Reflecting on the impact of his decisions, he mastered the skill of putting the ambitions of a nation ahead of personal gains. Level 5 leaders desired to make everything the best and were not willing to settle for less. These leaders not only wanted present success, they wanted to see the organization maintain a high success rate after they were gone. This type of leader had an internal drive to do whatever it took to make the organization great. They were driven toward excellence and would not settle for mediocrity.

Educational leaders do not have the clear executive powers that business leaders have. The most important aspect of Level 5 leadership was making the right decisions in alignment with the mission of the organization for its long-term greatness. Combinations of executive and legislative skills were employed for the leader to be effective in decision-making (Collins, 2005). Collins (2005) stated that, "a great organization was one that delivered superior performance and made a distinctive impact over a long period of

time" (p.5). Level 5 leaders had distinctive characteristics, which contributed to the successful breakthrough of moving an organization from good to great.

According to Collins (2005), organizations with Level 5 leaders developed disciplined people, disciplined thought, and disciplined actions. This level of leadership would endure the test of time and continue to move the organization from good to great. He did not determine if these principles enabled the individual to become a Level 5 leader or if being a Level 5 leader enabled the individual to implement these principles (Collins, 2001). According to Collins' (2005) research, the building of a great organization proceeded in three basic stages; each stage consisted of two key principles. The first stage an organization experienced was disciplined people. This stage included the principles of Level 5 leadership and First Who … Then What. Level 5 leaders were concerned with what was best for the organization instead of personal gains. Successes were contributed to all the people involved. Failures were considered to be the responsibility of the leader, not others.

Level 5 leaders did whatever it took to make the organization great, including filling the key positions with the best people and hiring from inside the organization (Collins, 2001). Many of the defining characteristics of an effective leader in education corresponded with Collins' Level 5 leadership principle. Based on the review of the literature, an individual who consistently demonstrated the characteristics of an effective leader in the educational setting could be a Level 5 leader. Leaders with these characteristics were as hard to find in the social sector as they were in the business sector. When pondering the question, is Level 5 leadership a skill, a style, or a trait, the answer

could be found in the foundation of a Level 5 leader: leaders of great organizations have personal humility and professional will (Collins, 2001).

The second principle of the disciplined people stage was known as *First Who, Then What*? This principle emphasized getting the right people on the bus and in the right seats. Collins (2005) explained the who, or right people, come before the what, or an organization's mission, vision, and strategies. Conzemius and O'Neill (2002) agreed with this principle and elaborated on the definition of the right people. The right people took responsibility for improvements in the organization; they were self-motivating and participated in leadership roles. Many of these people were on leadership teams.

Marzano (2003) pointed out that a strong leadership team included the principal and dedicated teachers as key players to guide the school in its mission. Fisher and Frey (2002) asserted that leaders should surround themselves with good people and then get out of the way. These people would take the organization where it needed to go, according to the mission. Collins (2001) supported this idea by stating that, "the right people would do the right things to deliver the best results they were capable of, regardless of the incentive system" (p.50). Collins concluded that the leader's trusting the people on the team to do the right thing was an important point. Collins (2005) added to this principle by expressing the need to get the wrong people off the bus. With tenure and the lack of a resource pool for educators, this task would be the most challenging part of this principle.

Fullan (2003) found that school leadership was a team sport. He found highly effective principals supported distributive leadership throughout the school. Involving teachers on the interview committee for prospective employees would be one way to

ensure getting the right people. More important than the hiring process was the early-assessment mechanisms enforced before allowing a new teacher to acquire tenure. The wrong people would continue to be on the bus in every school, but the pressure to change would be more intense if the majority of the staff was made up of the right people (Fullan, 2003). A Level 5 leader did what was best for the organization. In education, this consideration would be the student. The leader would have to take action with people who were not moving in the direction of the school's vision or mission (Collins, 2001).

Stage two of Collins' framework was disciplined thought. Confronting the brutal facts or the Stockdale Paradox and the hedgehog concept were the most important principles of this theme. Every leader considered the brutal facts of reality when making decisions. If the leader had created an atmosphere of trust, in which people openly expressed the brutal facts of reality, then the school would find a way to prevail in the end (Collins, 2001). According to Schmoker (2006), leaders had to work cooperatively with teachers to discuss the real needs for improving instructional quality.

Marzano (2003) emphasized trust being critical for an open dialogue involving principals and teachers. He supported the Stockdale Paradox by citing optimism as a critical leadership trait for providing hope during the challenging times. It was found that "A competent principal never allowed challenges of reality to stall progress (Irvin & White, 2004, p.22)." The hedgehog approach reflected the intersection of three circles. One circle represented the passion of the organization. Passion was what the organization stood for and why it existed. The next circle represented what the organization could do best. Understanding what the organization could do to better serve the community

touched the essence of this circle. The third circle in the intersection was understanding what drove the resource engine (Collins, 2001, 2005).

Schmoker (2006) found when administrators "went along" instead of leading, they demonstrated the type of mediocrity that was found in good schools. Many institutional factors influenced administrators to look the other way from inferior practices while creating the impression to the community that the instruction was effective or good. This type of thought did not demonstrate passion. Passion was focusing on the vision. Building results were based on the passion to be the best (Reeves, 2006).

Stage three was entitled disciplined action. This stage included the culture of discipline and the flywheel principles. The culture of discipline started with self-disciplined people who were willing to do whatever it took to fulfill their responsibilities (Collins, 2001, 2005).

The Beat the Odds Institute, a nonprofit Center for the Future of Arizona conducted an eight year study to determine what successful schools in Arizona were doing for Latino children to close the achievement gap. This qualitative study focused on 12 schools which showed steady student improvement on the Standard 9 test between the years 1997 and 2004. Findings in each of the 12 schools showed three of Collins' (2001, 2005) stages; disciplined thought, disciplined people, and disciplined action. Using these three stages as the foundation, researchers determined six factors that helped improve student achievement. The first factor was having a clear bottom line which meant doing the best for every student under every circumstance. Ongoing assessments were utilized as a safety-net to catch problems early and make the necessary adjustments. A strong and steady principal focused on the mission of improving student achievement, no matter

what the obstacles. Collaborative solutions were incorporated for everyone to participate in problem solutions. Selecting a good program and sticking with it was another factor. Lastly, interventions were implemented to suit each student's needs (Waits, et al., 2006).

Bryk and Schneider (2002) found the principal was the key to developing a culture including relational trust. This type trust was characterized by respect, competence, personal regard for others, and integrity. These traits characterized the culture of the school and the community. Sosik and Dionne (1997) described trust building as the process of establishing respect. The leader modeled integrity, honesty, and openness to foster the respect of the people in the organization.

Distributed leadership was supported by GLISI (Georgia's Leadership Institute for School Improvement, n.d.). This type leadership was defined as duties and responsibilities within a school being delegated by school leaders to members of the staff. Distributed leadership enabled others to have an active role in organizational effectiveness and school improvement. GLISI promoted distributed leadership as part of the roles of a school leader (Georgia Leadership Institute for School Improvement, n.d.). Distributed leadership was based on trust, as well as on expertise. No one person could realistically possess all the knowledge, skills, and talent needed to lead an organization.

Distributive leadership allowed the creation of a culture in which the leader could entrust other members of the leadership team to take responsibility for finding what they did best which contributed to improving the organization (Reeves, 2006). An open channel of communication between administrators and teachers existed if a culture of discipline was to be achieved. The flywheel principle simply meant to continue pushing toward the established vision until the wheel began to move. Momentum would build

with each turn of the wheel until the mediocrity of being good was broken and greatness was achieved (Collins, 2001, 2005). With increasing momentum and visible progress, more people would join the journey.

Collins later added a stage four which was based on findings in his book, *Built to Last*. The principles in this stage were clock building, preserving the core, and stimulating progress. Clock building referred to the shaping of an organization that could continue to prosper beyond a single idea or individual leader's vision or charisma. Collins and Parros (1997) found that charismatic leaders were negatively associated with sustainability. They found that organizations had a higher level of sustainability with Level 5 leaders. Sustainability was the ability to endure over a period of time. An organization trying to sustain greatness did not invest monies into launching programs for the appearance of doing something. Sustainability required a commitment to continued improvement that contributed to the growth of everyone (Hargreaves & Fink, 2003). Being an effective leader meant moving the organization to the level of sustainability. At the end of an effective leader's tenure, the organization should have other leaders who could continue moving the organization toward greatness (Fullan, 2003, 2005).

Hargreaves (2003) expanded on Collins' findings by suggesting that educational leaders should follow the same leads as Level 5 leaders and promote within the organization. It may take an insider to build on the vision and principles the school had already established to move the school from good to great. The idea of Level 5 leaders training other leaders within the organization would assist in preserving the core values (Collins & Porras, 1997). Sam Walton (as cited in Collins and Parros, 1997) pointed out: "You can't just keep doing what works one time, because everything around you is

always changing. To succeed, you have to stay out in front of that change" (p.81). Effective leaders kept the vision in clear prospective as never changing, even though strategies and practices might change to adapt to the changing world around us (Collins, 2005).

Collins' (2001) use of the term "Level 5 leader" referred to the highest level in a hierarchy of executive capabilities that were identified through his research. He concluded that a leader did not have to progress in sequential order to obtain Level 5 leadership, but a Level 5 leader embodied all five levels of the hierarchy. Level one was a highly capable leader. This leader contributed to the organization through talent, knowledge, skills, and good work habits. Level two was a leader who contributed as a team member. This individual worked effectively in a team setting. Level three was a competent manager. This leader organized people and resources toward the pursuit of goals. Level four was an effective leader who had a commitment to a clear vision with high expectations. Level 5 leaders fulfilled all levels of leadership, plus they built enduring greatness through a blend of personal humility and professional will (Collins, 2005).

Collins' (2001) data revealed that several of the Level 5 leaders in his study had influential people or events which enabled them to develop into the successful leaders they had become. When looking for a Level 5 leader, one only had to search for an organization or school where extraordinary results were present and no one person took the credit. This leader would be known for building an organization which would have enduring greatness long after he or she was gone.

High Performance of Great School Leaders

The joint NAESP/NASSP leadership meeting of 1999 identified critical professional competencies for principals of 2000. In their view, principals of the 21st century would:

- Provide steady leadership

- Have a clear focus and vision for education

- Be educationally knowledgeable

- Be innovative

- Be capable of team building

- Have good communication skills

- Be familiar with technology

- Have knowledge of curriculum, instruction, and assessment

- Be capable of evaluating teachers and providing for professional development

- Be an advocate for the school

- Be capable of interacting with a diverse group of stakeholders

- Be a good manager

- Be a proponent of using current research to improve the school

- Have the ability to multi-task

- Have an accurate understanding of the community and environment in which the school functions

- Possess good conflict resolution and mediation skills

These competencies were consistent with current literature leadership behaviors

(Educational Research Service, National Association of Elementary School Principals &

National Association of Secondary School Principals, 2000) and could be seen in the

ISLLC standards for principals.

Recognition of Great School Leaders

Most states had some type of recognition for high performing principals. One

recognition program, the MetLife/NASSP Principal of the Year begun in 1993, was a

means to recognize outstanding middle and high school principals. This program honored

middle and high school principals who had succeeded in providing high-quality learning

opportunities for students as well as their exemplary contributions to the profession. The

State and National Principal of the Year Awards program honored principals who had

demonstrated excellence in collaborative leadership, curriculum, instruction, assessment,

and personalization. These themes were reflective of the research conducted on the

principals in *Breaking Ranks II* and *Breaking Ranks in the Middle*.

The National Principals of the Year were selected from the State Principals of the

Year representing the 50 states, the District of Columbia, and the Department of Defense

Education Activity. Each State and National Principal of the Year was selected based on

specific criteria. All applicants served as a principal at one or more middle schools or

high schools for three years or longer. All candidates had to complete the State/National

Principal of the Year Application. Each candidate was a principal and member of the

NASSP and his or her state affiliate association. Each candidate submitted an essay on

how he or she had implemented the themes reflective of exemplary principals.

Additionally, each candidate submitted four letters of recommendation.

A panel was organized in each state to select the state principals of the year from

the applicants submitted. The finalists for National Principal of the Year was selected

from among the State Principals of the Year by a judging panel composed of national

leaders in education, leaders of education-related business, and staff members of national

educational associations. This panel of judges interviewed national finalists and selected

two national winners – one middle level and one high school principal (National

Association of Secondary School Principals, 1993).

Georgia's High Performance Principals

Many Local Education Agencies (LEA) began examining the level of leadership

in schools, especially those which continued to fall short of making AYP. Georgia Office

of Accountability encouraged placement of Georgia High Performance Principals in

schools that were identified as Needs Improvement Year 6 or more. Governor Sonny

Perdue in a press release announcing Georgia's High Performance Principals stated,

"High performance principals provide strong and effective leadership for teachers, staff,

and students to achieve above and beyond expectations (Georgia Department of

Education, n.d.b)." State Superintendent Kathy Cox also stated, "These principals are

getting it done and will help us improve student achievement in more schools (Georgia

Department of Education n.d.b)." Georgia offered high performance principals a $15,000

supplement if they were hired as a principal of a Needs Improvement (non-AYP) school.

In 2006, the Georgia Department of Education worked with the Governor's Office

to establish a set of criteria for defining a Georgia High Performance Principal. The

criteria included the following: (1) the candidate's school showed higher than expected

scores on state CRCT in four of five subjects assessed in elementary and middle schools;

(2) the candidate's school showed higher than expected scores on Georgia High School

Graduation Tests (GHSGT) in three of four subjects; (3) the candidate had been a

principal for three consecutive years; (4) the candidate's school was not currently in the

Needs Improvement status; (5) the candidate met other goals relating to AYP, graduation

rate, End of Course Test performance and gains on SAT scores (Georgia Department of

Education, n.d.b). Criteria for Georgia's High Performance Principals were based entirely

on student achievement instead of leadership performance standards.

Since 2006, Georgia has recognized over 100 principals each year as Georgia

High Performance Principals. Of the over 100 recognized each year, 25 or fewer were

middle school principals. First District Region Educational Service Agency had four

middle school principals who were named Georgia High Performance Principals (see

Table 1). With the present focus on accountability, no teacher or staff member was more

accountable than the leader of the school (Reeves, 2004). Whitaker's (2003) research on

more effective and less effective principals revealed one key difference among the two

groups. Effective principals viewed themselves as responsible for every aspect relating to

their school. These principals had high expectations for themselves and their staffs. They

were willing to accept responsibility for their schools.

Table 1

Georgia High Performance Principals

School Level	2006		2007		2008	
	State	FDRESA	State	FDRESA	State	FDRESA
Elementary	83	10	64	8	73	5
Middle	18	4	25	4	17	4
High	26	2	21	2	22	1
Total	127	16	110	14	112	10

Summary

In the educational arena, a Level 5 leader shared similar characteristics of a change agent, a transformational leader, an inspirational leader, and a servant leader. The differences between each of these types of leadership and a Level 5 leader were that a Level 5 leader was a culmination of all these types of leaders. The characteristics of the two sides of a Level 5 leader, professional will and personal humility were seen in effective educational leaders.

All good-to-great companies had Level 5 leadership at the time of transition. This type leader cut against the grain of conventional leaders. Level 5 leaders were not described as a larger than life leader who turned the organization around, rather one who did not accept mediocrity. Unlike some principals today who "go with the flow" instead of leading their school to greatness. Level 5 leaders had an internal drive to produce results beyond the status quo.

The focus of this study was that high performance principals were demonstrative of Level 5 leaders. Though some researchers have disagreed with Collins' Level 5 leader, these noted that a leader could not change a school by professional will and personal humility. However, most researchers have agreed with his findings. They supported Collins' research finding that high-quality leaders made working conditions energizing and exciting. Also, an effective leader constantly trains others to become the leaders of the future. Thus, through the literature it was found that more Level 4 leaders than Level 5 leaders existed in education. Level 4 leaders were committed to a clear vision and stimulating high performance. These leaders obtained high student achievement but lacked the enduring greatness of personal humility and professional will.

With states offering incentives for leaders to work in turn-around schools, it was important that the principal's level of leadership be examined. Thus, stressing the need for new principals with a level of leadership comparable to the Level 5 leader. Examining methods to determine an applicant's level of leadership before hiring administrators became imperative for school districts. Research conducted by the Columbia Teachers College studied 28 administrator preparation programs to evaluate the educational leadership programs of study. Findings revealed a lack of focus in the leadership program of study as a key problem. A more coherent curriculum designed to teach leaders how to improve instruction and drive student achievement was needed. Because of these findings, many states such as Louisiana and Georgia have raised the expectations for leadership training programs, thus satisfying the state licensing programs. With the changes occurring in higher education leadership programs, it would be essential for training programs to incorporate the characteristics needed to become a Level 5 leader in a school system. These type leaders were not born, but could be trained to become Level 5 leaders.

The principles examined by Jim Collins in *Good to Great* could be applied to the social sector as well as the business sector. Social sectors such as educational systems should begin training prospective Level 5 leaders within the school system. This plan could be the only way schools and systems could move from being good to being great and keep sustainability. Leaders today have a high level of accountability for showing progress in the organization. In the educational setting, accountability has most often been measured by students' scores on state standardized achievement test. Leaders in the

business and the social sector will determine if the organization maintains mediocrity or

moves in the direction of being great.

Chapter 3

METHODS

Introduction

The researcher's purpose of this study was to explore the characteristics of Georgia's high performance middle school principals to understand the similarities of their leadership characteristics to Level 5 leaders. This chapter included a description of the research design, participants, and the instrumentation used in the study. Data collection, analysis, and reporting by the researcher were based on the overarching research question: How are Georgia High Performance Principals in middle school demonstrative of Level 5 leaders?

The sub-questions to guide the study were:

1- What are the leadership characteristics of Georgia's High Performance Principals at the middle school level?

2- What common leadership characteristics describe Georgia's High Performance Principals at the middle school level?

3-How are leadership characteristics related to Level 5 leader characteristics?

Research Methods

Research Design

In conducting this multiple case study over a four-month period, a qualitative research approach was used to gather data on the leadership characteristics of FDRESA Georgia High Performance Principals at the middle school level. According to Maxwell (1996), qualitative research method was used to understand the meaning of events, situations, and actions of participants. This research design was an account of the lived

experiences of the participants in three different case studies. Creswell (2007) suggested a major characteristic of qualitative research was gathering information by directly talking to the participants and observing their behavior in their natural setting. To examine leadership behaviors within the school as an organization, the researcher needed to rely on interviews, observations, and reflection of how high performance school principals led their schools.

The specific qualitative research design used was a multiple case study. It was important to understand the common or shared experiences of individuals who had experienced the same phenomenon (Creswell, 2007; Gall, Gall & Borg, 2007). Case study research was defined as the study of one or more phenomenon, in this case leadership, in its real life context that reflected the perspective of the participants involved in the phenomenon (Gall, Gall & Borg, 2007). This study was a multiple case study design because the principals who provided the focus for the study experienced the same phenomenon of being a Georgia High Performance Principal at the middle school level for two consecutive years. As a process, this multiple case study included gathering data from observations of the participants, interviews, personality profiles, and other records. This required the researcher to become immersed in the lives of the participants through observations and interviews (Creswell, 2007). Because this study was social and cultural, it included the observed behavior of the principals and those with whom the principal interacted on a professional level. The researcher considered the participants of the study members of an elite group of principals who have earned the designation, "Georgia High Performance Principals."

The researcher examined the behaviors of this elite group using a multiple case study approach. The behaviors were assessed through interviewing participants, observing principals in the school setting, and reviewing other documents. This approach gave meaning and allowed the researcher to describe the participant's lived experiences as a Georgia High Performance Principal and their leadership characteristics.

Participants

In Georgia, there were 25 middle school principals who earned the distinction as high performance principal in 2007 and 17 in 2008. From this group, the researcher selected three to interview, observe, and inquire about from informed participants. The criteria used to select the three was: the principal's school showed higher than expected scores on state CRCT in four of five subjects assessed; the principal had been a principal for three consecutive years; the principal's school was not currently in the Needs Improvement status, the principal was located in a school system served by First District RESA and the principal had been recognized as a Georgia High Performance Principal for two consecutive years. Selecting three yielded substantial data about leadership characteristics used to compare the group's characteristics to the characteristics of Level 5 leaders. All principals were members of the same RESA district which meant they had equal access to the same professional learning opportunities and had an established network. They had been in their current leadership role and school for three or more years and were leaders of distinguished schools.

In order to understand the leadership characteristics from others who had been influenced by the three principals, the researcher selected assistant principals as one of the participant groups in the study. Additionally, three staff members were randomly

selected to interview from each school site as another participant group. These staff members included graduation coaches, lead teachers, team leaders, and instructional facilitators. Moreover, these participants were randomly selected from a list of staff who had been employed the entire tenure of the Georgia High Performance Principal and had leadership capacity within the school setting. Leadership capacity meant the staff member had a leadership role in the organization of the school (i.e. department chairperson, grade-level chairperson, committee chairperson). Pseudonyms were used for all participants in order to protect their identities.

Conducting the interviews and observations within the setting where the high performance principal worked was an important aspect of the study. Three middle schools, School A, School B, and School C were located in rural southeast Georgia communities. School A was the only middle school in a community with a population of 17, 419. This school had 733 students, of these students, 60% were economically disadvantaged and 17% percent were students with disabilities. Also, School A had a modern architectural design since it was built in 1994. School B was located in a community of 10, 495 people. In addition, this school had 368 students enrolled with 74 % being economically disadvantaged and 15% students with disabilities. Consequently, School B was in a two story brick building that was erected in 1922 as the high school which housed grades K-12. In 1971, a new high school was built and K-8 remained in the building. By 1996, an elementary school was completed and grades 6-8 remained in what was now School B. Even though this school was over eighty years old, it was in good structural condition and was maintained properly. School C was one of two middle schools in a county with a population of 26, 067. Additionally, 559 students who resided

within the city limits of the county were enrolled in School C. Of the students enrolled, 62% were economically disadvantaged and 7% were students with disabilities. Like School A, School C had a modern architectural design due the school's completion in 1996.

Instrumentation

The researcher interviewed the principal, assistant principal, and three staff members at each of the three school sites. The instruments varied in format to address the appropriate participant. For example, the question in the principal's interview protocol read, "What are five words that best describe you as a leader?" For the assistant principal and staff member interview protocol, the question read, "What are five words that best describe your principal as a leader?" The interview questions were designed to explore the principal's leadership characteristics as he or she defined and reflected on him or herself as a leader, as well as to yield data from those who worked within the setting.

The researcher used the data from Collins' research on Level 5 leaders to construct the interview questions and generated a research question/interview matrix (Appendix G). The participants responded to open-ended interview questions (Appendix D-F). The questions generated responses which provided the researcher with the lived experiences of the selected Georgia High Performance Principals. The researcher used the interview procedures outlined by Creswell (2007).

To design the interview questions, the researcher conducted a pilot study. The pilot study was conducted with two principals on the topic of principal's leadership characteristics compared to Collins' Level 5 leadership characteristics. This pilot study was used to ensure that the interview protocol was feasible and would produce data to

allow the researcher to understand the leadership characteristics of high performance

principals. Additionally, a list of leadership characteristics from Collins' book, *Good to*

Great, was used as an instrument by which to compare characteristics of high

performance principals (Appendix G). After participating in a pilot interview, the

participants reflected on the draft interview questions in light of the purpose of this study.

These participants made suggestions about grammar, clarity, and question-topic

relationships. Revisions to interview questions were made in light of the pilot study

participant's recommendations (Glesne, 2006). Using various levels of participants in the

pilot study was not necessary due to simply varying the wording of the interview protocol

to address the appropriate participant.

The second instrument used by the researcher was the True Colors™ personality

profile. The researcher believed that the outcomes of this profile would yield a more in-

depth analysis of leadership characteristics perhaps not revealed in the interviews. True

Colors™ is a personality instrument that used four colors to identify different

perspectives and personalities of respondents (Appendix I). Most people administered the

questionnaire revealed a dominant color and were influenced by the other three colors in

the True Colors Spectrum. Orange, Blue, Gold, and Green are the four dominant colors.

Orange represented an individual who had a zest for life and a desire to test the limits.

Blue represented a person who sought to express the inner you, authenticity, and honesty.

A Gold individual valued order and cherished the traditions of home and family. Green

depicted an individual who felt best about themselves when solving problems. True

Colors™ established a common vocabulary through which people could communicate

motivations, needs, and behaviors of their true character (Lowry, 2001). True Colors™

Personality Typing System correlated with the Myers- Briggs Type Indicator (Honaker, 2001).

The third instrument was field notes collected from five observations of the principal in each of the school settings. After conducting the interviews, the researcher used an observation protocol, which was established for recording field notes. Both descriptive and reflective notes were included in the observational protocol (Appendix H) (Creswell, 2003; Glesne, 2006).

Existing data such as AYP reports (Georgia Department of Education, 2007), Georgia High Performance Principal data, and school profile data was accessed from the Georgia Department of Education as part of this study. The AYP reports were examined to determine the number of years each school had high student achievement. Georgia High Performance Principal data was used to determine the number of years each principal was designated as a high performing leader. The school profiles were used to collect student enrollment and percentage of students in subgroups.

<div align="center">Data Collection</div>

Multiple methods of collecting data were used in order to enhance the validity of the case study findings through a process known as triangulation. Triangulation meant multiple sources of data provided a clearer understanding of the phenomena being studied (Bogdan & Biklen, 1998). Triangulated data included interviews, observations, and personality profiles.

One method of data collection was interviews with the Georgia High Performance Principals, the assistant principal, and three staff members at each of the three selected school sites. Participants were contacted by phone and e-mail to confirm their

participation in the study. The researcher obtained approval to conduct this study from the school district (Appendix A). Additionally, the researcher obtained approval to conduct this study from the Georgia Southern University Institutional Review Board (Appendix C). The researcher sent participants informed consent letters explaining the purpose of the study and requested participation in interviews with the researcher (Appendix B). The researcher telephoned each participant to arrange an interview time and location. Open-ended interview questions were mailed or e-mailed to each participant prior to the scheduled interview to allow participants needed time to formulate thoughts (Appendix D-F). Additional probing questions were asked based on the participant's responses in order to have a richer source of data. The researcher digitally recorded each interview and took notes to assure that all data was included in the study. To ensure checks and balances, the digital interviews were transcribed by a former court reporter. After being transcribed, the interviews were coded to determine emerging themes and patterns.

The researcher, in the role of a participant observer, conducted five observations of the Georgia High Performance Principal at each of the three middle schools. Four of the observations were focused on the lived experiences of the principal. These observations were scheduled to allow the researcher to see the principals in faculty meetings, small group meetings, walk-throughs, and student settings. One observation was conducted during the absence of the principal to observe the functionality of the school in his or her absence. Observations lasted from 45 minutes to three hours. The researcher collected field notes based upon the school setting, the actions of the principal, the events, the availability of the principal, and the formal or informal communications

with informants. The researcher recorded what the principal said, what he or she did, and the impact he or she had on others. Events included faculty meetings, walk-throughs, small group collaborations, and student transitions such as class changes and lunch period. Observational data was used to support or challenge the interview data (Glesne, 2006).

Each principal completed the True Colors™ personality profile as a means of collecting data of leadership characteristics. The True Colors™ personality profile behaviors were aligned with Collins' Level 5 leadership characteristics. The outcomes of the True Colors™ were used to validate interview responses and observation data. Additionally, True Colors™ was used to determine the principal's motivations, needs, and behaviors.

<div align="center">Data Analysis</div>

The researcher used the data analysis process as outlined by Creswell (2003). The researcher used the case study method which involved detailed descriptions of the setting or individuals followed by analysis of the data for common themes (Creswell, 2003).

The interviews of all participants, observation field notes and personality profiles were categorized, coded and analyzed for emerging themes and patterns regarding the leadership characteristics of the three middle school Georgia High Performance Principal participants. Glesne (2006) stated "Coding is a progressive process of sorting and defining and defining and sorting those scraps of collected data (i.e., observation notes, interview transcripts, memos, documents, and notes from relevant literature) which are applicable to your research purpose" (p.152). The interviews, observations, and personality profiles were coded using Microsoft Word. Subsequently, this data was

imported into a spreadsheet in Microsoft Excel. This spreadsheet assisted the researcher

in calculating the frequency of codes for each principal participant. The collected coded

themes and patterns were analyzed, incorporated, summarized, and organized into written

text and tables. A leadership characteristic matrix was designed by the researcher to

create a list of common leadership characteristics among the principals (Appendix J).

This matrix was used to examine Georgia High Performance Principal leadership

characteristics in context to common leadership characteristics from the literature. In

addition, Level 4 leader characteristics, and Level 5 leader characteristics, were included

in the matrix from the list of characteristics of Level 4 and Level 5 leaders in Collins'

work. Thus, the researcher used this matrix as a tool to compare the data gathered on each

principal and identify which type of leader each principal was most closely associated.

The collection of the data from the study in the form of written text and tables

were evaluated for the value and significance to answer each research question. Thus, the

first research question, what are the leadership characteristics of Georgia's High

Performance Principals at the middle school level, was answered by data collected from

principal interviews, assistant principal interviews, staff member interviews, True

Colors™ personality profiles of principals, and observations. Additionally, the second

research question, what common leadership characteristics describes Georgia's High

Performance Principals at the middle school level, was addressed using the

aforementioned data. However, this data was compared and contrasted to create a list of

common leadership characteristics among the three principals. Accordingly, the third

research question, how are leadership characteristics related to Level 5 leader

characteristics, was assessed by comparing and contrasting the data gathered on each

high performance principal with the characteristics of a Level 4 leader and a Level 5 leader.

Summary

The methodology used was a multiple case study approach for exploring the leadership characteristics of middle school Georgia High Performance Principals. This research design allowed the researcher to observe the principal, the research setting, and review documents related to the principal's leadership characteristics. A pilot study of the interview protocol was conducted on two participants not included in the study. The results of the pilot study were used to make modifications to the interview protocol. Three principals were the focus of the actual study. The participant's interviews, school observations, and the principal's personality profile served as the three methods of collecting data and exploring the common leadership characteristics exhibited by Georgia High Performance Principals at the middle school level.

CHAPTER 4

REPORT OF DATA AND DATA ANALYSIS

Introduction

This study was designed to examine the commonalities of middle school Georgia High Performance Principals and Level 5 leaders as described in the literature. The participants of this study were three middle school principals in the First District Regional Educational Service Agency (FDRESA) who were 2007 and 2008 Georgia High Performance Principals. Other participants included the assistant principal and three staff members at each school. These participants were selected based on the selection criterion including employed the entire tenure of the Georgia High Performance Principal and had leadership capacity within the school setting. Each of the three middle schools was located in the FDRESA and was considered a distinguished school by the Georgia Department of Education.

In conducting this multiple case study over a four-month period, a qualitative research approach was used to gather data on the leadership characteristics of FDRESA Georgia High Performance Principals at the middle school level. Five observations were conducted at each leader's respective school upon the Superintendent's written consent (Appendix A). The researcher also conducted five interviews at each school. Each interview participant and the researcher read and signed the Participant Informed Consent Form (Appendix B) before the interviews were conducted. Accordingly, the researcher emphasized that the interviews would be digitally recorded and that the identity of all participants would remain anonymous. After coding the responses, a frequency of codes was calculated on each interview, observation, and personality

profile using Microsoft Excel. Thereby, an accurate percentage of coded responses for each principal participant were generated to provide the researcher a profile of leadership characteristics of high performing principals. These characteristics were used to determine if high performance principals were demonstrative of Collins' Level 4 or Level 5 leader.

The findings from this study were presented in relation to the stated overarching research question along with the three sub-questions. The overarching question was: How are Georgia High Performance Principals in middle school demonstrative of Level 5 leaders? The following three sub-questions guided the study:

1- What are the leadership characteristics of Georgia's High Performance Principals at the middle school level?

2- What common leadership characteristics describe Georgia's High Performance Principals at the middle school level?

3-How are leadership characteristics related to Level 5 leader characteristics?

Setting

In 2006, Georgia Governor Sonny Perdue and Georgia State Superintendent of Schools Kathy Cox announced more than 100 High Performance Principals (Georgia Department of Education, n.d.b). Twenty-five of the 2007 and seventeen of the 2008 Georgia High Performance Principals were middle school principals. The Georgia Division of School and Leader Quality divided the state into five improvement regions. Each region was further divided into a Regional Education Service Agency (RESA). The major participants of this study were three middle school principals in the First District Regional Educational Service Agency (FDRESA) who were named 2007 and 2008

Georgia High Performance Principals. Furthermore, their schools had greater than 60%

economically disadvantaged student populations. Enrollment for these schools in 2007-

2008 ranged from 410 to 696 students (Georgia Department of Education, n.d.a).

Data for this study was gathered from three middle schools, School A, School B,

and School C which were located in rural southeast Georgia communities. School A was

the only middle school in a community with a population of 17, 419. With 733 students

in School A, 60% were economically disadvantaged and 17% percent were students with

disabilities. Additionally, School A was built in 1994 and had a modern architectural

design.

The community in which School B was located was less populated than School A

with 10, 495 people. Consequently, School B's population was half the size of School A

with 368 students enrolled. Of these 368 students, 74 % were economically

disadvantaged and 15% were students with disabilities. School B was in a two story brick

building that was erected in 1922. Even though this school was over eighty years old, it

was in good structural condition and was maintained properly.

The county in which School C was located had a city and county middle school.

This county had a population of 26, 067. School C was located in the city limits with a

student population of 559. Of the students enrolled, 62% were economically

disadvantaged and 7% were students with disabilities.

Description of Participants

All three high performance principals had over 25 years experience in education

with over 10 years as administrators. Each of the principals had a personal commitment

to the success of their schools. These administrators attended their respective schools as students, therefore having a long-term relationship with the schools.

Middle School Principal A

Principal A had been an educator for 28 years and of this time 10 years was as a teacher and 18 years was as an administrator. Additionally, Principal A was the assistant principal at School A for 10 years before acquiring School A's principalship. This principal has been the principal of School A for the past eight years and has a doctoral degree in educational leadership.

Principal A identified Blue as the brightest color on the True Color™ personality profile. The Blue personality strength was authenticity, showing that this individual valued honesty. He or she enjoyed close relationships with those whom they loved. Also, this personality trait was demonstrative of determination and cultivating the potential in others in anticipation of making a difference in the world.

Middle School Principal B

The second high performance principal, Principal B, had been an educator for 29 years with 14.5 of these years as a teacher and 14.5 years as an administrator of School B. Prior to Principal B's principalship, this principal served in a dual capacity as teacher and assistant principal. Additionally, Principal B received a doctoral degree in educational leadership.

Principal B identified Gold as the brightest color on the True Color™ personality profile. The Gold personality strength was associated with duty. This individual valued order and tradition, especially when it came to home and family. He or she was generous and caring, and showed this personality trait demonstrative of determination and loyalty.

Middle School Principal C

As an educator for 27 years, Principal C was a teacher for 15 years and an administrator for 12 years. Thus, 10 of those 12 years were as principal of School C and two years as assistant principal. Also, Principal C held an education specialist degree in middle grades education. Later, this principal completed additional course requirements for a leadership certification.

Principal C identified Green as the brightest color on the True Color™ personality profile. The Green personality associated strength with knowledge. This individual valued being a problem solver, especially when it came to his or her ideas being recognized. He or she sought to be an expert in everything. This personality trait was demonstrative of deep feelings, but with no open expression of emotions.

Table 2 presents a summary of information about the principals interviewed in the study. This table includes the years in education, years as a teacher, years as an administrator, and years as current principal.

Table 2

Principals at the Middle Schools

School	Years in education	Years as a teacher	Years as an administrator	Years as current principal
Principal A	28	10	18	8
Principal B	29	14.5	14.5	14.5
Principal C	27	15	12	10

The dominant personality color, keys to personal success, self-esteem, and tendencies of each principal are depicted in Table 3. These traits were determined using the True Colors™ personality profile. True Colors™ was created as the vocabulary through which people could communicate the expression of their character. Results from the True Colors™ profile showed that the principals had diverse personality traits. Principal A had a blue dominant color, Principal B had a gold dominant color, and Principal C had a green dominant color as shown in Table 3.

Table 3

True Colors™ Personality Profiles

	Principal A	Principal B	Principal C
Dominant Personality Color	Blue	Gold	Green
Keys to Personal Success	• Authenticity • Devotion to relationships • Cultivating the potential in others • Assuming creative roles • Writing & speaking with flair • Self-searching • Life of significance • Sensitivity • Spirituality • Making a difference • Seeking harmony	• Generosity • Strong work ethic • Parental nature • Promoting tradition • Love of history • Dignity • Perpetuates heritage • Steadfastness • Structured • Predictability • Emphasis on home & family • Establishing & organizing the organization	• Developing models • Abstract thinking • Analytical processes • Exploring ideas • Variety of interests • Striving for competency • Intelligence • Wisdom & knowledge • Perfectionism • Resisting redundancy • Precise language • Handling complexity
Self-esteem	• By being sincere & sympathetic	• By behaving responsible & being prepared	• By using ingenuity
Tendencies	• Dream of: love & affection • Values: Compassion & rapport • Regards: meaning & significance • Dislikes: hypocrisy & deception • Expresses: enthusiasm & inspiration • Fosters: growth in others • Respects: nurturing & sharing • Promotes: growth & development in others	• Dream of: influence & status • Values: dependability & responsibility • Regards: service & dedication • Dislikes: insubordination • Expresses: concern & purpose • Fosters: traditions • Respects: loyalty • Promotes: groups, ties, & organizations	• Dream of: truth & accuracy • Values: resolutions & explanations • Regards: efficiency • Dislikes: unfairness • Expresses: collected reservation • Fosters: inventions • Respects: knowledge & capability • Promotes: effectiveness & competence

Staff Interviewees

Of the 12 staff interviewees, all were female except one. Additionally, ten of the twelve interviewees had over ten years experience in education, and all interviewees had served with the current principal for four or more years. Four of the twelve interviewees had served the entire tenure with the current principals. Interviewees included assistant principals, graduation coaches, instructional facilitators, and teachers. At the end of this section, Table 4 displays the demographics of staff interviewees.

School A

Ana (pseudonym) was a female with 33 years of experience in education. She was an assistant principal for six years, and her time as an administrator had been with Principal A. Ana was asked, "What leadership characteristics do you see in the principal that you would like to professionally develop?" Ana's response was, "Principal A was a strong leader who can see the whole picture. I'd like to be able to not take things personally. I depend on Principal A a lot and I would like to walk away from here and say that I could do it on my own without leaning on Principal A."

Bertha (pseudonym) was a female with 25 years of experience as an educator. She has been working with Principal A for the past eight years. Bertha was a teacher who had several responsibilities within the middle school. She had been the team leader, department chair, and Southern Association of Colleges and Secondary Schools (SACS) chairperson for Middle School A. At the end of the interview Bertha was asked, "What leadership characteristics do you see in the principal that you would like to professionally develop?" Bertha's response included, "I would definitely say motivation and being

positive. It is good to hear the principal being motivating in the morning to help remind me that, hey in the classroom I need to be motivating."

Claudette (pseudonym) was a female educator with 21 years of experience. This educator has been working with Principal A for the past six years. Claudette was a teacher and chairman of the school's science fair. For the final question of the interview Claudette was asked, "What leadership characteristics do you see in the principal that you would like to professionally develop?" Claudette's response was, "The principal is motivating. Principal A encourages us and supports us and motivates us. During Teacher Appreciation Week Principal A goes all out. We had a foot massager to come one year. The principal finds the things to motivate us and encourage us."

Dolly (pseudonym) was a female with 17 years of experience as an educator. For the past six years she has worked with Principal A. Dolly was a teacher, who maintained the roles of Student Support Team (SST) / 504 coordinator as well as honor's program coordinator. This teacher was asked, "What leadership characteristics do you see in the principal that you would like to professionally develop?" Dolly responded, "Principal A has a way with words. I have seen this principal one on one in the office giving a student a pep talk; this principal has a way with kids. The principal forever wants to have some kind of motivational speaker or competition. Principal A is big into motivation that is a very strong point for the principal."

School B

Erika (pseudonym) was a female with 25 years of experience in the field of education. She has worked with Principal B for the past 10 years as the assistant principal. Before acquiring her position as an assistant principal, Erika was a classroom

teacher. Erika was asked, "What leadership characteristics do you see in the principal that you would like to professionally develop?" This veteran educator replied, "Principal B was very strong in the leadership role. This principal was a perfectionist and a first learner. These were two things I have seen Principal B do that I would like to develop. Under the principal's leadership we've turned a struggling school around to make a high achieving school. The principal was well deserving of the honor that was received as a high performing principal."

Faye (pseudonym) was a female educator with nine years of educational experience. Of these nine years Faye has worked with Principal B for eight and a half years. Faye was a classroom teacher for six years and has been a graduation coach for the past two years. Faye was asked, "What leadership characteristics do you see in the principal that you would like to professionally develop?" Accordingly, Faye responded, "I think learning how to be assertive but not overbearing. I'm watching the principal all the time, what the principal does and the way the principal talks and interacts with the teachers. The principal says what is needed to be said but justifies why it is the way it is."

Grace (pseudonym) was the interviewee with the most educational experience. This interviewee was female with 35 years as an educator. She was a teacher and then moved into the role of instructional facilitator. Additionally, Grace has served with Principal B for the past 14.5 years. Grace was asked, "What leadership characteristics do you see in the principal that you would like to professionally develop?" Her response was, "The principal has a passion for this school. I do not know of anybody that has a passion for this school like this principal does. Principal B has a passion for learning as

well as a passion for teaching and working with children. Because this principal not only deals with the children here the principal does it within the community."

Hannah (pseudonym) was a female educator with 33 years of experience as an educator. She was a special education co-teacher, special education lead teacher, a design team member, and served on the character education team. Also, Hannah has worked with Principal B for 14.5 years. Hannah was asked to respond to the following question: "What leadership characteristics do you see in the principal that you would like to professionally develop?" Hannah responded, "The principal is always motivated and looking for better ways for us to do things. I would like to be able to have half as much energy and drive as the principal does. This principal has been the best principal I have ever worked under. The principal promotes the school and it's been because of the principal's leadership that we have come this far."

School C

Ike (pseudonym) was the only male interviewee. He had eleven years of experience as an educator. Ike served as a teacher for seven years before becoming the assistant principal for Principal C for the past four years. Ike was asked, "What leadership characteristics do you see in the principal that you would like to professionally develop?" His response was, "I'm a very tough nut. Principal C provides a little alternative perspective that opens and has been important to my growth as an administrator. This principal has been a great instructional leader. I've learned a tremendous amount of things from this principal's instructional point of view. I haven't just been locked in here dealing with discipline as so often happens in many schools. Again we just have a tremendously wonderful relationship."

Joyce (pseudonym) was a female educator with nine years of experience. She was a teacher with eight years of service with Principal C. Additionally, she was a member of the design team, student council and cheerleading sponsor, and head of the Olympic committee. As one of the final interview questions, Joyce was asked, "What leadership characteristics do you see in the principal that you would like to professionally develop?" Joyce's response was, "I would say being more sympathetic and more caring. The principal is real good about listening and looking at both sides of the situation. This principal is focused on trying to make sure the kids are succeeding. Principal C has set expectations high for us and I think that's just the same as what we have to do for the kids are set them high and go with it."

Kate (pseudonym) was a female teacher with 10 years of experience. She has been a sponsor of the pep club and the school council. She has spent the last four years working with Principal C. When asked, "What leadership characteristics do you see in the principal that you would like to professionally develop?" Kate responded, "Principal C is maternal. Even though the principal is firm with the kids and sticks to his or her guns with what is said, a motherly role will come out. You can tell the principal loves the kids, so many kids in this area do not have anybody to care about them. Just that little bit of attention strikes me as a quality that I like about the principal. The principal cares about the teachers as well as the students."

Laura (pseudonym) had been an educator for 30 years. She was a female teacher who has worked with Principal C for the past 10 years. Additionally, Laura was a sponsor for Future Business Leaders of America (FBLA), she served as a team leader, and member of the leadership team. Laura was asked, "What leadership characteristics do you

see in the principal that you would like to professionally develop?" Her response to this

question was, "Principal C is open to suggestions of things we can do for the kids."

Table 4

Demographics of Staff Interviewees

Name	Gender	Years of Experience in Education	Years Working With Current Principal
Ana	F	33	6
Bertha	F	25	8
Claudette	F	21	6
Dolly	F	17	6
Erika	F	25	10
Faye	F	9	8.5
Grace	F	35	14.5
Hanna	F	33	14.5
Ike	M	11	4
Joyce	F	9	8
Kate	F	10	4
Laura	F	30	10

Findings

Research Question One

What are the leadership characteristics of Georgia High Performance Principals?

   Middle School A Principal

   Middle School A met AYP for the past five years under the leadership of

Principal A. Principal A had served as an educator for twenty-eight years, the last eight of

these years as the principal of Middle School A. Principal A demonstrated cultivating

potential in others and making a difference in the world through having a clear vision for

the school and being a supportive leader. The mission of Middle School A was a

commitment to providing a quality education that promoted maximum individual

achievement and social responsibility. This principal demonstrated the commitment to

this vision starting with the beginning of the year faculty meeting. Principal A compiled

the CRCT data and presented the trend data to the faculty. This principal challenged the

staff to set higher expectations for the upcoming year. Though challenging the staff

Principal A also respected the staffs' input on reasonable benchmarks for showing

student achievement. Also, the principal promised to reward staff and students if the

benchmarks were met. This principal was compared to a coach by participants in the

study. Ana stated, "As a coach, the principal sets goals for our team, inspires us to reach

those goals, and makes sure that our team works together effectively for the common

objective." Bertha added:

   The principal lets the students know the expectations, which are kept high. The

   teachers are expected to keep the bar raised, not just accept the minimum.

   Principal A really expects us to get the very best out of all the students.

Principal A demonstrated a coaching role by establishing the expectation for team planning and collaboration. This principal's reliance on the team concept coincided with the Blue personality type's need to nurture the potential in others.

Being a supportive leader was demonstrated in a variety of different settings. This principal's personality type supported the observation of doing for others. Several participants described how Principal A rewarded students and staff for accomplishments. Principal A arranged for motivational programs throughout the year to inspire students and staff to continue striving toward the mission of the school. This principal established criteria for students to attend reward field trips and motivational programs. Each nine weeks, students who met or exceeded the criteria could attend a special school event as a reward. Criteria included grades, achieving Accelerated Reader goals, attendance, and no major discipline referrals. Principal A took into consideration that some students would have difficulty meeting the grades and accelerated reader criteria. Therefore, the principal scheduled extra sessions throughout the school day for at-risk students to have additional time to meet these high expectations. Dolly reported, "If we need anything from the principal, whether it be advice, whether it be resources, whether it be help with discipline, anything, the principal is there for support." Claudette added, "When we have to change, the principal helps and encourages us to develop a plan. The principal provides backup through support. For example, providing personal assistance, obtaining training for us, or getting help from RESA for us." Staff were recognized and rewarded during staff appreciation days throughout the school year.

One of the most observed commitments of Principal A was the commitment to having a safe learning environment for students to learn and teachers to focus on instruction. Upon entering the halls of this school, one would see clean halls and walls. Students walked from one classroom to the next in an orderly fashion with limited talking and were accompanied by a teacher. Students were instructed to keep noise down when walking to the lunchroom past other classrooms. Students were also quiet during the lunch period. These expectations have been enforced through the principal's commitment to keeping the learning environment physically, mentally, and socially safe for student and staff. Bertha committed, "Principal A is a disciplinarian. The principal believes we need to be teaching and not handling discipline all day long. The principal wants to nip things in the bud." Ana added, "The principal's presence is known by visibility. Principal A is known for walking the halls and keeping the peace."

In keeping with the Blue personality profile, Principal A exhibited strength in communication with students and staff. This principal's ability to inspire growth in others and good listening skills enabled a sense of rapport to develop among students and staff. Principal A's communication skills were observed through interaction with students and staff. Principal A was firm but fair in communicating expectations to students. Students were comfortable discussing academics as well as extra-curricular events with the principal. The staff was observed stopping the principal several times to ask for a personal opinion on a variety of professional and personal topics. Bertha supported this observation by stating, "The principal has an open door policy. We can go in and talk. The principal comes around and talks to us to."

Transcribed interviews were exported into Microsoft Excel to be coded. After coding the responses, a frequency of codes was calculated on each interview, observation, and personality profile. Principal A had a frequency of coded responses 0.05% or higher in nine of the seventeen categories of leadership characteristics. The highest percentage of responses was in the categories of calm determination, supporting established standards, creating excellent results, supportive through change, unwavering resolve, clear vision, good communication, inspiring others to reach goals and being a supportive leader.

The lowest percentage of responses was in the categories of modesty, training successors, never blaming, and promoting professional development. Modesty had a low percentage of responses but was demonstrated by Principal A, who stated, "It's not my success, it is our success and because of our success, it was easier for teachers to buy-in year after year." Training successors and promoting professional development reflected a low percentage of coded responses. There was a high degree of support from this principal in the sense that he or she provided the data analysis and resources needed for teachers to be more successful. The principal also conducted data analysis and was knowledgeable of current research, which was shared with all staff members. Being a supportive leader corresponded with the percentage rate for never blaming to being one of the lowest in response rates as shown in Table 5.

Table 5

Principal A Percentage of Coded Responses

	Modesty	Calm Determination	Supporting Established Standards	Training Successors	Giving Credit to Others	Creating Excellent Results	Supportive Through Change	Unwavering Resolve	Modeling Expectations	Never Blaming	Promotes Professional Development	Clear Vision	Good Communication	Trust	Inspire Others to Reach Goals	Supportive Leader	Serve as Role Model
School A Principal **607 coded responses**	0.01% (11)	0.06% (41)	0.10% (63)	0.01% (11)	0.04% (26)	0.08% (51)	0.07% (44)	0.05% (31)	0.02% (18)	0.01% (12)	0.01% (10)	0.11% (70)	0.09% (59)	0.02% (15)	0.07% (43)	0.13% (80)	0.03% (22)

A combination of all the coded responses for the Level 5 leader aligned with

common leadership characteristics, which included promoting professional learning,

having clear vision, communicating well, trusting, inspiring others to reach goals, being a

supportive leader and serving as a role model. Principal A had the highest percentage in

the category of serving as a role model. According to the common leadership

characteristics chart (Appendix J), serving as a role model encompassed all ten of the

Level 5 leader's characteristics. The lowest percentage of combined responses was

"promotes professional development." The category of promotes professional

development was seen in the Level 5 leaders' characteristics as supporting established

standards and training successors. Even though the percentage of responses was the

lowest, interviews and observations revealed that Principal A supported professional

learning by actively searching for appropriate training to meet staff needs. Principal A

had a high number of coded responses in supporting established standards. Although the

school continued to run as normal in the principal's absence, there was a lower number of

responses in training successors. The principal shared that one of the biggest challenges was overcoming recent health issues. Additionally, this principal noted how well the assistant principal and staff were able to carry on as usual. Ana confirmed this by stating:

We have a strong support staff. Our faculty and staff know what the principal's expectations are and we all remained committed during the principal's absence. Our school just continued to perform like a well-oiled machine, even though the principal was out.

Principal A had a strong commitment to promoting a safe, nurturing, and warm environment for students to learn. This principal was enthusiastic in motivating and inspiring others to reach expectations. Principal A stated:

I feel like my enthusiasm shows the love for the children and love of education. I think that the enthusiasm spills over because if you're not enthusiastic, you can't motivate. If you can't motivate, then you're going to have people who are kind of on the edge of pass or fail or get the work done or not get the work done.

These statements revealed the principal's commitment to motivating others to achieve the desired results. Principal A's analysis of common leadership characteristics is presented in Table 6.

Table 6

Principal A Analysis of Common Leadership Characteristics

		School A Principal
Promotes Professional Development	Supporting established standards Training successors	0.13%
Clear Vision	Creating excellent results Supporting established standards Unwavering resolve Calm determination	0.42%
Good Communication	Calm determination Supporting established standards Unwavering resolve Creating excellent results Modeling expectations	0.43%
Trust	Modesty Giving credit to others Supportive through change Never blaming	0.17%
Inspire Others to Reach Goals	Training successors Giving credit to others Supportive through change Never blaming Unwavering resolve Modesty Calm determination	0.28%
Supportive Leader	Supportive through change Supporting established standards	0.30%
Serve as Role Model	Modeling expectations Modesty Calm determination Supporting established standards Training successors Giving credit to others Creating excellent results Supportive through change Unwavering resolve Never blaming	0.54%

Middle School B Principal

Middle School B met AYP for the past four years under the direction of Principal B. Principal B has served as an educator for twenty-nine years, fourteen and one-half of these years as the principal of Middle School B. Principal B promoted the vision and mission of the school. The mission for this school was to ensure a high level of learning for all students in a safe and challenging educational environment. Mission statements were displayed at the entrance of the school and in every hallway. Mission statements written by students were displayed throughout the school along with student work. Upon entering the school, one would find a safe environment similar to home. The classroom and office areas were arranged similar to a home atmosphere, rather than the traditional arrangement for schools. Desks were arranged in a variety of ways instead of straight rows with the teacher's desk in the front of the room. Classrooms were representative of the teacher's personality. Classrooms had a very colorful décor with bean bags and other type seating arrangements available for students working in small groups. Emphasis was on student learning with walls and bulletin boards used to promote student work and student recognition. Each classroom had similar items posted such as state standards, essential questions, and word walls. These were expectations established by the principal.

Principal B established a focus team which consisted of the principal, assistant principal, instructional supervisor, graduation coach, and special education facilitator. Each month the focus team conducted walk-throughs to inspect what was expected. The expectations established were thirteen indicators which were seen as evident or not evident upon entering a classroom. These indicators included the posted standards for the current unit, the displayed mission statement, visible class rules and consequences,

students' work displayed with rubrics, bulletin boards used for instruction, displayed word wall, essential question posted, key question posted, value statement posted, Who Am I story posted, fire evacuation map by the door, emergency notebook by the door, and a classroom conducive to learning. The principal maintained visibility by walking into classrooms as a daily routine. Teachers demonstrated the use of the standards, essential questions, and word walls by referring to each item throughout the lesson.

The principal modeled the desire for a safe, orderly, and caring learning environment. The school was clean and very orderly. The principal was observed many times picking up small paper items from the floors and grounds. Students moved from each class in a straight line with the teacher as the lead. Many smiles were observed while students passed by and spoke to each other and the principal. The principal addressed most students by first name. Principal B was able to discuss with students the progress they were making in extra-curricular activities as well as academic activities.

Principal B modeled the importance of communication with staff. Communication was observed through verbal and non-verbal avenues. The principal was more of a listener in meetings and small group collaborations. Additionally, as principal B listened he or she interjected comments when asked to share with the group. Also, Principal B did not do all the talking in faculty meetings or small group collaborations. Faye stated, "The principal was a great communicator and listener. Principal B has an open door policy." The researcher observed teachers openly talking with the principal about professional and personal topics.

Principal B encouraged distributed leadership, emphasizing that it was important to lead by example and allow others to assist in leading the school toward excellence. Principal B stated:

I cannot do it all by myself. I try to get eighty-five percent buy-in on anything we try to do prior to making a change. I am knowledgeable and passionate about what I am doing, but I know there are things I do not know. I am willing to say I do not know and seek advice or research the issue before making a commitment.

Others were encouraged to take a leadership role in meetings and led the group through topics of interest. Similar to a servant leader, Principal B valued communication, listened to his or her followers, and supported collaborative decision making. To enhance communication, a design team was established similar to a leadership team. This team was constructed of teachers, administrators, support staff, and content lead teachers. The purpose of this team was to keep a direct line of communication with the staff concerning issues relevant to the mission of the school. Erika stated, "The principal believed in sharing leadership. That was how we continued to function like a well oiled machine when the principal was absent. Teachers and students knew the routine. We have practiced it. We just keep on keeping on." All staff interviewees and Principal B used the term "we" continuously. Very seldom was the phrase, "the principal told us" or "the principal required us" to do this, used.

Principal B communicated expectations clearly to the staff and students. Expectations were focused on the mission of the school. Also, expectations were displayed on posters in hallways and classrooms. These posters communicated a visual of the established expectations which included information such as code of conduct, content

area standards, and safety procedures. Additionally, these expectations were also printed in the teacher and student handbooks.

Principal B never took credit for any of the school's accomplishments. When asked how the school accomplished the achievements, Principal B stated:

It took hard work, it took a buy-in from everybody, it was a team effort, and letting everyone know this was our school. There were things proven by research we were going to have to do if we wanted our school to be successful.

Knowledge of current research was evident in the artifacts observed in the data room and through informal discussions with staff members. The data room displayed CRCT data for each grade broken down by domains and subject area. Each grade level charted the data and analyzed the trends. Staff members knew the meaning of the data, the areas of weakness, and goals the school had implemented to address the weaknesses.

Professional development began with the principal. The entire staff including the principal was committed to whole faculty study groups for the purpose of studying current research and exploring ways the research could be applied to achieve improvement of the school. Principal B was described by many as a lead learner or a leader by example. One of the best examples of this characteristic was demonstrated in the principal's passion for individual professional growth and professional growth for the staff. This principal stated, "I am not going to ask them to do anything that I am not willing to do. If they have to sit in professional learning activities, I am in with them. I am in those activities to." Hanna stated, "The principal was always on top of things. Principal B knew the latest research." Erika added:

The principal was a first learner and a lead learner. Principal B researched first, and then participated with the teachers in staff development instead of sending them to learn it and expecting them to put it into place in the classroom. Professional development extended out into the community through teachers volunteering to instruct a Saturday session for parents and community members. Some topics included learning to use Microsoft Word, internet safety at home, cake decorating, and babysitters' training through the American Red Cross. Thus, the school invited the community into the building in a non-threatening way and emphasized the caring nature of the principal for the students, parents, and the community.

A sense of pride was noted throughout the school. The school mascot was proudly displayed everywhere. Students and teachers wore school spirit items to support athletics. All teachers had a personal autobiography posted on the classroom door entitled "Who Am I" and a personal mission statement entitled "I Promise." These statements reflected the teacher's personal growth and his or her goals for the students in his or her class.

Principal B demonstrated all seventeen categories of leadership characteristics. In ten of the seventeen categories, Principal B had a frequency of coded responses 0.05% or higher in calm determination, supporting established standards, creating excellent results, supportive through change, unwavering resolve, modeling expectations, clear vision, good communication, supportive leader, and serving as a role model. The lowest percentage of responses was in the category of never blaming. This was due to the high percentage of responses for the principal's being a supportive leader. An example of never blaming was how Principal B dealt with dissent among the staff. This principal

believed in giving everyone the benefit of the doubt. The principal made the following

comment concerning resistance among staff to follow the established expectations: "You

have to prove to me that you resist my help – my coaching." This principal saw himself

or herself as a helper of children and adults through coaching. These results are shown in

Table 7.

Table 7

Principal B Percentage of Coded Responses

	Modesty	Calm Determination	Supporting Established Standards	Training Successors	Giving Credit to Others	Creating Excellent Results	Supportive Through Change	Unwavering Resolve	Modeling Expectations	Never Blaming	Promotes Professional Development	Clear Vision	Good Communication	Trust	Inspire Others to Reach Goals	Supportive Leader	Serve as Role Model
School B Principal 620 coded responses	0.03% (23)	0.05% (35)	0.07% (47)	0.04% (27)	0.04% (29)	0.09% (57)	0.05% (31)	0.06% (41)	0.07% (47)	0.01% (11)	0.03% (23)	0.08% (53)	0.08% (53)	0.04% (28)	0.04% (26)	0.08% (54)	0.05% (35)

Principal B had the highest percentage of responses in the category of serving as a

role model. This category included all ten of the Level 5 leader's characteristics, which

were modeling expectations, modesty, calm determination, supporting established

standards, training successors, giving credit to others, creating excellent results,

supportive through change, unwavering resolve, and never blaming. The lowest

percentage of combined responses was in the categories of promotes professional

development and trust. The category of promotes professional development was seen in

the Level 5 leaders' characteristics as supporting established standards and training

successors. Even though the percentage of responses was one of the lowest, interviews

and observations supported Principal B as being a lead learner and participating in the

same professional development the staff was required to attend. Trust was another

characteristic with a low percentage of responses found in this study. This characteristic

was verbalized by a few participants. Thus, trust was not observed easily. Trust was

difficult to determine in interviews and observations, but was sensed from the Level 5

leader's perspective as modesty, giving credit to others, supportive through change, and

never blaming. Being supportive was one of Principal B's strengths, which implied that a

level of trust was present, even though coded responses did not reflect a high percentage.

Principal B had a passion for student success. Several times principal B

mentioned Jim Collins' analogy about the bus fitting the education sector as well as the

business sector. Principal B stated:

> We need to get everybody on the bus and get everybody in the right seat. If you
>
> are not in the right seat and you do not believe in children, then when this bus
>
> makes a stop, you need to get off. I am not trying to be mean or ugly, but our
>
> work with children is just too important to not do it and do it well.

Principal B's analysis of common leadership characteristics is presented in Table 8.

Table 8

Principal B Analysis of Common Leadership Characteristics

		School B Principal
Promotes Professional Development	Supporting established standards Training successors	0.15%
Clear Vision	Creating excellent results Supporting established standards Unwavering resolve Calm determination	0.37%
Good Communication	Calm determination Supporting established standards Unwavering resolve Creating excellent results Modeling expectations	0.45%
Trust	Modesty Giving credit to others Supportive through change Never blaming	0.15%
Inspire Others to Reach Goals	Training successors Giving credit to others Supportive through change Never blaming Unwavering resolve Modesty Calm determination	0.30%
Supportive Leader	Supportive through change Supporting established standards	0.21%
Serve as Role Model	Modeling expectations Modesty Calm determination Supporting established standards Training successors Giving credit to others Creating excellent results Supportive through change Unwavering resolve Never blaming	0.61%

Middle School C Principal

Middle School C met AYP for the past four years under the direction of Principal C. Principal C has served as an educator for twenty-seven years, ten of these years as the principal of School C. Principal C demonstrated respect for knowledge and effectiveness by having and communicating a clear vision for the school. The mission of School C was a commitment to providing all students with an avenue to reach their potential for growth academically, socially, physically, and emotionally. School C was also committed to providing a safe, positive, and comfortable environment conducive to learning. This principal demonstrated the commitment to this vision during a faculty meeting focused around the need for more supervision due to an increase of student movement. Principal C made it very clear there would be no excuses for lack of supervision of students. The principal compiled CRCT data and presented the trend data to the faculty. He or she reminded staff that the mission of the school was to meet all students' needs. Several student sub-groups were identified by the principal for weaknesses. The principal expressed a need to continue the search for new ways to help these students be more successful.

Principal C established a strong line of communication with the staff through e-mail, large group meetings, small group meetings, and personal conversations. In keeping with the Green personality type, communication and precise language were important. Principal C believed good communication was an important aspect of leadership in order to have an inclusive team. Principal C commented:

> I'm very upfront about what we are here for. I try to be inclusive as far as getting the staff's ideas by keeping an open dialogue with them. I try to be readily

available when the staff is on duty to have casual conversations in order to gain

input from their ideas.

Joyce complemented the principal's communication skills by stating, "The principal is a

really good listener and looks at both sides of a situation."

Being a supportive leader was demonstrated in a variety of different settings.

Principal C was observed being a supportive leader by showing compassion for students

in need for personal attention. One incident was observed when a student had a personal

situation and a teacher came to the principal to ask for assistance. Principal C did not

hesitate and demonstrated the cool, calm, collected reserve typical of the Green

personality type. Principal C showed compassion for students by stating:

I am committed to educating every child to the best of our ability, but there are

needs beyond these needs. So many children have other needs. It is our

responsibility to meet academic needs as well as these other needs.

Ike stated, "The principal displays a tremendous amount of caring, not only for our

students, but for the staff and faculty. People don't look at the principal as some robotic

type person doing a particular job." Teachers were observed asking the principal for

assistance with discipline and instructional issues. Several students stopped to ask the

principal questions relating to dress code and recess privileges. The principal, teachers,

and students discussed each issue through questions and answers. Teachers and students

thanked the principal for answering their questions.

Several participants mentioned that Principal C had a very supportive nature. For

example, Kate stated, "The principal is firm with the kids and sticks to his or her guns,

but in a supportive manner. You can tell he or she loves the kids." Principal C also

provided support through resources and training for student improvement. Joyce

commented, "Principal C makes sure everybody on staff is trained in whatever we need.

He or she also makes sure we have any materials we need to carry out instruction. We

pretty much don't lack when it comes to materials."

One of the most observed characteristics of Principal C was the commitment to

supporting established standards, which reinforced having a clear vision and creating

excellent results. Upon entering the halls of this school, one would see the mission

statement at the entrance of every hallway and in every classroom. Students' work was

displayed in each classroom and on the walls of each hallway. The pride of keeping the

school clean and safe was observed by students keeping everything in an orderly fashion

and picking up after themselves.

Student success was expected and was emphasized throughout the school. A

graduation banner was displayed at the entrance of each grade's designated hallway. For

example, Class of 2015 was displayed at the entrance of the sixth grade hall. Various

school programs were offered to assist students in achieving expectations such as goal

setting, celebrations every four weeks, and attendance parties. These expectations have

been enforced through the principal's commitment to keeping the learning environment

physically, mentally, and socially safe for student and staff. Kate and Laura agreed the

principal had high academic standards. Laura added, "The principal has high expectations

for the teachers as well as the students. He or she tells us what is expected and comes into

our room to check." Ike stated:

> We know sometimes people don't want to acknowledge problems that they have
>
> in schools, but our principal has readily acknowledged these things and has taken

steps to help combat that. Our principal has been very vocal about combating

these things as well as putting forth a tremendous effort to help us face these

problems and not run away from them. Our principal has been at the forefront by

helping provide the different training that we all need.

Principal C stated, "When interviewing a candidate I try to find people that really have a

heart for the middle school and who know their subject area and who would be

compatible with the staff and students at the school."

Principal C had a frequency of coded responses 0.05% or higher in ten of the

seventeen categories of leadership characteristics. The highest percentages of responses

were in the categories of calm determination, supporting established standards, training

successors, creating excellent results, supportive through change, unwavering resolve,

clear vision, good communication, supportive leader, and serving as a role model. The

lowest percentages of responses were in the categories of modesty and never blaming.

Modesty and never blaming were demonstrated in Principal C. Modesty was

determined through references such as there have been a lot of achievements that

numerous people from around the school have been involved in. Principal C reinforced

this characteristic by stating, "I've been a high performance principal for two years and I

don't feel like that was just me. I mean that was earned by the school. The principal was

just the designated person to be recognized." Being a supportive leader resulted in the

percentage rate for never blaming to be one of the lowest in responses. Because the high

performance leaders did not focus on mistakes of others, they were considered to be

supportive. Thus, being a supportive leader was observed when Principal C asked his or

her staff to discuss information related to students behind closed doors and out of ear shot

of other students. Principal C treated the situation proactively by asking the staff to show

students respect instead of chastising the staff for participating in an unprofessional

manner. Principal C's percentage of coded responses is shown in Table 9.

Table 9

Principal C Percentage of Coded Responses

	Modesty	Calm Determination	Supporting Established Standards	Training Successors	Giving Credit to Others	Creating Excellent Results	Supportive Through Change	Unwavering Resolve	Modeling Expectations	Never Blaming	Promotes Professional Development	Clear Vision	Good Communication	Trust	Inspire Others to Reach Goals	Supportive Leader	Serve as Role Model
School C Principal 466 coded responses	0.01% (8)	0.06% (29)	0.09% (43)	0.05% (26)	0.03% (18)	0.07% (33)	0.05% (25)	0.05% (24)	0.04% (21)	0.01% (5)	0.04% (19)	0.10% (50)	0.12% (58)	0.04% (23)	0.03% (18)	0.09% (42)	0.05% (24)

Principal C had the highest percentage in the category of serving as a role model.

According to the common leadership characteristics chart (Appendix J); this category

encompassed all ten of the Level 5 leader's characteristics. The lowest percentage of

combined responses was trust. Participants did not state how much they trusted the

administrator; however, trust was implied through comments such as "I can talk to my

principal about personal and professional issues openly." Even though trust was difficult

to identify, it was demonstrated in other Level 5 leader characteristics such as modesty,

giving credit to others, supportive through change, and never blaming. This administrator

was not afraid to recognize others for their hard work and achievement. Thus, staff

members trusted their leader to give others credit when credit was due. Participant

responses indicated that Principal C was a supportive leader, which implied that a level of

trust was present for staff to seek the leader's support. The principal's caring and

compassion were mentioned several times in interviews. Principal C had a high number

of coded responses in good communication. Several participants supported this

characteristic by reflecting that Principal C was approachable and always had a listening

ear. The perception of having open communication required a level of trust between the

leader and the followers.

Principal C had a strong commitment for promoting a nurturing environment for

all students to learn. This principal believed in perseverance. He or she stated, "I don't

give up on something. I keep going with it." Principal C reflected that one of the biggest

challenges as a principal was learning how to handle a leadership role without being

heavy handed, but at the same time being assertive. Ike summed up Principal C's

commitment to leading by stating:

> Principal C has tremendous commitment to seeing our students succeed. Part of
>
> that commitment is allowing our teachers all of the various opportunities that they
>
> need in order to help with their teaching. The principal does a good job of
>
> directing the staff, not from a managerial standpoint, but from a dedicated
>
> standpoint of insuring that all our staff, including myself, has the necessary things
>
> that we need in order to help our students.

These statements revealed the principal's commitment to being a supportive leader to

staff and students. Principal C's analysis of common leadership characteristics is shown

in Table 10.

Table 10

Principal C Analysis of Common Leadership Characteristics

		School C Principal
Promotes Professional Development	Supporting established standards Training successors	0.18%
Clear Vision	Creating excellent results Supporting established standards Unwavering resolve Calm determination	0.38%
Good Communication	Calm determination Supporting established standards Unwavering resolve Creating excellent results Modeling expectations	0.44%
Trust	Modesty Giving credit to others Supportive through change Never blaming	0.16%
Inspire Others to Reach Goals	Training successors Giving credit to others Supportive through change Never blaming Unwavering resolve Modesty Calm determination	0.27%
Supportive Leader	Supportive through change Supporting established standards	0.23%
Serve as Role Model	Modeling expectations Modesty Calm determination Supporting established standards Training successors Giving credit to others Creating excellent results Supportive through change Unwavering resolve Never blaming	0.54%

Summary of Response to Research Question One

The leadership characteristics of Georgia High Performance Principals included the seven common leadership characteristics of effective leaders: promotes professional development, clear vision, good communication, trust, inspires others to reach goals, supportive leader, and serves as a role model. Level 5 characteristics were also observed in all three principals. These characteristics included: modesty; calm determination; supporting established standards; training successors; giving credit to others; creating excellent results; supportive through change; unwavering resolve; modeling expectations; and never blaming.

Research Question Two

What common leadership characteristics describe Georgia's High Performance Principals at the middle school level?

All principals had responses in all seventeen leadership characteristics. Since the number of coded responses varied with each principal, the researcher chose statements and personal accounts for their commonalities of prevalent themes that emerged with a 0.05% or higher response rate. Response rates were determined by taking the frequency of coded responses for each category divisible by the total number of responses. Interviews, observations, and personality profiles revealed the following dominant characteristics which were common to all three Georgia High Performance middle school principals: (1) calm determination; (2) supporting established standards; (3) creating excellent results; (4) supportive through change; (5) unwavering resolve; (6) clear vision; (7) good communication; and (8) supportive leader. The researcher found that these eight

characteristics were responsible for the three high performing principals'

accomplishments and prominence as a leader.

Calm Determination

Calm determination had 0.05% or higher response rate for all three principals.

This characteristic was demonstrated in the principal's commitment to the school's

vision. All principals analyzed data to determine where student achievement was strong

and areas for improvement. The principals were not satisfied with only making AYP.

Each principal continuously reminded staff members that they could not get complacent

with making AYP. They should continue to search for better ways to serve all students.

Principals were willing to provide the necessary resources for staff to meet and exceed

standards. These resources included training, programs, and additional staff. Bertha and

Joyce agreed that their principal was focused on making sure all students succeeded.

Dolly added that the principal keeps the teachers focused. She stated, "The principal lets

us know this is what we need to be doing, just reminds us and keeps us on track. When

any of us get slack about different things, we are reminded, 'you have to do this.'" When

asked to describe themselves as leaders, the principals used words such as taskmaster,

tenacious, and perseverance. These words along with commitment demonstrated the

principals' calm determination.

Supporting Established Standards

Supporting established standards had 0.07% or higher response rate for all three

principals. This characteristic was seen in several settings such as faculty meetings, small

group meetings, and walk-throughs in and out of classrooms. The principals had clearly

set expectations for staff and students. In all schools, standards were posted along with

essential questions, and word walls. All principals practiced visibility through

management by walking around to inspect what was expected. Bertha commented:

> The principal lets the students know the expectations. They are set very high. The
>
> teachers are expected to keep the bar raised. We are supposed to-you know-not
>
> just do the minimum or whatever. The principal expects us to try to get the very
>
> best out of all the students.

All principals focused on supporting high academic standards. Faye added, "The

principal is committed to continuous school improvement. High standards are set for our

students and staff. We are expected to model for the students what it is that we want them

to do." All principals led schools that provided a safe and orderly environment conducive

to learning. They were also willing to take whatever measures necessary to support the

established standards or expectations for student learning.

Creating Excellent Results

Creating excellent results had 0.07% or higher response rate for all three

principals. This characteristic was seen through the many programs each school offered

to assist students in obtaining excellence. There were support classes built into the daily

schedule to assist students having academic difficulties. After-school programs were also

available to students needing additional assistance. All principals built in time for grade

level and content area teachers to meet on a weekly basis to review data and discuss

strategies. Creating excellence was seen in the principals' determination to stay on top of

things in the ever-changing world of education. Also, outside agencies were contracted

by all the schools to provide training to keep staff abreast of best practices in education.

All three principals were very knowledgeable of current educational research and implemented many research based concepts. Principals had recognition programs for students meeting and exceeding the expectations. These expectations were not only academic standards, but included attendance and discipline standards as well. All principals had very strong parental support for the school and the programs offered on the students' behalf. All three principals mentioned the importance of hiring the right people to support the vision of the school. They all voiced their determination to have the right teachers in the right places for the students to have the very best learning opportunities. Doing whatever it takes to achieve excellence was a common comment among the staff and principals.

Supportive Through Change

Supportive through change had 0.05% or higher response rate. All principals positively viewed needed change. They agreed change just for change sake was not necessary. When change was necessary, they provided staff with the needed training. Principals were described by staff members as good listeners with open-door policies. All principals favored teacher input in decision-making. Faye remarked, "Our principal justifies change by doing research and data analysis to show us why change is necessary. The principal tries to have an eighty-five percent buy-in from the staff before moving forward with a change." Bertha recalled a time when the staff was very negative about the necessary changes as a result of NCLB. She recalled her principal saying:

> Guys, this is here. We're going to deal with it and we're going to have a positive attitude about it. We're going to abide by it. We are going to make it work for us. We're going to figure out how we can make it happen.

All three principals displayed a caring nature through change and supported the staff through training and encouragement.

Unwavering Resolve

Unwavering resolve had 0.05% or higher response rate. All three principals demonstrated this characteristic by maintaining AYP status for three or more years. Principal A verbalized this by stating, "When I ask teachers to do something, I expect them to do it with the same intensity that I would want them to do what they ask a child to do in their classrooms." Each principal had a determination to do whatever it took to improve student achievement. Joyce noted an expression her principal used was "this is negotiable or non-negotiable." Joyce added, "We all know non-negotiable means it is not up for discussion." Ike noted, "Our principal acknowledges challenges and gets in there to help go about doing the work to meet those challenges." All principals emphasized the need for all students to achieve. According to Grace, "The principal believes everybody should be on the bus facing the same direction and in the right seat, and it may be time to get off if you are not facing that direction." Faye added, "If you're not doing what you're supposed to do, the principal is going to tell you." Each principal expressed the desire for excellence by surrounding themselves with good people who had the same vision for the school as he or she did. All three principals had dealt with employees who did not support the vision for the school. Each principal took the necessary actions to release the teacher from his or her assigned teaching duties.

Clear Vision

Clear vision had 0.08% or higher response rate for all three principals. This characteristic was demonstrated by many of the same responses revealed in calm

determination, supporting established standards, creating excellent results, and unwavering resolve. Each of the three schools had mission statements which included providing a school of excellence for all learners. This included a safe and challenging educational environment. All schools had mission statements posted at the building entrance, hallways, and classrooms. One school had mission statements written by the students focusing on their perspectives of the school's mission. Each school had a school improvement plan which aligned with the school's mission. The school improvement plan was updated each year as new data was considered and changes were made in accordance with teacher input. Interview participants reinforced the principal's clear vision for the school with comments such as, "The principal is focused, committed, and keeps us on track." This focus corresponded to the school's mission or vision.

Good Communication

Good communication had 0.08% or higher response rate for all principals. All principals were considered good communicators because they were willing to listen to staff and students. Staff and students were observed having professional and personal conversations with each principal without showing any apprehension. All principals were easily accessible as they walked through the classrooms and supervised students. All principals utilized various forms of communication such as e-mail, memos, faculty meetings, small group meetings, and private meetings. Every principal was described as having an open-door policy and being open for suggestions. Bertha stated, "We are able to go in and say 'okay, we're feeling really frustrated.' Whenever we needed help, the principal got us help." Ike added, "We can always sit in the principal's office and discuss whatever the issue is and if we have a different opinion, no one else knows it." Several

participants described the principal as being very up front in communicating ideas and expectations. Faye stated, "The principal tells us what is expected, which centers on the vision for the school. We trust the principal's judgment. The principal is very knowledgeable about what makes a good school." Claudette remarked:

> Our principal keeps us informed. We had an incident a couple of weeks ago that got out into the community. The principal met with us and said this is what happened. This is what you need to know. This is what the community needs to know. The principal lets us know.

These principals were considered transparent because they demonstrated characteristics of being frank, open and candid with students and staff. Many participants referred to the principals as being open and honest. All principals supported collaborative decision-making which encouraged open communication. Transformational leaders are known for their abilities to communicate vision and expectations for the organization. All principals supported the collegial team effort of educating students. Principal B commented, "It's always a team effort. There's no 'I' in team and even if, you know, I know in my heart the idea came from within me, I don't take total ownership for it because I can't do anything alone." Principal C added:

> I try to bring some agreement, you know, in the beliefs that I hear coming out of the faculty with mine. I feel like when you can draw it out from them, you are just going to have a lot easier time with implementation.

All principals were observed communicating with staff and students on a personal and professional level. Principals maintained high visibility throughout the school day which made them more accessible to students and staff. Principals modeled communication

skills. For example, each principal was heard giving students compliments on things from a new hair style to a good job in an extra-curricular event in which they recently participated. Principals also communicated with staff on a personal level through inquiries centered on family and hobbies.

Supportive Leader

Being a supportive leader accounted for 0.08% or higher response rate for all principals. All principals were described as supportive through encouragement, motivation, and providing the resources needed to meet the set expectations. They all had a high level of responses in supporting established standards and being supportive through change. Each school promoted a nurturing atmosphere which was modeled by the principal. Principal C mentioned the need for teachers to see the leader modeling how to be supportive to students. Principal B aspired to be a lead learner and to model the expectations for the staff while being like a coach for support. Principal A reflected:

When I first started as an administrator, I thought it was one of these things we did as coaches. We made people do things they didn't want to do. I thought that. It took me a long ways, as it did in the coaching realm. Then I realized that if I really wanted to get a kid to work harder for me, I had to get them to respect me and love me. Once they respect me and love me, they'll work their rear ends off for me.

All principals were very mindful of the different personalities of the teachers they placed on a team. Each principal expressed the need to find the best fit for teaching teams to benefit the students. They all moved staff around until the right placements were found to maximize student achievement. All principals sought staff input in decisions directly

affecting the team and instruction. Each school had some type of leadership or design team which included one or more representative(s) from each grade level who would present staff concerns for discussion. This was the principal's way of giving the staff input into decisions being made which directly affected them.

Other characteristics were prevalent among all principal participants, but at a varying response rate of less than or equal to 0.05%. These characteristics included: modesty; training successors; giving credit to others; modeling expectations; never blaming; promoting professional development; trust; inspiring others to reach goals; and serving as a role model. The researcher validated these behaviors from evidence collected during the interviews and observations. Although not as dominant as the previous eight characteristics, these characteristics were present in all three principals.

Summary of Response to Research Question Two

Even though they differed in personality preferences, all three Georgia High Performance Principals had a high level of coded responses in several characteristics. The common dominant characteristics among principals were: (1) calm determination; (2) supporting established standards; (3) creating excellent results; (4) supportive through change; (5) unwavering resolve; (6) clear vision; (7) good communication; and (8) supportive leader. All principals demonstrated a similar frequency of response rate for all eight characteristics.

Research Question Three

How are leadership characteristics of high performing principals related to Level 5 leader characteristics?

All three principals demonstrated Level 5 leader characteristics. Of the ten Level 5 leader characteristics, the principals had a higher coded response rate to five characteristics. These were calm determination, supporting established standards, creating excellent results, supportive through change, and unwavering resolve. However, other characteristics of personal humility and professional will were evident among these high performing principals. Thus, the additional personal humility characteristics included modesty, training successors, and giving credit to others. Also, the additional professional will characteristics included modeling expectations, and never blaming.

Modesty

Modesty accounted for a response rate of less than or equal to 0.03% among the participants. However, all three principals demonstrated modesty through comments such as "we achieved these accomplishments" and "our school worked really hard." Rarely did any of the principal participants use "I" in any of the formal or informal conversations. Faye mentioned that her principal has a doctorate degree, but most people do not address the principal with this salutation. She stated, "A lot of the kids and people outside of the school don't know he or she has a doctorate degree. It is not something the principal advertises. The principal is just real humble." Principal C also mentioned, "The Georgia High Performance Principal award was earned by the school, not the principal. The principal was just the designated person to be recognized." All three principals believed in recognizing staff and students for their accomplishments. They would never accept any individual credit for the school's successes.

Training Successors

Training successors had a response rate of less than or equal to 0.05% among the three principals. It was seen through the principals' efforts in establishing a design or leadership team to encourage distributed leadership. All principals demonstrated their abilities to delegate by assigning specific duties to share the running of the schools. Duties included lunch monitoring, bus supervision, hall monitoring, grade level chair, subject area chair, and various committee chairs. Principal A assigned different teachers with leadership certification opportunities to aid the assistant principal during his or her absence. Principal B supported the desire to train successors by stating:

This school may not get where I see it can be during my tenure, but I hope that there will be things that are put in place that are sustainable. You know, once I'm not here. That it will be worthy work. That's my goal.

Although the desire was there, a training program for potential leaders was not present in any of the schools. It was also observed that most of the data analysis was conducted by the principal or the members of the design team. All teachers were not knowledgeable of how to analyze student achievement data and the implications of the analysis.

Giving Credit To Others

Each of the principals confirmed that successes were attributed to a collaborative effort of the entire staff. Giving credit to others accounted for less than or equal to 0.04% of the principals' response rates. However, it was apparent in the use of comments by the principals such as "we accomplished" and "our school succeeded." Two principals expanded on the phrase of entire staff as meaning teachers, paraprofessionals, lunchroom workers, custodians, and the administration. All schools had a reward system in place to

recognize students who met academic, as well as attendance goals. All three principals

recognized that a lot of hard work had been done by many people at their respective

schools to attribute to the high rate of student achievement.

Modeling Expectations

Principal B had a 0.03% to 0.05% higher response rate in modeling expectations

compared to Principal A or C. Principal B participated in the same professional learning

activities required for the staff. Principal B believed established standards for the staff

and leadership should be the same. Principal B commented, "I do not expect the staff to

do something I am not willing to do myself." The researcher observed all principal

participants modeling certain expectations such as attendance, punctuality,

professionalism in dress and mannerism, and enforcing the policies of the school. Faye

remarked, "The principal leads the staff through change by demonstrating." Erika added:

> Our principal is a lead learner. The principal participates in all the staff
>
> development the teachers are expected to attend. Instead of sending them to learn
>
> it and expecting them to put it into place in the classroom, the principal is there
>
> learning with the teachers.

Never Blaming

All three principals had a 0.01% response rate on the characteristic related to

never blaming others for failures. This characteristic did not have a high level of

responses due to emphasis on responses related to giving others credit. If principals

mentioned failures, it was in the context of looking at what "we" did that worked and did

not work and regrouping to look for more effective strategies. Even when dealing with

dissent issues among staff, the principals never blamed the individual. Thus, during a

faculty meeting one of the high performance principals shared with the faculty the story of David and Goliath. This principal focused on taking care of the small things in order to slay the giant, the CRCT. Additionally, the principal reminded the faculty that David's older brothers ridiculed him for believing he could slay the giant. The principal stated, "As educators we sometime do this to each other, but no more. As a faculty we should work as a team to promote togetherness to conquer whatever giant we may face." Each principal expressed the desire to work out issues while keeping the school's mission as the focus. Each principal shared a common situation of having to release an employee who did not believe in the mission of the school and was not there to support the students. All the while, the principals never blamed the person, but stated that they chose not to follow the mission of the school.

Coded responses for personal humility and professional will were calculated by dividing the total number of responses for each group of characteristics by the total number of responses for each principal. All principals had 0.25% or higher response rate for characteristics associated with personal humility. Principal C had a 0.01% higher rate than the other two principals in the study. There was a 0.07% difference among the principals' characteristics associated with professional will. Principal C had the lowest percentage of responses of 0.23% and Principal B had the highest response rate of 0.30%. These percentages are shown in Table 11.

Table 11

Percentage of Coded Responses for Personal Humility and Professional Will

		Personal Humility				Professional Will				
	Modesty	Calm Determination	Supporting Established Standards	Training Successors	Giving Credit to Others	Creating Excellent Results	Supportive Through Change	Unwavering Resolve	Modeling Expectations	Never Blaming
School A Principal 607 coded responses			0.25%					0.25%		
School B Principal 620 coded responses			0.25%					0.30%		
School C Principal 466 coded responses			0.26%					0.23%		

Percentages reflect the number of coded responses for Level 5 characteristics that were reflective of personal humility and professional will.

Response rates for personal humility and professional will were very close in comparison for each of the three principals. Principal A revealed an equal percentage of responses for personal humility and professional will, while principal B had a higher percentage of responses for professional will. Principal C was opposite by having a higher percentage of responses for personal humility over professional will.

All principals showed a similar rate of responses for each of the ten Level 5 leader characteristics. The principals had similar rates of response for the categories of personal humility and professional will. Data showed that each principal was within a 0.05% range of demonstrating both personal humility and professional will.

Summary of Response to Research Question Three

The findings revealed that Georgia High Performance Principals at the middle school demonstrated characteristics of Level 5 leaders. All three principals had similar percentage of responses in each of the ten characteristics of a Level 5 leader. When Level 5 leader characteristics were grouped into the two categories of personal humility and professional will, this study revealed that all principals demonstrated a balance between theses two categories. Also, each principal's percentage of responses was comparable to one another.

Summary

The data gathered from the personality profiles, observations, and interviews were analyzed to describe the personal experiences and leadership characteristics of three middle school Georgia High Performance Principals in the FDRESA. Five observations were conducted at each of the three principals' schools. The researcher conducted interviews with the principal, assistant principal, and three randomly selected staff members at each of the three schools. An interview instrument developed by the researcher was used to guide the discussion around the lived experiences of the participants in the study. The interviews were recorded on a digital recorder and later transcribed. The researcher analyzed the data in the personality profiles, observations, and transcription texts to identify themes and patterns in response to the research and sub-questions. To maintain confidentiality, the researcher used pseudonyms throughout the study.

The findings revealed that the personality profiles of all three principals were different. Although personality profiles were different, data showed all three principals

shared similarities in leadership characteristics. All principals displayed all seventeen leadership characteristics at varying degrees. All three principals had the highest response rate for coded responses in being supportive leaders, thus resulting in all three principals having a low percentage response rate in the never blaming characteristic. All principals had a high percentage of responses in eight of the seventeen characteristics. These eight were: calm determination; supporting established standards; creating excellent results; supportive through change; unwavering resolve; clear vision; good communication; and being a supportive leader. Each principal showed approximately the same response rates for leadership characteristics grouped in the categories of personal humility and professional will. All three principals were within a similar range of each other, thus indicating their commonalities in leadership characteristics.

The findings of the study were:

- High performance principals displayed leadership characteristics to include: (1) modesty; (2) calm determination; (3) supporting established standards; (4) training successors; (5) giving credit to others; (6) creating excellent results; (7) supportive through change; (8) unwavering resolve; (9) modeling expectations; (10) never blaming; (11) promotes professional development; (12) clear vision; (13) good communication; (14) trust; (15) inspire others to reach goals; (16) supportive leader; and (17) serve as a role model.

- High performance principals had different personality profiles, but they yielded common characteristics, including: (1) calm determination; (2) supporting established standards; (3) creating excellent results;

(4) supportive through change; (5) unwavering resolve; (6) clear vision;
(7) good communication; and (8) supportive leader.

- High performance principal characteristics were common to transformational and servant leadership.

- Even though high performance principals were thus named due to student achievement outcomes, they demonstrated common characteristics of an effective leader. These included: promotes professional development; clear vision; good communication; trust; inspire others to reach goals; supportive leader; and serve as a role model.

- High performance principals demonstrated personal humility and professional will, both distinguishing characteristics of Level 5 leaders. Characteristics associated with personal humility included: modesty; calm determination; supporting established standards; training successors; and giving credit to others. Characteristics associated with professional will included: creating excellent results; supportive through change; unwavering resolve; modeling expectations; and never blaming.

- High performance schools continued to function as normal in the principal's absence, indicative of the commonality of a high performance school leader and Level 5 leader.

- High performance leaders shared leadership experiences with Level 5 leaders in that they were all products of their organization or school setting.

CHAPTER 5

DISCUSSION, CONCLUSIONS, AND IMPLICATIONS

Introduction

This chapter provided an overview of the study, including research questions, findings, discussion of the findings, conclusions, implications, recommendations, and concluding thoughts. This chapter was organized by the researcher to include a discussion of how the research findings related to the review of the literature. Finally, the chapter concluded with recommendations for additional study and concluding thoughts.

The purpose of this study was to explore the characteristics of Georgia's High Performance Principals at the middle school level to understand the similarities of their leadership to Collins' Level 5 leaders. In addition, the researcher determined common characteristics among middle school Georgia High Performance Principals. The overarching question was: How are Georgia High Performance Principals in middle school demonstrative of Level 5 leaders? The following three sub-questions guided the study:

1- What are the leadership characteristics of Georgia's High Performance Principals at the middle school level?

2- What common leadership characteristics describe Georgia's High Performance Principals at the middle school level?

3-How are leadership characteristics related to Level 5 leader characteristics?

A multiple case study qualitative research methodology was employed to extract a deeper understanding of each principal's leadership characteristics. The researcher conducted semi-structured, open-ended interviews in three middle schools located in

FDRESA. The researcher interviewed the principal, assistant principal and three randomly selected staff members at each school. The interviews were audio taped using a digital voice recorder and then transcribed. Each participant answered ten open-ended questions. An interview matrix was designed by the researcher and used to look for common themes and patterns of leadership characteristics. In order to maintain anonymity of all the participants, all names and respective schools were identified with pseudonyms throughout the study. Additionally, five observations were conducted at each of the three school sites. Principal's also completed a True Colors™ personality profile to collect additional data of leadership characteristics. Personality traits were compared to characteristics demonstrative of a Level 5 leader.

Findings

- High performance principals displayed leadership characteristics to include: (1) modesty; (2) calm determination; (3) supporting established standards; (4) training successors; (5) giving credit to others; (6) creating excellent results; (7) supportive through change; (8) unwavering resolve; (9) modeling expectations; (10) never blaming; (11) promotes professional development; (12) clear vision; (13) good communication; (14) trust; (15) inspire others to reach goals; (16) supportive leader; and (17) serve as a role model.

- High performance principals had different personality profiles, but they yielded common characteristics, including: (1) calm determination; (2) supporting established standards; (3) creating excellent results; (4) supportive through change; (5) unwavering resolve; (6) clear vision;

(7) good communication; and (8) supportive leader.

- High performance principal characteristics were common to transformational and servant leadership.

- Even though high performance principals were thus named due to student achievement outcomes, they demonstrated common characteristics of an effective leader. These included: promotes professional development; clear vision; good communication; trust; inspire others to reach goals; supportive leader; and serve as a role model.

- High performance principals demonstrated personal humility and professional will, both distinguishing characteristics of Level 5 leaders. Characteristics associated with personal humility included: modesty; calm determination; supporting established standards; training successors; and giving credit to others. Characteristics associated with professional will included: creating excellent results; supportive through change; unwavering resolve; modeling expectations; and never blaming.

- High performance schools continued to function as normal in the principal's absence, indicative of the commonality of a high performance school leader and Level 5 leader.

- High performance leaders shared leadership experiences with Level 5 leaders in that they were all products of their organization or school setting.

Discussion of Findings

Leadership Characteristics of High Performing Principals

First of all, each principal was a unique individual who had been named a high

performance principal. Their uniqueness was revealed by the True Colors™ personality

profile. Principal A's blue personality type supported the expression of the inner self.

Authenticity and honesty were valued as the most important characteristics of the blue

personality. Principal B's gold personality valued order and cherished the traditions of

home and family. Duty and honor were the strengths of the gold personality. Principal C

displayed a green personality type which gained strength through obtaining knowledge.

This personality type was recognized by a complex individualist with great analytical

ability. In the educational setting, personality traits have been tied to effective leadership.

However, in this study personality traits did not influence a person becoming an effective

leader.

Effective leadership is more than personality type, just as Sousa's (2003)

conclusion that leadership was more than personality traits. He defined leadership as the

result of developing characteristics that motivated people toward a common goal. This

definition aligned with Kouzes and Posner's (1995) belief that leadership could be

learned and should be everyone's business. The three principals in this study all learned

and were committed to effective leadership, even though personality profiles revealed

differences in personality inclinations, the principals did not vary in leadership

characteristics.

All high performance principals displayed characteristics in all the seventeen

named leadership characteristics: modesty; calm determination; supporting established

standards; training successors; giving credit to others; creating excellent results; supportive through change; unwavering resolve; modeling expectations; never blaming; promotes professional development; clear vision; good communication; trust; inspire others to reach goals; supportive leader; and serve as a role model. This indicated that Georgia High Performance Principals at the middle school level shared common leadership characteristics, despite differences in personality preferences. The principals had been named high performing principals by Georgia's criteria that the "school performed", but it was clear that the effectiveness of the principals had led to school effectiveness.

All three principals achieved AYP for four or more consecutive years. This achievement agreed with studies that found a positive correlation with effective school leadership and student achievement (Marzano, Waters & McNulty, 2005; Mercer, 2004; O'Donnell & White, 2005). Today, school leaders' effectiveness has been based on the rise of student achievement (Freeman-Smalls, 2007; Hooker, 2004; Mercer, 2004; O'Donnell & White, 2005). Several studies proved that there was a positive relationship between high level of leadership and high student achievement (Mercer, 2004; O'Donnell & White, 2005). Kotter (1990) supported that an effective organization needed a leader who practiced management along with leadership for the organization to be successful. Northouse (2004) determined a transformational leader produced achievements beyond expectations. He found four leadership factors common among transformational leaders. These factors included: charisma or idealized influence; inspirational motivation; intellectual stimulation; and individualized consideration. Additionally, servant leaders have been described as a variation of a transformational leader (Howell & Costley, 2001).

Thus, Howell and Costley (2001) found servant leaders were supportive and charismatic. These leaders modeled ethical behaviors and were given a high level of trust from their followers. Although trust was difficult to observe in high performance principals and was not verbalized often trust was evident through other leadership characteristics. Greenleaf (2003) described a servant leader as an individual who valued communication and was a good listener. Other aspects of a servant leader included: empathy; providing for personal and professional growth; awareness; persuasion based on trust; great visions and aspirations; foresight; and being good stewards of the organization. Consequently, from the interviews, observations, and personality profiles high performance principals demonstrated the Level 5 leader characteristic of "creating excellent results."

High performance principals had a calm determination for all students to be successful. This passion for educating all students was the drive observed through the principals' intent focus on the schools' vision. These principals demonstrated an unwavering resolve by inspecting what they expected of staff and students. These principals depicted Leithwood and Montgomery's (1986) level four leader, the Systematic Problem Solver, or the principal who believed in doing whatever it took to give all students the best opportunity for success. Their research found principals at level four had a high level of success.

The researcher found that these principals supported established standards by setting high expectations. They were also able to create excellent results through motivation and inspiration to work toward the goal of the school. McEwan (2003) and Sousa (2003) found similar characteristics in highly effective principals. They also

concluded that an effective leader was a great communicator, had strong human relations skills, was honest, maintained respect among co-workers, and lead by example.

Reeves' (2004) research supported the findings of high performance principals providing encouragement and support, especially through change. His research supported the findings that these principals were a source of support and resources. Other researchers agreed with the researcher's findings that effective leaders model the expected behaviors and are present for helping followers grow professionally (Badaracco, 2002; Burke, 1965; DuFour, 2001; Howell & Costley, 2001; Marzano, Waters, & McNulty, 2005).

The researcher found that high performance principals had characteristics similar to Smith and Andrews' (1989) four dimensions of an instructional leader. High performance principals were noted for providing whatever resources were necessary for teachers to enhance instruction. These principals also provided instructional support through modeling expectations and providing professional development. As good communicators, principal participants supported an open-door policy and established clear expectations for the school. Everyone in all three schools knew the expectations. These principals utilized management by walking around. Walk-throughs by the principals were part of a daily routine, which gave them an opportunity to be more visible (Smith & Andrews, 1989).

Sustainability was practiced by all high performance principals in this study through the training of successors. Findings showed that principals were practicing distributed leadership, thus enabling the principals to delegate responsibilities and allow others with leadership potential to professionally grow. This finding corresponded with

Hargreaves and Fink's (2006) principles of sustainability, which included leadership for learning, distributed leadership, resourcefulness, allowing cohesiveness, and recognizing accomplishments. These characteristics were present in all high performance principals.

Common Characteristics

All principals displayed all seventeen leadership characteristics; however, eight of the seventeen characteristics were prominent in all three high performance principals. These characteristics were as follows: calm determination; supporting established standards; creating excellent results; supportive through change; unwavering resolve; clear vision; good communication; and being a supportive leader. Thus, the perception of these eight dominant characteristics along with personal humility and professional will entitled the three principals in this study as Level 5 leaders. Among these eight characteristics, being a supportive leader had the highest percentage of responses for all three principals. All of these common characteristics paralleled with the 21 characteristics of effective leaders found in the Mid-continent Research for Education and Leadership (McREL) studies (Marzano, Waters & McNulty, 2005).

Calm Determination

The researcher found a passion and commitment among all three principals to do whatever it took to achieve the goal or mission of the school. Reeves (2006) found that passion was focusing on a vision. He found building results were based on the passion to be the best, as consistent with research by Leithwood and Montgomery (1986), who found that principals with great success believed in doing whatever it took to give all students the best opportunities for success. Other researchers agreed that effective

principals were committed to a vision and to growth opportunities (Conzemius & O'Neill, 2002; Reeves, 2004; Sousa, 2003).

Principals demonstrated a desire to never become complacent with current achievements, but to set higher goals and work toward exceeding those goals. Making AYP was not the solitary goal of any of the schools participating in this study. Hargreaves and Fink (2006) supported this finding by stressing that it is not about test scores, it is about enduring learning. Schmoker (2006) and Marzano (2003) found that school reform would not occur without an effective leader visibly leading the reform efforts. They found school leaders who went with the flow encouraged mediocrity. Kouzes and Posner (1995) added that those who lead others to greatness seek and accept challenges. Their research findings did not show any leader who claimed to have done his or her best by keeping things the same as they had always been. These leaders challenged the process by not accepting the status quo. They also instilled hope in others by having a vision and sharing the excitement about the future path of the organization.

Supporting Established Standards

The researcher found all principals had high expectations for students and staff. Furthermore, these expectations were visible in all classrooms through having posted standards, word walls, and essential questions. Collins' (2005) described a Level four leader as an effective leader with a commitment to a clear vision and high expectations. Other research supported that effective leaders set and implement high expectations (Badaracco, 2002; Howell & Costley, 2001; Kouzes & Posner, 1995; Leithwood, 1994; Marzano, Waters & McNulty, 2005; Sousa, 2003).

Categorically, each principal was visible throughout the school by walking into each classroom everyday, thereby practicing management by walking around. Sergiovanni (1991) described an effective principal as one who had strong views about instruction and practiced management by walking around. Smith and Andrews (1989) agreed that one of the dimensions of an instructional leader was visible presence. Leithwood (1992) found that a leader who practiced first-order change closely monitored classroom activities in order to improve instructional strategies.

Creating Excellent Results

The researcher found that principal participants were determined to provide the resources, structure, and personnel in order to achieve excellence. Smith and Andrews (1989) found a resource provider was one of the four dimensions of instructional leaders. Leithwood and Montgomery (1986) added that one level of leadership was Program Manager, which found the principal was responsible for providing excellent programs for the students. Hallinger (2003) added that managing instruction and promoting a positive learning environment were two of the dimensions found in instructional leaders. Several researchers agreed that exemplary leaders searched for the needed resources, whether programs or people to get the organization where it needed to be (Conzemius & O'Neill, 2002; Reeves, 2004; Sousa, 2003).

The researcher found that all principals were dedicated to providing the needed programs, personnel, and professional development training to attain excellent results. This finding coincided with Yukl's (2002) research of the three-category framework of leadership behavior. He found one framework consisted of change-oriented behaviors which included analyzing and interpreting external factors, communicating a vision,

promoting innovative programs, being a change agent, and creating support for the

implementation of change.

Supportive Through Change

The researcher found that all principals believed in change when necessary. When

change was necessary, the principal sought the needed training for staff. All principals

practiced open communication with staff members throughout the change process and

provided encouragement along the way. Schmoker (2006) found that schools could not

make a successful transition in any reform effort unless the principal visibly took the

lead. Marzano (2003) added that leaders provided hope and consideration during difficult

transitional periods. Researchers (Hoy & Miskel, 2005; Marzano, Waters & McNulty,

2005; Northouse, 2004) agreed that transformational leaders supported followers as they

ventured into new territory. These leaders were attentive to individual's growth and

development needs. A supportive school climate allowed the leader and followers to

openly communicate the necessary needs for change.

The researcher found that all three principals exemplified the four factors of

transformational leadership (Northouse, 2004). Idealized influence was demonstrated

through descriptions of principals as being strong role models who modeled expectations

for their followers. Principals also provided a vision and a sense of mission for the

school. All principals practiced inspirational motivation by communicating high

expectations to followers. They motivated staff and students through recognition and

encouraging words. Each principal promoted intellectual stimulation by supporting

teachers through resources and training. Principals also practiced individualized

consideration by providing a supportive learning environment. Moreover, they listened

to the individual needs of their followers. All three principals used distributed leadership as a means to assist followers in professional growth through personal challenges. Northouse (2004) found that leaders who practiced all four factors of transformational leadership moved followers to accomplish more than what was expected of them.

Research supported that servant leaders were valued for their ability to listen and empathize with others (Greenleaf, 2003). Adler (2007) and Collins (2001, 2005) added that great leaders had open channels of communication. Marazano (2003) found trust was a critical aspect of open communication between principals and teachers. Bryk and Schneider (2002) confirmed that the principal was the key to developing a school culture which included relational trust.

Unwavering Resolve

Study findings indicated that all principals were willing to take whatever means were necessary to improve all student achievement. Sousa (2003) and Marzano (2003) concurred with these findings by adding that effective leaders knew what was going on in the school and were willing to do whatever it took to be successful. Principal participants faced many challenges throughout their administration and worked through these obstacles. Research showed that exemplary leaders had to make decisions based on the long-term effect, regardless of the difficulty of the decision (Marzano, 2003; Sousa, 2003). Several challenges mentioned were increasing the level of achievement for subgroups, such as the economically disadvantaged, black, and special needs students. Yukl (2002) found that the characteristic unwavering resolve supported his findings of behaviors categorized as task-oriented and relation-oriented behaviors. Principal participants experienced the challenge of working with an employee who did not support

the vision of the school. Each principal experienced the difficulty of releasing an employee who did not want to support the vision for the school. Research findings supported the belief if leaders get the right people on board, the organization will be successful according to its mission (Collins, 2001, 2005; Conzemius & O'Neill, 2002; Fisher & Frey, 2002; Marzano, 2003).

Clear Vision

The researcher found that all participants were committed to the schools' vision and mission. This commitment was observed in a clean and safe learning environment. All three schools had a nurturing school climate. Principals supported the schools' vision through high expectations, resources, personnel, and keeping everyone focused on the mission. All research on effective leaders in the social and business sector supported the findings that a clear vision had to be established and implemented for an organization to be successful (Adler, 2007; Conzemius & O'Neill, 2002; DiMartino & Miles, 2006; ERS, NAESP, NASSP, 2000; Freeman- Smalls, 2007;Greenleaf, 2003; Hallinger, 2003; Hallinger, Murphy, Weil, Messa & Mitman, 1983; Hargreaves, 2003; Hargreaves & Fink, 2003; Howell & Costley ,2001; Kotter ,1990; Kouzes & Posner ,1995; Leithwood ,1992, 1994; Marzano ,2003;Peters & Waterman ,1982; Reeves ,2004; Schmoker ,2001; Sergiovanni,1995; Smith & Andrew, 1989; Sousa, 2003; Yukl, 2002).

Good Communication

Study findings showed that all principals were good communicators. Research supported that effective leaders had good communication with followers (Adler, 2007; ERS, NAESP, NASSP, 2000; Fulan, 2005; Greenleaf, 2003; Kotter, 1990; Leithwood, 1992, 1994; Smith & Andrews, 1989; Yukl, 2002). Collins added (2001, 2005) that an

open channel of communication had to exist if a culture of discipline was to be achieved. Principals were willing to listen to staff and students. They were all easily accessible and practiced an open-door policy. Research findings supported a relationship of trust between the leader and followers.

Principal participants were found to be knowledgeable of current educational research. Staff members expressed a trust in the leaders' knowledge and communication of current issues in education. Principals supported distributive leadership and collaborative decision-making. Bryk and Schneider (2002) found the principal was the key to developing a school culture that included relational trust. Sosik and Dionne (1997) described trust building as a process of establishing respect. Reeves (2006) added that distributed leadership was based on trust. A team concept was prevalent in all three schools. Fullan (2003) validated these findings by concluding that school leadership was a team effort with a principal who supported distributive leadership throughout the school.

Supportive Leader

The study findings showed all principals were supportive by providing encouragement, motivation, resources, and a school culture conducive to learning. Whitaker (2003) found that effective principals viewed themselves as responsible for every aspect related to their schools.

Findings also showed the principal participants were lead learners and modeled expectations. They were respected by staff for the inclusion of staff members in the decision-making process. Kouzes and Posner's (1995) five fundamental practices of exemplary leaders supported the researcher's findings. These practices agreed with this

researcher's findings that exemplary leaders sought and accepted challenges, instilled hope in others, empowered others by promoting trust and teamwork, set the standards and modeled the expectations, and encouraged the heart by being supportive through challenges and changes. Kotter (1990) added that successful organizations possessed a combination of a competent manager and skilled leader. He believed managers produced order and consistency through providing structure and resources. Leader skills consisted of establishing a direction through commitment to a vision, team building, and inspiring others through empowerment.

Howell and Costley (2001) found supportiveness to be a common factor among effective leaders. Their studies showed supportive behavior in the form of being considerate, helping followers grow professionally, showing respect, being sympathetic, being an encourager, and showing concern. Some of these same behaviors were typical of charismatic leaders. The principal participants' ability to inspire staff and students was demonstrative of an inspirational leader instead of a charismatic leader. According to Howell and Costley (2001), charismatic leaders build up their own images and make inspirational speeches. Senge (1990) added that a leader, who relied on charisma and power to influence, would not have a lasting influence of the organization. The researcher found that the behaviors of the three principals in this study did not agree with the descriptions of a charismatic leader. These principals avoided taking personal credit for any accomplishments or gains the school had achieved. Several researchers reiterated the importance of supportiveness being a common factor in effective leadership (Adler, 2007; Blasé & Kirby, 2000; Burke, 1965; Covey, 1989; Dimartino & Miles, 2006; ERS, NAESP, NASSP, 2000; Freeman& Smalls, 2007; Greenleaf, 2003; Howell & Costley,

2001; Kouzes & Posner, 1995; Leithwood, 1994; Marzano, 2003; Reeves, 2004; Smith & Andrews, 1989; Yukl, 2002).

High Performance Principals as Level 5 Leaders

Even though five of the Level 5 leader characteristics were dominant among the principals, all ten characteristics were evident in high performance principals. Serving as a role model equated to a Level 5 leader's modeling expectations. This leadership characteristic encompassed all ten of the Level 5 leader characteristics. Collins believed a Level 5 leader possessed characteristics of personal humility and professional will. The Level 5 leader characteristics that depicted personal humility included: modesty; calm determination; supporting established standards; training successors; and giving credit to others. Professional will characteristics included: creating excellent results; supportive through change; unwavering resolve; modeling expectations; and never blaming. Each principal participant had a similar percentage rate for personal humility when compared to professional will. This finding indicated that there was a balance in leadership characteristics related to personal humility and professional will among all three principals.

Collins' (2001) research concluded that Level 5 leaders were ambitious for the organization, not themselves. Like Level 5 leaders, high performance principals attributed the success of the school to others rather than to themselves. Interviews supported the principal's showing modesty by corroborating that everyone contributed to the schools' accomplishments.

The researcher found that principal participants did not want to be complacent with present successes, but were driven toward excellence. They were continuously

searching through the research for ways to improve student achievement. Collins (2005) found Level 5 leaders would not settle for mediocrity, which was evident in Georgia's High Performance Principals.

Collins' (2001, 2005) revealed that Level 5 leaders developed disciplined people, disciplined thought, and disciplined actions. Principal participants demonstrated all characteristics of a Level 5 leader. As effective leaders, the principals' primary concern was assuring that all activities supported the best interests of the students. Moreover, when asked who contributed to the accomplishments of the school, all interview participants overwhelmingly exclaimed that everyone had a part in the schools' successes. No one person or group was identified as the sole reason for the school's successes. This concept of the principal's focus on the students and avoiding taking personal credit for accomplishments of the school blends with Collins' (2001) description of a Level 5 leader. Collins' (2001) findings agreed with the principal participants' being selective of whom they hired as staff members. All three principals emphasized they hired individuals whom they believed would support the schools' mission and be good fits with the present staff. Principals also considered teachers' strengths, weaknesses, and personalities when placing a group of teachers on a team together. Like Collins (2005), these principals trusted the teachers on each team to meet the needs of all students. These principals also met the challenge of a Level 5 leader of getting the wrong people off the bus (Collins, 2005). Unfortunately, each principal had faced the difficulty of not recommending an employee for re-hire. In each scenario, the principal mentioned the employee did not support the vision of the school and had to be released. This decision was considered a difficult one due to tenure and teacher shortages, but a necessary one.

Collins' (2001, 2005) Stage two of his framework included disciplined thought. Disciplined thought consisted of the leader's creating an atmosphere of trust in which people could openly express the brutal facts of reality when making decisions. Disciplined thought also included having a passion for the organization, understanding what the organization did best, and understanding what drove the resource engine (Collins, 2001, 2005). The researcher found each school had a nurturing culture. This type of culture enabled staff and students to have open communication and trust. The culture of the schools focused on the schools' mission or vision, but maintained a nurturing and safe environment for learning. This discovery coincided with those of previous researchers who found open dialogue, trust, distributed leadership, and striving toward a vision to be critical leadership traits (Collins, 2001, 2005; Irvin & White, 2004; Marzano, 2003; Reeves, 2006; Schmoker, 2006).

The researcher found principal participants were self-disciplined to continue the drive for achieving excellence. Disciplined action was described by Collins (2001, 2005) as a leader who had self-motivation to do whatever was needed to fulfill responsibilities. Principal participants demonstrated this trait by having a strong commitment to the school mission of improving achievement for all students. Collaboration was practiced in all schools as an effective means of team work. Distributed leadership was a means for the principals to delegate duties and responsibilities. This practice was also used to train staff members having leadership capacity and enabled them to have an active role in continuous school improvement.

Disciplined action was supported by other researchers as an effective means of shaping the organization and allowed for sustainability (Bryk & Schneider, 2002; Collins,

2001, 2005; Collins & Parros, 1997; Georgia's Leadership Institute for School

Improvement; Hargreaves & Fink, 2003; Reeves, 2006; Sosik & Dionne, 1997). All

principal participants believed in training staff for continuous school improvement. In

their absence, teachers and assistant principals continued to focus on the mission of the

school due to the principals' cross-training and mentoring. As a result, this training

situation aligned with findings of effective leaders moving an organization toward

sustainability. Researchers agreed that training others in the organization to continue the

vision of the school in the event the principal left promoted sustainability (Collins &

Parros, 1997; Fullan, 2003, 2005; Hargreaves & Fink, 2003).

This study showed Georgia High Performance Principals at the middle school

level had leadership characteristics that related to the Level 5 leader. Collins (2001)

concluded that a Level 5 leader embodied the characteristics of all five levels. Principal

participants contributed to the school through their knowledge and skills. These

principals supported a team setting. They had successfully organized people and

resources. They also demonstrated a commitment to a clear vision with high expectations.

Each of the principal participants had similar percentage of responses for the ten

characteristics of a Level 5 leader. The percentage of responses for the categories of

personal humility and professional will was found to be close to equal for each principal.

These findings agreed with Collins' (2005) research that a Level 5 leader fulfilled all

levels of leadership, plus they built enduring greatness through a combination of the ten

Level 5 leader characteristics. These characteristics personified a leader practicing

personal humility and professional will.

Conclusions

The researcher analyzed the findings from the study to conclude:

- Various personality types may serve as high performance school leaders who are able to lead an effective school.

- Level 5 leaders are in education, functioning as high performance principals.

- Recognition and celebration of high performance principals is critical in education, and state criteria for selection may include, among other criteria, personal humility and professional will.

- High performance principals can be described as transformational leaders, as well as servant leaders.

- Level 5 (high performing) principals have a long-term relationship with the organization (school) they lead, a major benefit to 'growing your own' leaders.

Implications

The implications of this study included three components which are educational research, educational policy, and educational practice. The implication for educational research was that the researcher's findings of seventeen leadership characteristics common among Georgia High Performance Principals at the middle school level would be included with the research findings on leadership characteristics of high performance leaders. The researcher has added examples of Level 5 leaders in education, validating Collins' claim that there are Level 5 leaders everywhere. This study showed that exemplary leaders in schools exist, which would provide excellent field-based opportunities for educational leadership interns. Graduate students who are enrolled in

leadership programs, therefore, do have excellent role models in the field, which has major implications for leadership preparation and training programs' selection of mentors and performance coaches.

There are many policy implications related to the findings of this study. First of all, new educational policies are being reviewed for leadership preparation based on the Educational Leadership Constituents Council's (ELCC) seven standards for advanced programs in educational leadership. Policies are also being reviewed for leadership evaluation instruments based on performance standards similar to those established by the Interstate Leaders Licensure Consortium (ISLLC) for effective leaders. For example, in Georgia this study would support the addition of university policy, including internship assignments with principals who have been identified as exemplary leaders and would contribute to aspiring and current principal's knowledge base so that they are equipped to grow into high performance leaders. The findings of this study indicated that there are exemplary leaders in education. Thus, education would benefit by placing these leaders in positions to establish educational policies instead of using the current lawmakers. As new federal and state standards and school accountability increases, it is the researcher's expectation that the findings of this study would support principals, the state department, and various principal organizations with information relevant to characteristics of a high performance leader equivalent to a Level 5 leader.

The implication for educational practice was that principals need to know that they impact student achievement through their leadership characteristics or actions within their school. Based on the researcher's findings in this study, principals have the leadership capabilities as well as access to research studies that confirm the relationship

between the principal's leadership and student achievement. If prospective or current principals want to aspire to being high performance principals, they need to implement the characteristics found most common among Georgia High Performance Principals. Superintendents may provide professional development opportunities in the areas of high performing leaders or Level 5 leadership. Prospective and current leaders within the system may benefit from such professional learning opportunities, especially if offered by current or retired high performance principals. This opportunity will be beneficial to the system in order to have sustainability and grow their own leaders from within. Thus, professional development training for leaders on personal humility and professional will should be offered. Additionally, this study found that there was a value in developing future leaders within the school district. The researcher's findings of this study will make a contribution to the current literature supporting the relationship of high performance leaders with Level 5 leaders.

<div align="center">Recommendations</div>

Based on the findings and insights of the implications identified in this study, the researcher made the following recommendations for participants and others:

1. Trust is necessary for effective leadership. Yet, trust was difficult to assess using this study's instruments. Therefore, future research studies could examine indicators that could identify trust within an educational leader.

2. Additional studies could consider the contributions of exemplary principals on the development of future leaders.

3. The researcher's visits to various high performance middle schools were great experiences. The researcher was able to interview, observe the

school setting, and review artifacts shared by the principal of a high
performing middle school. The researcher recommends all principals and
assistant principals visit high performing middle schools to learn how to
produce a more effective school by observing the actions and
characteristics of other successful principals.

4. The researcher's findings of this study may provide to various institutions
of higher education, national, state, and regional leadership preparation
programs, and other professional organizations information about specific
leadership characteristics that are common among high performance
leaders and Level 5 leaders. It is the researcher's desire that the
information from this study be presented at workshops and conferences as
well as published in professional journals. In the era of accountability,
principals need to practice personal humility and professional will to
continue meeting and exceeding the rising expectations.

Concluding Thoughts

The goal of No Child Left Behind (NCLB) was to make schools more
accountable for all student achievement. In turn, this law forced the leaders to become
more accountable for their role in student achievement. The researcher's participation in
this study was very valuable because of the opportunity to interact with various principals
from middle schools and discuss what the principals are doing to have high performing
schools. Taking the principals' lived experiences, the researcher was able to conduct a
useful study, to take the findings of this study and use the common leadership

characteristics related to a Level 5 leader to begin preparations for a leadership training program for the local school system.

Educational literature informs practitioners of effective traits, behaviors, and styles in leadership. It was amazing how all principal participants had very close percentages of response rates in all leadership characteristics. Principals also demonstrated a similar correlation among Level 5 leader characteristics. It was refreshing to witness that strong, effective leaders exist in schools and that leadership matters. It was surprising to the researcher that all three principal participants had different personality profiles. This finding leads one to believe that personality traits have little bearing on exemplary leadership capabilities. The principal participants were determined to do whatever it took to place student achievement first. The researcher's concluding thought was that principals can make the choice of becoming high performance leaders; they know what to do, but it is a matter of having the personal humility and professional will to do it.

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APPENDICES

APPENDIX A

PERMISSION TO CONDUCT STUDY IN SCHOOL SYSTEM

Sandra T. Dominy
stdominy@appling.k12.ga.us

Dear Superintendent:

My name is Sandra T. Dominy. I am a doctorial candidate currently working on my dissertation at Georgia Southern University in Statesboro, Georgia. My dissertation topic is "Leadership Characteristics of Georgia High Performance Middle School Principals compared to Collins' Level 5 leaders." I am requesting permission to conduct research in your school system.

This research involves the study of principals' leadership characteristics through interviews and observations. One middle school principal in each selected school district will be observed in five different settings and participate in an individual interview. Observation length will be determined by the nature of the event. Interviews will take approximately 60 – 90 minutes. Additionally, each principal will complete the True Colors™ personality profile.

In addition to the principal, the assistant principal and three staff members will be selected to participate in individual interviews. These interviews will take approximately 40 to 60 minutes.

The information that participants provide will be kept strictly confidential. The informed consent forms and other materials will be kept separate in locked file cabinets. The tape recordings will be listened to only by the researcher and the dissertation chair, Dr. Barbara Mallory.

The results of this research will be included in my dissertation and / or may be published in subsequent journals or books. Although studies have some degree of risk, there are no feasible risks in this study beyond those experienced in everyday living. All information is confidential. There will be no indication of names or schools to protect the identity of the participants. You may ask questions about this study. The researcher or the dissertation chairperson will answer any questions related to this study. Contact Sandra T. Dominy at 912-367-8600 with additional questions. If you have questions concerning your rights as a research participant or the process of IRB approval, contact the Office of Research Services and Sponsored Programs at 912-478-5465.

Participation is completely voluntary. There is no penalty for the participants not choosing to participate in this study. If participants choose to participate, they may withdraw from this study at any time, either during or after their participation, by contacting the researcher, without negative consequences, Should participants withdraw, their data will be eliminated from the study and will be destroyed. If participants participate in the interview and then choose to withdraw, every effort will be made to

delete their initial data and the comments made by them during the interview. There is no monetary payment to any participants for participating in this research.

You may request a copy of the summary of the final results. If you have any questions about any part of this research and the school system's involvement, please inform the researcher before signing this form. If you have further questions you may contact Dr. Barbara Mallory, who is supervising this study, as indicated below.

Please grant permission for me to conduct research in your school system by signing the form below. I appreciate your support and cooperation.

Sincerely,

Sandra T. Dominy, Doctoral Student
Georgia Southern University

_____ I have read and understand the contents of this request to conduct research in this school system. I hereby grant permission for Sandra T. Dominy to conduct research in this school system.

_____   _____
Signature of Superintendent or Designee   Date

Faculty Advisor's Name, Address, & Telephone Number:

Dr. Barbara Mallory
Georgia Southern University
P.O. Box 8131
Statesboro, GA 30460
bmallary@georgiasouthern.edu
(912)-478-1428

Researcher's Name:
Sandra T. Dominy
stdominy@appling.k12.ga.us
(912)-367-8600

APPENDIX B

INFORMED CONSENT AGREEMENT

INFORMED CONSENT

As part of the requirements of the doctoral program in Educational Leadership at Georgia Southern University, I am conducting a qualitative study for the purpose of examining the leadership characteristics of three Georgia middle school High Performance Principals.

Participation in this study is voluntary. You may refuse to participate in this study at anytime without penalties or consequences.

If you decide to participate in this study, you will be asked to participate in an interview session to answer questions related to leadership characteristics. The interview will take approximately 60 minutes. Your comments will be recorded on audiotape to accurately document your responses for this research. After the interview has been completed, principals will be asked to the True Colors™ personality profile. All audiotapes and personality profiles will be destroyed one year after completion of the study.

Although studies have some degree of risk, there are no feasible risks in this study beyond those experienced in everyday living. All information is confidential. There will be no indication of names or schools to protect the identity of the participants. The researcher or the dissertation chairperson will answer any questions related to this study. Contact Sandra T. Dominy at 912-367-8600 with additional questions. If you have questions concerning your rights as a research participant or the process of IRB approval, contact the Office of Research Services and Sponsored Programs at 912-478-5465.

The results of this study may assist leaders with behaviors and strategies demonstrative of achieving High Performance Principal status.

A copy of the results of this research may be obtained by contacting the researcher. You will be given a copy of this consent form to keep for your records.

Title of Study: Leadership Characteristics of Georgia High Performance Middle School Principals compared to Collins' Level 5 Leaders

Researcher: Sandra T. Dominy, Post Office Box 931, Baxley, Ga. 31515, 912-367-8600, stdominy@appling.k12.ga.us

Dissertation Chairperson: Barbara Mallory, College of Education, LTHD Department Box 8131,Georgia Southern University, Statesboro, Ga.30460-8131, 912-478-1428, bmallory@georgiasouthern.edu

_____   _____
Participant Signature   Date

I, the undersigned, verify that the above informed consent procedure has been followed.
_____   _____
Researcher Signature   Date

APPENDIX C

INSTITUTIONAL REVIEW BOARD (IRB) APPROVAL LETTER

<table>
<tr><td colspan="3" align="center">Georgia Southern University
Office of Research Services & Sponsored Programs</td></tr>
<tr><td colspan="3" align="center">Institutional Review Board (IRB)</td></tr>
<tr><td>Phone: 912-478-0843</td><td></td><td>Veazey Hall 2021
P.O. Box 8005</td></tr>
<tr><td>Fax: 912-478-0719</td><td>IRB@GeorgiaSouthern.edu</td><td>Statesboro, GA 30460</td></tr>
</table>

To: Sandra T. Dominy
P.O. Box 931
Baxley, Ga 31515

CC: Barbara Mallory
P.O. Box 8131

From: Office of Research Services and Sponsored Programs
Administrative Support Office for Research Oversight Committees
(IACUC/IBC/IRB)

Date: September 15, 2008

Subject: Status of Application for Approval to Utilize Human Subjects in Research

After a review of your proposed research project numbered:**H09040** and titled **"Leadership Characteristics of Georgia High Performance Middle School Principles Compared to Collins' Level 5 Leaders"**, it appears that (1) the research subjects are at minimal risk, (2) appropriate safeguards are planned, and (3) the research activities involve only procedures which are allowable.

Therefore, as authorized in the Federal Policy for the Protection of Human Subjects, I am pleased to notify you that the Institutional Review Board has approved your proposed research.

This IRB approval is in effect for one year from the date of this letter. If at the end of that time, there have been no changes to the research protocol; you may request an extension of the approval period for an additional year. In the interim, please provide the IRB with any information concerning any significant adverse event, **whether or not it is believed to be related to the study**, within five working days of the event. In addition, if a change or modification of the approved methodology becomes necessary, you must notify the IRB Coordinator **prior** to initiating any such changes or modifications. At that time, an amended application for IRB approval may be submitted. Upon completion of your data collection, you are required to complete a *Research Study Termination* form to notify the IRB Coordinator, so your file may be closed.

Sincerely,

Eleanor Haynes

Eleanor Haynes
Compliance Officer

APPENDIX D

INTERVIEW PROTOCOL FOR PRINCIPAL

D - Interview Protocol for Principal

Date:_____ Name of Interviewer:_____ Participant No._____

How many years in education? ___ As a teacher? ___ As an administrator? ____ As the

current principal? _____

1. What are five words that best describe you as a leader? How would others describe you as a leader?

2. As a leader, what does change mean to you?

3. What has been your biggest challenge? How did you overcome this challenge?

4. What are some of the accomplishments you and your staff have achieved? Who contributed to these accomplishments?

5. What are your top three commitments to the school as a leader? How do you demonstrate these commitments?

6. How does the school function in your absence?

7. How does your staff know what your beliefs are?

8. Describe your school's culture. How did it get to be the school's culture? What was your role in developing the school's culture?

9. How do you deal with dissent?

10. If another principal wanted to follow your path to success, what advice would you give him or her?

APPENDIX E

INTERVIEW PROTOCOL FOR ASSISTANT PRINCIPAL

E - Interview Protocol for Assistant Principal

Date:_____ Name of Interviewer:_____ Participant No.____

How many years in education? ___ As a teacher? ___ As an administrator? ____ As

assistant to the current principal? _____

1. What are five words that best describe the principal as a leader?

2. How does the principal lead the staff through change?

3. What has been the school's biggest challenge? How did the principal handle this challenge?

4. What are some of the accomplishments the school has achieved? Who contributed to these accomplishments?

5. What are your principal's top three commitments to the school? How does the principal demonstrate his/her commitments?

6. How does the school function in the absence of the principal?

7. How do you know the principal's beliefs?

8. Describe your school's culture. How did it get to be the school's culture? What was the principal's role in developing the school's culture?

9. How does the principal deal with dissent?

10. What leadership characteristics do you see in the principal that you would like to professionally develop?

APPENDIX F

INTERVIEW PROTOCOL FOR STAFF MEMBER

F - Interview Protocol for Staff Member

Date:_____ Name of Interviewer:_____ Participant No._____

How many years in education? ___ As a staff member to the current principal? _____

What is your job role?_____

1. What are five words that best describe the principal as a leader?

2. How does the principal lead the staff through change?

3. What has been the school's biggest challenge? How did the principal handle this challenge?

4. What are some of the accomplishments the school has achieved? Who contributed to these accomplishments?

5. What are your principal's top three commitments to the school? How does the principal demonstrate his/her commitments?

6. How does the school function in the absence of the principal?

7. How does the staff know the principal's beliefs?

8. Describe your school's culture. How did it get to be the school's culture? What was the principal's role in developing the school's culture?

9. How does the principal deal with dissent?

10. What leadership characteristics do you see in the principal that you would like to professionally develop?

APPENDIX G

RESEARCH QUESTION AND INTERVIEW QUESTION MATRIX

Research Question & Interview Question Matrix

Research Questions	Principal Interview Questions	Assistant Principal Interview Questions	Staff Member Interview Questions	Level 5 Characteristics
1. What are the leadership characteristics of Georgia's High Performance Principals at the middle school level? 2. What common leadership characteristics describe Georgia's High Performance Principals at the middle school level? 3. How are leadership characteristics related to Level 5 leader characteristics?	What are five words that best describe you as a leader? How would others describe you as a leader?	What are five words that best describe the principal as a leader?	What are five words that best describe the principal as a leader?	• Modesty • Calm determination • Supporting established standards • Training successors • Giving credit to others • Creating excellent results • Supportive through change • Unwavering resolve • Modeling expectations • Never blaming others for failure
	As a leader, what does change mean to you?	How does the principal lead the staff through change?	How does the principal lead the staff through change?	• Calm determination • Supporting

			established standards • Creating excellent results • Supportive through change • Unwavering resolve • Modeling expectations
	What has been your biggest challenge? How did you overcome this challenge?	What has been the school's biggest challenge? How did the principal handle this challenge?	What has been the school's biggest challenge? How did the principal handle this challenge?	• Calm determination • Supporting Established standards • Creating excellent results • Supportive through change • Modeling expectations
	What are some of the accomplishments you and your staff have achieved? Who	What are some of the accomplishments the school has achieved? Who contributed to	What are some of the accomplishments the school has achieved? Who contributed to	• Modesty • Giving credit to others

contributed to these accomplishments?	these accomplishments?	these accomplishments?	• Creating excellent results
What are your top three commitments to the school as the leader? How do you demonstrate these commitments?	What are your principal's top three commitments to the school? How does the principal demonstrate his/her commitments?	What are your principal's top three commitments to the school? How does the principal demonstrate his/her commitments?	• Calm determination • Unwavering resolve
How does the school function in your absence?	How does the school function in the absence of the principal?	How does the school function in the absence of the principal?	• Training successors
How does your staff know what your beliefs are?	How do you know the principal's beliefs?	How does the staff know the principal's beliefs?	• Calm determination • Supporting established standards • Creating excellent results • Unwavering resolve • Modeling expectations
Describe your school's culture. How did it get to be the school's culture? What was your role in developing the school's culture?	Describe your school's culture. How did it get to be the school's culture? What was the principal's role in developing the school's culture?	Describe your school's culture. How did it get to be the school's culture? What was the principal's role in developing the school's culture?	• Modesty • Calm determination • Supporting established standards

			• Training successors • Giving credit to others • Creating excellent results • Supportive through change • Unwavering resolve • Modeling expectations • Never blaming others for failure
How do you deal with dissent?	How does the principal deal with dissent?	How does the principal deal with dissent?	• Calm determination • Supporting established standards • Creating excellent results • Unwavering resolve • Modeling expectations
If another principal wanted to follow your path to success, what	What leadership characteristics do you see in the _____ principal	What leadership characteristics do you see in the _____ principal	• Modesty • Calm determination

	advice would you give him or her?	that you would like to professionally develop?	that you would like to professionally develop?	• Supporting established standards
				• Training successors
				• Giving credit to others
				• Creating excellent results
				• Supportive through change
				• Unwavering resolve
				• Modeling expectations
				• Never blaming others for failure

APPENDIX H

OBSERVATIONAL PROTOCOL

Appendix : Dissertation Principal Observation Sheet

School: Date: Observation Number: Out of:

Initator	SETTING			SETTING						ACTION				COMMUNICATION		AVAILABLE			EVENT			
	PT	PP	PS	OF	CM	OU	HA	LR	OT	BE	FR	R	S-S	Inform	Formal	BEF	DUR	AFT	CO	SE	FM	OT
No. of Participants																						
	PT- Principal Teacher PP-Principal parent PS- Principal Staff			OF- Office CM: Commons Area Ou- Outside HA- Hallway LR- Lunchroom OT- Other						BE-Beside FR- Front of Room R- Roaming Around S-S- Side by Side						BEF -Before School DUR- During School AFT- After School			CO: Conference SE: Special Event FM- Faculty Mtg. OT- Other			

COMMENTS: Descriptive and Reflective

APPENDIX I

TRUE COLORS™

1. Visualize Yourself

Remove your set of color-coded Character Cards from the middle section of this booklet. Review each of the illustrations, and arrange the cards from the one most like you to the one least like you.

2. Read About Yourself

Turn the cards over and read the back of each. Again, arrange them from the card most like you to the one least like you. Now, rank them in the boxes to the right using a "4" for the one most like you, "3" second, "2" third, and a "1" for the card least like you.
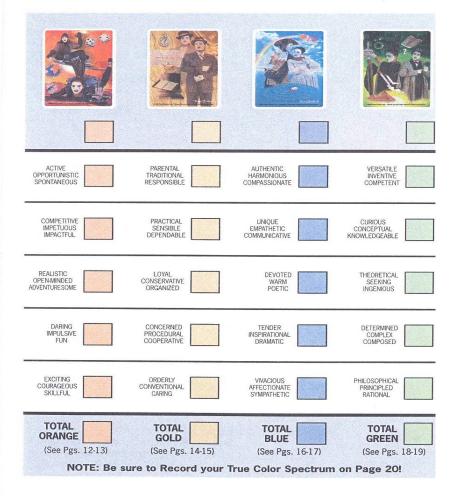
3. Describe Yourself

In the section to the right are rows of word groups. Working one row at a time, rank each word group in the boxes using a "4" for the group most like you down to a "1" for the word group least like you.

4. Identify Your True Colors

Now, total the columns, including your cards' ranking. Your highest score indicates your primary, or brightest, color; the lowest score represents the color least like you.

5. Your Personal Color Spectrum

The following pages further describe your personal characteristics, based on your Color Spectrum. Read the descriptions beginning with your brightest color and ending with your palest color.

ACTIVE OPPORTUNISTIC SPONTANEOUS	PARENTAL TRADITIONAL RESPONSIBLE	AUTHENTIC HARMONIOUS COMPASSIONATE	VERSATILE INVENTIVE COMPETENT
COMPETITIVE IMPETUOUS IMPACTFUL	PRACTICAL SENSIBLE DEPENDABLE	UNIQUE EMPATHETIC COMMUNICATIVE	CURIOUS CONCEPTUAL KNOWLEDGEABLE
REALISTIC OPEN-MINDED ADVENTURESOME	LOYAL CONSERVATIVE ORGANIZED	DEVOTED WARM POETIC	THEORETICAL SEEKING INGENIOUS
DARING IMPULSIVE FUN	CONCERNED PROCEDURAL COOPERATIVE	TENDER INSPIRATIONAL DRAMATIC	DETERMINED COMPLEX COMPOSED
EXCITING COURAGEOUS SKILLFUL	ORDERLY CONVENTIONAL CARING	VIVACIOUS AFFECTIONATE SYMPATHETIC	PHILOSOPHICAL PRINCIPLED RATIONAL
TOTAL ORANGE	**TOTAL GOLD**	**TOTAL BLUE**	**TOTAL GREEN**
(See Pgs. 12-13)	(See Pgs. 14-15)	(See Pgs. 16-17)	(See Pgs. 18-19)

NOTE: Be sure to Record your True Color Spectrum on Page 20!

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APPENDIX J

LEADERSHIP CHARACTERISTICS MATRIX

Common Leadership Characteristics from Literature Review	Cited Resources	High Performance Principal Characteristics	Collins' Level 4 Characteristics	Collins' Level 5 Characteristics
Promotes professional development	ERS,NAESP, NASSP (2000) Greenleaf (2003) Hargreaves & Fink (2003 Howell & Costley (2001) Hoy & Miskel (2005) Leithwood (1994) Marzano, Waters & McNulty (2005) Northouse (2004) Smith & Andrew (1989)	• Arranges for training • Encourages staff to advance education • Provides resources • Participates in training • Involves parents in community		▪ Supporting established standards ▪ Training successors
Clear vision	Adler (2007) Conzemius & O'Neill (2002) DiMartino & Miles (2006) ERS, NAESP, NASSP (2000) Freeman- Smalls (2007) Greenleaf (2003) Hargreaves (2003) Hallinger (2003) Hallinger, Murphy,	• Commitment to vision • High expectations • Focused on mission • Achieved excellence • Passion for education	• Commitment to vision • High Expectations	• Creating excellent results • Supporting established standards • Unwavering resolve • Calm determination

Common Leadership Characteristics from Literature Review	Cited Resources	High Performance Principal Characteristics	Collins' Level 4 Characteristics	Collins' Level 5 Characteristics
	Weil, Messa & Mitman (1983) Hargreaves & Fink (2003) Howell & Costley (2001) Kotter (1990) Kouzes & Posner (1995) Leithwood (1992) (1994) Marzano (2003) Peters & Waterman (1982) Reeves (2004) Schmoker (2001) Sergiovanni (1995) Smith & Andrew (1989) Sousa (2003) Yukl (2002)			
Inspire others to reach goals	Burke (1965) Blasé & Kirby (2000) Conzemius & O'Neill	• Recognizes others • Encourages		• Training successors • Giving credit to

Common Leadership Characteristics from Literature Review	Cited Resources	High Performance Principal Characteristics	Collins' Level 4 Characteristics	Collins' Level 5 Characteristics
	(2002) Fulan (2005) Greenleaf (2003) Kotter (1990) Marzano (2003) Smith & Andrews (1989) Sousa (2003)	others • Team leader • High expectations • Never takes credit • Distributive leadership		others • Never blaming • Unwavering resolve • Modesty • Calm determination
Good communication	Adler (2007) ERS, NAESP, NASSP (2000) Fulan (2005) Greenleaf (2003) Kotter (1990) Leithwood (1992) (1994) Smith & Andrews (1989) Yukl (2002)	• Organizes people • Organizes resources • Open door policy • Easily accessible • Models expectations • High visibility	• Organizes People • Organizes Resources	• Calm determination • Supporting established standards • Unwavering resolve • Creating excellent results • Modeling expectations
Supportive leader	Adler (2007) Blasé & Kirby (2000) Burke (1965) Covey (1989) Dimartino & Miles	• Team member • Organizes resources • Organizes people	• Team Member • Organizes Resources • Organizes People	• Supportive through change • Supporting established standards

Common Leadership Characteristics from Literature Review	Cited Resources	High Performance Principal Characteristics	Collins' Level 4 Characteristics	Collins' Level 5 Characteristics
	(2006) ERS, NAESP, NASSP (2000) Freeman& Smalls (2007) Greenleaf (2003) Howell & Costley (2001) Kouzes & Posner (1995) Leithwood (1994) Marzano (2003) Reeves (2004) Smith & Andrews (1989) Yukl (2002)	• Arranges for needed training • Promotes a caring and nurturing environment • Models expectations • Distributive leadership		
Trust	Adler (2007) Blasé & Kirby (2000) Bryk & Schneider (2002) Conzemius & O'Neill (2002) Howell & Costley (2001) Kouzes & Posner	• Open door policy • Distributive leadership • Team concept • Collaborative decision making • Caring		• Supportive through change • Modesty • Giving credit to others • Never blaming

Common Leadership Characteristics from Literature Review	Cited Resources	High Performance Principal Characteristics	Collins' Level 4 Characteristics	Collins' Level 5 Characteristics
	(1995) Leithwood (1994) Marzano (2003) Reeves (2006) Sosik & Dionne (1997) Sousa (2003)	• Good listener		
Serve as a role model	Dimartino & Miles (2006) DuFour (2001) Howell & Costley (2001) Kouzes & Posner (1995) Leithwood (1994) Marzano, Waters & McNulty (2005) Smith & Andrews (1989)	• Good work habits • Talent • Knowledge • Skills • Models expectations • Commitment to excellence	• Good Work Habits • Talent • Knowledge • Skills	• Modeling expectations • Modesty • Calm determination • Supporting established standards • Training successors • Giving credit to others • Creating excellent results • Supportive through change • Unwavering resolve

Common Leadership Characteristics from Literature Review	Cited Resources	High Performance Principal Characteristics	Collins' Level 4 Characteristics	Collins' Level 5 Characteristics
				• Never blaming