

A Synthesis of Theory and Research on Principal Leadership,
School Culture, and School Effectiveness

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ABSTRACT

The national push for increased accountability, the demand for academic achievement for all students, as defined by high-stakes testing, and sanctions imposed on public schools create significant challenges for the school principal. The principal is charged with leading improvement efforts to improve student achievement and school effectiveness. Striving for excellence is a collaborative, inquiry-based quest, in which the principal must engage all stakeholders in the development of a productive learning culture designed to improve teaching and learning. To do this, educational practitioners must glean and use improvement strategies from well-grounded theory, educational research, best practices, and evidence-based decision making.

This study is an investigation and synthesis of the relationships among leadership behaviors, school culture, and school outcomes, including student achievement, in an effort to determine direct and indirect effects. It is based on the premise that school leadership has a direct effect on school culture, and school culture has a direct effect on school effectiveness, including student achievement. Schein's model of culture was selected as the operational definition of culture. The concept of school climate is based on environmental factors and is included within the larger concept of school culture.

The resulting work is the development of a theory of school effectiveness, based on a review of educational research, theory, and best practices synthesized from multiple

studies. The work is intended to serve as a resource for those involved in school leadership and school improvement efforts.

Evidence for supporting direct effects of leadership on school effectiveness, including student achievement is very limited in the literature. However, results indicate that the principal does have a direct effect on school culture and climate through strategic intervention strategies and behaviors. A review of studies examining the relationships between school culture and student achievement indicate that there is a significant moderate effect between school culture and student achievement in K-12 public schools in the United States. Although there remains limited evidence that the school principal directly affects student achievement, there is sufficient evidence to indicate that school culture is a significant mediating factor between principal leadership and school effectiveness.

DEDICATION

This dissertation is dedicated to my precious family who has provided me with endless love, support, encouragement, and understanding during this process. They never allowed me to give up, even during my greatest challenges and struggles. To my children, whether by birth, step, or in-law: John, Robin, Claire, Michael, for your ceaseless love, encouraging texts, and patience needed to keep me going. To my little princess granddaughter, Ava (aka Princess Rosie), who gave me quality playtime and was always so patient with “Nana having to work.” To my brother, Ted, and sister-in-law, Lumy, who kept offering their assistance of “mama care,” love, and encouragement with my first “Dr. Beverly” engraved pen to keep up my spirits. To my mother, Miriam G. Adams, for allowing me to take over her basement, dining room, kitchen table, and guest bedroom; for our moments of precious memories, laughter, and even tears; for being a role model for me, teaching me that a woman can do whatever she sets her mind to do; and for continuously checking on my progress by asking: “Have you finished your little paper yet?” And finally to my father and grandparents who are always with me in spirit. Without my family’s loving support, patience, kindness, understanding, and forgiveness when I became stressed and irritable, I could not have completed this dissertation without them. I love each one very dearly. They are each very precious to me; I am so very blessed.

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also knew that he believed in me and saw potential in me that I did not realize was there. Dr. James Smith provided a constant monitoring of my progress and encouraged me along the way with his progress checks, our professional dialogues, and with his humor. Dr. Strader Blankenship has served as my mentor and coach, in addition to my current superintendent. He has offered on-going encouragement, de-stressor chats, and various support measures to help me get over the humps and finish the process. I know that he, too, believes in me and in my potential.

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related to my topic. I will continue to wear my straw hat so that others can find me if I get lost in that bog in the future. It will serve as my reminder to maintain focus and parameters during future writings.

I continue to be amazed by Dr. Parks' vast knowledge and expertise in the field of education. His feedback and guiding questions always challenged me and forced me to grow. He is a specialist in composing and editing, which I value. However, most likely I will revert to the use of passive voice and anthropomorphism without Dr. Parks to review my writing.

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There is a popular saying that "It takes a village to raise a child." In my case, I believe I can apply that same thought to my dissertation process: "It takes a village to complete my dissertation."

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PREFACE

“I think what I want Disneyland to be most of all is a happy place—a place where adults and children can experience together some of the wonders of life, of adventure, and feel better because of it.”

Walt Disney

If children were asked “How is school like Disneyworld?” most, if not all of the children, would exclaim, “It’s not! No way!” Some children may even share my six-year-old son’s opinion when he sadly told me, “Mommy, I love learning; but I hate school.” For an educator who has always loved school, I was shocked at my son’s harsh assessment of a place I loved and viewed as a happy place. In that moment, I wanted to become a Walt Disney of education—someone who could create a positive environment in which experiences would lead to excitement and learning, not just for children, but for each person who entered that “place called school” (Goodlad, 1984).

The national push for increased accountability, the demand for academic achievement for all students as defined by performance on high-stakes testing, and sanctions imposed upon schools may have taken the magic out of the school castle. The school principal is charged with leading the battle for school-based reform in an effort to improve student achievement and school performance. How do we, as educational leaders, scale the walls, skirt the barriers in our paths, and overcome the forces that threaten to keep our children from success, while still leading them to climb summits and catch the magic of lifelong learning? It is a daunting task for those committed to organizational excellence, school improvement, and success for all learners. It is a task that cannot be carried on the shoulders of the principal, alone. Striving for excellence is a

collaborative, inquiry-based quest in which the principal must engage all stakeholders in the development of a professional learning community designed to improve teaching and learning. Educational practitioners must glean improvement strategies and initiatives from well-grounded theory, educational research, proven best practices, and evidence-based decision making.

I believe that principals can make a difference in school culture and school effectiveness and can turn low-performing schools into high-performing schools. A colleague from another state shared a personal story with me that illustrates the power a principal can have in changing the culture of a school and transforming a low-performing school to a high-performing school. He had in his division two schools at opposite ends of the cultural spectrum. School A exhibited a toxic culture, low morale, and poor performance of students. The principal (Ms. Toxic) had a poor relationship with the parents and staff within the building and a poor relationship with the external community in which the school was located. School B exhibited the beginnings of a professional learning community culture, high morale, and high performance of students. The principal of School B (Ms. Retiring) had a good relationship with internal and external stakeholders.

Principal A was moved to School B, following the retirement of Principal B. A principal new to the area was hired for School A (Ms. I Can). In the course of two years, School B changed from a high-performing school with a healthy culture, high morale, and high performance to a school of toxicity, low morale, and lower student performance. School B was placed on academic probation. Meanwhile, School A began to flourish. The culture of the school was transformed. It was no longer a toxic environment for

teachers, students, or parents. Morale of students and staff improved. Parents and community were encouraged to become part of school activities and participate in decision-making and advisory groups. The principal made personal connections with staff, students, parents, and community leaders. Within two years, the culture of School A changed; and School A became a shining star. Teachers did not change schools; the staff remained the same. Students remained the same except for the one cohort moving to a higher level. The community did not change. The difference was the principal. Both principals were female of similar age. The difference was in the leadership practices of the principal and the resulting effect on the school culture and school effectiveness.

Meanwhile, the principal of School B (Ms. Toxic) now led a toxic school. She decided to retire. She was replaced by a male principal (Mr. We Can) who immediately identified the low morale and toxic culture of the school and set out to transform the culture of the school. Within two years, School B began its transformation back into a higher-performing school. Morale improved. Parents and community were welcomed back into the school. Dialogue among the staff became centered on student achievement and evidence-based decision making. This school, too, had the same staff, same community, and same students, minus the cohort leaving for a higher level. The difference was the principal. This time the principal was male but of the same general age as the previous principal. Both Ms. I Can and Mr. We Can demonstrated similar leadership practices. Both demonstrated a high degree of self-efficacy. Both principals believed they had the power to make a difference in transforming the school, and both depended on shared leadership practices to empower staff, parents, and students to make the transformation happen.

Principals can make a difference. Perhaps it is a story of the strategic journey and intentional transformation, inspired by a leader that creates the magic for turning frogs into princes, rather than merely wishing upon a star that it were so.

This dissertation is about discovering and unveiling the reality behind the magic of effective leadership that transforms the culture of a school into that which creates a school of excellence, a school in which all students and adults are successful. It is a dissertation of hope and faith in public education and in school leadership, based on the belief that leadership and schools have the potential for making a significant difference in student learning. This belief is not based on a wish, but is grounded in the effective use of what we know from research, theory, and best practices.

In this dissertation, I investigate and synthesize the relationships among leadership behaviors, school culture, and school outcomes in an effort to determine direct and indirect effects. This book is my theory of school effectiveness, based on a review of educational research, theory, and best practices synthesized from multiple studies.

I believe we are at a critical crossroads in public education. We can make excuses for poor student performance and failing schools by blaming students, economic conditions, and factors outside our control. We can wish for things to be different, but take no action. Or, we can choose to utilize the knowledge available to us to intentionally and strategically transform that place called school.

SECTION I: SETTING THE STAGE

Chapter 1: Understanding and Navigating This Work

Chapter 1 is designed to give the reader an overview of the study and an explanation of how this work is organized. The chapter begins with the premise on which the work is based, the purpose of the study, and the intended audience. The scope of the inquiry includes major components of the inquiry, the span of years included in the literature search, the nature of the literature, and the search methodology. Basic concepts, definitions, and the coding system used in the study are introduced. The organizational pattern of the book is outlined with a brief explanation of the contents of each of the six sections.

Basic Premise

This work is based on the premise that school leadership has a direct effect on school culture, and school culture has a direct effect on school effectiveness and student achievement. A review of the literature on leadership, school culture, and school effectiveness indicates that school culture is shaped by leadership practices; organizational characteristics; instructional practices; student, parent, and community engagement; and cultural norms and behaviors of its members. A school culture may be characterized as a highly-effective positive learning culture, a positive but static learning culture, or a toxic culture in which learners of all ages do not flourish.

Purposes

The purpose of this study is to link theory, research and best practices for assisting principals and others in creating a positive, effective learning environment, where students and adults can not only love learning, but also love “school.” To achieve this end, the researcher compiles, summarizes, analyzes, and presents the cumulative research and theory on the relationships between and among leadership practices, culture, and performance in school settings. Based on the findings, the researcher provides recommendations for educators

specializing in turning around low-performing schools and classrooms and raising the sights of those who are in schools that are performing well.

Audience

Several audiences are targeted with this work: school administrators, school leadership teams, aspiring principals, central office leadership teams, school turn-around specialists, and teachers. The content should be of benefit to these audiences as they implement school improvement efforts and effective practices in the school and classroom. It may have some value to district leadership as they guide organizational improvement. Those in leadership development programs may find the research, theory, and practice of benefit in their preparation and continuing education programs.

Scope of the Inquiry

This section contains the major components forming the basis of the general topics selected for study, the span of years covered by the review, the nature of the literature included, and the search methodology used to locate the literature. Specific search methodology, including key words used in the search process, will be included at the beginning of each chapter for the literature cited in the reference list and additional resources for the respective chapter.

Major components of the inquiry. The work focuses on the links between leadership, culture, and school effectiveness. Therefore, literature selected to be reviewed as part of the dissertation is based on and derived from the three major components of the study: leadership practices, culture, and school effectiveness. Emphasis is given to studies addressing various leadership practices as they affect school culture, the effect of school culture on school effectiveness, and the direct and indirect effects of leadership practices on school effectiveness.

Span of years. The review covers the years 1970 through 2011. This forty-one-year span of literature covers research from the effective schools movement, in which school leadership became a central focus for school improvement; research in school leadership, reflecting the changing roles of leadership; school culture and the emphasis on professional learning communities and their effect on school effectiveness; and the increased accountability for public schools, including state accountability testing. The *No Child Left Behind Act of 2001* ushered in a new era of accountability for districts, schools, principals and teachers and laid the groundwork for linking student achievement to leadership and value-added evaluations. Therefore, additional emphasis is given to studies conducted over the past 10 years.

Nature of literature reviewed. Literature in this project consists of research studies, theoretical literature, commentary literature, and web-based resources. All resources were selected based on their relevance to the relationships of interest in this study. These relationships are: leadership practices and school culture, school culture and school effectiveness, and leadership and school effectiveness.

Search methodology. The search methodology in this study included initial searches and a variety of additional search channels. This section includes specific resources, initial key search words, and research strategies used to locate studies and literature related to topic.

Initial searches. Initial searches used reference databases, including the Educational Resources Information Center (ERIC) First Search on-line retrieval system, PsycINFO, InfoTrac OneFile, Expanded Academic Index, WorldCat; *Current Journals in Education (CJIE)*; *Dissertation Abstracts*; and Addison, the library catalog system. Materials were obtained through the Inter Library Loan Internet accessible database (ILLiad) at Virginia Polytechnic and State University. Additional searches were conducted throughout the study. The Education and

Applied Social Sciences Librarian at Virginia Polytechnic Institute and State University provided additional assistance by conducting individual tutorials and consultations on recommended databases, additional search engines, advance search techniques, and procedures for accessing materials from libraries at other universities.

Initial searches were made using specific key words related to school leadership, school culture, student achievement, and school effectiveness. Specific search parameters and key words were used to search specific topics relevant to each chapter. These parameters, selection criteria, and the key words used in the search for each chapter will be described at the beginning of the respective chapter. Online review of the literature abstracts refined the number of selections based on the selection criteria.

The researcher recorded the results of the literature search in a researcher's log and notebook. Key words, phrases, Boolean connectors, and the resulting number of hits were documented as an aid for practitioners interested in additional research.

Additional search channels. Search channels also included personal contacts with researchers in the field, manuscripts in progress, publications, websites of organizations, conference papers, and documents from regional educational labs. Reference lists of studies, including meta-analyses, literature reviews, digests, reports, handbooks, guidebooks, and books on the topics of school leadership, school culture, and school effectiveness were examined for possible studies and sources of additional information. The reference lists from these sources were reviewed to determine sources to be investigated and to identify primary and landmark studies. Landmark studies are identified as those that are cited across numerous studies and have become foundational studies for this area of research.

Concepts, Definitions and Coding

Major concepts found in the research studies, theoretical literature and practitioner literature reviewed as part of this study are outlined in Appendix A, “Concepts, Definitions, and Coding Chart.” Each concept has a constitutive definition, an operational definition, and a coding system. Each concept was tentatively defined at the beginning of the study. However, the definitions were adjusted, re-defined, and refined as the study progressed. Constituted definitions, operational definitions, and coding came from the literature and were reported as the original researchers and writers reported them. The Concepts, Definitions, and Coding Chart was placed in the Appendix due to its length. It was open-ended throughout the study. Definitions were added as the study progressed.

The concepts, definitions, and coding are grouped by the major components in the study. These components are Leadership Practices, School Culture, and School Effectiveness. Concepts for other factors not addressed in this study are not defined.

How This Work is Organized

Structure. This work is organized by sections and chapters. The dissertation includes fifteen chapters which are organized into six sections. Chapters 10, 11, 12, and 13 begin with an overview of the literature search procedure used for that chapter. A “Research Studies Matrix” and a discussion of essential findings are included in each chapter for chapters 10 through 13. References are listed at the end of the work, following Chapter 15.

Overview of the sections. The various sections and the chapters contained in each section are outlined below.

Section I. Section I: Setting the Stage contains three chapters and provides a basic overview of the structure of the study, a discussion of the context for the study, and an overview

of the theoretical framework, domains, and practices that form the foundation of the study. The work itself is the development of my theory of school effectiveness.

Section II. Section II: Understanding the Concept of Culture contains three chapters focused on understanding the origin of the concept of culture, the concept of culture in education, and how school culture and climate are measured.

Section III. Section III: School Culture and School Effectiveness includes two chapters focused on the relationship between school culture and school effectiveness. Types of school cultures are described in chapter 7. Chapter 8 includes a discussion of the effects of each of the two opposing types of school culture on school outcomes, including student achievement, as measures of school effectiveness. Chapter 8 concludes with a discussion of whether or not school culture can be changed, and includes information about the change process.

Section IV. Section IV: Leadership and School Culture includes three chapters focused on the relationship between leadership and culture, leadership strategies for dealing with a toxic culture, and leadership strategies for growing and nurturing an effective school culture.

Section V. Section V: Leadership and School Effectiveness includes two chapters that focus on the direct and indirect effects of leadership on school outcomes. Each of the two chapters consists of an analysis and discussion of the relationship between leadership and school effectiveness as reported in the literature. However, the analysis and discussion in Chapter 12 are focused on the direct effects of leadership on school effectiveness. The analysis and discussion in Chapter 13 are focused on indirect effects.

Section VI includes the summary, conclusions, and suggestions for further research.

References and Appendices are listed at the end of the work, following Chapter 15.

Chapter 2: Are Principals an Endangered Species?

Chapter 2 is the context of the study. The context is organized around two factors that have affected the role of school principal significantly: the political battle for control of education and accountability.

Political Battle for Control of Education

There are four political forces vying for the control of education: state, federal, local, and the private sector (Alexander & Alexander, 2001; Engel 2000; Franciosi, 2004; Good & Teller, 1973; Hiatt-Michael, 2008; Jacobsen & Saultz, 2012; Shelly, 2011; Spring, 2011; Urban & Wagoner, 2004). The private sector includes special interest groups, organizations, and individuals. The principal is caught in the midst of the political battle for control of education and is affected by regulations and policies imposed by each power source. The role of principal and the person in that role may be at risk due to increased standards and expectations, accountability linked to high-stakes testing, restricted funds, state and federal sanctions, and job evaluations and security linked to student performance.

State right. Historically, education has been controlled by the locality and the state (Alexander & Alexander, 2001; Engel, 2000; Good & Teller, 1973; Urban & Wagoner, 2004). Public education is not mentioned directly in the United States Constitution. The Tenth Amendment to the Constitution states: “The powers not delegated to the United States by the Constitution, nor prohibited by it to the States, are reserved to the States respectively, or to the people.” Since education is omitted from the United States Constitution and has not been declared by the United States Supreme Court as a fundamental interest protected by the Constitution, it is considered one of the powers reserved to the states, as a state right. Therefore,

states have plenary power in the area of education (Alexander & Alexander, 2001; Engel, 2000; Good & Teller, 1973; Urban & Wagoner, 2004).

Growing federal interest in education. The federal role in education has been a sensitive one in American politics (Engel, 2000; Hiatt-Michael, 2008; Jacobsen & Saultz, 2012; Spring, 2011; Urban & Wagoner, 2004). Traditionally, the federal government played a limited role, with restrictions against federal control of education. However, there has been growing interest in and increased control of education by the federal government. Today, the federal government exerts direct power over schools through requirements and regulations attached to federal spending (Franciosi, 2004; Shelly, 2011). Localities do not have to accept federal funds, but once they do, the schools within that locality have to meet those requirements and regulations. Historical events, political views, concerns of special interest groups and changes in levels of funding have shaped the reform movements and the resulting educational battle for control (Engel, 2000; Franciosi, 2004; Good & Teller, 1973; Hiatt-Michael, 2008; Jacobsen & Saultz, 2012; Shelly, 2011; Spring, 2011; Urban & Wagoner, 2004).

The nation was knocked to its knees with the launching of Sputnik in 1957 by the Soviet Union. This was in the midst of the Cold War between the United States and the Soviet Union as both countries battled for political control as super powers. Both countries were locked in a battle, a race to see who would get to the moon first. The launching of Sputnik placed the Soviet Union as the forerunner in the race. Although the battle was political, it fueled national debate over the reasons the Soviet Union moved ahead of the United States in this race and raised national concerns over our education, specifically in the fields of science, math, and foreign languages.

As a result of this national debate and growing concern over the status of education in the United States as compared to other countries, legislation was proposed to improve instruction in key areas, to increase opportunities for advanced education, and to provide funds for fellowships and loans for college students. The National Defense Education Act of 1958 (P.L. 85-864; 72 Stat.1580) became law on September 2, 1958. The National Defense Education Act (NDEA) authorized National Defense Fellowships and loans for college students and provided funds to state educational agencies to improve the teaching of science, mathematics, and modern foreign languages. The NDEA provided additional funds to Institutions of Higher Education for the development of classes and programs designed to enhance, strengthen, and improve the skills of those who supervise teachers and counselors. This direction toward the development of programs designed to promote leadership skills was reinforced by the recognition that research was an important component of instructional improvement. The NDEA included provisions for State Educational Agencies (SEA) to improve and ensure accurate data collection, statistical analysis, and reporting procedures for assessing various aspects of the educational system and collecting information from the schools and districts within the state. These data-based provisions seem to reflect the groundwork for accountability for state educational agencies and their schools.

The Elementary and Secondary Education Act (ESEA) of 1965 ushered in a new level of federal funding and with it, increased federal control. This act was designed to ensure educational equity to economically disadvantaged students through newly-created federal and state categorical aid programs that provided supplemental services, increased resources, and teacher training. Increased federal involvement and legislation governing schools and programs meant increased record-keeping, documentation of appropriate use of funds, and assessment of

student performance in the form of competency-based assessments in the areas of reading, writing, and mathematics.

The educational decade closed with the publication of the report *Equality of Educational Opportunity*, known as the *Coleman Report*, (Coleman et al., 1966) that attributed a student's success or failure in school partly to his socio-economic level. This report helped to create or substantiate the belief of some educators that there was little that they could do to affect student achievement. Schools with a high level of student poverty were faced with the decision to accept the premise as an excuse or demonstrate that the school, teachers and administrators could facilitate student success in spite of the odds against them. The efforts to identify schools that beat the odds led to the work of Ron Edmonds and Larry Lezotte with the effective schools movement (Edmonds, 1979, 1979b; Edmonds & Frederiksen, 1978).

The research of Edmonds and Lezotte during the Effective Schools Movement in the 1970's resulted in the identification of key characteristics of effective schools. These correlates of effective schools now include Clear and Focused School Mission, Safe and Orderly Environment, High Expectations, Opportunity to Learn and Time on Task, Instructional Leadership, Frequent Monitoring of Student Progress, and Positive Home-School Relations (Lezotte, 1991).

The National Commission of Excellence in Education was created in August 1981 to investigate and discuss educational issues and concerns, to compare our system of education with other countries, to identify the current status of education in the United States, and to identify significant areas of reform. The Commission released its report titled *A Nation at Risk: The Imperative for Educational Reform (ANAR)* in 1983, bringing the issue of educational reform into the political and public spotlight. Symbolically, it was another launching of Sputnik, fueling

the educational reform debate to a new level of intensity and involvement (Hunt & Staton, 1996). The report presented a bleak assessment of the nation and its educational system with the opening statement, “Our nation is at risk” and attempted to link the economic conditions of the country and threats to national security to the poor quality of schooling.

The language used in on the first page of the *Nation at Risk* Report (p. 5) set the tone for the report and helped to create a national stir of debate over the quality of American education. Threatening phrases denoting warfare were used within the first two paragraphs. Phrases such as “being overtaken” (p. 5), “being eroded” (p. 5), “rising tide of mediocrity that threatens our very future as a nation and people” (p. 5), “act of war” (p. 5), “squandered” (p. 5), “dismantled essential support systems” (p. 5), and “committing an act of unthinking, unilateral educational disarmament” (p. 5) established the threat of imminent danger to our country created by the poor performance, standards, and practices of our schools. Perhaps the strong language was intended to incite the public to move educational reform from emphasizing equality and equity to quality. Recommendations in the report include increased rigor of curriculum, increased academic requirements, improvements in teaching and teacher quality, leadership focused on improving instruction rather than management, standardized testing for accountability, and increased data collection and analysis.

With the publication of *A Nation at Risk: The Imperative for Educational Reform* (1983) by the National Commission of Excellence in Education, the role of the principal continued its evolution from manager of school operations to instructional leader, responsible for improving the quality of teaching in the school. Principal responsibilities increased from ensuring a safe, clean, and orderly environment to an environment conducive to learning and characterized by a more rigorous curriculum and quality instruction. This new role required a different set of

leadership skills and behaviors designed to improve instruction and student achievement. With the increased emphasis on using standardized testing for accountability and data analysis, the principal was becoming a major player in school improvement.

In 1989, President George H. W. Bush and the nation's governors, including Governor Bill Clinton of Arkansas, convened an Education Summit in Charlottesville, Virginia, to develop and set educational goals for the nation to be achieved by 2000 (National Educational Goals Panel website). The process of goal development involved a variety of stakeholders, including teachers, parents, administrators, school board members, elected officials, business representatives, and representatives of the general public. The underlying purpose was to establish a common mission based on improving education for all students. The goals included an emphasis on students beginning school ready to learn; increased high school graduation rate; demonstrated student competency in grades 4, 8, and 12; professional improvement for teachers; United States' position as first place in the world in science and mathematics achievement; and assurance that every American adult would be literate, demonstrate productive citizenship skills, and have the skills to compete in a global economy. Status reports were issued by the National Educational Goals Panel as accountability progress reports (National Educational Goals Panel). The interest in educational reform that was focused on improved standards, demonstrated student competency, professional development for teachers, and accountability spread to the general populace through federal, state, and local efforts. The concept of national educational goals was promoted by the governors who played a key role in the advancement of the goals (National Educational Goals Panel).

President Clinton continued the national goals initiative with the passage of the *Goals 2000: Educate America Act*, passed by Congress in March 1994 (P.L. 103-227). The *Goals 2000*

Act created the National Education Standards and Improvement Council and assigned it the responsibility to promote national and state content, student performance, opportunity-to-learn standards and assessment systems. States were encouraged to establish rigorous academic and occupational content and performance standards and to develop assessment measures linked to those standards in exchange for school reform grants. Incentives were given to states to introduce laws and regulations designed to monitor local compliance. However, local districts had flexibility and discretion in implementing the state standards and the degree to which they aligned the standards to existing instruction.

In addition, to the original goals proposed in 1989, Goals 2000 added two additional goals. The two new goals emphasized a drug and weapon-free environment and the establishment of partnerships designed to increase parent involvement and participation in promoting the social, emotional, and academic development of their children. These additional goals expanded the role of principal to ensure not only effective management of the building, quality instruction, and student competency in key areas, but to ensure an environment free of drugs, weapons, and violence and to increase parent involvement and participation.

The role of the federal government in education established by the Elementary and Secondary Education Act (ESEA) of 1965 was strengthened with the re-authorization of the Act under the name of the No Child Left Behind Act of 2001. The No Child Left Behind Act of 2001 marks a significant expansion of federal control over programmatic issues of education, equal educational outcomes, accountability measures, and sanctions based on receipt of federal funds. Rather than focusing on providing supplemental funds for economically disadvantaged students, the federal government expanded its role to include required performance objectives for all students and for specified subgroups; high-stakes testing; strict sanctions that included school

choice, replacement of the principal and staff, and new models of governance; professional development criteria; and requirements for highly-qualified personnel.

The No Child Left Behind Act of 2001 included the requirements that all students will demonstrate proficiency in reading and in mathematics by passing state-mandated assessments; all students will graduate from high school; all limited English proficient students will obtain proficiency in English; and all students will be taught by highly-qualified teachers. Schools were required to meet all federal accountability goals by 2013-14 and to demonstrate Annual Yearly Progress (AYP) toward those goals by meeting or exceeding annual measurable objectives established for reading and mathematics performance on state-mandated tests, participation criteria, and graduation. Sanctions for schools not making AYP included school choice, supplemental services, replacement of teachers in the areas of deficiency, replacement of the principal with a turn-around specialist, and re-opening the school as a charter school under new administrative and governance structures. With the passage of the No Child Left Behind Act, the federal government became a key overseer of public education, and the principal was given the task of ensuring that the school met all federal accountability measures, including Adequate Yearly Progress. Job security for the principal became dependent upon the performance of the students on state assessments and upon the success of the school in making AYP.

In September 2011, states were offered relief from certain provisions of the No Child Left Behind Act under the waiver authority granted to the United States Department of Education (United States Department of Education, 2012). A state could request flexibility through waivers of specific requirements of NCLB, including the 2013-14 timeline for achieving 100 percent proficiency of students in reading and mathematics. As of November 2012, 34 states and the District of Columbia were approved for waivers (United States Department of Education,

2012). Waivers were allowed in the establishment of intermediary proficiency targets and in the temporary exemption of testing in science and history at grade three, with a stipulation that local assessments would be used. The waivers were for two years and are re-evaluated for approval at the end of the two-year cycles.

As an alternative to the 100 percent proficiency requirement, states must design a comprehensive and complex accountability system with realistic goals in reading and mathematics for all students and for each subgroup (United States Department of Education, 2012). The yearly targets may vary by subgroup, but the state must ensure that the accountability system is designed to close achievement gaps among the subgroups. Additional flexibility includes revisions of school improvement interventions, differentiated rewards, and use of federal funds. This flexibility package was offered in exchange for the approval of a state's comprehensive plan designed to close achievement gaps across subgroups with differentiated interventions, sanctions, and rewards; promote rigorous accountability, including teacher and principal evaluation systems linked to student achievement; and ensure that all students are on track to graduate college- and career-ready with standards and assessments. These are the general waivers. Each state must specify specific yearly targets and outline a state-wide comprehensive accountability system.

States receiving the waiver are required to designate their lowest-performing schools as Priority Schools (United States Department of Education, 2012). Priority Schools represent the schools in the bottom five percent of student performance on state accountability tests. These schools are required to implement rigorous interventions designed to turn the schools around. The interventions include a state-approved improvement plan, implementation of research-based strategies and programs, review and monitoring by external teams, and the implementation of a

comprehensive data collection and analysis system. Additional interventions may include replacement of teachers, replacement of the principal with a turn-around specialist, and change of administrative and school governance structures.

In addition, states that receive the waivers are required to establish guidelines for teacher and principal evaluations linked to student achievement (United States Department of Education, 2012). Teacher and principal evaluations will be based on multiple measures, including student progress over time and professional practice.

Proposed revisions of the No Child Left Behind Act, as outlined by President Obama and the United States Department of Education, are outlined in *A Blueprint for Reform: The Reauthorization of the Elementary and Secondary Education Act* (United States Department of Education, 2010). In this document, President Obama calls for world-class education reform initiatives as a moral imperative and states that his administration's blueprint is "not only a plan to renovate a flawed law, but also an outline for a re-envisioned federal role in education" (p. 2). The re-envisioned federal role outlined in the blueprint focuses on five key priorities: college and career-readiness, ensuring effective teachers and leaders in every school, ensuring equity and opportunity for all students, raising the bar and rewarding excellence, and promoting excellence and continuous improvement. Within each of these priorities is an emphasis on increased standards; assessments; increased accountability of teachers, principals, and schools linked to student performance and growth on high-stakes tests; evaluations of teachers and principals linked to student achievement; and intervention models using alternative governance structures for schools.

The blueprint builds on and extends the reform efforts already in place and initiated by the American Recovery and Reinvestment Act of 2009 in four areas: (1) improving teacher and

principal effectiveness; (2) providing accountability information to the public for evaluation and improvement of schools; (3) implementing college- and career-ready standards and assessments aligned with those standards; and (4) providing intensive support and interventions to the lowest-performing schools.

The proposed reauthorization, A Blueprint for Reform (United States Department of Education, 2010), and the American Recovery and Reinvestment Act of 2009 represent a significant expansion of the federal role in controlling public education by, not only linking acceptance of federal funds to accountability requirements, but by increasing control over curriculum, assessments, evaluations, improvement initiatives, and school governance structures.

As state and federal control of education increases, the role of the principal becomes more critical and more precarious. The principal continues to be expected to be in charge of the day-to-day operations of the school, be responsible for ensuring a safe, drug and weapon-free learning environment for students, and be the instructional leader of the school. In addition to ensuring quality instruction and monitoring student progress, the principal is now held responsible and accountable for student achievement and school performance. The principal's job is put on the line with the implementation of the student performance-based evaluation system and school improvement initiatives involving the replacement of the principal.

Battle for control by the locality. In addition to the federal and state battle over controlling education and funding, the governing body of the locality may be expected to provide funding for the school district and schools in its jurisdiction to ensure a system of education for its populace (Franciosi, 2004; Good & Teller, 1973; Shelly, 2011; Urban & Wagoner, 2004). As federal and state funds decrease, the local governing body may have to fill the gap and fund the needs of the local educational agency. The level of local funding is determined by the economic

status and potential revenue of each locality, resulting in funding inequities across school districts. Localities with limited financial resources and revenue are faced with a battle for funding among the various service agencies within the locality. As demands for local funding of education increase, expectations, accountability, and the desire to control how local funds are used in the local school division and schools may also increase. Increased levels of funding may lead to increased regulations and control over line-item spending rather than categorical funding and decreased flexibility on how funds are allocated and used.

Battle for control by the private sector. The private sector has joined the battle for control of public education and includes special interest groups, organizations, and individuals (Franciosi, 2004; Jacobsen & Saultz, 2012; Shelly, 2011; Spring, 2011; Urban & Wagoner, 2004). This political force became formalized and active in the 1960's with the increase in special interest groups (Engel, 2000; Franciosi, 2004; Hiatt-Michael, 2008; Jacobsen & Saultz, 2012; Shelly, 2011; Spring, 2011). Over the past forty years, organizations and individuals have increased their involvement in educational reform to push their own agendas and to improve what they believed was wrong with the system of public education in the United States. The focus was to improve, not to abandon or to replace, public education with an alternate form of schooling (Engel, 2000; Franciosi, 2004; Shelly, 2011; Spring, 2011; Urban & Wagoner, 2004).

Privatization of public education. Within the past ten years, however, there has been a growing movement to support privatization of American public education (Franciosi, 2004; Hiatt-Michael, 2008; Jacobsen & Saultz, 2012; Spring, 2011; Urban & Wagoner, 2004). In December 2006, the New Commission on the Skills of the American Workforce released the report, *Tough Choices or Tough Times* (National Center on Education and Economy, 2006). The report blames the public schools for America's demise as a leading competitor in the global

marketplace and supports the complete privatization of public education. Within the private sector, the emphasis in the battle for control of public education has moved from an emphasis on improving, while maintaining the current system of public education, to privatization of education by providing additional options for parents and their children, with support from state and local funds (Franciosi, 2004; Shelly, 2011). Included in the privatization efforts is a focus on a new governance structure for the school, often replacing the principal with executive officers who may lack the experience and training in teaching and in educational leadership (Engel, 2000; Hiatt-Michael, 2008; Jacobsen & Saultz, 2012; Spring, 2011).

Special interest groups. In the 1960's, special interest groups began to develop and become active in voicing concerns over issues that were perceived as overlooked, ignored, or denied by local governing bodies (Engel, 2000; Hiatt-Michael, 2008; Urban & Wagoner, 2004). They believed that the rights of the special interest groups they represented could be best met and protected by increased state and federal control. As the numbers in the special interest groups increased, their influence through political advocacy channels strengthened. They began to exert more control in affecting educational dialogue, decisions, and funding. Teacher unions and professional organizations began to play an active role in negotiations and employment practices. Additional groups were instrumental in protecting the rights of students, in addition to personnel. Due to the work of political advocacy groups, legislation was passed to protect civil rights and equality; women's equity in participation and salary; student rights to due process and equity, including students with disabilities and other handicapping conditions; bilingual education; and economically disadvantaged. More recent advocacy groups have included advocates of autism awareness, home schooling, charter schools, virtual education providers, and parent trigger groups.

In January 2010, a group of parents gained national attention with the passage of the California's Parent Trigger Law. This legislation initiated by parents has sparked a movement by parents across the nation. The law gives parents the ability to intervene in their child's school if the school is performing poorly. Based on sufficient parent signatures, a variety of actions can be taken against the school, including converting it into a charter school, replacing some of the administration and faculty, closing the school altogether, or offering the students private school vouchers. Although each state may take a slightly different approach, there are similar provisions. These provisions include: a parent petition process initiating intervention, a list of intervention options available to the parents, a description of the role of the state education agency in determining what happens to the school, and an appeal process for the school district.

Threats of Accountability Sanctions

Federal and state accountability. The passage of the No Child Left Behind Act (2001) ushered in a new era of accountability for public schools in Virginia and across the United States. Emphasis has been placed on the use of student achievement data for evaluating the effectiveness of schools, educational programs, teachers, and school administrators. Principals and teachers in schools have been held accountable for the performance of students on state accountability tests, and sanctions have been severe. Although the United States Department of Education has approved short-term waivers for states, allowing the states to develop alternative targets rather than the 100% pass rate target for each subgroup by 2014, the accountability structure continues to be based on state assessments (United States Department of Education, 2012). Sanctions for the lowest-performing Title I schools continue to be severe. Proposed re-authorization includes high-stakes testing, increased accountability, and severe sanctions for schools that continue to be in the lowest-performing categories.

Under the initial legislation, (NCLB, 2002), each school and each school division were evaluated as effective or not effective based on whether the school or division made Adequate Yearly Progress (AYP). Targets were established for reading, math, and graduation or attendance that had to be met by each subgroup in order for the school or division to receive the designation of “Made Adequate Yearly Progress.” Each state determined the accountability tests to be used in reading and math, had subgroups defined by its demographics, and outlined its own intermediate targets designed to reach 100% pass rate for each subgroup by 2014 in reading and mathematics. Significant sanctions were imposed if the organization failed to make AYP in the same content area after the second consecutive year. Sanctions increased in severity and included implementation of a school improvement plan, public school choice for students, replacement of teachers in the target area, replacement of the principal, or reopening the school as a charter school under new governance and administration (NCLB, 2002).

On March 9, 2011, the United States Secretary of Education, Arne Duncan, reported to Congress that his department projected over eighty percent of America’s schools could fail to meet their goals under No Child Left Behind (Duncan, 2011). National statistics reported on the ED Data Express web site indicate that the percentage of public schools failing to make AYP has increased each year since 2004-05.

As a result of these statistics and the delay of re-authorization, the United States Department of Education offered each state the opportunity to request a waiver of the AYP requirement of No Child Left Behind. Each state that applied had to designate a six-year model for reducing the achievement gap among the subgroups, including three new subgroups designated as “gap groups” and to outline the methodology for the calculations of the new “Annual Measureable Objectives” that would be the targets for the Federal Accountability

Standards (United States Department of Education, 2012). The three additional subgroups are Proficiency Gap Group 1, consisting of students with disabilities, English language learners, and economically disadvantaged students; Proficiency Gap Group, consisting of African-American students who may or may not be in Gap Group 1; and Proficiency Gap Group 3, consisting of Hispanic students who may or may not be in Gap Group 1 (United States Department of Education, 2012). Schools and districts that did not meet all of the new Annual Measureable Objectives would receive a federal accountability rating of “Did not meet Federal Accountability Standards.” Sanctions vary according to Title I funding and performance ranking. All schools or districts that do not meet the federal standards are required to develop and implement a school improvement plan. Title I schools are prioritized according to the school’s performance on state accountability assessments. The lowest performing Title I schools continue to receive severe sanctions based on the number of years they demonstrate low performance and failure to meet the Annual Measureable Objectives. Sanctions continue to include re-structuring, new governance, and replacement of the principal by a turn-around specialist (NCLB, 2002).

The emphasis on accountability has continued in President Obama’s *Blueprint for Education: The Reauthorization of the Elementary and Secondary Education Act* (US Department of Education, 2010). The proposed reauthorization continues state accountability assessments; adds increased emphasis on teacher and principal evaluations linked with growth in student achievement, using student growth models; and revises the sanctions imposed by No Child Left Behind Act (2002).

Under the proposed regulations as outlined in the *Blueprint for Education: The Reauthorization of the Elementary and Secondary Education Act* (US Department of Education, 2010), principals will continue to be significantly at risk. The Blueprint calls for increased

accountability of principals based on individual student growth, robust data systems designed to measure and track student growth, rigorous principal evaluation systems, and targeting lowest-performing schools for intensive and focused intervention.

Local accountability. In addition to federal and state accountability measures, some principals are held accountable to some degree by their local superintendents. Results of surveys of principals and superintendents conducted by the Public Agenda of Citizens and sponsored by the Wallace Foundation indicate that principals' evaluations were linked to student performance (Farkas, Johnson, & Duffett, 2003). Sixty-three percent of the superintendents surveyed reported that they based a significant part of the principals' evaluation on student achievement, and 84% indicated that they used student test scores as part of the evaluation process. Ninety-nine percent of the superintendents surveyed agreed with the belief that behind every great school, there is a great principal. Almost half of the superintendents (47%) reported that they had replaced principals of low-performing schools with principals who had been successful previously in turning around low-performing schools and improving student performance.

Even though the survey (Farkas, Johnson, & Duffett, 2003) was conducted and reported in 2003, results indicate that the superintendents surveyed believe very strongly that principals affect school performance, including student achievement. Principals' evaluations and job security are linked directly to school performance, including student achievement, even without the accountability pressure of federal and state legislation.

Chapter Summary

Accountability, job performance evaluations, promotion, potential income, and job security for school administrators will continue to be linked to student achievement and school

performance. The implication is that the principal is a significant factor in the school's success and in affecting student achievement results.

Principals are faced with numerous challenges. These challenges include dealing with the effects of the battle for political control of education and funding, social discontent with achievement gaps, increased accountability, and potential loss of job due to increased accountability. They want to know what they can do to affect positive change. They want to know what works based on proven practices and research, what might work based on solid theory, and how to facilitate the transformation of their schools.

Quality school improvement, increased student achievement, and the resulting high level of school effectiveness depend upon the use of evidence-based leadership practices and a healthy and productive school culture. The struggle for the practitioner in the field is to assess the situation accurately; determine barriers to increased performance; identify specific actions that should be taken to affect school culture and school performance; and understand how to lead, guide, and inspire others through the change process. The struggle is time sensitive. Significant change needs to occur quickly. As practitioners with time constraints, principals and district leaders want quality research-based information and best practices quickly and easily, with user-friendly access.

This work is an attempt to provide a resource to practitioners with the information and best practices focused on leadership, culture, and school effectiveness. It is an effort to bridge the divide that may exist between the world of research and theory and the world of the practitioner. A work of this type provides research-based evidence a school or district leader may use as a basis for decisions aimed at improving school or district effectiveness. It is a tool for those

charged with the task of turning around low-performing schools and districts and for those who strive for excellence as they continue to aim higher.

Chapter 3: Building New Hope for Principals and School Leaders

This chapter is an explanation of the theory created by the researcher to guide the study, a summary of the practices and factors affecting school culture, and the leadership domains established by the researcher to categorize leadership practices and behaviors by function. The work itself is the development of school effectiveness represented in Figure 1.

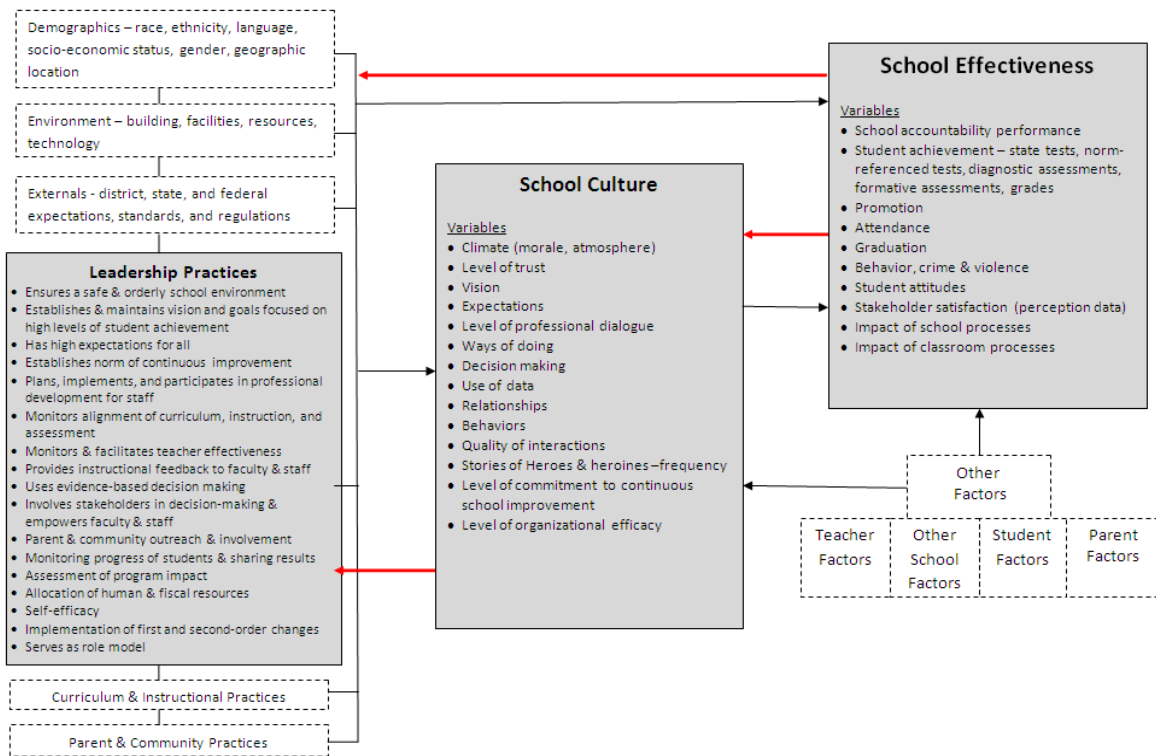


Figure 1. Adams-Parker Theory of School Effectiveness

A Theory of School Effectiveness

The theory of school effectiveness developed for this study is based on three premises: (1) leadership practices directly affect school culture, (2) school culture directly affects school effectiveness, and (3) leadership practices affect school effectiveness indirectly through school culture (see Figure 1). These three premises were translated into one guiding question for this study: What specific leadership practices reinforce and promote a school culture that produces an

effective school? The study focuses on the research-based and theoretical links among leadership, culture, and school effectiveness.

The leadership practices identified in the theory were gleaned from the literature on school leadership. The study focuses on analysis of leadership practices rather than specific models of leadership due to duplication of practices across models and the researcher's desire to identify specific interventions a principal could use for school improvement. In their meta-analytic review of unpublished research, Leithwood and Sun (2012) found that effective leadership models included many of the same practices and concluded that researchers and practitioners needed to give more attention to the impact of specific leadership practices [on school improvement] and less to leadership models (Leithwood & Sun, 2012).

The role of the principal is a complex, multi-dimensional, contextual, and interactive role. As the principal interacts, shapes, and influences the various factors related to school culture, including school organization, processes, and people, he or she influences school culture and student outcomes. As the school culture changes and affects school and student outcomes, there is a reciprocal effect, as shown with the feedback loops in Figure 1, on the principal and his or her leadership practices.

Other factors that affect school culture and school effectiveness are indicated on the diagram of the theory but are not addressed in this study. These factors include, but are not limited to, characteristics of the student and school; external factors; curriculum and instructional practices; parent and community practices; and other teacher, school, student, and parent factors.

Basic elements of the theory are grouped into three major concepts: school effectiveness, school culture, and leadership practices. Each of the three major concepts is divided into sub-categories. The constitutive and operational definitions of the major concepts and each sub-

concept are in Appendix A. Classifications of the major concepts and the sub-concepts are based on how the concepts were measured and coded in the original research studies.

School effectiveness is defined as meeting required state and federal accountability measures, student achievement in reading and math, and stakeholder perceptions. For this work, the term “school culture” is the broad, comprehensive concept that includes school climate. School culture is defined as the set of norms, guiding principles, beliefs, expectations, and the general ways of doing and being within the school. The concept of “school climate” is a subset of culture. School climate is defined as the combination of environmental factors, morale, and general health of the organization. Culture is non-static and synergistic.

School culture is placed in the center of the diagram to reflect the mediating effect and reciprocal relationships among leadership, culture, and school effectiveness. It is at the heart of the theory because school culture could be considered the heart of the school. School culture affects and is affected by a variety of factors, including: leadership, curriculum and instructional practices, characteristics of the school, school environment, external forces, parents and community, and other factors (see Figure 2.) The relationships are reciprocal. The various factors help to develop, mold, and shape the culture of the school, and the school culture affects the different factors.

School culture is a significant concept in the development of this theory and is critical to this work. It is through the school culture that the principal does his or her work. The focus of the study is to identify key leadership practices that have a positive effect on school culture and on school effectiveness. These practices may have a direct effect on school effectiveness or may have an indirect effect, as mediated through school culture.

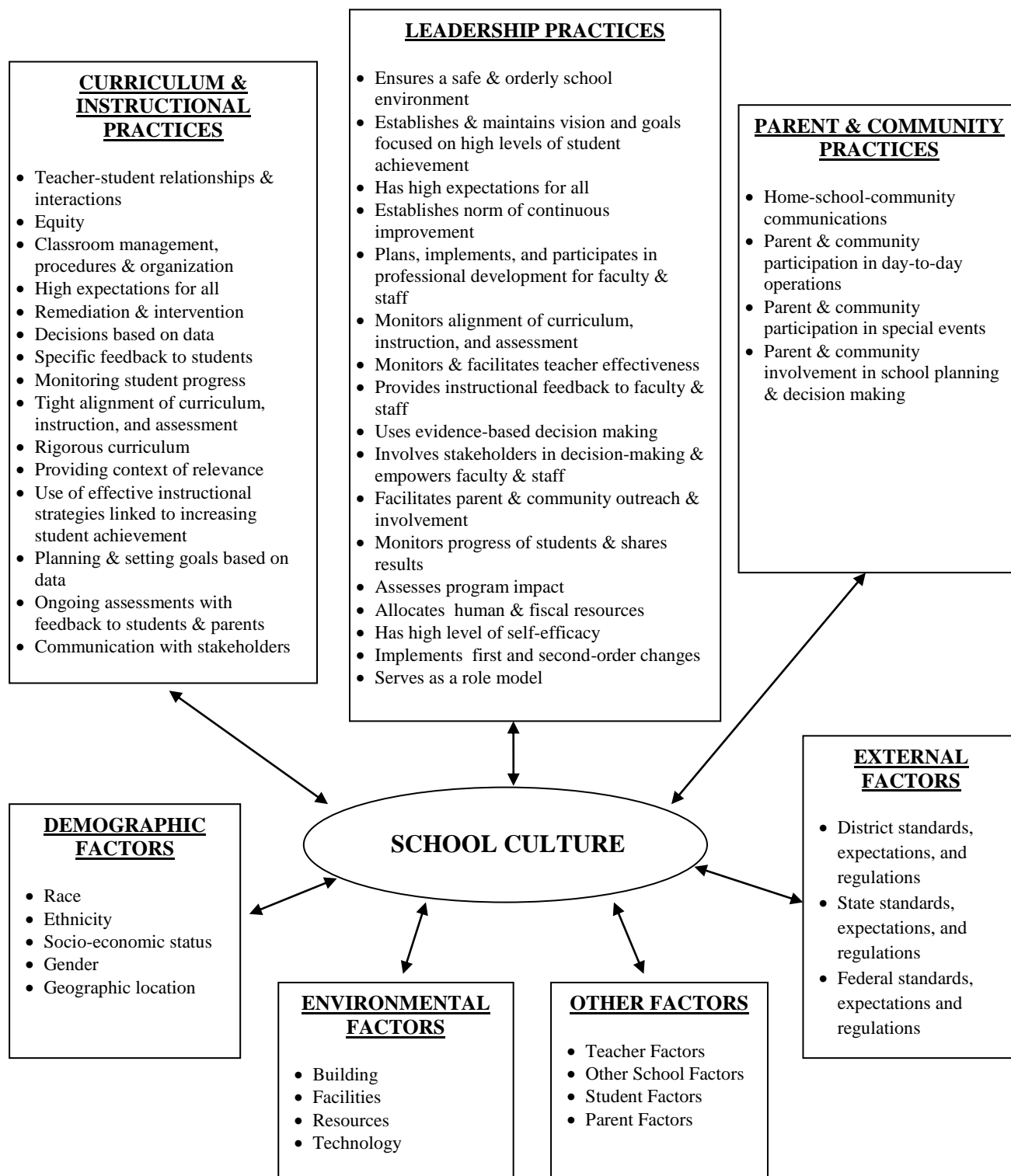


Figure 2. A summary of practices and factors affecting school culture derived from the review of literature.

Leadership Practices and Domains

Leadership practices were found in the literature on school leadership. The literature reviewed included theoretical literature, research studies, and practitioner literature. Analyses of research studies on leadership, school culture, and school effectiveness yielded common leadership practices that affect school culture and school effectiveness. The identified practices associated with productive cultures and effective schools are grouped into similar categories, called domains, based on similarity of the functions. Each domain is given the name of a leadership focus that reflects the practices within that domain. The six domains are: Administrative Leadership, Instructional Leadership, Strategic Leadership, Inclusive Leadership, Transformational Leadership, and Inspirational Leadership. The range of domains is consistent with the range of domains identified in the literature on school leadership. Specific leadership practices are listed by domain in Figure 3.

The domains and practices were compiled from a review of the literature on school leadership practices associated with student achievement and school improvement (Cotton, 1995; Cotton, 2003; Hallinger & Heck, 1992; Hallinger & Heck, 1996; Marzano, 2003; Marzano, Waters, & McNulty, 2005); from a review of the work of the National Commission for the Principals and the National Policy Board for Educational Administration to develop national certification for school principals (Thompson, 1993); the work of the Interstate School Leaders Licensure Consortium and Council of Chief State School Officers (CCSSO) to develop standards for school leader preparation, licensure, and practice (CCSSO, 2008); and my observation of practice.

Domain 1: Administrative Leadership

- Ensures a safe & orderly school environment
- Allocates human & fiscal resources
- Selection and assignment of personnel
- Evaluates personnel

Domain 2: Instructional Leadership

- Plans, implements, and participates in professional development for staff
- Monitors alignment of curriculum, instruction, and assessment
- Monitors & facilitates teacher effectiveness
- Provides instructional feedback to faculty and staff
- Monitors progress of students

Domain 3: Strategic Leadership

- Establishes norm of continuous improvement
- Establishes & maintains vision and goals focused on high levels of student achievement
- Has high expectations for all
- Uses evidence-based decision making
- Communicates results to stakeholders
- Assesses program impact

Domain 4: Inclusive Leadership

- Involves stakeholders in decision-making
- Empowers faculty and staff
- Facilitates parent and community outreach
- Enlists parent and community involvement

Domain 5: Transformational Leadership

- Understands group dynamics and trust formation
- Understands change process and impact on others
- Implements first and second-order changes

Domain 6: Inspirational Leadership

- Recognizes and utilizes unique gifts of others
- Builds trust and rapport
- Serves as role model
- Demonstrates self-efficacy
- Facilitates growth of collective efficacy
- Believes in and sees possibilities
- Guides others in possibility thinking

Figure 3. Domains of leadership practices.

Leadership practices and school culture. The principal may be the most influential person in a school. This study and the theory being developed assert that leadership has a significant, direct effect on school culture through particular behaviors or leadership practices and an impact on school effectiveness, as mediated through school culture. The leadership practices that affect school culture are part of the reciprocal process of interacting with and relating to others. A substantial body of evidence indicates that the school principal directly affects and influences school culture. Specific practices identified in research studies are analyzed to determine the relationships between specific leadership practices and their effect on school culture.

School Culture and School Effectiveness

Research in organizational studies in business and industry opened the door to studying the relationship between the culture of the organization and performance (Deal & Kennedy, 1982; Denison, 1990; Denison & Mishra, 1995; Hartnell, Ou, & Kinicki, 2011; Marcoulides & Heck, 1993; Peters & Waterman, 1982; Reynolds, 1986; Rousseau, 1990;). With increased accountability in education, educational research has included a renewed interest in organizational culture as applied to the school setting. A review of the literature suggests that there is a direct and positive relationship between a productive school culture and school outcomes. Researchers examining the effects of school reform efforts found that real and sustained change was achieved more successfully by first changing the culture of the school rather than by changing the structures. Successful turn-around efforts include a focus on understanding and changing school culture. Restructuring efforts that do not include attention to changing the school's culture are not sustained and will not be as successful in maintaining improvement efforts. The challenge for educational leaders is to identify the elements of school culture that have

the greatest impact on school effectiveness and how to transform a school with a toxic culture into a school with a productive culture.

Leadership Practices and School Effectiveness

There is a substantial body of evidence supporting the importance of leadership in creating and maintaining good schools. As the definition of what constitutes a good school has changed from a focus on environment, organization, and stakeholder satisfaction to an emphasis on student performance outcomes, the role of principal has evolved from basic manager and administrator to instructional leader and change agent. Most recently, the principal is viewed as a culture builder in addition to instructional leader and change agent, stressing the importance of leadership on culture and its resulting impact on school effectiveness. In studies of low-performing schools and high-performing schools with a strong sense of community, the principal was attributed as having made a difference. Researchers attempt to identify the degree to which principals affect school outcomes and to determine whether or not the effects are direct or indirect. This work includes studies focused on indirect effects as well as studies attempting to identify direct effects. Specific leadership practices affecting school outcomes are gleaned from both types of studies.

This work is the development and verification, as much as that is possible with extant literature, of a theory of school effectiveness. The theory is based on the premise that principals directly affect school culture, and school culture directly affects school effectiveness. Therefore, principals affect school effectiveness. Emphasis is given to examining specific interventions by principals and their staffs to improve school culture, and thereby, school effectiveness. The relationships between leadership practice and school culture and leadership practice and school effectiveness are examined in the

dissertation to determine those leadership practices that affect school outcomes, including student achievement.

SECTION II: UNDERSTANDING THE CONCEPT OF CULTURE

Chapter 4: Origin of the Concept of Culture

Chapter 4 is a brief overview of the origin of the concept of culture, beginning with the field of anthropology, and including the fields of sociology, psychology, organizational psychology, and business/organizational management. The concept of culture may be viewed from the perspective of each field. However, within each field, there are multiple definitions of the concepts of culture and climate. This lack of clarity and inconsistent terminology has led to numerous cultural models and a variety of cultural assessments which can be confusing for the practitioner. Since the concept of culture in education has its roots in each of the fields, it may be helpful to view culture through the lens of the various fields.

The Concept of Culture in Anthropology

The study of anthropology attempts to investigate the relationship between a person as an individual and the society or context in which he lives and to determine why there are differences across various societies. The anthropologist examines the nature of society, the person as an individual as compared to a member of a particular social group, and distinguishing characteristics of people across societies. According to anthropologists Alfred Kroeber and Clyde Kluckhohn who focused on the nature of culture, the concept of culture as a set of characteristics of human societies transmitted from one person to another in ways other than biological heredity did not exist prior to 1750 (Kroeber & Kluckhohn, 1952). The modern concept of culture used in the field of anthropology emerged in the nineteenth century with the work of Edward B. Tylor. Tylor, considered the founding father of British anthropology and the first professor of anthropology at Oxford University, defined culture as consisting of knowledge, beliefs, art, morals,

customs, and other mental constructs that a person acquired as a member of a particular society. This is the basis of the study of culture in schools.

In 1946, Kluckhohn and Leighton defined culture as consisting of habitual and traditional ways of thinking and feeling and reacting to those in ways characteristic of a particular society at a particular point in time (Kluckhohn & Leighton, 1946). By 1952, Kroeber and Kluckhohn reported that more than 160 different definitions of culture could be identified (Kroeber & Kluckhohn, 1952). This struggle to define the concept of culture, not only in education but also in other fields, is the reason that the study of culture in schools is difficult and complex. In their efforts to understand other human cultures, anthropologists such as Radcliffe-Brown, Malinowski, and Mead began to focus on the structures of society, functions of culture and the impact on the individual (Moore, 2012). Radcliffe-Brown (1952) and Malinowski (1961) focused on the society as a whole and how the elements of the society were used to maintain the social structure. Benedict (1934) and Mead (1949) focused on the group or society as a multi-dimensional personality. These schools of thought are reflected in the study of culture in education.

The study of the structure of the educational system at large, with its structures, functions, forms, history, purposes, values, and other elements, mirror the study of a society. Elements of the educational system and of each school are used to maintain and protect the organization. Schools are a microcosm of society, each with its own set of structures, elements, and functions of school culture that interact with the individuals within that context. Both the educational system at large and each school are multi-dimensional and complex, operating at times as entities with lives of their own.

The Concept of Culture in Sociology

The goal of sociology is to understand human social activity, structures of society, the function of those structures in society, and the effects of social order on human beings. Sociology is the study of human society, its origins, development, and resulting organizations and institutions. Therefore, the study of culture for the sociologist is focused on understanding and investigating culture within the context of modern society rather than on the history of culture, how culture evolved, or extinct cultures.

Sociologists have attempted to define the concept of culture as a function of the framework of the society in which the individual lives. According to Levine (1971), Georg Simmel was a pioneer in interpretive inquiry in social science in the early 1900's who focused on culture as form, context, and the individual within that context. Simmel defined culture as the effects of external phenomena on individuals within a particular society and their interactions with those phenomena (Levine, 1971.) Sociologists Parsons and Shils defined culture as the set of values, norms, and symbols that guide individual behavior (Parsons & Shils, 1951). Lachman (1983) defined culture as a set of core values that are formed during childhood and are reinforced in life. He believed that it is these core values that lead one to resist change. These definitions of culture from the field of sociology are reflected in the study of school culture as educators focus on culture as form, context, and interactions with the individual; values, norms, and symbols that guide behaviors; and core values reinforced within the school society.

The Concept of Culture in Social Psychology

Social psychology is an interdisciplinary field which blends the disciplines of sociology and psychology. The sociologist focuses on the society in which the individual interacts with others and the impact of those interactions on that society. In contrast, the

psychologist focuses on the individual and attempts to understand how and why the individual behaves in particular ways, including the impact of the environment and the situation on the individual. The blended field of social psychology is the scientific study of how people influence, and are influenced by, others and their environment. Topics of study include self-concept, interpersonal relations, group dynamics, and leadership.

The view and study of the concept of culture in sociology and psychology merged to create an interactive perspective of culture. Sociologists recognized that the study of culture was more than sets of guiding principles, beliefs, and behaviors that defined groups and subgroups. They realized that culture was comprised of social representations, mental models, environmental conditions, and cues. They also recognized that the culture could be viewed as fluid and contextual, affected by interactions of the individuals and groups within that society (Ridgeway, 2006). Psychologists recognized that culture is not a predetermined set of traits and static norms but patterns of beliefs, mental models, behaviors, and artifacts that are spread through social interactions. These patterns are both observable and subconscious (Atran, Medin, & Ross 2005; Kashima 2000; Kroeber & Kluckhohn, 1952). Blending the two disciplines of sociology and psychology led to a fluid and interactive concept of culture. The concept of culture in social psychology is the combination of dynamic interactions between and among individuals, cultural representations, and social networks of interactions (Dimaggio & Markus, 2010) and includes explicit and implicit behaviors, norms, and artifacts transferred by members of the group (Atran, Medin, & Ross, 2005; Dimaggio & Markus, 2010; Kashima, 2000; Kroeber & Kluckhohn, 1952). These patterns may be conscious, observable patterns; or

they may be unconscious patterns that are more difficult to discern by observers and by members of the group.

Lines of inquiry. Two major lines of inquiry in social psychology have influenced the study of culture in education: the study of contradictions between espoused values and behaviors and the study of organization climate, the environmental health of an organization.

Study of contradictions. The first line of inquiry focuses on the study of contradictions, especially between expressed intentions and observed behaviors (Festinger, 1957; Kelley, 1977); decision-making (Kahneman & Tversky, 1979; Martin & Powers, 1983); and goal-setting (Weick, 1979). The study of contradictions in school culture is evident as practitioners talk about the difference in the “feel” or atmosphere of one school as compared to another school within the same school division. Both schools may have the same mission statement and guiding principles. However, there is a difference between what is stated and what is felt or perceived. There may be a sense of openness and warmth in one school and unfriendliness and coldness in another school. Practitioners may ask themselves, “What makes this school feel the way it does? Why does School A feel open and friendly and School B does not? Can we change the feel of the school? Is this culture, climate, or both?” Contradictions between expressed beliefs or intentions and observed behaviors are also evident when one examines school artifacts such as the mission statement, guiding principles, and beliefs that state that “Everyone succeeds everyday” but the observer notes that there are students who are not successful, who are not engaged in meaningful learning activities, and who are not working up to their potential. There is a disconnect between what is stated in the written materials or

what is spoken by the faculty and administration and what is actually taking place in the school. This disconnect may be intentional or subconscious.

The methods and basis of decision making within a school may promote a positive or negative environment for its members. Participatory and shared decision making within a school may help to create a fluid and interactive environment among the stakeholders through dialogue and shared responsibilities and accountability. This fluid and interactive environment may promote a positive environment of trust and rapport among members, increased commitment, shared values and beliefs, and a professional learning environment. However, delegated decision making without vision or leadership or a lack of decision making may lead to a non-productive learning environment with increased stress levels for faculty, staff, students, and parents. Decisions based on political alliances, manipulation of feelings, or latest trends rather than on evidence generated from multiple sources of data may decrease student and school performance.

Goal setting or strategic planning has become a critical element of school improvement. However, effective strategic planning leading to improved student and school performance are based on goals and objectives that are specific, measureable, attainable, time-oriented, and based on needs identified by data, rather than created afterwards to support strategies or activities a school has implemented.

Study of organizational climate. The second line of inquiry in social psychology that has influenced the study of culture in education is the study of organizational climate (Ouchi & Wilkins, 1985). However, studies of climate within social psychology during the 1960's are similar to later studies of organizational culture leading to the confusion over the differences between the terms culture and climate. Common research

methodology of the social psychologists in studying climate was the use of the survey instrument rather than the use of ethnography (Ouchi & Wilkins, 1985). The use of self-reporting and perception surveys is widely used in educational research and is viewed with skepticism by some scholars.

Social psychologists expanded the concept of society to include organizations as sub-societies and viewed culture as fluid and dynamic interactions among group members; their environment; and patterns of behaviors, norms, and artifacts. Scholars investigated the conflicting nature of organizational life. Studies revealed that people are responsive to a situation, to other people within that situation, and that the influence may be explicit or subconscious (Fiske, Gilbert, & Lindzey, 2010). If people are responsive to a situation and to others within that environment, then a leader should be able to change the environment, behaviors, and patterns to create a more positive and productive organization. This premise is the foundation for the development of management and organizational studies.

The Concept of Culture in Management and Organizational Studies

The study of culture from a management and organizational perspective is a relatively new domain that has evolved over the past three decades (Dauber, Fink & Yolles, 2012; Ouchi & Wilkins, 1985; Schein, 1990; Smircich, 1983) and has had a significant impact on education. The study of organizational culture incorporates perspectives from interdisciplinary branches of various fields, including cultural anthropology, organizational sociology, behavioral psychology, social psychology, organizational psychology, and organizational theory (Sackmann, 1992; Schein, 1990; Smircich, 1983; Ouchi & Wilkins, 1985). The growth of management and organizational

studies coincided with the growing national interest in understanding how and why American companies were outperformed by companies in other nations and the different performance levels of similar organizations within the United States. There was a similar movement in education to understand how and why American schools were outperformed by schools in other nations and to explain the variance in performance among schools within the United States. Investigators focused on various factors, including organizational culture.

Organizational culture is commonly defined as a set of beliefs, values, and assumptions shared by members of an organization (Schein, 1985). This definition may apply to the culture within any type of organization, business, industry, school, or agency. However, as in other fields, a consistent definition of organizational culture that is agreed upon and used by all researchers is difficult to identify. Researchers in management and organizational studies use various terms to refer to culture, such as corporate culture, company culture, organizational culture, industrial culture, organizational climate, and climate (Schein, 1990). Definitions vary according to the use of the cultural aspect or element being measured, and different writers may use the same concepts in different ways, adding to the confusion. Cultural elements may include beliefs and principles, basic assumptions, shared core values, or the collective essence of the organization (Sackmann, 1992). In addition, there is a tendency to over-label various elements within the organization as “culture” in an attempt to classify behaviors, norms, and values of the organization (Deal & Kennedy, 1982; Peters & Waterman, 1982; Schein, 1990).

The field of organizational psychology was incorporated into business and management schools. The analysis of organizations included a systems-theory approach

to studying the norms and attitudes of organizations (Schein, 1990). Researchers applied the concept of culture to organizations in an effort to explain the differences in organizational behaviors and levels of group stability (Ouchi, 1981; Schein, 1990). This emphasis on systems theory is evident in education in the area of national validation and accreditation programs, such as Southern Association of Colleges and Schools, AdvancED, and Baldrige Performance Excellence Program. These accrediting and validation agencies require internal and external evaluations of the organization based on a systems-approach model to ensure that all components, procedures, and initiatives are systemic and systematic throughout the organization.

Researchers in organizational culture, as in education, use a variety of methodologies. These include historical, ethnographic, survey, and descriptive approaches and the use of clinical assessments used by consultants for problem identification and intervention effects (Schein, 1990). As the focus on the study of organizational culture moved from a historical and descriptive perspective to an emphasis on intervention effects and causality, different theories, models, and frameworks were needed to explain the phenomena of organizational culture, cultural changes over time, and key elements of high-performing organizations. Clinical assessments were designed to identify problems, potential interventions, and effects of those interventions within an organization and to compare key elements of high-performing organizations. The clinical-assessments approach carried over into education as educational researchers attempted to identify common elements of high-performing schools; identify key elements of low socio-economic, high-performing schools; and measure the effects of interventions used to increase school performance.

Current researchers in organizational and management theory indicate that previous models and theories do not capture the dynamics, complexity, and multi-dimensional characteristics of current organizational culture (Meyer, Tsui, & Hinings, 1993; Ployhart & Vandenberg, 2010; Smith & Lewis, 2011; Tsui, Nifadkar, & Ou, 2007). Rather than explaining organizational culture as a set of static, linear relationships, researchers have begun to investigate and explain culture and cultural changes within an organization by looking at the process of feedback loops and reciprocal relationships (Dauber, Fink & Yolles, 2012). Emphasis is given to relationships among structure, strategies, processes, and interactions between and among these elements and the impact of reciprocity (Dauber, Fink & Yolles, 2012; Whetten, 1989).

An example of a model of organizational culture using feedback loops and reciprocal relationships to explain culture and cultural change in a multidimensional and complex organization is the Configuration Model of Organizational Culture developed by Dauber, Fink & Yolles (2012). Their configuration model links internal processes, strategies, structures, and operations to each other in a systematic manner, within a particular context that includes internal and external environmental factors (Dauber, Fink & Yolles, 2012). This model is based on the work and theories of Schein (1985) and Hatch and Cunliffe (2006).

Schein's (1985) organizational culture model consists of three domains: (1) basic underlying assumptions, (2) expressed values, and (3) artifacts. Schein includes both observable and unobservable, or conscious and unconscious, elements of the culture. Each domain influences and is influenced by the other domains, indicating reciprocal relationships and feedback loops.

Hatch and Cunliffe (2006) outlined four domains of a model for organizational culture: (1) organizational culture and identity; (2) organizational strategy; (3) organizational design, structure, and processes; and (4) organizational behavior and performance. They referred to an additional process of external influence, linking the organization to external factors and strategic responses to those factors (Hatch & Cunliffe, 2006).

Dauber, Fink & Yolles (2012) incorporated the concepts of Schein's domains and the processes that link domains, as outlined by Hatch & Cunliffe, to emphasize the interconnectivity of cultural elements, their reciprocal relationships, and the multi-dimensional complexity of organizational culture. The configuration model includes environmental relationships as they affect organizational culture within specific contexts and the strategic response of the organization to external forces (Dauber, Fink & Yolles, 2012). Within the model, the processes are linked to the domains of organizational culture, strategy, structure, and operations and are interrelated in such a way that changes in the domains can be traced and analyzed (Dauber, Fink & Yolles, 2012).

Organizational behavior and performance are viewed by Dauber, Fink, and Yolles (2012) as observable reflections of strategies operating within the context of the organization's structures. Therefore, patterns of behaviors are viewed as the result of the interaction between strategies and structures. Building on the research of Chandler (1962) who claimed that "structure follows strategy" (p. 314) and the opposing view that structures shape future strategies (Child, 1972; Fredrickson, 1986; Galbraith & Nathanson, 1978). Dauber et al. (2012) included a reciprocal relationship between

structure and strategy. This element of their model was based on the research of Amburgey & Dacin (1994) and Harris & Ruefli (2000).

Structures, strategies, and patterns of behaviors may be manipulated strategically to affect organizational learning (Dodgson, 1993) and improve performance. Dauber et al. (2012) outlined two learning processes from the work of Argyris on learning organizations. The two processes included single-loop learning and double-loop learning. Single-loop learning refers to the processes of identifying observable errors or problems and adjusting current strategies, structures or behaviors to correct the problems. Double-loop learning refers to the complex process of learning by challenging and changing the underlying assumptions (Argyris, 1977). Researchers in organizational culture and organizational theory recognize that it is more difficult to challenge and change the underlying assumptions of an organization than changing basic structures, strategies, and operations within an organization. However, improved, consistent, and lasting performance may require an organization to implement double-loop learning. This is reflected in the work of Marzano, Waters, and McNulty (2005).

One of the earliest studies that looked at the relationship between organizational culture and performance was conducted by the Western Electric Company in which researchers found that workers could develop their own culture and that the culture could affect an organization's performance (Roethlisberger & Dickson, 1939). In the 1970's, competition between American businesses and overseas operations focused on Japanese firms that were outperforming American firms. Researchers began stressing the importance of culture, using the terms corporate culture and organizational culture. Research during the 1970's focused on comparison of Japanese firms to same-product

firms in the United States and on comparison of high-performing and low-performing firms within the United States. Results across the various studies indicated that: (1) all organizations have culture of some type, (2) corporate or organizational culture can have a powerful effect on performance, (3) the impact of corporate culture may be greater than other factors, and (4) the most effective American and Japanese executives spent time intentionally developing, nurturing, and maintaining a strong corporate culture.

In the early 1980's, four books were published that put the concept of organizational culture and performance in the midst of business and educational discussions. *Theory Z* (Ouchi, 1981), *The Art of Japanese Management* (Pascale & Athos, 1982), *Corporate Cultures* (Deal & Kennedy, 1982), and *In Search of Excellence* (Peters & Waterman, 1982) became best sellers. Studies in business and education began to focus on the relationship between culture and organizational performance.

Kotter and Heskett (1992) conducted four studies between August 1987 and January 1991 to investigate the relationship between corporate culture and economic performance, the nature of and reasons for the relationship, and how the relationship could be manipulated to enhance organizational performance. Their studies indicated that: (1) corporate culture can impact performance; (2) corporate culture will become more important in the future in terms of the need for adaptability; (3) corporate cultures that have a negative impact on performance are common, especially in organizations that have performed well in the past, and these are difficult to change; and (4) corporate cultures can be changed to increase organizational performance, given time and appropriate leadership (Kotter & Heskett, 1992). The leadership skills that are needed to change the culture for increased performance include the knowledge of complex change,

the change process, and how to lead others through the change process; and the vision and knowledge of the types and elements of culture that improve organizational performance.

During the past two decades, organizational or corporate culture and leadership have been linked to organizational effectiveness. Comparative studies on the relationship between culture and performance indicate that certain cultural orientations are linked to increased performance (Calori & Sarnin, 1991; Denison, 1990; Denison & Mishra, 1995; Gordon & DiTomaso, 1992; Kotter & Heskett, 1992; Smart & St. John, 1996). Empirical research has indicated that there is a relationship between transformational leadership traits and some organizational measures of effectiveness (Howell & Avolio, 1993; Lowe et al., 1996; Waldman et al., 2001).

Organizational culture can be defined as the set of underlying assumptions, expressed values, and artifacts shared and shaped by members of an organization and manifested in their attitudes, behaviors, and reciprocal relationships (Schein, 1996). As an organization evolves, a consistent pattern of behavior emerges. This pattern of behavior is based on the shared assumptions of the members of the organization. These patterns evolve over time and are handed down to new members of the group, becoming cultural norms (Schein, 1992).

The concept of organizational culture and its effect on organizational performance have spread from the business world and from the disciplines of anthropology, sociology, social-psychology, and organizational studies into the educational field. The publications of Ouchi's (1981) Theory Z and Peters and Waterman's (1982) analysis of America's success stories in business and industry became models of effective organizations,

including schools. The emphasis on culture, organizational performance, and the role of leadership in affecting culture and performance became an important part of an organization's improvement process.

Summary

The study of culture originated in the field of anthropology in which the concept of culture was central to ethnology, archaeology, and physical anthropology (Kroeber & Kluckhohn, 1952). The study of culture expanded into the fields of sociology and psychology, and evolved into the blended field of organizational studies. The focus of organizational studies is to understand, explain, and identify key elements of organizational effectiveness.

Organizational studies and the focus on the relationships among culture, organizational outcomes, and leadership moved into the world of business with such works as *In Search of Excellence* (Peters & Waterman, 1982), *Corporate Cultures* (Deal & Kennedy, 1982), *Leadership and Organizational Culture* (Sergiovanni & Corbally, 1984), and *Organizational Culture and Leadership* (Schein, 1985).

As businesses focused on organizational and systemic improvement, educators were taking note of characteristics of high-performing schools as highlighted in the Effective Schools Movement led by Larry Lazotte (1997, 1991) and Ron Edmonds (1979a, 1979b). With increased pressure to meet accountability standards and increase student achievement, the emphasis on culture, organizational effectiveness, and the role of leadership in affecting culture and performance became part of the school improvement process.

Chapter 5: The Concepts of Culture and Climate in Education

“The real role of leadership in education... is not, and should not be, command and control. The real role of leadership is climate control, creating a climate of possibility.”

Ken Robinson, 2013

http://www.ted.com/talks/ken_robinson_how_to_escape_education_s_death_valley.html?quote=2167013

The study of culture in education has grown out of the fields of anthropology, sociology, social-psychology, and organizational studies. As in other fields, the concept of culture in education has varying definitions. Various terms have been used to describe culture, including culture, climate, ethos, organizational environment, and organizational health.

Understanding the Concepts of Culture and Climate

The concepts of culture and climate and the relationship between the two terms may be difficult for the educational practitioner to understand at times. Part of the confusion is due to the terms being used synonymously by some writers and used to define different concepts by other writers. In addition, the terms “culture” and “climate” are used in various fields such as anthropology, sociology, psychology, organizational studies and business management, in addition to education. In each of these fields, the two terms are understood from the perspective of the practitioners, theorists, and researchers in that field of study. Since the field of education incorporates findings from various fields of study, conceptual clarity between the abstract terms “climate” and “culture” is dependent upon what is measured and how it is measured by each researcher. The abstract concepts of culture and climate are understood better if one studies them within the context of each of the professional fields.

One of the earliest works addressing school culture was Waller's *The Sociology of Teaching* in which he noted that schools have a culture that is uniquely their own (Waller, 1932). He defined school culture as a set of complex rituals within interpersonal relationships, folk history, mores, and sanctions forming a moral code for a school. The moral code may be directly stated or unconscious. From the 1930's through the 1950's, school culture was viewed from anthropological and sociological perspectives and was defined using Waller's definition. School culture was seen as the set of rituals, folk stories, myths, legends, artifacts, and written and unwritten moral code of behavior and expectations for a school.

Later studies of school culture evolved out of Waller's work into three basic branches (Hargreaves, 1995). The first branch focused on school climate from an organizational perspective (Halpin, 1963,1966) defining school climate as consisting of environmental factors, structures, safety, and health of the organization. The second branch focused on the study of culture as applied to curriculum. Within this branch, school culture was defined as the study of diversity, multi-cultural awareness, and cross-cultural comparisons. The third branch focused on ethnographic studies of schools that examined cultural aspects of students, teachers, and the school. It is out of this third branch that a majority of studies on school culture have grown. These studies have focused on students, teachers, school, and school effectiveness. School culture was perceived as the set of beliefs, norms, values, and behaviors that characterized the school, as well as those aspects that gave the school its unique identity and atmosphere.

Coleman's study on equality of educational opportunity within the United States (Coleman, Campbell, Hobson, McPartland, Mood, Weinfeld, & York, 1966) was one of

the first major educational studies that focused on cultural aspects and the effect on student achievement. Culture was defined based on student demographics and socio-economic levels. Researchers focused on identifying factors that contributed to differences in achievement between students from various ethnic groups. One of the main findings was that differences between schools were found to be smaller than within-school, concluding that schools contribute little toward improving student achievement. Student achievement was largely determined by socio-economic level of the family. The Coleman findings were supported by a second study led by Jencks on inequality (Jencks, Smith, Acland, Bane, Cohen, Gintis, Heyns, & Michelson, 1972).

Critics of both studies point out that Coleman et al. (1966) and Jencks et al. (1972) focused on the effect of student cultural characteristics and material school characteristics, rather than teacher behaviors, leadership behaviors, or organizational processes (Averch, Carroll, Donaldson, Kiesling, & Pincus, 1974; Brookover, Beady, Flood, Schweitzer, & Wisenbaker, 1979; Rutter, Maughan, Mortimore, Ouston, & Smith, 1979). Although Coleman et al. (1966) focused more on the culture of the students rather than on school culture, their study may be considered as the beginning of the school effectiveness research movement linked to school culture and its effect on student achievement.

The term organizational health of a school was first proposed by Miles in 1969 to examine the culture of a school and to explain the continuity of organizational life (Miles, 1969; Tsui & Cheng, 1999). According to Miles, a healthy organization was a structure using its abilities to cope with difficulties and survive in its environment (Miles, 1969). Cheng (1987) viewed the school as a social system where its members played a role with

appropriate interactions. The term organizational health was used by others to indicate the organization's ability to successfully adapt to its environment, create unity among its members, and reach its objectives (Parson, Bales, & Sils, 1953; Hoy & Tarter, 1991; Hoy & Miskel, 1991). A healthy school was one which demonstrated strong performance in each of the seven dimensions (Tsui & Cheng, 1999). The concept of organizational health of a school is based on environmental factors rather than underlying beliefs and norms and is more aligned with the concept of climate than culture (Hoy, 1991). Hoy (1991) conceptualized organizational health in seven dimensions: institutional integrity, principal attitude, supportive and friendly principal, principal influence, resource support, morale, and academic concern.

During the seventies, the concept of school culture gained renewed attention as researchers attempted to identify elements of effective schools, barriers to educational change, and possible frameworks to understand change processes in schools to become more effective (Goodlad, 1975; Sarason, 1971). These school effectiveness studies began to focus on school culture as characteristics related to the organization and content of schooling (Brookover et al., 1979; Edmonds, 1979; Rutter et al., 1979). Emphasis was given to interactions among students, staff, and administrators; how the curriculum and instructional program were organized; and the quality of the curriculum and instructional practices.

Brookover and his colleagues (1979) focused on the relationships among a school's social interaction patterns, social climate, and teaching outcomes. Social interaction patterns were used to define and describe how members related to and interacted with each other and the extent of those interactions. Social interaction

accounted for four percent of the total variance in achievement. Social climate, defined as the norms, expectations, and opinions as to appropriate teaching standards in the school, accounted for a larger proportion of the variance in the achievement between schools

Rutter and his colleagues (1979) had similar conclusions in their study of London secondary schools. They argued that differences in student behavior and achievement might be due to the ethos of the school. Ethos was used to refer to the combination of values, norms, and behavioral patterns of the school. Rutter et al. (1979) studied the relationship between school effectiveness and process characteristics which relate to organizational features and internal functioning of schools, often referred to as part of the school culture. These same researchers placed more importance on process characteristics than in previous studies.

Edmonds (1979) summarized characteristics across studies into five factors that are believed to be the most common features of effective schools: (a) strong instructional leadership; (b) high expectations for children's achievement; (c) an orderly, safe environment conducive to learning; (d) an emphasis on basic-skill acquisition; and (e) frequent monitoring of students' progress. Edmonds (1979) identified these as elements of a highly-effective school culture. Within the body of research (Edmonds, 1979a, 1979b; Edmonds & Frederiksen, 1978; Lezotte, 1991, 1997; Lezotte, Edmonds, & Ratner, 1974) that became known as "school effectiveness research," the concept of school culture was viewed as the set of norms, values, and mores; environmental factors; organizational structures; quality curriculum and instructional practices; and leadership practices. Researchers (Edmonds, 1979a, 1979b; Edmonds & Frederiksen, 1978; Lezotte, 1991, 1997; Lezotte, Edmonds, & Ratner, 1974; Lezotte & Jacoby, 1990; Lezotte &

Snyder, 2011) noted the importance of instructional leadership in the cultures of highly-effective schools.

In the 1980s, as culture became a major element in studies of high-performing organizations, the concept of culture became widely recognized as a major factor in the functioning of schools (Deal, 1985; Deal & Kennedy, 1983; Deal & Peterson, 1999 & 2009; Kottkamp, 1984). This led to a large increase in the number of empirical studies in the 1980s and 1990s attempting to link culture and organizational effectiveness. Most of the studies were qualitative with a descriptive focus, collecting data from a small number of schools or conducting case studies of selected schools. Over the past decade, researchers have included large-scale surveys and questionnaires to examine the relationship between school culture and school effectiveness or to identify core values and beliefs that guide processes and behaviors of school personnel in high-performing schools. Researchers have attempted to compare characteristics of low-performing schools with high-performing schools in an effort to identify those variables that can be manipulated to create a high-performing school.

School culture has been described as being similar to the air we breathe. No one notices it unless it becomes foul (Freiberg, 1998). Numerous writers have attempted to define the concept of school culture. Peterson and Deal (1998) compared culture to an underlying stream running through the school, as a stream of norms, values, beliefs, traditions, and rituals that have developed over time. Hofstede (1997) defined culture as the collective programming of the mind (p. 180). Bolman and Deal (1991) recognized the dual nature of culture as consisting of both product and process. As a product, it exemplifies the combined and accumulated wisdom of previous members of the

organization. As a process, it is continually renewed and recreated as new members are taught the ways and teach others (p. 250). Cunningham and Gresso (1993) defined culture as an informal recognition and understanding of the “way we do things around here” (p. 20).

School culture is neither simple nor static. It is a complex entity that is constructed and re-shaped as members interact with each other, the students, and the community (Finnan, 2000). It is a reciprocal system in which the culture is shaped by the members of the group, and the behaviors of the group are influenced by the culture. It is a pattern of underlying assumptions, stated values, and artifacts that lie at the conscious and subconscious levels, guiding the behaviors and actions of the members and the organization.

Understanding the conflicting concepts of school climate and culture. As researchers and educational leaders searched for ways to improve schools, they looked to research from business and organizational studies for organizational improvement strategies. Organizational improvement strategies included factors representing the concepts of climate and culture without a clear distinction between the two terms. Early studies in organizational improvement were focused on physical and structural factors as part of organizational culture. In 1979, Pettigrew introduced the concept of studying organizational culture from the anthropological perspective in school effectiveness research by focusing on symbolism, myths, rituals, and norms of an organization.

During the 1990’s, the terms culture and climate appeared in educational literature and were defined in numerous ways. The terms began to be used interchangeably. Both terms were complex, and neither term was defined clearly. There was not a consensus of

definition for either concept. Researchers began to discuss the two concepts and their similarities and differences (Denison, 1996; Glisson, 2000; Hoy, 1990; Reichers & Schneider, 1990; Rentsch, 1990; Van Houtte & Maele, 1990). Researchers disagreed on which term was broader and more inclusive.

Although organizational culture and climate were described as overlapping concepts, Miner (1995) and Hoy et al. (1991) proposed a distinction between climate and culture. They viewed school or organizational climate from a psychological perspective. Climate was defined as the set of behaviors, feelings, and environmental quality (Hoy, 1990; Heck & Marcoulides, 1996; and Lunenburg & Ornstein, 2004). Miner (1995) and Hoy et al. (1991) viewed culture from an anthropological perspective, as consisting of the values and norms of the organization (Hoy, 1990; Heck & Marcoulides, 1996; Miner, 1995). The anthropological perspective of culture was consistent with Schein's (1985, 1992, 1996) definition of culture that values, rituals, and climate are all manifestations of culture. Hoy and Feldman (1999) believed that the differences between culture and climate, although small, are important because shared perceptions are easier to measure than shared beliefs. They indicated that climate is less abstract than culture and presents fewer problems in terms of measurement and analysis.

In educational literature, the concepts of school climate and school culture tend to overlap. There is ambiguity between the two terms. Teachers, administrators, and parents use the terms interchangeably. There is a lack of consensus about a definition for these concepts. Therefore, the practitioner in education may find it difficult to formulate conclusions from educational research linking school culture, leadership, and school

effectiveness unless they examine how the term is defined in each study and how the concept is measured.

School climate. The concept of organizational climate was developed during the late 1950s when researchers were trying to understand differences in work environments (Argyris, 1958). Climate was defined as characteristics that distinguish one organization from others and that influence the behavior of people within the organization (Gilmer, 1966). This behaviorist view shaped the early concept of school climate.

Halpin and Croft (1962) borrowed the concept of organizational climate from organizational research in the development of the *Organizational Climate Description Questionnaire (OCDQ)*. They described climate as the organizational personality of the school and focused their climate research on the social interaction between teachers and school leaders (Halpin & Croft, 1962).

During the 1960's and 1970's, other researchers developed assessments designed to measure characteristics of the environmental, social, and psychological aspects of a school (Anderson & Walberg, 1968; Finlayson, 1973; McDill et al, 1969; Moosa & Trickett, 1974; and Rutter et al., 1979). By the end of the 1970s, climate became the most prevalent concept to measure school processes in the field of school improvement and school effectiveness research. Following the lead of industrial and social psychologists, school climate was used to describe teachers' perceptions of their general work environment.

School climate has been identified with Edmonds' (1979) Effective Schools Model in which he identifies common elements, or correlates, as forming a school climate that leads to student academic achievement. School climate refers to the physical

environment and psychological aspects of the school. It is the basic feel of the school. It is evident in the feelings and attitudes expressed by students, staff, parents, and visitors about being in the school (Gonder & Hymes, 1994). It has been called the personality of the school (Deal, 1993; Deal & Kennedy, 1983; Deal & Peterson, 1999, 2009). Freiberg and Stein (1999) described school climate as the heart and soul of the school. It is the part of the school that leads teachers and students to love their school and to want to be a part of it.

School culture. As educational researchers have designed studies to investigate the relationship between school cultural elements and school performance, many have adopted Schein's (1985) classification of cultural levels to define the concept of school culture. Schein's concept consists of three layers that vary by the level of visibility within schools and the degree of consciousness among personnel: (1) observable artifacts and behaviors, (2) espoused values, and (3) underlying shared basic assumptions. The surface level is visible and recognizable by others, but may not be easily understood by outsiders (Schein, 1985). This level consists of artifacts and practices, including symbols, rites, rituals, myths and visible behavior patterns within the school.

The second level consists of the core values and norms that may not be written or stated verbatim, but are understood by members of the group. It is the general sense of what ought to be done. This level may include the hidden curriculum and unwritten rules of the school. Members are able to express the core values or guiding principles in their own words. These core values are translated into norms for behavior. Members know what is acceptable and what is not, based on the core values.

The deepest level of Schein's (1985) concept lies within the subconscious and is the least tangible. It is the level that houses the basic assumptions shared by members. These assumptions are the taken-for-granted beliefs that members perceive as true. These assumptions include the organization's relationship to its environment, the nature of reality and truth, the nature of human nature, the nature of human activity, and the nature of human relationships (Schein, 2004). Since this level lies at the deepest, usually unconscious level, and is not tangible, it is the level which is the most difficult to change within a school or organization.

Building on Schein's (1985) concept, school culture can be defined as a generic term for the underlying assumptions; core values and norms; and the artifacts and practices in which the latent, unconscious assumptions manifest themselves. Culture is a system comprised of various levels and elements that are interrelated.

Clarification of Terms for This Work

For this work, the term "school culture" is the broad, comprehensive concept that includes school climate. School culture is defined as the set of norms, guiding principles, beliefs, expectations, and the general ways of doing and being within the school. This definition is based on Schein's (1996) 3-level conceptual model of culture: outer, observable behaviors; stated and inferred beliefs, values, and vision; and the deepest, underlying values, beliefs, and principles. School culture is interactive, synergistic, and reciprocal in nature. The concept of "school climate" is a subset of culture. School climate is defined as the combination of environmental factors, morale, atmosphere, and general well-being of the organization. Metaphorically, climate is the personality of the school; culture is its soul.

Chapter 6: Assessing School Culture and Climate

Organizational improvement does not occur in a vacuum. Schools are organizations consisting of human systems, with shared and individual beliefs, assumptions, expectations, norms, values, and perceptions of climate. Cultural traits and perceptions of climate are important elements in school improvement efforts and can affect, and be affected by, the school improvement process (Deal, 1993; Deal & Peterson, 1994; Hargreaves, 1994; Harris, 2002; Hopkins, 2001; Lindahl, 2006; Sarason, 1996).

School improvement efforts that are sustainable may require a change in the culture and climate of a school. Saranson (1996) noted that if school outcomes need to be changed and improved, there will be elements of the school culture or climate that may need to be changed. Kythle and Bogotch (2000) found that real and sustained change is more readily achieved by first changing the culture of the school, rather than changing the organizational structures and operational procedures of the school. Schlechty (1997) suggested that structural change that is not supported by changes in the culture of the school will most likely fail because meaning and stability are derived from and found in culture. Owens (2004) noted that culture may be the most powerful determinant for change in an organization.

Measurement of Climate and Culture

Although measuring a school's culture or climate is an initial step toward meaningful school improvement, this is an immature science in education. There are multiple measures of both culture and climate. The concepts of culture and climate have multiple, ambiguous definitions. Some of the measures have reliability and validity data; others do not. It is important to measure culture and climate and to use the results in

strategic planning. However, the practitioner needs to proceed with caution when selecting an instrument to measure culture or climate.

Measurements of school culture and school climate are numerous and varied. The extensive number and type of measurement tools vary by the concept being measured, by how the researcher defines the concept, and how the concept is being measured. There is confusion among researchers in defining and labeling the constructs of culture and climate. Due to the lack of consensus on the definition of terms, measurements of culture and of climate continue to be developed by researchers, adding to the plethora of assessment instruments.

Measurement of climate. Researchers investigating the concept of school climate tend to use quantitative techniques, such as survey instruments, to measure perceived behaviors, observable behaviors, environmental factors, and self-reported attitudes and perceptions. Researchers attempt to determine how climate influences organizational outcomes. Climate may be studied as an independent variable or a dependent variable, depending on how culture is defined and used in the study.

A variety of instruments has been developed to measure organizational climate in school settings. One of the first instruments to gain wide acceptance was Halpin and Croft's (1963) Organizational Climate Description Questionnaire (OCDQ, Form IV). This assessment has 64 items, organized into eight sub-scales, and two components: teacher behaviors and principal behaviors. The eight sub-scales are: (1) disengagement, (2) hindrance, (3) spirit, (4) intimacy, (5) aloofness, (6) production emphasis, (7) thrust, and (8) consideration

Some of the most widely-used school climate surveys were published by the National Study of School Evaluation (NSSE) (2005) and were endorsed in the past by the Southern Association of Colleges and Schools as part of their national accreditation process. These surveys are available in both paper and on-line formats, allowing greater flexibility for schools with various technology resources. Comparable forms are available for elementary students, middle school students, high school students, faculty, and community members, allowing comparisons across population types

Other climate assessment instruments came from the National Association of Secondary School Principals (NASSP). The Comprehensive Assessment of School Environments (CASE) School Climate Surveys (1987) collect data on ten sub-scales: (1) teacher-student relationships, (2) security and maintenance, (3) administration, (4) student academic orientation, (5) student behavioral values, (6) guidance, (7) student-peer relationships, (8) parent and community relationships, (9) instructional management, and (10) student activities. Additional information is obtained through the use of satisfaction surveys of parents, teachers, and students. Much of the information is comparable across populations (NASSP, 2005).

Measurement of culture. Assessment of school culture is complex. Lindahl (2006) asserted that there are two basic schools of thought regarding appropriate means of assessing school culture. One view, represented by Schein (1999), is that culture is too complex to be assessed using written questionnaires or surveys. Schein stated that assessors would not know what to ask or be able to judge the reliability or validity of the responses. On the other hand, Rousseau (1990) claimed that quantitative tools such as Q-sorts and questionnaires could be used in conjunction with structured interviews.

Researchers investigating the concept of school culture tend to use qualitative and ethnographic techniques to study the character or atmosphere of organizations and focus on assumptions, values, and norms. Culture may be studied as an independent variable or a dependent variable, depending on how culture is defined and used in a study. At the upper end of awareness, school culture may be assessed through observation of behaviors, interactions, rituals, and by examining artifacts. However, shared values, beliefs, and expectations, which lie at a deeper level of consciousness are best examined through structured group interviews (Rousseau, 1990; Schein, 1999). School leaders and assessors need to be aware of their own underlying assumptions which may bias the assessment.

An initial search of assessments identified as measuring the concept of school culture yielded 33 potential instruments used in elementary, middle, or high schools. Search strategies included the use of databases, identification of instruments used in studies cited in this work, and reviews of assessments measuring school culture. A list of the most common assessments used in public schools in the United States is in Appendix B. Two general reviews of culture assessments were identified.

Maslowski (2005) conducted a search for quantitative assessments of culture designed to measure basic assumptions, values, norms, or cultural artifacts in school organizations. Taras, Rowney, and Steel (2009) reviewed 121 instruments for quantifying culture gleaned from scholarly journals, books, electronic databases, and theses. Although the researchers were from the fields of business and organizational management, their search represented a variety of fields.

In Maslowski's (2005) review, specific inventories were selected based on five criteria: (1) instruments that measured assumptions, values, norms, or artifacts; (2) instruments that measured different dimensions of culture; (3) instruments that diagnosed school culture; (4) instruments that measured school processes pertaining to school staff; and (5) instruments that had been validated. Based on the criteria, six questionnaires were identified: *School Culture Survey* (Edwards et al., 1996; Saphier & King, 1985; Schweiker-Marra, 1995), *School Work Culture Profile* (Snyder, 1988), *Professional Culture Questionnaire for Primary Schools* (Staessens, 1990, 1991), *School Values Inventory* (Pang, 1996), *School Cultural Elements Questionnaire* (Cavanagh & Dellar, 1996), and a questionnaire for measuring organizational culture in primary schools (Houtveen, 1996). However, of these six questionnaires, only two had been used in the United States (Maslowski, 2005). The two instruments used in the United States are: *School Culture Survey* (Saphier & King, 1985; Edwards et al., 1996) and *School Work Culture Profile* (Snyder, 1988). The *School Culture Survey* assessed the dimensions of: teacher professionalism and goal setting; professional treatment by administration; and teacher collaboration. The *School Work Culture Survey* assessed the dimensions of: school-wide planning, professional development; program development; and school assessment [performance].

In the Taras, et al. review (2009), 121 instruments for measuring culture were examined. Although the instruments for measuring culture were primarily from the field of business and organizational studies, several trends indicate the difficulty involved in measuring the concept of culture. First, it is recognized that the precise measurement of a concept is difficult without having a clear definition of the concept. Second, models of

culture and corresponding instruments are multi-dimensional. Third, based on a review of the 121 instruments, the self-report questionnaire has been the most popular tool for quantitative measurement of culture. Fourth, a more comprehensive system for determining reliability and validity of the assessments needs to be used.

The three highest-scoring culture assessments based on this author's review of reliability, construct validity, and criterion-related validity, as given by the developers, were two identified in Maslowski's(2005) review: *School Culture Survey* and *School Work Culture*. The third assessment recommended by this author for use in schools is the *School Success Profile Learning Organization* (Bowen, et al., 2003). All three assessments use a Likert-scale format. Analysis is at the school level for each assessment. *The School Culture Survey* has an individual level analysis in addition to the school level analysis.

The *School Success Profile Learning Organization (SSP-LO)* is based on the concept of school as a learning organization (Bowen & Powers, 2003). The culture dimensions that are assessed are: Learning Organization and Sentiment. Learning Organization includes six traits: team orientation, innovation, involvement, information flow, tolerance for error, and results orientation. The Sentiment Dimension has six traits: common purpose, respect, cohesion, trust, mutual support, and optimism. This instrument corresponds to the traits and elements of a highly-effective, productive school culture as identified in the literature on effective schools.

Criteria for Selecting Culture and Climate Instruments

School leaders interested in assessing the culture or climate of their schools should use a set of criteria to guide their selection of the most appropriate tool for their

schools. The criteria listed are a starting point. Additional criteria may be added, based on the needs of the schools, the reasons for assessing the school's culture, and how the results will be used. Basic criteria include: (a) an instrument that measures the cultural elements relevant to the school; (b) an instrument that defines the concept of culture, that is consistent with how it is defined by school leadership; (c) instrument that is related to a school as an organization, rather than an instrument designed to be used in business or industry; (d) instrument that has been determined to have appropriate validity and reliability in terms of what it is measuring; (e) instrument that is user-friendly and easy to use for the participants; (f) instrument that will yield useful reporting information that can be used for school improvement or to address areas of concern; and (g) instrument that is cost effective.

SECTION III: SCHOOL CULTURE AND SCHOOL EFFECTIVENESS

Chapter 7: School as a Living Organism

Chapter 7 is an introduction to Section III: School Culture and School Effectiveness. The chapter is a discussion of “school” as a dynamic organizational system that affects and is affected by relationships among its members and interactions with cultural elements within the school. These reciprocal relationships and interactions help to create the culture of the school. Included in the chapter are brief descriptions of three basic types of school culture: professional learning community culture; positive, but stagnant culture; and toxic culture. These three types of school culture and their effects on school performance are presented in more detail in Chapter 8.

A “school” is an organizational system that is dynamic and changing over time. It is not a static and linear system. A school is a system of people, their relationships between and among each other, and their interactions with cultural elements within the school. These relationships and interactions may be unilateral or reciprocal. In a reciprocal-effects model, two or more variables may be both a cause and an effect of each other (Heck & Hallinger, 2010). The system affects and is affected by the people and the cultural elements of the system. Therefore, the culture of the schools partially defines the system, but it is defined by it, as well. It becomes a living organism that affects and is affected by other organisms and its environment.

Schools have cultures that are undeniably their own (Waller, 1932), and the culture permeates everything within a school (Deal & Peterson, 1999). A school’s culture is reflected in behaviors, organizational components, procedures, school artifacts, vision and goals of the school. Culture affects the way people relate to each other within an organization and the way an organization operates (Melrose, 1998). An effective school

culture improves collegial and collaborative activities that promote healthy communication and relationships (Peterson & Brietzke, 1994).

School culture is a network of traditions and rituals that have developed over time (Schein, 2010; Deal & Peterson, 1990). The culture that evolves includes written and unwritten rules of engagement and operations. There may be written procedures, requirements, and guidelines, but there are also unwritten ways of doing things that are hidden to the casual observer and outsider. Clarification of cultural norms, underlying principles, and beliefs focuses daily conduct (Deal & Kennedy, 1982) and builds commitment to a common vision. Cultural norms that are understood and accepted by all members provide an effective means of coordination among a school's members (Sergiovanni, 2006).

As new members are added to the school, they may be ignored and become isolated, or they may be inducted into the culture of the school through orientation, training, and mentoring. The induction process may be formal or informal and intentional or subliminal but should include elements of the culture that are observable, stated, and unwritten, but agreed upon, principles and values. Teachers new to the profession and students transferring into the school are vulnerable and may not be accepted by the other members of the larger group. This lack of acceptance may lead to isolationism and non-acceptance of cultural norms, values, traditions, school vision, and goals. The success of the enculturation process may affect the newcomer's perception of whether the school is invitational or closed to outsiders. These perceptions may negatively affect the culture and resulting success of the school.

Researchers and commentators indicate that school culture has significant effects on the success of a school (Barth, 2002; Deal & Peterson, 1999; Hallinger & Heck, 1999; Sergiovanni, 2006). School success “flourished in cultures with primary focus on student learning, a commitment to high expectations, social support for innovation, dialogue, and the search for new ideas” (Deal & Peterson, 1999, pp. 6-7). In effective schools, the school culture enables members to determine particular educational emphases or goals that should prevail within a school (Hallinger & Heck, 1999). The culture shared by members and groups in the organization helps to build commitment and identification (Schein, 2010) with the school’s vision. Healthy school cultures can “lead to enhanced commitment and performance that are beyond expectations. As a result, the school is better able to achieve its goals” (Sergiovanni, 2006, p. 155). A positive, healthy school culture fosters successful change and improvement efforts (Deal & Peterson, 1990) through a focus on student learning and commitment to excellence (Deal & Peterson, 1999); unified goals that guide members and the school (Hallinger & Heck, 1999); and commitment and identification among group members (Schein, 2010).

Basic Types of School Culture

Every school has a school culture. However, it may not be a positive school culture that promotes school effectiveness. A school culture may be high-performing, stagnant, or toxic, depending on its effects on student performance, school performance, and productivity of its members. Hopkins, Ainscow, and West (1994) identified three basic types of school cultures, as defined by specific characteristics of the school. They identified these three types as: School cultures that are forward-moving, school cultures that are wandering, and school cultures that are stuck.

The “forward-moving school culture” is characterized by clear values and beliefs that the various stakeholders use to guide decision-making. The school, as exemplified by the school culture, has a good sense of identity among its members. There is a healthy balance between the status quo and innovation. It is the type of culture that many school leaders attempt to create through a strategic change process in which stakeholders participate (Hopkins, Ainscow, & West, 1994).

The “wandering school culture” is the culture with innovation, but without sustaining the innovation. Members have difficulty maintaining the energy from what they learn through the process of innovation. The school culture lacks a unifying mission, and the staff feels stressed from being pulled in so many directions. Members tend to rely on their past achievements for their definitions of success. Typically, this school is in need of a change in leadership.

The “school culture that is stuck” is the school culture characterized by contrived collegiality and staff isolation. There is poor organization and mediocre programming within the school. The leadership is viewed, and views itself, as powerless to make any meaningful changes. This school may also be in need of a change of leadership, staffing, or both.

These basic types of school culture identified by Hopkins, Ainscow, and West (1994) are similar to the culture types outlined in this project. However, one additional type of school culture is included in this study because of its significant negative impact on school performance. The three types of school culture addressed in this study are: Professional Learning Community Culture; Positive, but Stagnant School Culture, which

combines Hopkins'et al. (1994) “stuck culture” and “wandering culture” into one type of stagnant culture; and Toxic School Culture.

Professional learning community culture. The term “professional learning community” (PLC) reflects various shades of meaning, depending on the various contexts in which it is used and the practices used in those contexts. School culture reflects the reciprocal relationships and interactions of its members. Therefore, a professional learning community within a school culture reflects the nuances of a particular school, its members, other cultural elements in the school, and the practices used in the school. However, there is general consensus in the literature that a PLC consists of an inclusive group of people with shared beliefs, values, and vision who analyze and discuss their instructional practices in an ongoing, reflective, collaborative, and learning-focused manner, in which the primary goals are to improve student learning and to enhance professional practices within a safe, trusting, and respectful environment (DuFour, DuFour, Eaker & Many, 2006; DuFour, DuFour & Eaker, 2008; Hord, 1997 & 2008; Mitchell & Sackney, 2000; Stoll, Bolam, McMahon, Wallace, & Thomas, 2006; Toole & Louis, 2002).

In their review of literature on professional learning communities, Stoll, Bolam, McMahon, Wallace, and Thomas (2006) concluded that there does not seem to be a universal definition of the term “professional learning community” (PLC), but there are characteristics that seem to be consistent across the literature. They identify five characteristics of professional learning communities from the literature: (1) shared values and vision, (2) collective responsibility, (3) reflective professional inquiry, (4) collaboration, and (5) promotion of group and individual learning (Stoll, et al., 2006).

They support the observations of other researchers (Hord, 2004; Louis, Kruse, & Bryk, 1995; Stoll et al., 2006). Stoll et al. (2006) that the five characteristics appear to be interconnected identified three additional characteristics: (1) mutual trust and respect, (2) school-wide community membership, and (3) use of external networks and partnerships as sources of planning for learning.

In an effort to clarify the term and practices associated with PLC for educators, DuFour, DuFour, Eaker, & Many (2006) defined a professional learning community (PLC) as “educators committed to working collaboratively in ongoing processes of collective inquiry and action research to achieve better results for the students they serve. Professional learning communities operate under the assumption that the key to improved learning for students is continuous, job-embedded learning for educators” (DuFour, DuFour & Eaker, 2008, p. 14). In their work, *Professional Learning Communities at Work* (1998), DuFour & Eaker identified six characteristics of PLCs: (1) shared mission, vision, values, and goals, focused on student learning; (2) collaborative culture with a focus on learning; (3) collective inquiry into best practice and current reality; (4) action orientation and learning by doing; (5) commitment to continuous improvement; and (6) results orientation.

Hord and Sommers (2008) developed a similar set of attributes in an effort to define a professional learning community. The five attributes they gleaned from the literature are: (1) shared beliefs, values, and vision; (2) shared and supportive leadership; (3) collective learning and its application; (4) supportive conditions; and (5) shared personal practice. Hord and Sommers (2008) included two types of factors within the attribute “supportive conditions” that emphasized the importance of environmental

resources and relationships in ensuring an effective professional learning community: structural factors and relational factors. Structural factors are the physical requirements needed for effective collaboration: time, place to meet for collaborative work, resources, and policies that support collaboration (Hord & Sommers, 2008, p. 9). Relational factors are elements that promote a healthy, collaborative atmosphere for the members, such as openness, trust, mutual respect, caring, and truth (Hord & Sommers, 2008, p. 9).

The common characteristics of the term “professional learning community” are summarized in Table 1. It is important to note that the characteristics are interrelated, are process-oriented, and may occur in developmental stages. In determining the extent to which a school is operating as a professional learning community, each characteristic could reflect a developmental stage from non-awareness, to initial implementation, to full implementation. Moving a school toward a full conceptualization of a professional learning community is a process, not a checklist of activities to be done. It is a way of being.

Table 1

Professional Learning Community: Summary of Characteristics

Characteristics	Stoll, Bolam, McMahon, Wallace, & Thomas (2006)	DuFour, DuFour, Eaker, & Many (2006); DuFour, DuFour & Eaker, (2008)	Hord & Sommers (2008)
Shared vision, beliefs & goals	Shared values & mission	Shared values, mission & goals, focused on student learning	Shared values, vision, & beliefs
Locus of responsibility/Control	Collective responsibility	Collective	Shared & supportive leadership
Type of professional dialogue	Reflective, professional inquiry	Collective inquiry of best practices and current reality	Collective learning & its application
Interaction mode	Collaboration	Collaborative culture	Shared personal practice
Orientation	Promotion of group & individual learning	Action orientation & learning by doing; results orientation	Collective learning
Trust & respect	Mutual trust & respect	Inferred	Supportive conditions (relational)
Membership	School-wide community membership (inclusive)	Infers inclusive	Infers inclusive
External network	Use of external networks & partnerships as sources of ideas for planning for learning	Infers stakeholder involvement	Infers stakeholder involvement
Continuous Improvement	Inferred	Commitment to continuous improvement	Inferred
Focus	Group & individual learning	Student learning	Collective learning & supportive conditions
Structural support			Supportive conditions (environment/structure)
Role of leadership	Ensures school-wide community membership that is inclusive; facilitates use of external networks & partnerships in idea-generating & planning;	Serves as a model; promotes collaboration; facilitates results orientation & action research; committed to continuous improvement; ensures alignment of school processes to key concepts of PLC & monitors development;	Promotes distributed leadership; ensures structural support; facilitates relational support; guides process; active participant in the process;

Positive, but stagnant culture. The use of the term “positive, but stagnant culture” used in this work combines the “wandering school culture” and “school culture that is stuck” types used by Hopkins, Ainscow, and West (1994) into one culture type. The “positive, but stagnant culture” type used in this work may be wandering, without focus, or stuck in a non-productive cycle.

As used in this work, the “positive, but stagnant culture” may have a positive atmosphere that is either real or contrived. The school may even be a happy place for the adults and the students. However, there is not sustained, academic improvement. The school may experience innovation, and there may be initial excitement with the new initiative. However, the innovation and the excitement are not maintained. This is the school that may flit and flutter from one innovation to another, which seems exciting, but may create confusion, frustration, and stress among school members.

There seems to be movement, but the school and its members are not advancing or improving significantly. If the school has experienced success in the past, members of the group rely on this success rather than re-evaluating best practices in light of their current reality. They are stuck in the past and conform to the status quo. There may be written vision, mission, and guiding principles or beliefs of the school; but these are not part of the actual school culture and do not guide school improvement efforts or strategic planning. The leadership struggles to maintain administrative control, and efforts are geared to management of staff and resources rather than instructional, strategic, or visionary leadership. The leadership views itself and is viewed by others as powerless to make significant and meaningful changes. Therefore, the leadership, school, and its members become stagnant, resulting in a stagnant culture. Left on its own without

intentional intervention, the stagnant culture can quickly become like a stagnant pond and become toxic.

Toxic culture. The most negative and destructive school culture is the school with a toxic culture. Toxic cultures may have false collegiality, negative subcultures that compete against each other for power and control of the school and decision-making. Each subgroup has a recognized culture of its own; and groups do not interact with each other or if they do, it is a negative interaction. The culture is closed to newcomers and outsiders, especially if they bring with them new ideas, suggestions for improvement, and positive attitudes. It is within this type of culture that beginning teachers are told by others to avoid the teacher's lounge--the den of negativity, rumors, and excuses. Toxic members are opposed to any type of change unless it is proposed by them and seek to maintain the status quo. The culture is worker-centered rather than student-centered, and the purpose is to control. It is a fragmented culture characterized by teacher isolationism (Deal & Peterson, 1999). This is the school in which members close the door, physically and symbolically. Deal & Peterson (1999) identified four characteristics that were common in schools identified as having toxic cultures: (1) members and the culture focused on negative values, (2) the culture was fragmented, (3) the culture was exclusively destructive, and (4) the culture became spiritually fragmented.

The dangerous effects of a toxic culture: disengagement, lack of connections, and alienation prevent an organization from becoming effective (Sergiovanni, 2006). A toxic culture stifles growth of the school and its members. Unless there is significant and strategic intervention, the school and its members will never achieve full potential or

experience a high level of success. Left untreated, the school with a toxic culture will become a breeding ground for negativity and mediocrity.

Chapter 8: School Culture and Impact on School Effectiveness

Chapter 8 is a discussion of school culture and its impact on school effectiveness. The chapter begins with a brief overview of the impact of culture on organizational effectiveness, followed by a discussion of the impact of two types of school culture on school effectiveness: productive school culture and toxic school culture. The chapter concludes with a section on changing school culture

Impact of Culture on Organizational Effectiveness

Organizational culture has been defined as the collection of shared beliefs, values, and norms developed over time that guide problem-solving and decision-making within an organization (Owens, 1987; Schein, 1990, 2004). Schein (1985) claims that this body of knowledge and practices is taught to new members as the preferred way of operating within the organizational context. These shared beliefs, values, norms, and practices serve to bind the organization together as a collective entity (Kilman et al., 1985). The resulting integration of these concepts becomes the basis of strategies an organization uses to achieve its goals and objectives (Marcoulides & Heck, 1993). Marcoulides & Heck (1993) asserted that an organization's collective culture affects the attitudes and behaviors of its members and the resulting performance level of the organization. This claim supports previous research in organizational theory that organizational structure and processes influence organizational performance (Blau, 1979; Heck & Marcoulides, 1989; Mackenzie, 1976a, b, 1986, 1996; Owens, 1987).

Organizational performance is the organization's capability to accomplish its goals and objectives effectively, with efficient use of its resources (Daft, 2000; Richardo, 2001). It is the degree to which the mission has been achieved in the workplace (Cascio,

2006). Researchers investigating the relationship between and among specific cultural elements or sets of elements and organizational performance have identified possible positive links between organizational culture and performance.

A review of the literature on the organizational culture-performance link reveals that there are cultural traits positively related to organizational performance. Denison and his colleagues (Denison, 1990; Denison & Mishra, 1995; Denison et al., 2004) identified four cultural traits linked to improved performance: involvement and participation, consistency and normative integration, adaptability, and mission. Cooke and others (Cooke & Rousseau, 1988; Rousseau, 1990; Cooke & Szumal, 1993; Cooke & Szumal, 2000) claimed that successful organizations have group norms that promote achievement, self-actualization, participation in decision making, and constructive interpersonal relations. Petty, et al. (1995) found that cooperation and teamwork were associated with organizational effectiveness.

Other researchers focused on an achievement orientation to culture. Heck, et al. suggested that communication of goals and production results, clarifying values, and defining the organization's mission to internal and external stakeholders are important functions of management (Heck, Larsen, & Marcoulides, 1990; Reynolds, 1986). Marcoulides and Heck (1993) found that cultural variables with the largest direct effects on organizational performance were task orientation activities and worker values and attitudes. Their results support the emphasis on (a) strategic organizational design—developing strategies and task organization that lead to goal formation and improved performance and on (b) attitudes and values coherence—strengthening the coherency

between the worker's values, beliefs, norms and perceptions of the culture and those of the organization.

In contrast, some qualitative reviews suggest that there is a lack of empirical support to the claim that organizational culture is associated with organizational effectiveness (Ostroff, et al., 2003; Wilderom, Glunk, & Maslowski, 2000). Other researchers claim that the use of numerous culture types used across those earlier studies may have made interpretation of findings difficult (Harnell, Ou, & Kinicki, 2011) and have looked to meta-analyses as an alternative statistical method.

In an attempt to address the concerns of earlier researchers who claimed a lack of empirical evidence linking culture to organizational effectiveness, Hartnell et al. (2011) applied Quinn and Rohrbaugh's (1983) competing values framework (CVF) as an organizing framework for their meta-analysis of organizational culture and organizational effectiveness. They examined the relationships among three organizational culture types and three major indices of organizational effectiveness. Results based on data from 84 empirical studies with 94 independent samples indicate that three of the CVF's culture types (clan, adhocracy, market) are significantly associated with organizational effectiveness. This study supports the proposition that organizational culture is an important organizational variable in studying organizational effectiveness. However, the researchers suggest that due to the holistic, social, and synergistic nature of organizational culture, future research should determine and use an organization's cultural profile rather than a single dimension. This approach should provide additional insight into the complex social phenomenon of organizational culture (Hartnell, Ou, & Kinicki, 2011).

Although there are differences between the world of business and the place called school, information gleaned from organizational culture and effectiveness can be applied to the school setting. One of the publications from the business world that highlighted the importance of culture and values was *In Search of Excellence: Lessons from America's Best-Run Companies* (Peters & Waterman, 1982) in which the authors described the management characteristics that 62 successful American corporations had in common. The re-occurring theme was the power of values and culture in the corporations, rather than the reliance on operating procedures and control-based constraints. It was the values and culture that provided the unifying force within each company, leading to commitment to a common vision, increased creativity and synergy of its members, and improved performance (Peters & Waterman, 1982). Similar concepts such as the multi-layered definition of culture, goal-setting, vision, values, beliefs, behaviors, collaboration, risk-taking, and effective communication are also applied to school culture and school effectiveness.

Impact of School Culture on School Effectiveness

Researchers continue to search for ways to improve student achievement (Hallinger, 2011; Hilliard & Jackson, 2011). Numerous studies focusing on the relationship between school culture and student achievement have been conducted since the passage of the No Child Left Behind Act (2001) and the emphasis on school accountability (MacNeil et al., 2009). School culture is one of the most important concepts in education, but it is also one of the most complex concepts. It is a concept with varying definitions and measurements, depending on the perspective of the researcher. For this study, the definition of culture is based on Schein's multi-

dimensional concept of culture (Schein, 1992). Culture is the set of shared norms, beliefs, values, habits of thinking and patterns of behavior shared by the members of the organization. It encompasses the three levels of observable, espoused, and underlying subconscious patterns. It includes climate which consists of environmental factors, atmosphere, and attitudes. Climate is the observable personality of the organization. Culture is the character and soul of the organization and is the concept that encompasses climate.

Healthy school climate and effectiveness. Researchers in three studies examined the relationship between school climate, defined as organizational health, and student achievement (Henderson, Buehler, Stein, Dalton, Robinson, & Anfara, 2005; Hoy & Hannum, 1997; Roney, Coleman, & Schlichting, 2007). Researchers used the Organizational Health Inventory with middle schools in North Carolina, Tennessee, and New Jersey. The theoretical framework was based on Hoy and Feldman's definition of organizational health, which links healthy school climates to improved learning environments and increased student achievement (Henderson, Buehler, Stein, Dalton, Robinson, & Anfara, Jr, 2005; Hoy & Hannum, 1997; Roney, Coleman, & Schlichting, 2007). Data for each study indicated a moderately positive relationship between the overall Organizational Health Inventory for Middle Schools index scores and student achievement. However, within each study, results were mixed in terms of correlating specific cultural components with achievement.

Productive school culture and effectiveness. A productive culture designed to promote student achievement is an essential ingredient in overall school effectiveness. Successful schools have a set of commonly-held norms with a focus on shared vision,

continuous improvement, student achievement, professional dialogue, trust, and collaboration among all members of the organization (Louis, Marks, & Kruse, 1996). Stoll and Fink (1996) identified 10 cultural norms that influence school improvement and are characterized by improving schools: (a) shared goals, (b) responsibility for success, (c) collegiality, (d) continuous improvement, (e) lifelong learning, (f) risk taking, (g) support, (h) mutual respect, (i) openness, and (j) celebration and humor (Stoll & Fink, 1996). These 10 norms are interconnected values and form the basis for how members relate to each other.

Various researchers have examined the relationship of school culture and performance by focusing on various factors of culture. Many of the studies support the research that became part of the Effective Schools Movement led by Ron Edmonds (1979) and Larry Lezotte (1997). Levine and Lezotte (1990) identified nine characteristics of unusually effective schools. The first characteristic mentioned is a productive school climate and culture, termed “orderly environment.” However, the authors clarified that the term is associated with interpersonal relationships, a sense of belonging, and participating, rather than control by rules and regulations (Levine & Lezotte, 1990). Culture included: commitment of staff members, collaboration and communication focused on student achievement, shared and clearly-articulated mission, problem-solving orientation, willingness to take risks and search for solutions for struggling students, participatory decision-making, faculty cohesion, and recognition of positive performance (Levine & Lezotte, 1990). These characteristics of unusually effective schools correlate with the ten cultural norms identified by Stoll and Fink (1996) that characterize improving schools. The concept of a productive culture is rooted in

existing effective schools research (Lezotte, 1991) and provides the framework for reviewing additional studies that investigate the relationship between school culture and school effectiveness, including student achievement.

Numerous literature reviews (Cavanaugh & Dellar, 1998; Leithwood et al., 2006; Muijs et al., 2004; Stolp, 1994; Waters et al., 2003) indicate that a strong, positive, collaborative school culture is linked to student achievement. This positive effect of school culture on student achievement has been confirmed by various researchers (Fraley, 2007; Gruenert, 2005; Maher, Lucas, & Valentine, 2001; Pritchard, Marrow, & Marshall, 2005; Zigarelli, 1996).

Gruenert (2005) used the School Culture Survey (SCS) (Valentine & Gruenert, 1998) to analyze the relationship between the six factors of school culture (collaborative leadership, teacher collaboration professional development, collegial support, unity of purpose, and learning partnership) and student achievement in a study of 81 elementary, middle, and high schools in Indiana. The school culture data were compared to the student achievement data in math and language arts for each school. He found strong correlations between the six elements of the School Culture Survey and academic achievement. Significant correlations were found between student achievement and learning partnership and unity of purpose. Nine out of twelve relational tests between culture and student achievement were significant. Schools that were collaborative had higher student achievement (Gruenert, 2005).

A mixed-method study was conducted by Christina Fraley (Fraley, 2007) as a follow-up to Gruenert's (2005) study to determine if collaborative school cultures existed in schools in which high test scores were reported. The study replicated

Gruenert's study conducted in 2002 and was designed to assess the cultures of 100 Indiana schools and to identify schools that had made improvements since 2002. Fraley's (2007) study confirmed the results of Gruenert's study. Significant correlations were found between Collaborative Leadership, Teacher/Parent Communications, and student achievement. Multiple regression revealed that Teacher/Parent Communications was significant.

Studies linking school culture to improved student achievement at specific grade level clusters (elementary, middle and high) have been conducted in elementary schools (Cunningham, 2003; Fowler, 2006; Liu, 2004; Schooley, 2005; Zuniga-Barrera, 2006), middle schools (Brown, 2004; Mees, 2008; Vislocky, 2005), and high schools (Herrmann, 2007; Patterson, 2006). Results indicate that the link between a strong, productive culture and student achievement in math and reading exist at all three levels and is not limited to a particular grade level cluster.

Five studies (Ahart, 2014; Jones, 2012; Macneil, Prater & Busch, 2009; Schoen, 2005; Vislocky, 2005) selected for review in this work were focused on the relationship between school culture and student achievement, and results of low-performing schools were compared to those of high-performing school. The researchers were attempting to determine if a difference in achievement existed between schools with a high culture rating and those with a lower culture rating. Each of the five studies used a different assessment or means of measuring school culture: (1) *Organizational Health Inventory*, used by Macneil, Prater & Busch (2009); (2) *School Culture Triage Survey*, used by Vislocky (1995); (3) *Nine Characteristics of High-Performing Schools*, used by Ahart (2014); (4) *Organizational Culture Survey*, used by Jones (2012); and (5) comparative

case studies, used by Schoen (2005). Results from each of the studies indicate that schools that are higher-performing have school cultures with higher ratings on the corresponding school culture assessments (Ahart, 2014; Jones, 2012; Macneil, Prater & Busch, 2009; Schoen, 2005; Vislocky, 2005).

Toxic school culture and effectiveness. Results of studies comparing the cultures of high-performing schools with cultures of low-performing schools reveal high-performing schools are characterized by more positive, productive cultures, as measured by the cultural assessment used in each study (Ahart, 2014; Jones, 2012; Macneil, Prater & Busch, 2009; Schoen, 2005; Vislocky, 2005). The reverse finding is also noted—low-performing schools exhibited a lower degree of characteristics of a positive, productive culture (Ahart, 2014; Jones, 2012; Macneil, Prater & Busch, 2009; Schoen, 2005; Vislocky, 2005).

In a mixed-model, comparative case study, Schoen (2005) described and compared different ways in which school culture impacted student achievement. Cultural dimensions that were assessed are based on Schoen and Teddlie's (2008) Dimensions of Culture: Professional Orientation (of faculty members), Organizational Structure (of the school), Quality of the Learning Environment, and Student-centered Focus.

Schoen and Teddlie (2008) claim that school climate and school culture represent different levels of the same concept and view climate as a subset of culture. The Dimensions of Culture form the framework for their model of school culture. Dimension I: Professional Orientation incorporates the concepts of (a) professionalism, (b) professional learning communities, (c) norms of collegiality, (d) teacher professionalism, (e) collaborative cultures, (f) organizational learning, and (g) learning organizations.

Dimension II: Organizational Structure includes style and form of leadership; development of vision, mission, goals, and action plans; and degree of consensus and commitment of the teachers and staff. Dimension III: Quality of the Learning Environment includes a focus on rigor, relevance, and quality of instruction; high expectations; and level of student engagement in the work students are doing. Dimension IV: Student-Centered Focus includes the extent to which programs and services are provided to meet student needs. These may include parent involvement, student support services, differentiated instruction, and the use of data for instructional decision-making (Schoen & Teddlie, 2008).

Using this framework and model of school culture, Schoen compared the cultures of schools in Louisiana with a high School Growth Label (SGL) to the cultures of schools with a low SGL. A double-blind procedure was used to reduce possible effects of observer bias, in which the SGL was not disclosed to the primary researcher until after all data had been collected. Results indicate that the schools with the highest scores across all dimensions of culture are also the schools with the HGL. The reverse is also true. The schools with the lowest scores across all dimensions of culture are the schools with the LGL.

Effect Size of School Culture

Although there are other factors associated with student, teacher, and school performance, the concept of school culture has emerged in educational literature as a significant mediating factor associated with school effectiveness and student achievement (Bulris, 2009; Mills, Rouse, & McDowelle, 2011).

Bulris (2009) conducted a meta-analysis on the mediated effects of principal leadership on student achievement by examining the effect size of school culture on student achievement. He used Schoen and Teddlie's (2008) model of school culture as the operational definition of school culture for his study and used their work, *Dimensions of Culture*, as a framework for the analysis of school culture and its effect size on student achievement. The study synthesizes correlational study findings between school culture and student achievement since the signing of the Goals 2000 in 1994. Studies in the meta-analysis were on public schools in the United States and included 3,378 schools. Based on his literature review, 30 studies met the established criteria for inclusion and provided 152 correlations. Results of the study indicate a "strong moderate" effect exists between school culture and student achievement in schools in the United States (Bulris, 2009).

Mills, Rouse, and McDowelle (2011) conducted a meta-analysis to determine the impact of school culture, as defined by Schoen and Teddlie (2008), on student achievement. Ninety quantitative studies were identified for possible analysis. Thirty studies met the criteria for inclusion in the study. Of the studies included in the meta-analysis, sixty-seven percent of the data represented performance in elementary and middle schools. Distribution of studies by the cultural dimension included: Dimension I: Professional Orientation (8); Dimension II: Organizational Structure (18); Dimension III: Quality of the Learning Environment (17); and Dimension IV: Student-Centered Focus (9). Five studies addressed all four dimensions. Studies could address more than one dimension. Over half of the studies (57%) were unpublished studies, including fourteen unpublished dissertations.

The 30 studies included a total of 152 correlations and represented 3,378 schools. All correlations were converted into Fisher z scores; z scores were converted back to correlations for presentation of results. The authors reported a combined effect of $r = .349$ and interpreted the effect size as “moderately strong” based on Lipsey and Wilson’s (2001) rule of thumb suggestion for product moment correlation effect size magnitudes. Correlation effect size values are considered small if less than, or equal to .10; medium if equal to .25; and large if greater than or equal to .40 (Lipsey & Wilson, 2001).

The findings of these two meta-analyses and the numerous single studies examined support the claim that school culture is a major factor contributing to school effectiveness, including improved student achievement. If we know from the research literature that schools with a toxic culture are at risk of lower performance than those with a positive, productive culture and that toxicity is a barrier to school improvement efforts, then it is imperative that school leaders understand the significance of changing a school’s culture from toxic to productive.

Changing Organizational/School Culture

Studies in organizational culture indicate that culture has a significant effect on enhancing organizational performance and successful change efforts (Cameron & Quinn, 2011; Denison, 1990). Addressing the organization’s culture is a determining factor in whether or not a company is successful in its efforts to change and improve the company. Cameron & Quinn (2011) noted that studies of organizations that failed at change efforts indicated that the most cited reason attributed to failure was the lack of sufficient attention to the organization’s culture (Caldwell, 1994; Gross, Pascale, & Athos, 1993; Kotter & Heskett, 1992).

According to Cameron (1997), the three most typical approaches to implementing change in organizational management during the past two decades have been Total Quality Management (TQM), downsizing strategies, and reengineering-based reform. Cameron and Quinn's (2011) review of the rate of successes and failures of companies using each of these approaches indicate that the use of any one of the approaches alone does not lead to desirable changes. They concluded that without a fundamental change in the organizational culture, sustained improvement in organizational effectiveness is limited (p. 12).

Cameron and Quinn (2011) pointed out that the efforts to improve organizational performance fail because the fundamental culture has not been changed. They defined fundamental culture as the "values, ways of thinking, managerial styles, paradigms, and approaches to problem solving" (p. 12) and viewed culture as multi-layered, consistent with Schein's concept of culture: implicit assumptions, conscious contracts and norms, artifacts, and explicit behaviors. Procedures, environment, and behaviors may change; but if the underlying fundamental values, norms, and belief systems are not changed, the organization will revert to its previous state because only the climate will have changed, not the culture. Their definition of and distinction between the concepts of culture and climate are consistent with this work and the concept of culture as presented in the works of Schein (1990, 1996, 2010).

Cameron and Quinn (2011) described successful efforts using the three approaches: TQM, downsizing, and reengineering, but each of the three approaches was within the context of an overall culture change. They found that when each method was used to implement change, independent of the organizational culture, results were

unsuccessful. When each method was used within the context of overall culture change, the results were successful. Without a change in the deeper, underlying assumptions and values of the organization's culture—Schein's (1990) subconscious level of culture—change will not be sustained (Cameron & Quinn, 2011).

This is true for the school as an organization. The culture of a school impacts school effectiveness. Schools that are highly effective with sustained, positive results have a more positive, productive culture. A school that is low-performing may have a culture that is positive, but non-productive, or have a culture characterized by toxicity. Efforts designed to improve organizational and school effectiveness may require substantial changes in behaviors, practices, structures, and even the deepest level of culture of the organization. There is evidence in the literature that school improvement strategies that do not address, or take into account, the culture of the school do not lead to sustained, positive results.

In school improvement studies, identifying and changing a toxic school culture is a critical task of leadership. Prior to implementing significant changes, the leader should understand the culture of the organization and the role culture plays in successful change initiatives. Educational literature addressing the role of principal emphasizes the principal's role in implementing change and changing school culture in an attempt to transform schools and turn-around low-performing schools. (Fullan, 2001a, 2006b, 2008c, 2014d; Leithwood, 1992; Leithwood & Harris, 2010; Public Impact, 2008). Leithwood (1992) referred to principals as change agents who had an effect on school outcomes through the transformation of school culture and climate. Barth (2002) suggested that perhaps the most important and the most difficult task of an instructional

leader is to change the existing culture of a school. It is difficult, but evidence from the research indicates that it can be done.

In the preface of this work, the writer described two schools that experienced changes in culture as a result of a change in leadership. Factors within the school stayed the same: same demographics, same number of students, same staff, and in one case, same students. The only change of student population was the movement of students into kindergarten or the initial grade level in the school and the movement out of the highest grade level from one year to the next. The only common factor between the two schools was a leader who seemed to create a leadership pattern of behavior that led to a toxic culture of mistrust, high stress, blaming others for problems, and excuses for low performance. The principal had a good heart, with a desire to do what was right and have a high-performing school. However, the behaviors and the practices of the principal helped to create a negative culture.

The culture of one school changed to a more positive, productive culture when the principal left to go to the second school. The culture of the second school changed from a positive, productive culture to a more toxic and less productive culture after one year. School cultures can change, and the principal can play a primary role in the change of a school's culture.

As the primary change agent and culture builder of the school, the principal is charged with knowing and understanding how to change or nurture a school's culture to ensure school effectiveness. Best practices for what works can be found in educational research and literature identifying leadership practices that have made a difference in

culture and school effectiveness. These leadership practices are highlighted in Section IV:
Leadership and School Culture.

SECTION IV: LEADERSHIP AND SCHOOL CULTURE

Chapter 9: The Role of Leadership in Shaping School's Culture

Chapter 9 is the introduction for Section IV: Leadership and School Culture. In Section IV, the relationships between and among leadership practices and cultural elements are examined. Chapter 9 includes a discussion of the role of leadership and its connection to culture, the need for alignment of current reality to espoused values and components of an effective culture, and the role of leadership in changing school culture.

Understanding the Connection between Leadership and Culture

There is a substantial body of evidence regarding the importance of leadership in creating effective organizations, including schools, through culture and climate (Freiberg, 1999; Sergiovanni, 2001). Numerous researchers have found that in schools where achievement was high and where there was a clear sense of community, the principal had made the difference (Boyer, 1992). The effective principal is not only an effective manager and instructional leader, but is a culture builder. Leaders set the tone of the organization. That tone may be positive or negative (Barth, 2002).

School leaders have an effect on the cultures of their schools. The culture of a school consists of shared assumptions of the members of that school. These shared assumptions can either promote or hinder student and member growth. Leaders have the power to shape the culture by addressing these assumptions. Leaders may address the assumptions directly or indirectly. Leadership strategies may include challenging the assumptions by comparing stated beliefs to actual behaviors, modeling desired behaviors, providing direction through the development and sharing of a common vision, and by exercising influence over members of the group. Leithwood and Riehl (2003) stated that two primary functions of leadership were providing direction and exercising influence.

They found that the actions of leadership influence the thoughts, actions, and effectiveness of other members of the organization (Leithwood & Riehl, 2003).

Leadership influence may be derived from the power of position or from the power of competence and trusting relationships. The effective leader involves and leads employees to desire common goals for the organization. By effectively articulating a shared vision and mission, the effective leader influences and guides others to become a part of the organization's collaborative design (Yuki, 2002). This collaborative design becomes part of the school's culture. Leadership is a key component in the development and steering of school culture (Wagner et al., 2006). Kouzes & Posner (1995) suggest that healthy relationships are the key to effective leadership. They outline three ways in which a leader can engage in healthy relationships with members: modeling the desired behaviors, enabling others to act by providing distributed or shared leadership opportunities, and encouraging the heart of others.

Deal and Peterson (1999) stated that school leaders shape school culture through eight different roles. Each is an important part of the school culture. The leader must be able to fit all of the pieces together to achieve a positive influence on school culture. The eight roles include: historian, anthropological sleuth, visionary, symbol, potter, poet, actor, and healer (Deal & Peterson, 1999).

The importance of the role of leadership in shaping organizational culture and facilitating strategic changes within an organization is at the heart of a model of leadership termed "transformational leadership." Early researchers of transformational leadership included John Burns and Bernard Bass. Burns viewed a transformational leader as one who could identify the motives of followers, address their higher needs, and

could, thereby, engage the whole person (Burns, 1978). Transformational leaders inspire and encourage followers to, not only achieve beyond their perceived potential, but develop their own leadership capacity (Bass, 1985). Transformational leadership raises the concept of leadership to a higher level by inspiring others to commit to a shared vision, challenging members of the organization to become innovative problem solvers, and developing leadership skills of others through coaching and mentoring (Bass, 2006).

Building on the work of Burns (1978), Bass (1985, 2006), and Bass & Avolio (1994), Leithwood (1992) further developed the transformational model of school leadership. He claimed that the four components of transformational leadership, as proposed by Bass and Avolio, were key skills of principals for meeting the demands of the 21st Century. These four components are: (1) individual consideration, (2) intellectual stimulation, (3) inspirational motivation, and (4) idealized influence (Bass & Avolio, 1994).

Need for Alignment of Reality with Espoused Values and an Effective Culture

Successful leaders have learned to view their organizations from a holistic perspective by assessing the culture and climate of their organizations (Macneil, Prater, & Busch, 2009). These leaders seek, not only to identify, but to understand the culture and climate of their organizations. Effective leaders use the information as a basis for aligning current organizational reality with espoused values and aligning the organizational reality with components of an effective culture. They are able to determine whether or not the culture and climate contribute to a productive performance or create a toxic environment, marred by low performance. This is especially critical for new leadership in an organization prior to making any changes. Fairman and McLean (1988) believed that

diagnosing the climate or health of a school to build on organizational strengths and to identify improvement priorities should be the goal of every principal.

Alignment with espoused values. It is important to compare espoused values of the organization and its members with current practices and behaviors. Research in competing commitments examines the inconsistencies between what individuals say and how they actually behave (Argyris, 2010; Kegan & Lahey, 2009). Argyris (2010) defines patterns of negative behaviors and reasoning used to defend those behaviors as “Traps.” The Traps, or patterns of behaviors, include: (a) censoring one’s thoughts, (b) denying that one’s thoughts are being self-censored, (c) making controversial behavior or norms non-discussable, and (d) blaming others. These Traps are blocks to organizational effectiveness by inhibiting learning, effective problem solving, and identification and correction of errors. Members tend to blame others rather than using accurate information to identify real issues and address underlying causes (Argyris, 2010). Unresolved Traps can lead to a toxic culture.

Argyris (2010) presents two models of behaviors to describe an organization’s culture: Model I Theory-in-Use: Defensive Reasoning and Model II Theory-in-Use: Productive Reasoning. Model I values include: (a) being in unilateral control, (b) winning and not losing, (c) suppressing negative feelings, and (d) behaving rationally. Model I emphasizes the use of defensive reasoning to explain one’s pattern of behavior. In Model I, members may espouse one set of principles or beliefs; but their actual behaviors indicate different or conflicting beliefs and principles. Model II values include: (a) seeing valid information, (b) creating informed choices, and (c) monitoring carefully and consistently to detect and correct errors. Model II emphasizes the use of productive

reasoning in examining one's behaviors (Argyris, 2010). Argyris proposes that organizational effectiveness is the result of the organization and its members operating within the Model II construct with a focus on productive reasoning rather than defensive reasoning (Argyris, 2010). The critical role of the organization's leadership is to help the members understand the differences between defensive and productive reasoning, the impact on the organization's and individual's performance, the model of reasoning being used, and how to move from defensive reasoning to productive reasoning. He suggests using interview-based assessments that analyze what a person says or does in contrast with what they were thinking and believing. It is an exercise in comparing one's spoken thoughts and behaviors to one's unexpressed values and beliefs, similar to comparing Schein's multi-layer concept of culture contrasting the visible, stated beliefs with the deepest, underlying beliefs. The leader can then clarify organizational values and provide training to members on moving toward productive reasoning.

Similar to the work of Argyris, Kegan & Lahey (2009) looked at inconsistencies between what individuals say and how they actually behave. Using an interview process, they collected data on each individual's (a) stated commitment, (b) what the person is doing and not doing that is keeping their stated commitment from becoming a reality, (c) their competing commitment, and (d) their broad assumptions. Data collected were organized and placed on a grid. Analysis of the data on the grid revealed levels of inconsistency and defensive reasoning used to explain or defend the inconsistencies between their espoused commitments and their behaviors (Kegan & Lahey, 2009). The information gleaned can then be used by leadership to compare espoused values to actual

behaviors, identify potential barriers to members' organizational goals, and identify underlying assumptions that may be in conflict with the organization.

Argyris (2010) points out that diagnosing an organization's culture for Traps and examining the inconsistencies between espoused values and reality is difficult to do with survey methodology. He claims that surveys are based on espoused data rather than actual values and behaviors and begin with the respondent's espoused beliefs and claims. Instead, he used an initial identification strategy he termed as "left-hand-right-hand case" with real situations and scenarios. Participants divide their papers into two columns. On the right column, they write out an actual interaction with another colleague or group of colleagues, indicating the actual dialogue used. In the left column, each participant indicated at each point of the conversation what he really wanted to say, what he really thought, and how he really felt at that point in the dialogue. Argyris then used the data to identify Model I or II behaviors and type of thinking. He led participants in analyzing their data to become aware of the inconsistencies between their espoused values and their actual behaviors. The same data were used as a basis of intervention for individuals and the organization (Argyris, 2010). The closer the alignment of actual behaviors, statements, and actions of an organization's members to the espoused values of the organization, the greater the level of commitment of the members to the organization's mission, vision, and authenticity, and the increase in productivity of the organization (Argyris, 2010; Kegan & Lahey, 2009).

School leaders seeking to examine the level of alignment of current reality with espoused values in their schools may want to use a multi-method approach for data collection, including but not limited to, survey instruments, observations of actual

behaviors, interviews, culture audits, and “left hand-right hand cases” strategy for a holistic assessment of the school’s culture and climate. See Chapter 6 for a listing of various culture and climate assessments that may be used as part of this process.

Alignment with components of an effective culture. School leaders, as culture builders, need to know the essential components of a positive, productive school culture in order to align current organizational practices to those components. To do this, school leaders must know the various components and understand the inter-relationships among those components and a high-performing culture. They must also understand that each component may be at a different stage of implementation in an organization. Finally, leaders must be able to align their school’s current organizational practices to the components of an effective culture.

This alignment of current organizational practices to effective school culture components is a multi-step process that will provide the foundation for strategic planning for effective change. The alignment process includes the following steps: (1) understand the essential components of an effective school culture and how those components help to create an effective culture, (2) understand the implementation stages of each component, (3) identify and align current practices to each component, (4) use a rubric to determine the school’s current implementation level for each culture component, and (5) identify areas for further alignment.

Essential elements of an effective school culture. Essential components of an effective school culture, as identified in Chapters 7 and 8, are: shared vision, beliefs and goals; collective responsibility and leadership; reflective, inquiry-based dialogue; collaboration on best practices; emphasis on group and individual learning; trust and

respect; inclusive membership; stakeholder involvement; commitment to continuous improvement; focus on student learning; supportive structures; and professional-learning-community leadership.

Implementation stages of effective school culture elements. Each component of an effective school culture may be at a different developmental stage of implementation from non-awareness to full implementation. Each stage is based on the level of implementation, consistency of practice, and whether or not the element is operational for some, most, or all of the members. The cultural elements and the various levels of implementation can be placed on a rubric for easier assessment and alignment of the school's current organizational reality. A sample rubric is shown in Table 2.

Table 2

Implementation Stages of Effective School Culture Components Rubric (Example)

Cultural component	Stages of implementation				
	Non-awareness	Initial implementation	Moderate implementation	High-level implementation	Fully operational
	Not evident in statements, written form, or practices	Has been discussed and introduced for implementation; early implementation	Has been implemented but not consistently; not part of embedded culture	Has been fully implemented by most members & is becoming part of the culture	Fully & consistently implemented by all members; part of the culture
	<i>For each component on the left, select the stage of implementation for your school and indicate in the appropriate space below the evidence for your rating.</i>				
Shared vision, beliefs & goals					
Collective responsibility & leadership					
Reflective, inquiry-based dialogue					
Collaboration on best practices					
Emphasis on group and individual learning					
Trust, respect, & professional relationships					
Inclusive membership					
Evidence-based decision making					
Commitment to continuous improvement					
Focus on student learning					
Development of supportive structures					

Alignment of current practices to effective school culture components.

Effective leaders facilitate the examination of current practices as compared to best practices identified in research as contributing to the effectiveness of the organization. For cultural effectiveness, it is important to align the current practices and desired best practices to the related school culture component. One of the alignment tools a principal may use to help faculty and staff align their current practices to each effective cultural component is the *Alignment of Current Practices to Effective School Culture Tool*, developed by this writer (see Table 3). This may be done as a school, as an individual, or both. The purpose is to examine current practices, align those practices with the corresponding effective cultural elements, and determine the level of functioning of the practices in the school. In addition, best practices identified through research, but missing from the current school culture, may be identified as desired practices for improving the effectiveness of the school culture.

Table 3

Alignment of Current Practices to Effective School Culture Components Tool

Effective school culture element	Current practices related to effective cultural element	Functional level evidenced by current practices	Desired practices
	List evidence of practices being used, as related to the culture element indicated.	1 – Non-awareness 2 – Initial implementation 3 – Moderate implementation 4 – High level implementation 5 – Fully operationalized	List practices that are missing from the current culture or that should be extended for school improvement
Shared vision, beliefs & goals			
Collective responsibility & leadership			
Reflective, inquiry-based dialogue			
Collaboration on best practices			
Emphasis on group and individual learning			
Trust, respect, & professional relationships			
Inclusive membership			
Evidence-based decision making			
Commitment to continuous improvement			
Focus on student learning			
Development of supportive structures			

Using the rubric, “Implementation Stages of Effective School Culture Components Rubric” (Table 2) and the “Alignment of Current Practices Tool” (Table 3), a school leader will be able to identify current practices, align those with the appropriate culture component, and use the identified practices as evidence for determining the stage of implementation for each culture component. This process and these tools provide a principal with the information for assessing and analyzing the degree of alignment of current organizational reality to desired components of an effective school culture. In

addition, best practices that are not fully operational may be identified and included in areas targeted for school improvement.

Identifying areas for further alignment. A principal may use the tools and the process outlined above to guide the staff in identifying the areas that need further alignment. Cultural components that were assessed at the implementation level of “Non-awareness” need to be given top priority. Second priority should be given to those elements assessed at the “Initial implementation” level. Within the priority one and two categories, emphasis should be given to those cultural elements that have the strongest correlation with student achievement.

Once a targeted cultural element has been identified, it may be restated as an objective to meet an overall goal of improving a specific area of school effectiveness such as student achievement in math, student attendance, or meeting federal accountability measures for a particular subgroup. Desired practices are gleaned from practices identified in the literature as “best practices” and selected by the faculty as most appropriate for their school. These desired practices may then be used as the basis of strategies for meeting the appropriate objective related to the cultural element. These goals, objectives, and strategies may then be added to the school’s strategic action plan for improvement. This process provides a structure for professional dialogue on school culture, a non-threatening assessment of current functioning, and strategic planning based on desired best practices, leading to a closer alignment between the current organizational reality and effective school culture components. The principal can then use this process and the resulting strategic action plan to guide changes in the school culture.

The Role of Leadership in Changing School Culture

Effective leaders of any organization are able to recognize if change is needed in the organization to improve effectiveness and performance. They are able to identify improvement priorities and lead their employees through the process of change. Effective leaders understand the change process, the barriers to change, and the various ways employees may respond to change efforts. Finally, effective leaders understand how to facilitate the change efforts, monitor the progress of those efforts, and assess the effectiveness of the changes. Effective leaders understand that the culture of the organization plays a critical role in change. They understand that the first step to true change may reside within the need to change the organizational culture.

Schools in which cultural changes are successful are schools in which the leader and the school as a whole begin first with the people (Dalin, 1993). Individuals and relationships are key factors in school culture and are, therefore, critical to successfully changing the culture of a school. Dalin (1993) indicated that it is critical to influence culture at the individual and group levels for successful change of culture to occur. This is consistent with Schein's tri-level model of culture in which there is the deep, underlying level consisting of shared values and norms. Dalin (1993) stated that there "must be a gradual process of developing openness and trust, which helps a group to become more sensitive and effective as a group" (p. 112). He pointed out that leadership must consider traditions and norms of a school culture before beginning the process of change (Dalin, 1993). Attending to this deeper level of shared values and norms is critical to changing a school culture to a high-performing culture with sustained effects.

School improvement models include the concept of "turn-around schools." This concept is based on the premise that the right leader can implement changes and turn

around a low-performing school to become a higher-performing school. Research on which the “turn-around” model is built is gleaned from the research on effective schools, comparative studies of low and high-performing schools, case studies of school reform efforts, and longitudinal studies tracking school improvement initiatives.

The implication has been that the right leader, using the right tools and the right strategies, can go into a low-performing school and turn it around. However, evidence from examining schools that have been mandated to implement a turn-around model are inconclusive. Additional factors need to be examined, including the effect of a school’s culture on the turn-around efforts. Schools in which the turn-around efforts have not been effective or sustained over time may be due to a variety of reasons, including but not limited to: negative reaction to external mandates, lack of sustainability, lack of buy-in by the stakeholders, conflicting values between the new leader and the stakeholder community at Schein’s deepest level, a toxic culture, a culture that is resistant to change, and inertia.

Understanding the change process. Change is complex, dynamic, and multi-layered. It is a process that involves people, organizations, and systems that interact with each other. It is not easy. The first principle of change is that change is a process, not an event. Research in educational change indicates that significant and sustained change may take three to five years for a high degree of implementation. Hall and Hord (2010) outlined 12 patterns or principles gleaned from the research in their studies of change.

These 12 principles outlined in their book, *Implementing Change: Patterns, Principles, and Potholes*, include: (1) Change is a process not an event; (2) There are significant differences between development and implementation of an innovation; (3)

An organization does not change until the individuals within it change; (4) Innovations come in different sizes; (5) Interventions are the key to success of the change process; (6) Horizontal change works better than top-down and bottom-up changes; (7) Administrator leadership is essential to long-term change success; (8) Mandates can work; (9) The school is the primary unit for change; (10) Facilitating change is a team effort; (11) Appropriate interventions reduce the challenges of change; and (12) The context of the school influences the process of change (Hall & Hord, 2010).

Leadership is an “intentional change process through which leaders and followers, joined by a shared purpose, initiate action to pursue a common vision” (Laub, 2004, p. 5). One of the key roles a leader may play in the change process is to understand that sustained change takes time and that there are several strategies a leader may use for successful implementation of the change process.

Strategies for creating an effective change process. Researchers have identified strategies that can help a leader and a school successfully hurdle the “giant leap” of thinking that occurs between the decision to implement a change and increased performance (Hord, 1992; Kotter, 1996). The strategies for successful change implementation outlined by Hord (1992) include: (1) creating an atmosphere and context for change, (2) developing and communicating a shared vision, (3) planning and providing resources, (4) investing in professional development, (5) checking progress, and (6) continuing to give assistance (Hord, 1992). Kotter (1996) outlined similar strategies in an eight-step process of creating major changes.

A comparison of strategies presented by Hord and Kotter are outlined in Table 4. Hord’s (1992) strategies focus on leading change through interpersonal relationships,

training, and guiding personnel through change. Kotter’s strategies in his eight-step process focus on strategic use of personnel and resources for the creation, production, and continuation of change. An effective school leader needs to incorporate both foci. Strategies for the process of implementing successful change reflect an intentional, strategic approach to change and how to guide personnel through the changes in the organization and changes within the members. These strategies help distinguish the difference between a leader during change and a leader of change. It is the difference between transformational leadership and merely leadership.

Table 4

Strategies for Successful Change Implementation

Strategy	Hord (1992)	Kotter (1996)
Establishing purpose and creating an atmosphere for change	Creating an atmosphere and context for change	Establish a sense of urgency
Creating team leadership	(Not addressed)	Creating the guiding coalition
Developing and communicating shared vision	Developing and communicating a shared vision	Developing a vision and strategy
	[included in strategy above]	Communicating the change vision
Removing obstacles	(Not addressed)	Empowering broad-based action
Building & celebrating success	(Not addressed)	Generating short-term wins
Resource management	Planning and providing resources	Consolidating gains and producing more change
	Investing in professional development	
Monitoring progress	Checking progress	
Capacity building & sustainability	Continuing to give assistance	Anchoring new approaches in the culture

First and second order changes. Not all changes are equal (Beckard & Pritchard, 1992; Bridges, 1991; Fullan, 1993; Heifetz, 1994; Hesselebein & Johnston, 2002; Nadler, Shaw & Walton, 1994; Rogers, 1995; Water, Marzano, & McNulty, 2003). Some changes are easier to implement because they do not conflict with the organization's deeper, underlying values, norms, and beliefs. They are consistent with the current underlying culture. Other changes are more difficult to implement because they challenge the status quo, the way things are done, and the deepest cultural level. Waters, Marzano, and McNulty (2003) categorized the differences or magnitudes of change by using the terms "first order" and "second order" changes.

First-order changes are those changes that are technical changes—changes that are readily made in procedures, processes, or behaviors that do not affect underlying values, norms, and beliefs of the organization. They may be considered superficial changes in the organization. First-order changes are easier to implement because the proposed changes reflect the organization's deepest level of norms and values. Therefore, they are met with less resistance.

Second-order changes are those changes that are adaptive. These changes require members to adapt to new ways of doing things. The descriptors of the second-order changes reflect an interaction with school culture: a break with the past, outside of existing paradigms, conflicts with prevailing values and norms, complex, disturbance to every element of the system, requires new knowledge and skills to implement, and implemented by stakeholders. Second-order changes may be uncomfortable and difficult because these changes necessitate a change or shift in the underlying values of the

organization. Second-order changes may shake the foundation of an organization's culture and the comfort level of its members.

Waters, Marzano and McNulty (2003) pointed out that a particular change may represent a different magnitude or order for one organization and its members than for another. The change that is a first-order change for one person or an organization may be a second-order change for another. It is the effect of the change on a person or an organization and the resulting implications that determine whether or not a change is a first-order or second-order change. If a particular change is consistent with established norms and values, if it is agreed upon by all members, and can be implemented with current knowledge base and resources, then it would be a first-order change for that organization and its members. However, if the proposed change conflicts with current norms and values, requires new knowledge, and a shift in how things are done, the change may be viewed as a second-order change. A new approach to teaching mathematics may be a first-order change in one school because the school culture and its members are ready for that approach; it is consistent with the underlying values and beliefs of the school and members. However, it may be a second-order change in another school because the new approach may not be consistent with the norms, values, and beliefs of the school or its members; it may be a new paradigm; or it may require an extensive set of new skills.

Schein's model of three cultural layers can be used to show the differences between first and second order changes and the relationship each characteristic within the magnitudes has with the organizational culture. Those changes that affect the third level of culture, the deepest and unconscious level, are those changes that will be second order

changes and will require the most strategic work of the leader in facilitating change. The characteristics of first and second order changes and their relationships to Schein’s levels of culture are indicated in Table 5.

Table 5

First and Second Order Changes as Related to Schein’s Levels of Culture

Descriptor	First order change	Schein’s level of culture (reinforces)	Second order change	Schein’s level of culture (challenges)
Past	An extension of the past	Levels 1-3	A break with the past	Levels 1-3
Paradigm	Within existing paradigms	Levels 2-3	Outside existing paradigms	Levels 2-3
Values & norms	Consistent with prevailing values and norms	Level 3	Conflicts with prevailing values and norms	Level 3
Direction	Focused	Levels 2 & 3	Emergent	Levels 2 & 3
Parameters	Bounded	Levels 1-3	Unbounded	Level 1-3
Type of change	Incremental	Levels 1-3	Complex	Level 3
Directionality	Linear	Levels 2 & 3	Nonlinear	Levels 2 & 3
Impact and implications	Marginal	Levels 1-3	A disturbance to every element of a system	Levels 1-3
Knowledge & skills	Implemented with existing knowledge & skills	Levels 2 & 3	Requires new knowledge and skills to implement	Levels 2 & 3
Problem & solution orientation	Problem- and solution-oriented	Level 2	Neither problem- nor solution-oriented	Level 2
Implementers	Implemented by experts	Levels 1-3	Implemented by stakeholders	Levels 1-3

As noted on the chart, the more the second order change challenges the deepest level of culture, Schein’s level three, the greater the effect on the organization and its members. Second order changes that challenge Schein’s third level of culture and conflict with the prevailing values, norms, and beliefs of the organization will encounter the greatest resistance from the members of the organization.

An effective leader needs to understand that all change is not the same, that there are different magnitudes of change based on the effects on and implications for the

organization and its members, and that those changes that challenge the deepest level of an organization's culture create the greatest resistance. Various change strategies may need to be used for different personnel. Various levels of acceptance and levels of resistance may be encountered. An effective leader will realize that different leadership practices, behaviors, and strategies may be required for facilitating the change with those who accept the change and with those who resist or reject the change.

Stages of concern. An effective leader needs to be able to determine the various stages of concern of the members toward the proposed change and to use appropriate strategies for responding to the various levels of concern. One method is to use the Concerns-Based Adoption Model (CBAM) developed by Hord, Rutherford, Huling-Austin, and Hall (1987). The Concerns-Based Adoption Model (CBAM) provides a way for leaders to understand and to address common concerns about change. One component of the CBAM is the Stages of Concerns that outlines seven typical concerns that a group or its members typically express when faced with change. Hord (2003) points out that some members will go through all the stages in progression; some will skip from one to another out of order; and some may experience several concerns at one time. The seven stages of concern are outlined in Table 6. Table 6 also includes suggestions for addressing each area of concern based on the work, *Taking Charge of Change* (Hord, Rutherford, Huling-Austin, & Hall, 1987).

Table 6

Stages of Concern and Sample Strategies for Addressing Each Stage

Stage number	Stage title	Stage definition	Sample strategies for addressing concerns
Stage 0	Awareness	Aware that an innovation is being introduced but not really interested or concerned with it.	<ul style="list-style-type: none"> • Involve members in discussions and decisions about the innovation and its implementation • Share information to inform, but not overwhelm • Acknowledge that a lack of awareness is reasonable, part of the process, and all questions are valid
Stage 1	Informational	Interested in some information about the change	<ul style="list-style-type: none"> • Provide clear and accurate information about the change • Use a variety of modes of communication with individuals, small groups, and large groups • Help teachers understand how the innovation relates to current practices. Highlight similarities and differences.
Stage 2	Personal	Wants to know the personal impact of the change	<ul style="list-style-type: none"> • Respect and validate their personal concerns • Use personal notes and conversations to provide encouragement and reinforcement • Connect teachers with others with similar concerns
Stage 3	Management	Concerned about how the change will be managed in practice	<ul style="list-style-type: none"> • Clarify the steps and components of the innovation • Provide answers that address details and “how-to” issues • Demonstrate specific and practical solutions to logistical concerns
Stage 4	Consequence	Interested in the impact on students or the school	<ul style="list-style-type: none"> • Provide opportunities to visit other settings where the innovation is being used, to attend workshops/conferences, and to confer with colleagues with experience in using the innovation • Make sure these teachers are not overlooked. Give positive feedback and needed support.
Stage 5	Collaboration	Interested in working with colleagues to make the change effective	<ul style="list-style-type: none"> • Develop skills for working collaboratively • Provide opportunities & structures for those who are interested in collaboration • Use this cohort to assist others
Stage 6	Refocusing	Begins refining the innovation to improve student learning results	<ul style="list-style-type: none"> • Respect/encourage their interests and initiative • Help these members channel their ideas and energies productively • Help members access the resources they need to refine their ideas and put them into practice
Gleaned from the work of Hord, Rutherford, Huling-Austin, & Hall, (1987).			

Overcoming resistance. Everyone may be resistant to a change at some time. However, when the concerns of members are not addressed, resistance may become a growing force. It is important for the effective leader to understand the sources of resistance, as identified in the section on stages of concern, and to be able to address and overcome types of resistance. In “Shh, the Dragon is Asleep and Its Name is Resistance,” Janas (1998) outlined ten ways to overcome resistance that are still relevant for the school leader today. These ten strategies include: (1) acknowledging resistance, (2) empowering stakeholders, (3) encouraging all stakeholders, (4) setting concrete goals, (5) being sensitive, (6) modeling process skills, (7) developing strategies for dealing with emotions, (8) managing conflict, (9) communicating openly and effectively, and (10) monitoring the dynamics of the process.

Leading Change. Researchers have concluded that the principal is the key participant in the change process and reform efforts (Leithwood, 1992). School renewal efforts that were marked by sustained effects and changes in the culture of the school were found to be due to the interpersonal skills of the principal (Strahan, et al., 2001). Effective leaders lead by example, serve as a role model, and incorporate best practices leading to improved performance for their school. They are aware of the importance of organizational culture, competing values, and the development of trust and rapport with members. They recognize the level of cultural alignment, understand the change process, and believe they are able to lead others in transforming the culture to create an effective school.

The following two chapters in this section, Chapters 10 and 11, focus on leadership practices gleaned from research that principals may use to change a toxic

culture and grow an effective culture. Chapter 10 focuses on dealing with and changing a toxic culture. Chapter 11 focuses on leadership practices that develop and maintain an effective school culture.

Chapter 10: Leadership Practices for Dealing with a Toxic Culture

Points to Ponder

- *Schools are made up of people, and people are not simple. They are complex and inter-relational beings with individual needs that sometimes collide (B. Adams)*
- *Seek first to understand, . . . (S. Covey)*
- *...it is impossible to understand others unless we understand ourselves, and we cannot understand ourselves unless we understand others (C. Argyris)*

Chapter 10 is a discussion of the leadership practices used by principals to address and change school cultures that are toxic. It has a description of the method used to identify relevant studies for this work, including the literature search strategies and criteria for inclusion; a matrix outlining selected research studies; and a discussion of the essential findings.

Method for Identifying Studies

This section is an overview of the method used for selecting the studies used in this chapter. The methodology included various literature search strategies, selection criteria for studies, and final examination of studies in which toxic elements of a culture were present in the school.

Literature Search Strategies. ERIC and Psycinfo, provided through Ebscohost, were searched to identify relevant studies. The search was carried out in February 2014 and focused on publications between 2000 and 2014. The databases were searched using a combination of the following key terms:

- school improvement, turn-around schools, high-performing schools, low-performing schools, school effectiveness, school performance, school outcomes;
- school culture, culture, toxic culture;
- leadership, principal;

- studies, case studies, quantitative studies, qualitative studies, research, research studies.

In total, 113 hits were found. After removing the duplicate publications, 63 unique publications remained.

In addition to the search in the databases, the following journals were searched:

- *American Educational Research Journal*
- *Educational Administration Quarterly*
- *Educational Management Administration & Leadership*
- *School Leadership and Management*
- *School Effectiveness and School Improvement*

Other search strategies were reviewing various books on leadership, culture, and school improvement for references to additional studies; checking references of studies already identified; and conducting searches using Google and Google Scholar.

Table 7

Results of Initial Literature Search for Chapter 10

Database	Number of hits
ERIC	63
PsycInfo	50
Total	113
Duplicates	50
Total number of possible relevant studies	63

Selection criteria for studies. Studies selected for review were those in which the researcher examined the relationship between school leadership and school effectiveness,

with culture as a mediating factor. Studies selected for discussion in this chapter included leadership practices associated with toxic culture. The initial studies collected were evaluated for inclusion using a multiple-level review, as indicated in Table 8.

Table 8

Levels of Review, Selection Criteria, and Number of Studies Identified for Chapter 10

Level of review	Type of review	Criteria	Number of studies identified
1	Initial review	<ul style="list-style-type: none"> • Language of publication: English • Study population: public schools K-12 • Independent variable: school leadership • Dependent variable: student achievement or school outcome • Mediating factor: culture • Year of publication: after December 1999 	63
2	Low performance review	School designated by researcher as: <ul style="list-style-type: none"> • Low-performing in reading or math, or • Not meeting federal accountability standards, or • Not meeting state accountability standards, or • “Turn-around” school, moving from low performance to higher performance in reading or math 	30
3	Final review	<ul style="list-style-type: none"> • School characterized by toxic culture 	14

Following the Level 1 Initial Review based on the six criteria, 63 studies were selected for a second level of evaluation. During the Level 2 Low-performance Review, studies involving low-performing schools and turn-around schools were identified. Thirty studies were identified from the Level 2 Review and examined for the Level 3 Final Review. During the Level 3 Final Review, the studies were analyzed to determine if the schools evidenced characteristics or elements of a toxic culture as presented in Table 9, constructed by this writer from information in by Deal and Peterson’s book *Shaping*

School Culture: Pitfalls, Paradoxes, & Promises (2009). Fifteen studies were identified for discussion in this chapter.

Table 9

Characteristics and Elements of a Toxic Culture

Characteristics	Descriptors	Sample behaviors, attitudes & practices
Focus	Focused on negative values	<ul style="list-style-type: none"> • Work made enjoyable for adults, not students • Focus primarily on achieving outcomes that are not academic, are too low, or undemocratic
Common bond	Fragmented	<ul style="list-style-type: none"> • Meaning is derived from life outside work or subculture membership focused on adult needs • Division among staff, isolation except in cliques • Numerous cliques
Atmosphere	Destructive	<ul style="list-style-type: none"> • Negative, hostile, unprofessional, resentful, bitter, complaining, whining
Values	Lack of positive values and passion for students and their achievement	<ul style="list-style-type: none"> • Negative, reinforcement of negative behaviors and attitudes • Low expectations, inequalities, discrimination, lack of belief that all students can learn, preferential treatment based on demographic information
Cultural Elements		
Espoused values & beliefs compared to behaviors	Disconnect between espoused values and behaviors, or values and beliefs are negative	<ul style="list-style-type: none"> • Espoused values and beliefs may be positive, but behaviors and practices are negative • Values and beliefs reflect low expectations, excuses for low performance, or discriminatory practices
Cultural network	Works to promote negativity	<ul style="list-style-type: none"> • Sub-cultures support and promote negative influences, undermine positive forces, and hinder improvement efforts by establishing barriers to professional growth
Rituals & traditions	Phony, joyless, counterproductive	<ul style="list-style-type: none"> • Rituals and traditions are contrived and superficial and do not reflect or support espoused values • Rituals and traditions may reflect negative values such as hazing, isolationism, or discrimination

Note. Adapted from *Shaping School Culture: Pitfalls, Paradoxes, & Promises* by T. E. Deal & K. D. Peterson. Copyright 2009 by John Wiley & Son, Inc.

Research Studies Matrix

The final selection of studies for this chapter includes schools characterized by a toxic culture in which school leaders implemented practices to address and change the school culture from a toxic level to a more productive level, as indicated by survey results or increased school performance data. Identified studies are listed in Table 10.

Studies specifically addressing toxic cultures are limited. The studies identified during the literature search that addressed cultural, either directly or indirectly, included an autoethnography documenting the first year a principal new to a low-performing school with a toxic culture (Griffin, 2012); one single-case ethnography (Buehler, 2009); six single case studies of low-performing or struggling schools (Almeida, 2005; Eilers & Camacho, 2007; Kraster, 2008; Mette, 2012; Parish-Duehn, 2008; Reyes & Garcia, 2013); two comparison case studies of high-performing schools and low-performing schools (Finnigan & Stewart, 2009; Picucci, Brownson, Kahlertm, & Sobel; three quantitative studies (Finnigan & Daly, 2014; Hamilton, Heilig, & Pazey, 2013; Tubbs & Garner, 2008), and one study using qualitative and quantitative methods to compare turn-around schools with control schools Tucker, Salmonowicz, & Levy, 2008).

Table 10

Studies of Toxic-Culture Schools Turned Around by Leadership

Author(s)	Year	Publication	Title of study	Type of study	School level	Number of schools
Almeida	2005	Dissertation	A Middle School Case Study on Principal Behaviors Effecting Change in School Culture	Case study	Middle School	1
Buehler	2009	Dissertation	Words Matter: The Role of Discourse in Creating, Sustaining, and Changing School Culture	Ethnography	High school	1
Eilers & Camacho,	2007	Published study	School Culture Change in the Making: Leadership Factors that Matter	Case study	Elementary school	1
Finnigan & Daly	2009	Published study	Mind the Gap: Organizational Learning and Improvement in an Underperforming Urban System	Qualitative (exploratory case study)	District-level & HS	3
Finnigan & Stewart	2009	Published study	Leading Change under Pressure: An Examination of Principal Leadership in Low-Performing Schools	Case Study	Elementary schools	10
Griffin	2012	Dissertation	The Transformation of a Low Performing Middle School into a High Performing Middle School: An Autoethnography	Auto-ethnography	Middle school	1
Hamilton, Heilig, & Pazy	2013	Published study	A nostrum of School Reform? Turn Around Reconstituted Urban Texas High Schools	Surveys & Interviews	High Schools	4
Krastek	2008	Dissertation	A Critical Analysis of the Role of the Principal in Transforming the Culture of a Middle School through the Use of Emotional Intelligence	Case study	Middle school	1
Mette	2012	Dissertation	Turnaround Schools as a U-Turn for Student Achievement	Case Study	Program	29 Principals
Parish-Duehn	2008	Dissertation	Purposeful Changes at an Alternative High School: A Case Study	Case study	High school	1
Picucci, Brownson, Kahlertm, & Sobel	2002	Published Study	Driven to Succeed: High Performing, Turnaround middle Schools. Volume I: Cross-case Analysis of High-Performing, High-Poverty Turnaround Middle Schools	Cross-case analysis	Middle schools	7
Reyes & Garcia	2013	Published Study	Turnaround Policy and Practice: A Case Study of Turning Around a Failing School with English Language Learners	Case Study	Elementary u	1
Tubbs & Garner	2008	Published Study	The Impact of School Climate on School Outcomes	Quantitative (survey)	Elementary	1
Tucker, Salmonowicz, & Levy	2008	Published Study	Values and Practices in Low-Performing Schools: Virginia Turnaround Specialist Principals and Comparison Principals	Qualitative (Interviews) & Quantitative	Grades 3, 5, & 8	20 (10/10) Program/ Control

Framework for Explaining Organizational Toxicity

The discussion of the studies for this chapter revolves around a Framework for Explaining Organizational Toxicity and Effectiveness developed by this writer. As shown in Figure 4, the potential for cultural toxicity increases as the Congruency of Needs between the individual and the organization decreases and the individual's Openness to Appropriate Change decreases. The potential for organizational effectiveness increases as the Congruency of Needs between the individual and the organization increases and as the individual's Openness to Appropriate Change increases.

Toxicity in an organization exists when there is a large disconnect between the underlying norms and beliefs of the group and those of the organization and a low level of interest in changing one's norms and beliefs to meet the needs of the organization. An organization with high toxicity has a lower potential for growth and productivity. The juxtaposition of the three theories (Schein's, Argyris', and Muhammad's) shows that the larger the gap between a group's underlying norms and the norms of the organization and the higher the level of resistance toward appropriate change, the greater the increase in negative behaviors and the higher the level of potential conflict and toxicity.

Leadership practices identified in the research as effective strategies for dealing with toxic culture in a school are linked to this framework. The Framework for Explaining Organizational Toxicity and Effectiveness is based on Argyris' work with individual and organization congruence (1957, 1990) and "organizational traps" (2010), Schein's three levels of culture (2010), and Muhammad's "war of beliefs groups" (2009).

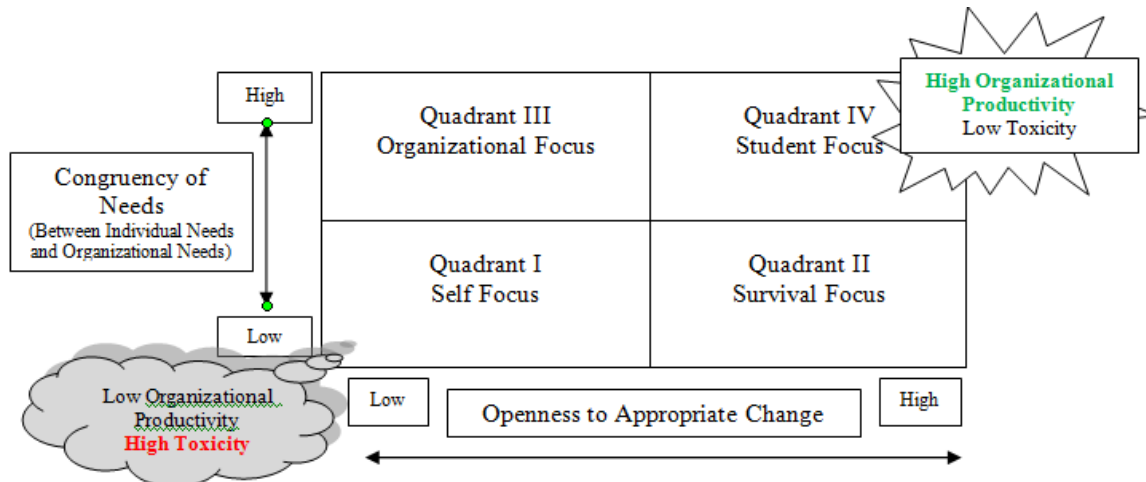


Figure 4. A Framework for Explaining Organizational Toxicity and Effectiveness

Two dimensions are indicated on the framework: Congruency of Needs and Openness to Appropriate Change. Congruency of Needs ranges from Low Congruence to High Congruence and is based on Argyris’s theory of individual and organizational congruence of needs (1957). Argyris claimed that an organization, in which individual needs are congruent with organizational needs, has the potential for greater organizational effectiveness than an organizational in which there is a large incongruency gap (1957, 1990). He also indicated that individuals whose needs are not congruent to those of the organization may participate in behaviors or “traps” that may inhibit learning and effective problem solving (2010).

Individual and organizational needs are based on Schein’s deepest level of culture, the underlying beliefs, norms, and values. If the individual’s needs, based on his underlying beliefs, norms, and values, are congruent with those of the organization, there is the potential for increased productivity. If there is a disconnect between the underlying beliefs, norms, values, and resulting needs of the individual and the organization, there is the potential for dissatisfaction, negative behaviors, and cultural toxicity.

The degree of “Openness to Appropriate Change” ranges from Low Openness to High Openness. Appropriate change is defined as evidence-based change from ineffective practices to practices correlated with improving student achievement or organizational effectiveness. The researcher does not assert that all change is good or that any resistance to change is bad. The determining factor is how the person responds when faced with a documented need for appropriate change to improve student achievement or organizational effectiveness. Is the individual open to adopting a different, more effective practice; or does he cling to the ineffective practice because of personal preferences and resist appropriate changes? A low openness toward appropriate change stems from a focus on self interests and maintaining the status quo rather than improving student achievement or organizational performance, even when confronted with evidence that the change is needed.

The four quadrants are based on Muhammad’s (2009) “war of beliefs groups.” The groups are defined in Table 11, constructed by this writer from information in Mohammad’s book, *Transforming School Culture: How to Overcome Staff Division* (2009). Descriptors for each quadrant are based on the descriptions developed and used by Muhammad to identify and define organizational groups and how they function within an organization: Fundamentalists, Survivors, Tweeners, and Believers. However, this author has labeled each quadrant based on the primary focus of each group in relationship to their needs and openness to change. The four quadrants in the framework are: (a) Quadrant I Self Focus, (b) Quadrant II Survival Focus, (c) Quadrant III Organizational Focus, and (d) Quadrant IV Student Focus.

Table 11

Muhammad's Four Groups Involved in the War of Belief Systems

Group	Descriptors	Organizational goals	Alignment to "Framework for Explaining Organizational Toxicity"
Believers	<ul style="list-style-type: none"> • Believe in core values of a healthy school culture • Believe all students are capable of learning • Believe that they have a direct impact on student success • Actively engaged in constant battle of ideas with Fundamentalists 	Academic success for each student	Quadrant IV Student Focus
Tweeners	<ul style="list-style-type: none"> • New to school culture • Spend time learning the norms & expectations • May not understand what is going on • Wind up in middle of wars between Believers & Fundamentalists 	Organizational stability	Quadrant III Organizational Focus
Survivors	<ul style="list-style-type: none"> • Usually small group of people who are "burned out" • May suffer from depression and constant tiredness • Just trying to survive • Exhibit survivors' behaviors • Do not see their current profession as best profession for them 	Emotional & mental survival	Quadrant II Survivors
Fundamentalist	<ul style="list-style-type: none"> • Opposed to any change • Organize to resist and hinder any change efforts • Major obstacle in implementing any meaningful reform • Actively work against Believers 	Maintain the status quo	Quadrant I Self Focus

Note. Adapted from *Transforming School Culture: How to Overcome Staff Division* by A. Muhammad. Copyright 2009 by Solution Tree Press.

Quadrant I Self Focus represents the quadrant with the highest potential for toxicity. Members in Quadrant I Self Focus have a low level of congruence between their individual needs and beliefs and those of the organization, and they have a low level of openness to appropriate change. Some members may resist any type of appropriate change. Their primary focus is meeting their individual needs rather than the needs of the students or the organization. Members of this quadrant typically make decisions based on how they will be affected rather than how students and the organization will be affected.

Quadrant II Survival Focus members are focused on surviving current circumstances and may be struggling with emotional, mental, physical, or professionally-related issues. These are the members who are suffering from stress and burn-out in the profession. They may lack excitement and enthusiasm for their students, their job assignment, and their professional career. They struggle to make it through another day. Since their current needs are focused on survival, their needs may not be congruent with the needs and beliefs of the organization. Members in this group may be very open to change, but the change is typically viewed from their personal perspective and needs rather than changing professional practice. They think in terms of how they can change their current job or personal life to escape current circumstances.

Quadrant III Organizational Focus members are focused on understanding the norms, beliefs, and values of the organization; learning typical procedures and how things work in the organization; and determining their role and place in the formal and informal organizational hierarchy. Their beliefs and needs may be congruent with those of the organization. However, maintaining the current organizational structures is critical. They seek organizational stability to ensure personal stability. Even though members may be

open to change as a concept, their need for organizational stability may outweigh the need for appropriate changes. They are not opposed to change; they just need to understand their place within the organization, as a result of the change, and how the organization will remain stable. Changing the organization to meet the needs of the students would be uncomfortable to them. Members within this group may be new to the organizational culture and oblivious to the struggle between members in Quadrants I and IV. Their focus is on structure, processes, and procedures within the organization.

Quadrant IV Student Focus represents the quadrant with the lowest potential for toxicity and highest potential for organizational effectiveness. It is also the quadrant most at odds with Quadrant I. Members in Quadrant IV have a high level of congruence between their individual needs and beliefs and those of the organization and a high openness to change. Their beliefs, norms, and values are consistent with those of the organization; and they are open to appropriate change, based on the identified needs of the students or the organization. Members of this quadrant typically make decisions based on how student achievement or organizational effectiveness will be affected; personal needs are adjusted.

Quadrant IV members are focused on assessing the needs of the students and how the organization and its members can meet those needs and improve student achievement. Group members believe that all students can learn, given appropriate support, and are willing to adjust personal needs and preferences to serve the students. Members demonstrate a high level of autonomy with their belief that they can have a direct impact on student achievement. They are open to change that yields higher student achievement and organizational performance. They believe in the core values of a healthy, productive

school culture and are open to adjusting their personal values for the benefit of the students.

The work of Anthony Muhammad (2009) is important in understanding group behaviors and interactions, as a result of competing beliefs and needs, and the effect on cultural toxicity and student achievement. Muhammad (2009) conducted formal and informal observations in 34 schools across the United States as part of an ethnographic study to determine how staffs functioned within their school communities and how their behavior helped or hindered changes necessary for closing the gap on student achievement.

Data were collected over a three-year period from 2004-2007. Muhammad examined two aspects of school culture--political objective and political motivation-- by examining the belief systems and norms of the members, their reaction to change, and their behaviors within the organization. Using the data, Muhammad identified a “war of belief systems” (p. 28) involving four distinct groups of individuals related to organizational change and behaviors within the organization. He labeled these four groups Believers, Tweeners, Survivors, and Fundamentalists.

Muhammad found that each of these four groups had a decisive and different impact on the school culture. Based on the results of the three-year study, he concluded that it is critical for leaders to understand and influence change within each group if they hope to transform a toxic culture into a more productive culture.

Argyris' (1957) theory of individual and organizational congruence and the resulting dysfunctional behaviors (“traps”) that affect organizational culture and effectiveness provides a foundation for understanding potential conflict and toxicity

within an organization. Chris Argyris (1923-2013) was an American business theorist, Professor Emeritus at Harvard Business School, and a Thought Leader at Monitor Group. He is known for his seminal work in learning organizations, especially his theories of action: theory in use versus espoused theory, single-loop and double-loop learning, organizational learning, and individual and organizational congruence. His work has influenced thinking about organizational learning, action research, and the relationship of people and organizations across various fields, including education. His theory of individual and organization congruence is critical to understanding why a school culture may be toxic and identifying strategies a leader may use to address toxicity within the school culture.

In his theory of individual and organization congruence, Argyris stated that most social organizations contain two basic components: the individual and the formal organization (1957). He proposed that the needs of individuals may be incongruent with the expressed demands of the formal organization. As the degree of incongruency increases with no attempt for resolution, the level of frustration, aggression, hostility, and resistance to the formal organization increases. The individual feels threatened and attempts to reduce the feelings of threat either by conforming or by taking defensive actions, such as aggression, denial, repression, ambivalence, and use of inferred language. Inferred language includes the use of implied, rather than directly-stated messages; passive-aggressive messages; or the use of euphemisms rather than accurate, but harsh, messages.

The individual may respond by creating informal networks or sub-organizations within the formal structure. This adaptive behavior is an effort to link with other kindred

spirits and cope with the stress created by the incongruency. The informal groups may become oppositional to the formal organization. If not addressed appropriately, the defensive actions and adaptive behaviors may create a toxic culture in the organization. The defensive actions and behaviors described by Argyris are reflected in the characteristics of toxic school culture described by Deal and Peterson (2009).

Argyris (1957) concluded his findings with ten propositions listed below:

1. "There is a lack of congruency between the needs of individuals and the demands of the formal organization, resulting in a disturbance proportionate to the degree of incongruence" (p. 233).
2. "Effects of the disturbance are frustration, failure, short time perspective, and conflict" (p. 233).
3. "Under certain conditions, the degree of these effects will increase" (p. 234).
4. "The nature of the formal principles of organization cause the subordinate to experience competition, rivalry, hostility among colleagues, and to develop a focus toward the parts rather than the whole" (p. 234).
5. "The employee adaptive behavior maintains self-integration and limits integration with the formal organization" (p. 235).
6. "The adaptive behavior has a cumulative effect, feeds back into the organization, and reinforces and sustains itself" (p. 235).
7. "Certain management reactions increase antagonisms underlying the adaptive behavior" (p. 236).

8. “Other management actions can decrease the degree of incongruency between the individual and formal organization, such as changing the nature of the formal organizational structure, leadership style, and management controls” (p. 237).
9. “Job or role enlargement and employee-centered leadership will not tend to work to the extent that the adaptive behavior (3, 4, 5, and 6) has become embedded in the organizational culture and the self-concept of the individuals” (p. 237).
10. “The difficulties involved in proposition 9 may be minimized by the use of reality-oriented leadership” (p. 237).

Argyris described reality-oriented leadership as leadership patterns that are “based on an accurate diagnosis of the reality of the situation in which the leader is imbedded” (p. 207). It is the concept that current educators label as “situational leadership.” Argyris pointed out that leadership insights should not be applied as “absolute principles of behavior” but “guides for helping diagnosis” (p. 207). The effective leader needs to be able to assess current reality and then to use the appropriate leadership behavior or pattern. In assessing reality, the leader must understand that reality is viewed from various perspectives. Therefore, the leader must be skilled at self-awareness, awareness of others, and awareness of the needs of the organization.

Effective leaders exhibit a balance of leadership behaviors, including client-centered leadership and organizational responsibility. I am reminded of advice given to me by a veteran teacher during my first year as a beginning teacher. “It is not enough merely to love the children, nor merely teach the children. You have to do both, and do

both well.” Just as an effective classroom teacher must balance student-centered instruction and accountability, a principal must balance personnel-centered leadership and school accountability from a reality-oriented perspective.

Dealing with current reality may require dealing with dysfunctional behaviors, especially if those behaviors are creating a toxic culture. Argyris (2010) described dysfunctional behaviors within an organization as “traps” or patterns of behavior that inhibit or block learning and change. The source of the dysfunctional behaviors is the conflict between an individual’s values and those of the organization. Even though the informal organization may become oppositional and toxic to the formal organization, it has the potential of helping to improve the formal organization (Argyris, 1957). An effective leader could use management actions, employee-centered strategies, and reality-oriented leadership, as espoused by Argyris, to assess the situation from various perspectives and decrease the degree of incongruency and toxicity in the sub-organizations and the formal organization.

Current researchers in education extend organizational theory into the schoolhouse in an attempt to understand how groups function within a school community and how their behaviors affect student achievement. Toxicity in an organization exists when there is a large disconnect between the underlying norms and beliefs of the group and those of the organization and a low level of interest in changing one’s norms and beliefs to meet the needs of the organization. In addition, toxicity can occur when managers of an organization are not willing to change the norms for organizational effectiveness, especially if the changes affect their position of power and control. An effective leader must not assume that the beliefs and needs of managers are congruent

with those of a highly-effective organization or that the managers have a high level of openness to change. Managers are also members of the various groups, based on their underlying beliefs and needs and their openness to change.

If a high degree of toxicity is present within a school's culture, there may be a significant number of Quadrant I Self Focus personnel in the organization. There is a low congruency between the underlying beliefs and needs of Quadrant I members and those of the organization. These members also have a low openness to appropriate change. As part of their defensive behaviors, Quadrant I members may form a subgroup of resistance and negativity and try to enlist support from members in Quadrants II and III. The Quadrant I employees will require the most significant intervention from the principal to reduce toxicity.

In contrast, the Quadrant IV Student Focus employees have the highest congruency between their individual underlying needs and those of the organization and have a high openness to appropriate change. These employees will have the greatest potential for implementing appropriate changes for improving student performance and for helping the organization to move forward.

As the beliefs, norms, and needs of the group begin to mesh with those of the organization and the level of individual interest in meeting the needs of the organization through change increases, toxicity decreases. There is a higher level of integration of individuals in the organization. The needs of the individuals and the organization are met. The ideal is when the needs of individuals and the organization are met to a high degree. The culture will become more positive and productive, resulting in a more productive organization with a higher potential for growth.

A principal who strives to be an effective change agent and effective leader of a school with a toxic culture should understand the following change principles: (1) that various types of groups exist; (2) that the wider the gap between an individual or group's underlying norms and beliefs and those of the organization, the more resistant the individual or group will be to change; (3) that the more resistance there is to change, the greater the potential for toxicity; and (4) that there are different strategies a leader will use to deal effectively with each group during the change process and to deal with toxicity.

A review of the studies identified for this chapter indicates that schools with a toxic culture may experience toxicity for a variety of reasons and may be at different points on a toxicity continuum. Therefore, different leadership practices will be used.

Discussion of Essential Findings

This section is a discussion of the findings from a review of studies of schools characterized by a toxic culture in which school leaders implemented practices to address and change the school culture from a toxic level to a more productive level, as indicated by survey results or increased school performance data. The selection of studies represents quantitative and qualitative paradigms. The quantitative studies used cross-sectional surveys, longitudinal surveys, or analysis of student performance; experimental and quasi experimental studies are not represented. The qualitative studies used various designs: ethnography, grounded theory, single case studies, comparative case studies, and phenomenological case study. A majority of the qualitative studies used a single case study design.

Griffin (2012) used an auto-ethnographic approach to reflect upon and record her journey as a principal new to a toxic school and given the task of improving both the performance of the school and the culture. Griffin (2012) framed her study around one global question and five sub-questions. The global question was focused on identifying practices, processes and procedures she used during the transformation of a low-performing school to a high-performing middle school. The five sub-questions were focused on identifying the practices, processes, and procedures used to address four dimensions (Griffin, 2012, pp. 146-148). The research questions were grounded in two theories: The Four Dimensions of Principal Leadership (Green, 2010) and the Nurturing Schools Theory (Green, 2010).

The Four Dimension of Principal Leadership (Green, 2010) are: Dimension I – Understanding Self and Others; Dimension II – Understanding the Complexity of Organizational Life; Dimension III-Building Bridges through Relationships; and Dimension IV – Engaging in Leadership Best Practices. Research questions for the study were linked to each dimension (Griffin, 2012).

Throughout the year of the study, Griffin would reflect upon the practices, processes, and procedures being use and document the information, obtain feedback from others, and collect evidence documenting the practices, processes, and procedures. A document/artifact analysis was conducted to reveal leadership practices, processes, and procedures used over time. Results indicated the principal used the knowledge of the Four Dimensions of Principal Leadership and identified 19 themes that surround the four dimensions and eight practices that include: leadership of the principal; collaboration of the faculty and staff; high expectations for all students; structuring the school in a

nurturing manner; using data to make instructional decisions; aligning the curriculum and using appropriate student interventions; implementing a focused professional development plan for all personnel; and engaging parents in the teaching and learning process. These practices are consistent with the practices gleaned from the literature by this researcher and presented in Chapter 11 of this work.

The second theory used to frame Griffin's (2008) study is The Nurturing Schools Theory developed by Green (2010). The Nurturing Schools Theory relates to the building of a positive, productive culture and contains four themes: (a) principal /teacher relationships, (b) teacher/teacher relationships, (c) teacher/student relationships, and (d) school/community relationships. According to Gibbs' Theory of Trust Formation, the first step in team-building leading to team effectiveness is the development of trust and rapport. The Nurturing Schools Theory outlines the types of relationships needed to nurture and develop goal attainment (Griffin, 2008). The culture of the school was transformed through a process of implementing the principles of a nurturing school. Progress was monitored through the use of the Nurturing Schools Inventory (Green, 2010). Results from this study reinforce best practices gleaned from other studies presented throughout this work.

Dealing with a toxic culture can be challenging for even the most experienced principal. Listed below are suggestions for dealing with a toxic school culture.

- (a) Understand the concept of school culture and the traits of a highly productive culture and signs of toxicity in a culture
- (b) Informally and formally assess the school's culture and obtain feedback from others regarding their perceptions

- (c) Reflect upon one's own values, beliefs, and principles; compare to the stated beliefs, values, and mission of the school; Is there a disconnect or alignment?
- (d) Identify one's own strengths and those of others; build upon and utilize those strengths
- (e) Share the information and knowledge base regarding the power of culture with members of the school. Discuss the type of culture desired in the school.
- (f) Conduct a formal assessment of the school's culture with the stakeholder; collect perception data; review with the members
- (g) Examine the basis of toxicity within the school. What are the possible sources? Who are the sources of toxicity? What are the reasons for the perceived toxicity? What are the conflicting values? Is there a disconnect between individual needs and the needs of the school and the students?
- (h) Seek to understand and then address
- (i) Understand the change process, including first and second-order changes.
- (j) Make small changes first that will have the quickest return on investment. Begin with changes in climate, if appropriate.
- (k) Acquire commitment from the various stakeholders, including the students
- (l) Recognize and celebrate successes in a way that will not degrade others
- (m) Create academic and social supports for struggling students
- (n) Model integrity and professionalism
- (o) Clearly communicate results, expectations, needs, and progress
- (p) Track success and progress
- (q) Think strategically and intentionally; take appropriate action

Chapter 11: Strategies for Nurturing a Productive School Culture

Chapter 11 is a discussion of the leadership practices used by principals to develop and nurture productive school cultures. It has a description of the method used to identify relevant studies for this work, including the literature search strategies and criteria for inclusion; a matrix outlining the research studies; and a discussion of the essential findings.

Method for Identifying Studies

This section is an overview of the method used for selecting the studies used in this chapter. The methodology included various literature search strategies, selection criteria for studies, and final examination of studies in which leadership practices were evident for growing and nurturing a productive culture.

Literature search strategies. ERIC and Psycinfo, provided through Ebscohost, were searched to identify relevant studies. The search was carried out in February 2014 and focused on publications between 2000 and 2014. The databases were searched using a combination of the following key terms:

- school improvement, high-performing schools, school effectiveness, school performance, school outcomes;
- school culture, culture, productive culture, effective culture;
- leadership, principal;
- studies, case studies, quantitative studies, qualitative studies, research, research studies.

In total, 177 hits were found (see Table 12). After removing the duplicate publications, 127 unique publications remained.

In addition to the search in the databases, the following journals were searched:

- *American Educational Research Journal*
- *Educational Administration Quarterly*
- *Educational Management Administration & Leadership*
- *School Leadership and Management*
- *School Effectiveness and School Improvement*

Other search strategies were reviewing various books on leadership, culture, school improvement, and effective schools for references to additional studies; checking references of studies already identified; and conducting searches using Google and Google Scholar.

Table 12

Results of Initial Literature Search: Chapter 11

Database	Number of hits
ERIC	56
PsycInfo	121
Total	177
Duplicates	50
Total number of possible relevant studies	127

Selection criteria for studies. Studies selected for review were those in which the researcher examined the relationship between school leadership and school effectiveness, with culture as a mediating factor. Studies selected for discussion in this chapter included evidence of leadership practices associated with effective or productive cultures. The

initial studies collected were evaluated for inclusion using a multiple-level review, as presented in Table 13.

Table 13

Levels of Review, Selection Criteria, and Number of Studies Identified for Chapter 11

Level of review	Type of review	Criteria	Number of studies identified
1	Initial review	<ul style="list-style-type: none"> • Language of publication: English • Study population: public schools K-12 • Independent variable: school leadership • Dependent variable: student achievement or school outcome • Mediating factor: culture • Year of publication: after December 1999 	127
2	High performance review	School designated by researcher as: <ul style="list-style-type: none"> • High-performing in reading or math, or • Meeting or exceeding federal accountability standards, or • Meeting or exceeding state accountability standards, or • Schools that “beat the odds” 	30
3	Final review	<ul style="list-style-type: none"> • School characterized by productive, effective cultures 	23

Following the Level 1 Initial Review based on the six criteria, 127 studies were selected for a second level of evaluation. During the Level 2 High-performance Review, studies involving high-performing schools and schools that “beat the odds” were identified. Thirty studies were identified from the Level 2 Review and examined for the Level 3 Final Review. During the Level 3 Final Review, the studies were analyzed to determine if the schools evidenced characteristics or elements of a productive culture. Twenty-three studies were selected for the final review.

Research Studies Matrix for Chapter 11

Table 14

Research Studies Matrix for Schools with Productive Cultures Nurtured by Leadership

Author(s)	Year	Publication	Title of study
Brown, Benkovitz, Muttillio, & Urban	2011	Published Study	<i>Leading Schools of Excellence and Equity: Documenting Effective Strategies in Closing Achievement Gaps</i>
Bryan, Moore-Thomas, Gaenzle, Kim, Lin & Na	2012	Published Study	<i>School Climate, Peer Victimization, and Academic Achievement: Results from a Multi-Informant Study</i>
Gurr, Drysdale, & Mulford	2005	Published Study	<i>Successful Principal Leadership: Australian Case Studies</i>
Hayes, Christie, Mills, Lingard	2004	Published Study	<i>Productive Leaders and Productive Leadership: Schools as Learning Organizations</i>
Higgins, Ishimara, Holcombe, & Fowler	2012	Published Study	<i>Examining Organizational Learning in Schools: The Role of Psychological Safety, Experimentation, and Leadership that Reinforces Learning</i>
Hipp, Huffman, Pankake, & Olivier	2008	Published Study	<i>Sustaining Professional Learning Communities: Case Studies</i>
Hoppey & McLeskey	2010	Published Study	<i>A Case Study of Principal Leadership in an Effective Inclusive School</i>
Jacobson, Johnson, Ylimaki, & Giles	2008	Published Study	<i>Successful Leadership in Challenging U.S. Schools: Enabling principles, Enabling Schools</i>
Jones	2012	Dissertation	<i>The Relationship of Leadership Practices on Organizational Culture and School Performance</i>
Keys	2010	Dissertation	<i>The Relationship between Transformational Leadership Behaviors of Middle School Principals, the Development of Learning Communities, and Student Achievement in Rural Middle Schools in the Mississippi Delta</i>
Koehler	2006	Dissertation	<i>Principal Behaviors and Actions that influence the Successful Implementation of Accountability Practices in Public Schools</i>
Lambert	2006	Published Study	<i>Lasting Leadership: A Study of High Capacity Schools</i>
LeClear	2005	Dissertation	<i>Relationships among Leadership Styles, School Culture, and Student Achievement</i>
McGuigan & Hoy	2007	Published Study	<i>Principal Leadership: Creating a Culture of Academic Optimism to Improve Achievement for All Students</i>
Mees	2008	Dissertation	<i>The Relationships among Principal Leadership, School Culture, and Student Achievement in Missouri Middle Schools</i>
Miranda	2011	Dissertation	<i>Examining the Influence of Principal Leadership in Urban, High-Performing, High-Poverty Elementary Schools</i>
Mullen & Hutinger	2008	Published Study	<i>The Principal's Role in Fostering Collaborative Learning Communities through Faculty Study Group Development</i>
Quin	2014	Dissertation	<i>The Relationship between Leadership Practices, School Culture, and Student Achievement in Southwest Mississippi School</i>
Rhoden	2012	Dissertation	<i>The Examination of the Relationships among Secondary Principals' Leadership Behaviors, School Climate, and Student Achievement in an Urban Context</i>
Rousselle	2013	Dissertation	<i>Examining School Climate and Effective Leadership in Relation to School Success</i>
Troutman	2012	Dissertation	<i>The Impact of Principal Leadership on School Culture and Student Achievement</i>

Discussion of Essential Findings

Basic clusters of practices are common threads found in the literature focused on effective schools, quality assurance and school improvement models, best practices, and characteristics of high-performing schools. Higher-performing schools are characterized by a school culture and leadership practices that promote an inquiry-based, shared accountability, and collaborative culture. The main characteristic of an inquiry-based school is the effective use of multiple forms of data for strategic school improvement and improving school outcomes, including student achievement (Costa, 2007; Costa & Garmston, 1994; Earl & Fullan, 2003; Kruger, 2010; Scheerens, 2012). In these schools, there is a focus on using various types of data to assess current reality; as evidence for strategic planning and decision making; and as a basis of researching and sharing best practices in the field for implementation in the school and classroom.

Establishing vision and expectations. The first cluster of Establishing Vision and Expectations involves the collection of qualitative and quantitative data. It includes the practices of creating a vision for the school, outlining the underlying beliefs that will guide decision-making, and specifying school and student outcomes. Within this cluster, the principal collects a variety of data from the various stakeholders, accountability standards, and local, state, and federal requirements. The various types of data include: student performance data, demographic data, perception data, and process data (Bernhardt, 2004). Perception data may be gathered through the use of surveys, interviews, or feedback sessions with stakeholders. Process data includes a review of school routines, procedures, and program effectiveness.

These comprehensive, 4-prong data form the foundation of the development of the school's vision. Accountability standards and requirements placed upon the school create a consistency among schools in a school system or district. However, the stakeholders' perceptions and feedback give each school its unique flavor. This cluster of data use is based on answering the question, "What do we want to become?"

Researchers in the areas of organizational improvement and effective leadership agree that effective leaders use data during the development and formation of vision, beliefs, and desired outcomes (Bernhardt, 1998, 2004; Corallo, 2002; Cotton, 1995, 2003; Elmore, 2003; Glasman, 1984; Hallinger & Heck, 1996; Hallinger, Bickman, & Davis, 1996; Jenkins, 1997; Leitner, 1994; Marazza, 2003; Senge, 1990; Supovitz, 2003; Witziers, 2003).

Assessing current and historical conditions. The second cluster, Assessing Current and Historical Conditions, is based on the collection of quantitative data with an emphasis on demographic and performance data. Practices include collecting demographic data over time, developing a profile of the school, tracking aggregate and disaggregated student performance data, and tracking progress toward meeting accountability standards and ratings. Principals collect extensive data detailing demographic profiles of the school, student population, and other stakeholder attributes. Much of these data are descriptive data and may include snapshot and longitudinal information. In addition, aggregate and disaggregated student performance data for the previous year and over time are collected and reported.

Additional data are reported based on other accountability measures such as attendance rates, graduation rates, discipline incidents, teacher qualifications,

professional development activities, expenditures, and allotment of human and financial resources. It is within this cluster that principals are bombarded with data. Often it is not the lack of data that presents a problem for school leaders; it is the overwhelming amount of data that principals receive (Bernhardt, 2003; Burstein, 1984; Creighton, 2001; Haller, 2001; Herman, 2001; Ingram, 2004; Killion, 2000; McCloskey, 1985; Meehand, 2003; Short, 1998; Timperley, 2005; Torrence, 2002). It is at this point that principals may experience information overload. Principals have to sort through data and make decisions regarding the type of data needed, the format of the data, analysis of the data, and target receivers of the information. Effective use of data depends on the questions that principals are trying to answer. This cluster of data use is based on answering the question, “Who are we and where are we now?”

Strategic planning and action. The third cluster, Strategic Planning and Action, focuses on the collection, analysis, and interpretation of qualitative and quantitative data for the specific purpose of taking action based on the evidence. Practices within this cluster include: Root cause analysis, setting specific and measurable goals and developing an action plan, allocating resources, and guiding professional development. This cluster is based on answering the question, “How do we get to where we want to be?”

Effective principals use the information gleaned from the data analysis to guide actions. The information becomes the evidence used in the decision-making process. Principals use root cause analysis techniques to investigate a problem to determine the underlying cause of a phenomenon. Principals and schools that do not use root cause analysis may develop school improvement or action plans that are not effective in

guiding the school's improvement process (Achilles, 1997; Elmore, 2003; Preuss, 2003; Short, 1998). The use of data in setting goals and objectives is used by principals during the school improvement process and in the development of the school's annual plan. In Virginia, each school is required to develop an Annual Action Plan as part of the school division's Comprehensive Plan and to use the action plan to guide its operations on a continuous basis.

Monitoring progress and assessing results. The fourth cluster, Monitoring and Assessing Results, emphasizes the need to continuously monitor and assess whether or not a school is making progress in terms of meeting its goals and objectives, determining whether or not the strategies and programs used are effective, and whether or not revisions need to be made. It is the constant checking in the mirror to make sure that progress is being measured and monitored. This cluster of practices focuses on real-time progress rather than historical snapshots. Practices within this cluster include: Monitoring and tracking student performance, monitoring and tracking school outcomes against established goals and objectives, providing formative feedback to students and teachers, assessing program impact, and making adjustments in the action plan based on the formative and summative assessments. Two of the key actions in this cluster are monitoring and providing feedback in order to answer the questions, "How are we doing?" and "How do we know whether or not we have been successful in meeting our goals and objectives?" In addition, a third question falls within this cluster, "How close are we to our vision?"

Studies indicate that this cluster is perhaps the most powerful cluster in terms of affecting student outcomes (Armstrong, 2001; Cotton, 1995, 2003; Glasman, 1984;

Hallinger, & Heck, 1996; Jenkins, 1997; Mazzeo, 2003; Meehand, 2003; Schmoker, 1999; Snipes, 2002; Supovitz, 2003; Waters, 2003). The practices within the cluster focus on taking continuous action with the use of data. Practices are specific, measurable, action-oriented, and are part of the continuous improvement process. Marzano cited the practices of monitoring progress and assessing results as key behaviors that have significant impact on student achievement (Marzano, 2003). It is also the cluster of practices cited in Deming's work in organizational effectiveness and is easily transferable to the educational setting (Jenkins, 1997; Warwick, 1995).

Communicating results to stakeholders. The fifth cluster, Communicating Results to Stakeholders, focuses on practices involving the sharing of data results with stakeholders. Practices within this cluster include: Reporting accountability results to stakeholders and reporting ongoing progress toward meeting goals and objectives. Although principals communicate results to stakeholders, there are variations in terms of the type of data shared, the reporting format, presentation strategies, and definitions of stakeholders.

Establishing a norm of continuous improvement. Establishing a Norm of Continuous Improvement, incorporates the other clusters but is included to emphasize practices that principals intentionally use in regard to data to establish this norm within the school culture. Practices in this cluster include: changing beliefs and attitudes regarding the use of data, demonstrating a commitment to continuous improvement, and establishing expectations regarding the use of data to affect outcomes (Danielson, 2002; DuFour, 1998; Herman, 2001; Joyce, 2002; Schmoker, 1999; Strahan, 2001; Wellman, 2004; Wilkerson, 2000; Zmuda, 2004).

Evidence-based decision making. The effect of the principal's use of data on school outcomes depends on a variety of factors. These factors include: Type of data used, the level of data analysis, and how the information and evidence are used and with whom.

Type of data used. Data used by principals include student performance data, demographic data, and perception data. Student achievement data consist of aggregate scores and subgroup scores from standardized tests, including norm-referenced and criterion-based assessments, and grade distribution records of content-area teachers. NCLB requirements have required school leaders to examine additional data, including: attendance rates, the number of incidents of crime and violence, and the number of teachers and staff who are highly qualified. Typically, the student performance data have been aggregate data presented for the school year that has just ended or historical data presented in longitudinal line graphs. Demographic data are descriptive and may include trends and patterns over time. Perception data tend to come from school surveys, interviews, or feedback sessions involving various stakeholders

In data-rich schools, however, data reflect Bernhardt's four types of data: performance, demographic, perception, and impact data (Bernhardt, 2004). Impact data are the critical data that provide evidence of effects on student achievement. Impact data include variables such as specific programs, instructional strategies, or interventions and the impact on student achievement. The principal, leadership team, and staff collect and analyze all four types of data on an on-going basis and in a variety of areas. The data collected will depend on the questions asked by the principal, leadership team, and staff.

The principal and staff collect and use quantitative and qualitative data. Data that impact student achievement are specific, focused on specific inquiry, and based on valid and reliable assessments. The principal collects data representing various levels, including school level, grade level, content area, and teacher level. Critical data will be disaggregated by NCLB subgroups and by additional subgroups of concern in the school. Additional subgroups may include gender, migrant status, transfer students, program participants, and students within at-risk categories.

Data in isolation, however, are just data. The power of the data resides in the level of analysis applied to the data, the interpretation of the data into information, and how the information will be used for strategic improvement.

Level of data analysis. In order to impact student achievement, the level of data analysis has to move from general to specific, from surface analysis to deep analysis, and must connect the various types of data, including demographic, perception, performance, and impact data. Analysis of performance data moves from the aggregate level to the disaggregated level, including drilling down the data from the percent correct and mean scale scores to the item analysis level. In addition, overlaying performance data with demographic data can yield subgroup comparison and gap analysis. Overlaying performance data, demographic data, and perception data allows the school leader to investigate the relationships among a particular subgroup, attitudes of that subgroup toward a subject such as math, and their performance on the math test.

The level of analysis with the greatest impact, however, seems to be that which intersects the four types of data: performance, demographic, perception, and impact. The interrelationship of the four types of data enables the principal to investigate program

impact and relationships among variables. For example, the principal can begin to investigate the relationships that may exist among Hispanic students who are economically disadvantaged, are limited English proficient, have confidence in their math skills, and participate in the ESL math program, and the impact of certain variables on the students' performance on a state accountability test in mathematics. Statistical analysis moves from descriptive statistics to inferential statistics where the school principal can begin to assess the effectiveness of a particular program on a particular student or group of students as evidenced by specific performance data.

Use and target audience. Principals who use data to impact student achievement rely on the analysis and interpretation of the data rather than on the numerical statistics. Principals in high-performing schools turn numerical data into information and use that information with students, staff, and stakeholders. Principals use the information to discuss individual student progress with the student, parents, and teachers. Some principals have developed individual tracking and monitoring charts for students in order to track at-risk students. Some schools require students to maintain a progress tracking chart on their own in order to build student awareness and accountability.

SECTION V: LEADERSHIP AND SCHOOL EFFECTIVENESS

“Leaders cannot be thought of apart from the historic context in which they arise, the setting in which they function, and the system over which they preside. They are integral parts of the system, subject to the forces that affect the system. They perform (or cause to be performed) certain forces that affect the system. They perform (or cause to be performed) certain tasks or functions that are essential if the group is to accomplish its purpose.”

John W. Gardner

The Leadership Effect

Section V: Leadership and School Effectiveness includes two chapters dealing with the relationship between principal leadership and school effectiveness. Chapter 12 is a discussion of the evidence from the literature indicating direct effects of leadership on school effectiveness. Chapter 13 is a discussion of the evidence from the literature highlighting indirect effects of leadership on school effectiveness.

School leaders are faced with significant challenges in today’s public schools. They are responsible for meeting state and federal accountability standards; for ensuring that all students meet or exceed increased achievement standards and that the school meets the varied academic and non-academic needs of all children; for involving and communicating with all stakeholders; for ensuring quality curriculum and instruction; for ensuring a safe environment for students and staff; and for creating a productive learning culture for all. They have a critical role in ensuring the effectiveness of a school.

Researchers continue to investigate the relationship between principal leadership and school effectiveness to determine the nature and extent of principal effects on school outcomes and student achievement. Results are elusive. Similar to the problem of defining the concept of culture and agreeing upon a consistent definition, the concept of leadership in education is difficult to define. The role of principal has evolved over the past years to include the concepts of manager, administrator, instructional leader,

transactional leader, transformation leader, strategic leader, Chief Executive Officer (CEO), visionary leader, and servant leader. In addition, the concept of leadership has evolved from an autocratic, positional role to a “leader of leaders” with shared or participatory leadership. Due to the variety of definitions of the concepts of principal and leadership, there are numerous assessments designed to measure “leadership.” Therefore, one must review results with caution and focus on identifying best practices in leadership for improving school effectiveness, rather than focusing on a particular personality type, gender, model, or style of leadership.

Chapter 12: Direct Effects of Leadership on School Effectiveness

Chapter 12 is a focus on examining studies that show a direct relationship between leadership and school effectiveness. This chapter provides insight into the search for evidence demonstrating a direct link.

Method for Identifying Studies

This section is an overview of the method used for selecting the studies used in this chapter. The methodology included various literature search strategies, selection criteria for studies, and final examination of studies in which leadership practices were evident for growing and nurturing a productive culture.

Literature search strategies. ERIC and Psycinfo, provided through Ebscohost, were searched to identify relevant studies. The search was carried out in February 2014 and focused on publications between 2000 and 2014. The databases were searched using a combination of the following key terms:

- School effectiveness; school improvement; school outcomes; student achievement;
- leadership, principal; principal effects; direct effects
- studies, case studies, quantitative studies, qualitative studies, research, research studies.

In total, 7 hits were found (see Table 15). After removing the duplicate publications, 6 unique publications remained.

In addition to the search in the databases, the following journals were searched:

- *American Educational Research Journal*
- *Educational Administration Quarterly*

- *Educational Management Administration & Leadership*
- *School Leadership and Management*
- *School Effectiveness and School Improvement*

Other search strategies were reviewing various books on leadership, culture, school improvement, and effective schools for references to additional studies; checking references of studies already identified; and conducting searches using Google and Google Scholar.

Table 15

Results of Initial Literature Search for Chapter 12

Database	Number of hits
ERIC	6
PsycInfo	1
Total	7
Duplicates	1
Total number of possible relevant studies	6

Selection criteria for studies. Studies selected for review were those in which the researcher examined the relationship between school leadership and school effectiveness, with direct effects. Studies selected for discussion in this chapter included qualitative and quantitative studies indicating a direct effect of leadership or principal on school outcomes, school effectiveness, or student achievement. The initial studies collected were evaluated for inclusion using a multiple-level review, as presented in Table 16.

Table 16

Levels of Review, Selection Criteria, and Number of Studies Identified for Chapter 12

Level of review	Type of review	Criteria	Number of studies identified
1	Initial review	<ul style="list-style-type: none"> • Language of publication: English • Study population: public schools K-12 • Independent variable: school leadership • Dependent variable: student achievement or school outcome • Year of publication: after December 1999 	6
2	Final review	<ul style="list-style-type: none"> • Direct effect of school leadership/principal on school effectiveness • Practices, behaviors, leadership style 	6

Following the Level 1 Initial Review based on the six criteria, 6 studies were selected for a second level of evaluation. During the Level 2 Leadership Practices Review, studies involving indirect effects of principals on school effectiveness and specific leadership behaviors or practices were identified. Six studies were identified from the Level 2 Review and selected for inclusion in this chapter.

Research Studies Matrix for Chapter 12

Table 17

Research Studies Matrix for Direct Effects of Leadership

Author(s)	Year	Publication	Title of study
Gentilucci & Muto	2009	Published Study	<i>Principals' Influence on Academic Achievement</i>
Kythreotis, Pashiardis, & Kyriakides	2010	Published Study	<i>The Influence of School Leadership Styles and Culture on Students' Achievement in Cyprus Primary Schools</i>
Nettles & Herrington	2007	Published Study	<i>The Importance of the Direct Effects of School Leadership on Student Achievement</i>
Sammons, Gu, Day, & Ko	2010	Published Study	<i>Exploring the Impact of School Leadership on Pupil Outcomes: A Study of Academically Improved and Effective Schools in England</i>
Scheerens	2012	Published Study	<i>School Leadership Effects Revisited: Review and Meta-Analysis</i>
Silva, White, & Yoshida	2011	Published Study	<i>The Direct Effects of Principal-Student Discussions on Eighth Grade Students' Gains in Reading Achievement: An Experimental Study</i>
Witziers, Bosker, & Kruger	2003	Published Study	<i>Educational Leadership and Student Achievement: The Elusive Search for an Association</i>

Discussion of Essential Findings

The approaches described by Pitner (1986) and Hallinger and Heck (1998) to study leadership effects in educational research were used as a basis for five models that could be used to study the relationship between school leadership and achievement (De Maeyer, et al., 2007). These models are: the direct effects model, the direct effect model with antecedents, the indirect effect model, the indirect effect model with antecedents, and the reciprocal effect model. Direct models are based on a direct relationship with achievement, and indirect models are based on mediated effects.

According to Hallinger and Heck (1996), direct effects of instructional leadership on student achievement in basic empirical school effectiveness research studies are either not found or are in certain national contexts. When found in limited studies, the effect is a small positive effect (<0.10) between instructional leadership and student achievement (Witziers et al., 2003).

In an effort to locate and identify studies based on a direct effects model for use in conducting a meta-analysis based on a direct effects model, Scheerens (2012) identified eleven studies to consider. Out of the eleven publications, only three reported standardized effects for all relevant effects. Six published only non-standardized effects for all relevant studies, and two publications published standardized effects for some effects only (Scheerens, 2012). Therefore, it was not possible to conduct a mean effect size. Instead a vote count procedure was used, counting the number of positive significant effects, negative significant effects, and non-significant effects (Scheerens, 2012). As reported by Scheerens, the studies were conducted in primary education, four in secondary education, and two at both primary and secondary levels. The countries in which the studies were conducted varied. Four studies were conducted in the United States, and others were in Paraguay, Cyprus, England, Spain, and Belgium. The methods used in the eleven studies to investigate the direct relationships were correlational (two studies), regression analysis (three studies), multilevel modeling (six studies), and structural equation modeling (one study).

Results indicate that 74 of all direct relationships between school leadership and achievement were not significant; 20 were positively significant; and four of the relationships were negatively significant. However, the positive relationships did not mean that there was a positive effect on school performance. The variables may show a positive relationship because they are measuring the same underlying dimension.

The literature is replete with articles, position papers, and literature reviews documenting the lack of evidence in education research of the direct effect models of school leadership and school effectiveness. Hallinger and Heck (1998) conclude that

studies that consider context factors and school characteristics in investigating the effectiveness of the leadership in a school (using an indirect model) yield more positive results regarding the influence of the principal on learning outcomes.

Chapter 13: Indirect Effects of Leadership on School Effectiveness

Chapter 13 focuses on the indirect effects model of leadership and school effectiveness. Indirect effect models are based on the assumption that school leaders affect school performance, not only through a direct effect, but also through intermediary variables such as school culture (Hallinger & Heck, 1998; De Maeyer, et al., 2007). The chapter includes a description of the method used to identify relevant studies for this work, including the literature search strategies and criteria for inclusion; a matrix outlining selected research studies; and a discussion of the essential findings.

Method for Identifying Studies

This section is an overview of the method used for selecting the studies used in this chapter. The methodology included various literature search strategies, selection criteria for studies, and final examination of studies in which leadership practices were evident for growing and nurturing a productive culture.

Literature search strategies. ERIC and Psycinfo, provided through Ebscohost, were searched to identify relevant studies. The search was carried out in February 2014 and focused on publications between 2000 and 2014. The databases were searched using a combination of the following key terms:

- School effectiveness; school improvement; school outcomes; student achievement;
- leadership, principal; principal effects; indirect effects; mediating effects;
- studies, case studies, quantitative studies, qualitative studies, research, research studies.

In total, 196 hits were found (see Table 18). After removing the duplicate publications, 176 unique publications remained.

In addition to the search in the databases, the following journals were searched:

- *American Educational Research Journal*
- *Educational Administration Quarterly*
- *Educational Management Administration & Leadership*
- *School Leadership and Management*
- *School Effectiveness and School Improvement*

Other search strategies were reviewing various books on leadership, school improvement, and effective schools for references to additional studies; checking references of studies already identified; and conducting searches using Google and Google Scholar.

Table 18

Results of Initial Literature Search for Chapter 13

Database	Number of hits
ERIC	169
PsycInfo	27
Total	196
Duplicates	20
Total number of possible relevant studies	176

Selection criteria for studies. Studies selected for review were those in which the researcher examined the relationship between school leadership and school effectiveness, with indirect effects. Studies selected for discussion in this chapter included qualitative

and quantitative studies indicating an indirect effect of leadership or principal on school outcomes, school effectiveness, or student achievement. The initial studies collected were evaluated for inclusion using a multiple-level review, as presented in Table 19.

Table 19

Levels of Review, Selection Criteria, and Number of Studies Identified for Chapter 13

Level of review	Type of review	Criteria	Number of studies identified
1	Initial review	<ul style="list-style-type: none"> • Language of publication: English • Study population: public schools K-12 • Independent variable: school leadership • Dependent variable: student achievement or school outcome • Year of publication: after December 1999 	176
2	Final review	<ul style="list-style-type: none"> • Indirect effect of school leadership/principal on school effectiveness • Practice, behaviors, leadership style 	32

Following the Level 1 Initial Review based on the five criteria, 32 studies were selected for a second level of evaluation. During the Level 2 Leadership Practices Review, studies involving indirect effects of principals and leadership on school effectiveness and specific leadership behaviors or practices were identified. Thirty-two studies were identified from the Level 2 Review and selected for inclusion in this chapter. Studies included quantitative, including single studies and meta-analyses, and qualitative studies.

Research Studies Matrix for Indirect Effects of Leadership

Table 20

Research Studies Matrix for Indirect Effects of Leadership

Author(s)	Year	Publication	Title of study	Type of study	School level	Number of schools
Alig-Mielcarek & Hoy	2005	Published Study	<i>Instructional Leadership: Its Nature, Meaning, and Influence</i>	Quantitative (survey)	Elem K-5	146
Barnett, McCormick & Conners	2001	Published Study	<i>Transformational Leadership in Schools: Panacea, Placebo, or Problem?</i>	Qualitative (case study)	High Sch 9-12	4
Bell, Bolam, & Cubillo	2003	Published Study	<i>A Systematic Review of the Impact of School Headteachers and Principals on Student Outcomes</i>	Narrative review	NA	NA
Bendikson, Robinson, & Hattie	2012	Published Study	<i>Principal Instructional Leadership and Secondary School Performance</i>	Quantitative (survey)	High Sch	102
Bruggencate, Luyten, & Scheerens	2012	Published Study	<i>Modeling the Influence on Student Achievement: How Can School Leaders Make a Difference?</i>	Quantitative (survey)	High Sch	97
Coelli & Green	2012	Published Study	<i>Leadership Effects: School Principals and Student Outcomes</i>	Quantitative	12 th grade	55 Districts
Cotton	2003	Published Study	<i>Principals and Student Achievement: What the Research Says</i>	Narrative review	NA	NA
Day, Sammons, Hopkins, Harris, Leithwood, Gu, ...Kington	2009	Published Study	<i>The Impact of School Leadership on Pupil Outcomes</i>	Narrative review	NA	NA
Hallinger	2011	Published Study	<i>Leadership for Learning: Lessons from 40 Years of Empirical Research</i>	Narrative review	NA	NA
Kaplan, Owings, & Nunnery	2005	Published Study	<i>Principal Study: A Virginia Study Connecting Interstate School Leaders Licensure Consortium Standards with Student Achievement</i>	Quantitative (survey)	44 HS 5 K-2/3 61 K-5	160
Klar & Brewer	2013	Published Study	<i>Successful Leadership in High-Needs Schools: An Examination of Core Leadership Practices Enacted in Challenging Contexts</i>	Cross-case analysis	Middle schools	3
Kruger, Witziers, & Slegers	2007	Published Study	<i>The Impact of School Leadership on School Level Factors: Validation of a Causal Model</i>	Quantitative	Not reported	Not reported
Leithwood, Day, Sammons, Harris, Hopkins	2006	Published Study	<i>Successful School Leadership: What it is and How it Influences Pupil Learning</i>	Narrative review	NA	NA
Leithwood & Jantzi	2005	Published Study	<i>A Review of Transformational School Leadership Research 1996-2005</i>	Narrative review	NA	NA
Leithwood & Jantzi	2008	Published Study	<i>Linking Leadership to Student Learning: The Contributions of Leader Efficacy</i>	Quantitative	Elem. Middle, HS	96
Leithwood, Louis, Anderson, & Wahlstrom	2004	Published Study	<i>Review of Research: How Leadership Influences Student Learning</i>	Narrative review	NA	NA
Leithwood & Mascall	2008	Published Study	<i>Collective Leadership Effects on Student Achievement</i>	Quantitative	Elem	90

Leithwood, Patten, & Jantzi	2010	Published Study	<i>Testing a Conception of How Leadership Influences Student Learning</i>	Quantitative	Not reported	199
Leithwood & Sun	2012	Published Study	<i>The Nature and Effects of Transformational School Leadership: A Meta-Analytic Review of Unpublished Research</i>	Meta-analysis	NA	NA
Louis, Leithwood, Wahlstrom, Anderson Michlin, Mascall, Gordon, ...Moore	2010	Published Study	<i>Investigating the Links to Improved Student Learning: Final Report of Research Findings</i>	Narrative review	NA	NA
Marzano, Waters, & McNulty	2005	Published Study	<i>School Leadership that Works: From Research to Results</i>	Meta-analysis	NA	NA
McGuffin	2012	Dissertation	<i>Exploring the Direct and Indirect Effects of School Leadership on Student Achievement in Kentucky High Schools</i>	Quantitative	HS	13
Mills, McDowelle, & Rouse	2011	Published Study	<i>A Meta-Analysis of Research on the Mediated Effects of Principal Leadership on Student Achievement</i>	Meta-analysis	NA	NA
Muijs	2010	Published Study	<i>Leadership and Organizational Performance: From Research to Prescription?</i>	Narrative review	NA	NA
Mulford & Silins	2010	Published Study	<i>Organizational Learning in Schools</i>	Qualitative & quantitative	High school	96
O'Donnell & White	2005	Published Study	<i>Within the Accountability Era: Principals' Instructional Leadership Behaviors and Student Achievement</i>	Quantitative correlational	Middle school	75
Penlington Kington, & Day	2008	Published Study	<i>Leadership in Improving Schools: A Qualitative Perspective</i>	Cross-case study	10 Elem 10 Secor	20
Robinson, Loyd, & Rowe	2008	Published Study	<i>The Impact of Leadership on Student Outcomes: An Analysis of the Differential Effects of Leadership Types</i>	Meta-analysis	NA	NA
Rideaux	2011	Dissertation	<i>Principal Leadership Behavior and Its Effect on Student Achievement: An Analysis of Principal Leadership Behavior, Organizational Health, and Student Achievement</i>	Quantitative	Not reported (program schools)	38
Sebastian & Allensworth	2012	Published Study	<i>The Influence of Principal Leadership on Classroom Instruction and Student Learning: A Study of Mediated Pathways to Learning</i>	Quantitative	High school	# not given (all HS in Chicago)
Waters, Marzano, & McNulty	2003	Published Study	<i>Balanced Leadership: What 30 Years of Research Tells Us about the Effect of Leadership on Student Achievement</i>	Meta-analysis	NA	NA
Witziers, Bosker, & Kruger	2003	Published Study	<i>Educational Leadership and Student Achievement: The Elusive Search for an Association</i>	Meta-analysis	NA	NA

Discussion of Essential Findings

Research indicates that principal leadership is correlated with school effectiveness, as defined by student achievement in reading or math (Cotton, 2003; Hallinger, Bickman & Davis; Hallinger & Heck, 1996, 1997; Leithwood, Louis, Anderson, & Wahlstrom, 2004; Walters, Marzano, & McNulty, 2003). However, very few direct effects of principal leadership on student achievement are cited in the research (Hallinger & Heck, 1996, 1997; Leithwood, Louis, Anderson, & Wahlstrom; Scheerens, 2012), as indicated in Chapter 12. A majority of the research indicates that principal leadership affects student achievement [school effectiveness] through indirect or mediating factors (Hallinger, Bickman, & Davis, 1996; Hallinger & Heck, 1997; Leithwood, Louis, Anderson & Wahlstrom, 2004; Robinson, 2007; Robinson, Witziers, Bosker, & Kruger, 2003).

Principal leadership is defined as the principal's ability to influence the actions of the school community stakeholders, including teachers, staff, students, parents (Hoy & Hannum, 1997) in order to achieve the goals of the school (Leithwood & Riehl, 2003), to serve as an instructional leader (Leithwood & Jantzi, 1999), to provide an orderly learning environment (Hallinger et al., 1996, Heck et al., 1990), to facilitate the change process (Hord, 1992), and to be a culture builder (Deal & Peterson, 1999).

A seminal 2004 study, *How Leadership Influences Student Learning*, (Leithwood, Louis, Anderson, & Wahlstrom) claimed that leadership was the second most important school based factor in student's academic achievement. The 2004 study was followed with a sequel study in 2010 (Louis, Leithwood, Wahlstrom & Anderson...Moore) to investigate the links between leadership and student achievement in great depth. The six-

year study reinforced their earlier claim of the importance of leadership. They found that the indirect effects had a statistically significant effect on student achievement (Louis et al., 2010, p. 37).

Key findings for the influence of principal leadership on student achievement include the following:

- a. Principal instructional leadership has significant effects on teachers' sense of professional community, but direct effects on instruction are limited;
- b. Shared leadership has an indirect effect on instruction through professional community;
- c. Trust has a limited impact on professional community;
- d. Building level has a strong effect on professional community and a strong direct effect on achievement; and
- e. Professional community has a significant indirect effect on achievement.

The 2010 study (Louis et al., 2010) reinforced the findings of Cotton (2003) and Waters, Marzano, & McNulty (2003). Cotton conducted a meta-analysis exploring the relationship between the school principal and student achievement. She reviewed 81 reports, consisting of 49 studies at the primary level, 23 at the secondary level, five combinations of reviews and studies, and four textbook analyses of principal behaviors. Based on her review, Cotton (2003) concluded that principals who were knowledgeable and actively involved with their school's instructional programs had higher numbers of high-achieving students than those principals who managed only the non-instructional aspects of their schools. She identified key leadership practices associated with higher-achieving schools. These practices are consistent with those identified in effective

schools research (Edmonds, 1979; Lezotte, 1991) and with the key leadership responsibilities identified by Water, et al. (2003).

Waters, et al. (2003) conducted a systematic meta-analysis of 70 studies, including doctoral dissertations, that claim to examine the effects of leadership on student achievement since the 1970s. The findings from their meta-analysis indicate that there is a significant relationship between leadership and student achievement with an effect size of .25. In addition to the overall impact, they found 21 specific leadership responsibilities correlated with student achievement. The five responsibilities with the highest correlations ranging from .33 to .29, respectively were: situational awareness, intellectual stimulation, change agent, input, and culture. (Waters, et al., 2003, p. 4).

Waters, et al. (2003) examined an additional factor, the concept of magnitude of change. Areas of potential change were identified and classified each as either a first-order change or second-order change. First-order changes are less intrusive than second-order changes. They are less complex, linked to the past, an extension of the status quo, linear, and are more quickly implemented. Second-order changes are those that are more complex, a break from the past, innovative, non-linear, and may require more time, development of new skills, and possibly a change in one's underlying beliefs. Effective principals understand that changes may be viewed and handled differently based on whether the change is a first-order change or a second-order change.

Witziers, Bosker, and Kruger (2003) conducted a meta-analysis on studies in the direct effects of educational leadership on student achievement. Studies reviewed were those conducted between 1986 and 1996 and involved studies from various countries. Their study provided an international perspective on the direct effects model between

1986 and 1996. Results of the study were inconclusive. Overall, the results showed no evidence for direct effects of educational leadership on student achievement in secondary schools. However, in examining specific leadership behaviors, small effect sizes were noted. The leadership behavior “defining and communicating mission” (Witziers et al. p. 416) had the largest effect (Cohen’s *d*), ranging from .30 to .38.

Scheerens (2012) reviewed twelve studies based on an indirect effects model of leadership and school effectiveness. He identified the most relevant intermediating factors for these studies. The indirect leadership studies are shown below in Table 15. Information in the table includes the author, year of the study, most relevant intermediary (mediated) factor, and the path effect.

Table 21

Most Relevant Mediating Factors in Selected Indirect Studies

Author	Year	Mediating Factor	Path Effect Size
Day et al.	2009	Leadership distribution	0.035
Heck & Hallinger	2009	Capacity for change	0.025
Heck & Hallinger	2010	Change in school improvement capacity	0.10
Heck & Moriyama	2010	Change in instructional practices	0.16
Leithwood & Jantzi	2008	Variable school conditions	0.24
Leithwood, Patten & Jantzi	2010	Not reported	Not reported
Louis et al.	2010	Focused instruction	0.05
De Maeyer et al	2007	Integrated leadership	-0.27
Ross & Gray	2006	Teacher commitment to school mission	0.14
		Teacher commitment to community partnerships	0.16
		Collective Efficacy	
Supovitz	2008	Change in instruction	0.02
Ten Bruggencate	2009	None	-
Ten Bruggencate et al.	2010	Time spent on supervising teachers	0.04

Leithwood and Sun (2012) conducted a meta-analysis, synthesizing the results of 79 unpublished studies focused on transformational school leadership and its impact on the school organization. The concept of transformation school leadership is associated with 11 specific leadership practices. Taken as a whole, the leadership practices defined

as “transformational leadership” have moderate positive effects on a variety of school conditions. They have moderately strong and positive effects on teachers’ individual internal states, teachers behaviors, and collective teachers’ internal states. The transformational school leadership (TSL) concept has small but significant positive effects on student achievement. Leithwood and Sun (2012) noted that the most widely accepted models of effective educational leadership includes many of the same practices. They suggest that more attention needs to be given to determining “the impact of specific leadership practices and less to leadership models” (Leithwood & Sun, 2012, p. 387. /

A three year research project (Day, Sammons, Hopkins, Harris, Leithwood, Gu, Brown, ...Kington, 2009) was commissioned by the Department for Children, Schools, and Families (DCSF) in conjunction with the National College of School Leadership (NCSL) in England. The project began in 2006 and involved collaboration between teams from various universities. The study used a mixed methods approach to explore the relationships between school leadership and pupil learning outcomes.

The study was focused on schools that were identified as having significantly raised pupil achievement over a three year period, from 2003 to 2005, inclusive. Many of the schools continued to improve, indicating sustainability and improvement efforts embedded in the school’s work and culture (Day et al., 2009). Six general findings were noted by the researchers (Day et al., 2009):

- a. There are statistically “significant empirical and qualitatively robust associations” between leadership’s values, qualities, and strategic actions and the improvement in school conditions, which led to improved student outcomes (p. 1);

- b. There are similarities between the effects of leadership practices on improvements in primary [elementary] and secondary schools in the study (p. 1).
- c. There is no single model of the practice of effective leadership, but there is a set of common qualities, values, decision-making processes, and strategic actions among the leaders (p. 2).
- d. A common set of these characteristics, processes, skills, and actions are necessary, but insufficient taken in isolation. It is the combination of the strategies based on assessed needs that lead to effectiveness (p. 2).
- e. The strategies are based on clearly-articulated values, focused on student well-being and high achievement. Collectively, these strategies affect cultural change and changes in classroom practices (p. 2).
- f. The research indicates that there are significant differences in the “intensity of actions and the use of certain strategies” between Low-start and High-start groups (p. 2).

Examination of the literature on principal effectiveness yield conflicting findings (Vecchio, 1987; Barker, 2007; Witziers, 2003), indicating that principal leadership has little to no effect on outcomes. However, numerous other studies have found that principal leadership impacts student achievement and school outcomes through mediating factors (Bell, Bolam, & Cubillo, 2003; Hallinger, Bickman, & Davis, 1996; Hallinger & Heck, 1997; Leithwood, Louis, Anderson & Wahlstrom, 2004; Muijs, 2010; Robinson, 2007).

Mediating factors are defined by Hallinger and Heck (1966) as features of an organization which can be manipulated by the leader to influence student achievement

and school outcomes. School-level factors that impact student achievement and school outcomes include: (a) school vision and mission, (b) quality of teaching, (c) teacher's knowledge base and professional expertise, and (d) school culture (Cotton, 2003; Waters et al., 2003; Lezotte, 1991; Leithwood & Sun, 2012; Silens, et al., 2002).

Although each of the factors is important in improving performance, school culture is a significant mediating factor of principal leadership on school and student outcomes (Hallinger et al., 1996; Kruger, Witziers, & Slegers, 2007; Leithwood, et al., 2004, 2006; Leithwood & Sun, 2012; Muijs, 2010; Scheerens, 2012; Robinson et al., 2008; Day et al, 2009; Witziers, Boyken, & Kruger, 2003).

SECTION VI: SUMMARY, KEY FINDINGS, AND FURTHER RESEARCH

Knowledgeable Leadership: Seeing the Forest and the Trees

“Leadership requires the constant integration of the detail and the big picture so that policy is connected to practice and learns from its implementation, so that goals are realistic and achievable, so that action informs planning as well as vice versa.

V. Robinson (2011), p. 155

Chapter 14: Summary and Key Findings

In the initial chapters, the study and a theory of school effectiveness proposed by the researcher, the “Adams-Parker Theory of School Effectiveness” were introduced. This work is the development of that theory. In previous chapters, a synthesis of theory and research was detailed, focusing on three key components of the theory: principal leadership, school culture, and school effectiveness. Chapter 14 is a summary of and conclusion for the study. The chapter begins with a brief overview of the study and the purpose. The chapter includes limitations of the study, key findings, and implications for leadership development.

Summary of the Study

This section is a summary of the study and includes a brief explanation of the context of the study, basic premise, purpose, target audience, and approach used by the researcher.

The passage of the No Child Left Behind Act (2002) ushered in a new era of accountability for public schools across the United States. Principals and teachers have been held accountable for the performance of students on state accountability tests, and sanctions have been severe. State and federal sanctions have included re-structuring, new governance, and replacement of the principal by a turn-around specialist. In addition to federal and state accountability, principals are held accountable by their superintendents. Accountability, job performance evaluations, promotion, potential income, and job security for school administrators are linked to student achievement and school effectiveness. Principals are faced with mounting pressure and expectations to improve student achievement and school effectiveness. Therefore, it is necessary to determine

leadership skills, practices, and behaviors that help to create a positive, productive school culture that leads to student achievement and school effectiveness.

This work was based on the premise that school leadership has a direct effect on school culture, and school culture has a direct effect on school effectiveness and student achievement. The purpose of the study was to link theory, research, and best practices for assisting principals and others in creating a positive and effective learning environment leading to school effectiveness. The manuscript is designed as a resource for educational practitioners in understanding the relationship between and among leadership practices, culture, and school effectiveness. It can be used as a resource to guide school improvement efforts, facilitate changes in school culture from toxicity to productivity, and build productive cultures for increased effectiveness. The target audience includes those charged with school leadership and may include principals, assistant principals, school improvement teams, leadership teams, teacher-leaders, and district leadership teams.

To achieve this end, the researcher compiled, summarized, analyzed, and presented a selection of research and theory on the relationships between and among leadership practices, culture, and school effectiveness, resulting in a synthesis of theory and research on school effectiveness.

Limitations of the Study

This study was a vast undertaking for one researcher. The study was a seven-year project for the researcher involving project planning and approval; development of the “Adams-Parker Theory of School Effectiveness;” identifying, categorizing, and refining key concepts of leadership domains, leadership practices, culture, and school

effectiveness; collecting, reviewing, and synthesizing relevant studies from over 500 entries from theoretical and empirical literature to glean information regarding specific leadership practices and the relationship to school culture and to school effectiveness. It would be preferable to have a team of researchers investigate the topic and triangulate the data.

The complexity of the concepts of culture and leadership and the lack of an agreed-upon definition for the two terms may lead to confusion in interpreting results. A study labeled as a study of climate may, in fact, be a better fit for the category of culture. The reader must know how the concept is defined, how it is measured, and the attributes within the measurement domains to determine conceptual relevance.

Several landmark studies designated as meta-analysis studies included individual studies from various countries as well as unpublished dissertations. Cross-cultural interpretations of “leadership” may not have been controlled by the original researchers. Therefore, the focus of this work on leadership practices, rather than types, models, or styles reflective of a culture’s values, reduced the potential misinterpretation of results due to multicultural differences. According to the results of the *GLOBE Study of 62 Societies* (House, Hanges, Javidan, Dorfman, & Gupta, 2004) and the *GLOBE Study of Leadership Behavior and Effectiveness in 24 Countries*, (House, Dorfman, Javidan, Hanges, & de Luque, 2014), leadership characteristics valued in one culture may not be rated as highly as in another culture. The concept and definition of “effective leadership” varies by culture. Therefore, effective leadership practices need to be viewed within the context of the larger societal culture. In this study, identification of “effective leadership practices” was interpreted from a “blended American” perspective.

Unpublished dissertations were an invaluable source of information. These were closely screened to eliminate those with significant bias. Screening was based on the following criteria: (1) research design was appropriate for the stated purpose, (2) the language used by the researcher was free from bias, (3) instruments included validity and reliability information, (4) results were significant (positive or negative), and (5) the research project was based on an appropriate theoretical foundation. There is disagreement among educational researchers whether unpublished dissertations should be included in a meta-analysis (Borenstein, Hedges, Higgins, & Rothstein, 2009).

The studies represented a variety of methodologies, including qualitative case studies and quantitative studies using surveys, but a majority of studies used self-reported perception data. As with any self-reported perception data, there may be discrepancies between perceived reality and reality.

The focus on leadership practices and cultural elements rather than the general concepts of leadership and culture enabled me to adjust for cross-cultural misinterpretation. However, the conflicting definitions of culture and leadership across studies required me to analyze each study in greater detail. In-depth analysis was needed to determine how the concepts were defined conceptually and operationally, identify specific attributes of the measurements used, and determine how those were linked to the results. The process was time-consuming. Assessing the results of studies using self-reported perception data had to be interpreted with caution. Although the use of unpublished dissertations required an additional level of review, I found the studies selected for review to contain useful information for the practitioner.

Key Findings

This work is designed so that each chapter is a stand-alone chapter with information gleaned from research, theory and practitioner literature. Included in each chapter is information for the practitioner that focuses on understanding the concepts of culture and leadership for affecting school outcomes. This section is a collection of summary findings of the work, emphasizing key points that are reoccurring themes running throughout the document.

School culture affects school outcomes. Section II of this work is a focus on the concept of culture and how those concepts are measured. The topic of “culture” is placed early in the work intentionally. It is a critical aspect of organizational and school effectiveness. A leader must understand first the culture of the organization or school before critical changes are made that affect the deepest constructs of the school’s culture. These are the underlying values, beliefs, and principles which guide the behaviors and practices of the members of the school. There are non-negotiable requirements and expectations that may have to be addressed immediately and without collaboration. These may include issues of safety, appropriate conduct, administrative procedures, and adherence to the required curriculum. However, culture is the context that surrounds us in a system. It encompasses observable behaviors, stated beliefs, and underlying values and principles that may conflict with those of individual members. Understanding a school’s culture is a critical piece of data needed in strategic planning.

Positive, productive cultures and school effectiveness. Section III is a focus on the relationship between school culture and school effectiveness. Various types of school culture are described in Chapter 7. In Chapter 8, research findings indicate that positive,

productive cultures are linked with higher performing schools. In comparisons between high-performing and low-performing schools, research indicates that higher-achieving schools are also schools with a positive, productive, and collaborative school culture.

Toxicity limits greatness. The reverse is also true. Results of cultural assessments of lower-performing schools, as compared to the results of higher-performing schools, reveal that the lower-performing schools had lower cultural ratings, with some degree of cultural toxicity indicated by the participants. Within a school there may be pockets of high performance, but the general trend for the overall school is lower performance on school outcomes. Schools with a toxic culture may be low-performing or static. There may even be good schools with degrees of toxicity, but they may be prevented from growing to greatness due to a toxic culture that is deeply embedded.

Principals affects school culture. Section IV of the work is a focus on the relationship between leadership and school culture. This is the area of possible powerful principal leadership. A review of the research and literature indicate several key findings, including the following:

- School culture is directly affected by the school's leadership.
- It is critical that an educational leader understands the school's culture before attempting to change the culture or implement change within the culture.
- In order to understand the culture, the leader needs to determine the underlying beliefs, values, and principles of the school and of the various stakeholders; to compare espoused values with reality; and to determine

areas of competing values; and assess the degree of productivity and potential toxicity in the culture

Principal's role in changing school culture. A principal needs to know and understand that a school's culture can be changed, and the principal is the lead shape shifter and culture builder. A school can be transformed from a toxic school culture to a more productive culture. However, this may take time, depending on the extent of toxicity and the cultural level that needs changing. Changes at the upper level, observable behaviors, artifacts, stated values can be changed more easily than the next level that consists of understood or implied values (level two) or the deepest level, consisting of underlying beliefs, principles, and values. Changes at the upper level of culture could occur within a year. However, changes at the deepest level of the cultural construct may take several years to change.

The effective leader understands the concept of change, differences between first- and second-order changes, how various groups view and react to change, and how to deal effectively with resistance to change. Developing this knowledge base is critical to a leader who is implementing or facilitating change in a school. Effective school leaders can change a school's culture to a more positive and productive culture. An effective leader will be able to change the school culture by having a thorough understanding of the current and historical culture of the school, knowledge of the change process, and ability to use intentional and strategic practices linked to leadership in effective schools.

Principal affects school outcomes. School leaders can affect student achievement by leading the transformation of the culture of the school to a positive and productive professional learning community for all stakeholders. Principals affect school

outcomes, including student achievement, as mediated through the school culture. By intentionally shaping the school's culture to become a positive, productive, collaborative culture, the principal affects school effectiveness. However, this requires strategic leadership and leadership behaviors that have been linked with effective schools.

Leadership practices lead to school effectiveness. The following practices have been identified in Effective Schools Research, in studies of leadership and school effectiveness, and confirmed through five major meta-analyses, as leadership practices related to school effectiveness and school improvement. These key leadership practices are:

- Using effective communication skills with all stakeholders to clarify the school's vision, mission, non-negotiable expectations, and misperceptions; to mediate dialogue between opposing factions; to seek to understand opposing viewpoints; to share and explain feedback, results, and data; and to ask questions that promote higher-order thinking and an inquiry-based environment
- Ensuring the presence of quality instruction; alignment of curriculum, instruction, and assessment; student engagement in learning; student progress; a safe and orderly learning environment; and appropriate allocation of resources
- Using effective strategies to improve learning and teaching
- Using evidence-based decision making
- Involving stakeholders in decision-making, as appropriate
- Leading the school in continuous improvement

- Demonstrating integrity, professionalism, and self-efficacy in an attempt to establish trust, build rapport, and develop relationships with the various stakeholders.

Implications for Leadership Development

This section includes implications for leadership development at the local and university levels. An extensive knowledge base in school management, law, finance, and leadership theory are critical for an aspiring or veteran principal. However, formalized training is also needed in the “soft skills” of effective communications; team-building; and establishing trust and rapport with others. These skills are also linked to culture building and managing change. With evidence indicating the effect of culture on school effectiveness, additional areas are suggested for leadership development. During professional development or leadership training, emphasis should be given to focusing on practices rather than a particular type or style of leadership.

Knowledge of school cultures and assessment. In this synthesis of research and theoretical literature, positive school culture was found to affect student achievement, and thereby, affect school effectiveness. Professional development in culture, types of culture, and the impact on school outcomes is recommended for practicing and aspiring principals. Topics should emphasize understanding school culture, how to assess culture, how to recognize toxicity, and how to deal with various degrees of toxicity.

Understanding and leading the change process. Training is needed for aspiring and veteran principals on understanding and leading the change process. This should include understanding the differences between first-and second-order changes, the change process, resistance to change, reasons for resistance, strategies for dealing with

resistance, dealing with conflict resolution and mediation, and determining the basis of rationale change.

School districts need to focus on a systematic way to study each school's culture and match a toxic or struggling school's needs with a principal who has the knowledge, skills, and understanding needed to transform the culture of a school to a more productive culture.

Chapter 15: Recommendations for Further Research

This chapter includes recommendations for future research and final thoughts. It is important that practitioners understand the theoretical basis of those areas that have an impact on schooling, student achievement, and school effectiveness. It is also important that educators use the knowledge gleaned from research, theory, and best practices to shape instructional and leadership practices. As educational practitioners, we should become wise consumers of educational research and theory.

Additional research should continue to focus on specific behaviors and practices that lead to transformation of a school's culture and school effectiveness and the ways in which the practices are implemented in high-performing schools.

Case studies of low-performing schools, with new leadership charged with transforming the school to a high-performing school, should include a focus on school culture and the specific behaviors, strategies, and practices the leader used to transform the culture of the school. With the increase in state, federal, and local pressures to turn-around low-performing schools, this information would be beneficial to practicing and aspiring principals.

Cross-study case analysis of low-performing schools characterized by a toxic culture should be conducted with a focus on specific behaviors, strategies, and practices the leader uses to transform the culture and the effect on student achievement.

Culture assessments or culture audits should be conducted with low-performing schools to determine the presence and extent of a toxic culture.

Future research should include an investigation of the relationships between and among district leadership, school culture, and school effectiveness.

Final Thoughts

This study focuses on the importance of “knowledgeable leadership” that transforms school culture and leads to school effectiveness. It is the leadership that enables the principal to see both the trees and the forest. A principal must see the big picture-- the vision for an individual school, as well as the visions for the district and “the place called school.” However, the effective leader must be able to see each and every tree that is part of that forest and be able to nurture both aspects—the forest and the individual trees. That ability requires knowledge of individual parts and of the whole. It is the knowledge of teaching and learning, but it is more. It is also the knowledge of people, change, motivation, trust formation, relationships, conflict resolution, communication, decision making, problem solving, self-reflection, and inspiration. It is the knowledge of knowing what to do and why. It is the knowledge of knowing that one can make a difference and choosing to do so.

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Appendix A
 Concepts, Definitions, and Coding Chart
 (School Effectiveness)

Concept	Constitutive Definition	Operational Definition	Coding
SCHOOL EFFECTIVENESS	School effectiveness is defined as meeting required accountability measures, including performance standards, student indicators outlined by NCLB, stakeholder satisfaction, and positive impact of school and classroom processes.		
School accountability performance	School accountability performance is defined as meeting federal requirements for “Adequate Yearly Progress” (AYP) under the No Child Left Behind Act. In order for a school to “Make AYP,” the school must meet all 28 Annual Measurable Objectives for the aggregate and each of the six subgroups in reading performance, math performance, reading participation, math participation, and meet the 29 th objective (aggregate graduation rate or attendance). Subgroups include: Hispanic, White, Black, students with disabilities, limited English proficient students, and economically disadvantaged students. If a school does not meet all 29 Annual Measurable Objectives, the school receives an AYP rating of “Did not make AYP.” It also means whether or not a school is accredited by the state in which it is located.	Made AYP or did not make AYP. Categories are Yes or No.	AYP=Y or N
Student achievement	Performance of students on tests of reading and mathematics.	Percentage of students passing reading and mathematics tests at the grade levels indicated in the studies reviewed. Scores of students reported in reading and mathematics in the studies reviewed.	% pass rates Actual scores
Promotion	Percentage of students promoted to the next grade level.	Median promotion rate across all grade levels in the school.	P =Median Rate
Attendance	The “Attendance Rate” calculated for the school as part of the NCLB Adequate Yearly Progress Report.	Attendance = Average Daily Attendance/Average Daily Membership	AR = %

Note: The unit of analysis is the school level.

Appendix A
 Concepts, Definitions, and Coding Chart
 (School Effectiveness)

Concept	Constitutive Definition	Operational Definition	Coding
Graduation	The “Federal Graduation Indicator (FGI)” calculated for the school with a graduating class as part of the NCLB Adequate Yearly Progress Report. The FGI is the % of students out of a 4-year cohort, entering as 9 th graders (plus transfers in, minus transfers out) who receive Advanced, Standard or International Baccalaureate Degrees within the 4 school years. It does NOT include students who graduate with a Modified Standard Diploma, those who receive a GED, or those who graduate after 4 years.	Federal Graduation Indicator (FGI) $\text{FGI} = \frac{N + (TI - TO)}{N + (TI - TO)}$ with Adv/Standard/IB end of 4 th yr N=number of 9 th grade sts in xxxx-xxxx yr TI = Transfers in TO = Transfers out	FGI = %
Behavior, crime & violence	The concept of “behavior, crime & violence” is defined as the potential risk of having an unsafe environment due to the number of incidents of negative student behavior, crimes reported, and violence reported to the state department of education or federal government. The higher the number of student incidents, the higher the risk of an unsafe environment.	Number of behavior, crime & violence incidents reported to state department of education for each state. Number of discipline referrals reported to the school administration.	BCV = # D1 = #
Student attitudes	Student attitude is defined as how the student feels toward learning, toward his/her classroom teacher(s), and toward the school.	Student survey in which student indicates the degree to which he/she likes the process of learning, teacher(s), and school.	St Att = depends on what was used in the study. An example may be: 1=low. 5=high
Stakeholder satisfaction	Stakeholder satisfaction is defined as the rating the stakeholder would give to the school on various school indicators.	Stakeholder survey on which the stakeholder would rate various school indicators on a rating system,	SS = mean score rating
Impact of school processes	School processes include the various delivery systems and programs used to meet the needs of students at the school level. Impact is assessed on whether or not the specific systems or programs improve student learning.	Pre/post assessment of students participating in remediation , intervention, differentiated instruction, alternative instruction, or other supplementary services. Gains/losses in student achievement on Curriculum Based Measurements (CBM), benchmark tests, or diagnostic assessments.	Depends on how comparisons are reported. An example may be pre/post assessments.
Impact of classroom processes	Classroom processes include the various delivery systems and programs used to meet the needs of students in the classroom. Impact is assessed on whether or not the specific systems or programs improve student learning.	Pre/post assessment of students participating in remediation , intervention, differentiated instruction, alternative instruction, or other supplementary services. Gains/losses in student achievement on Curriculum Based Measurements (CBM), benchmark tests, or diagnostic assessments.	Depends on how comparisons are reported. An example may be pre/post assessments

Appendix A
 Concepts, Definitions, and Coding Chart
 (School Culture)

Concept	Constitutive Definition	Operational Definition	Coding
SCHOOL CULTURE			
School climate (sub)	Atmosphere, feeling, morale, tone, and personality of the school.	<p>The indicators for the concept “school culture” will vary, depending on the study reviewed. All studies will not have all indicators.</p> <p>Examples of instruments used to measure school culture include: National Study of School Evaluation (NSSE) School Climate Survey (2005), the Comprehensive Assessment of School Environments (CASE) School Climate Surveys (1987) from the National Association of Secondary School Principals Association, and qualitative measures such as a cultural audit..</p>	Coding will depend on what was used in the study.
Norms	Explicit and implicit set of rules that guide a group’s behavior, interactions, dress, and acceptable reactions.		
Values, beliefs & principles	Philosophical ideas that guide behaviors and decisions.		
Trust	Knowledge and belief that the other person intends no harm and will not act in a harmful way		
Vision	The overall embodiment of future outcomes an organization is striving to reach.		
Expectations	Short-term goals and objectives established by an organization or person(s) within the organization.		
Ways of thinking	Manner and openness in which an organization and the individuals in that organization approach the process of decision making, solving problems, resolving conflicts, and addressing new tasks.		
Ways of doing	Procedures, methods, and behaviors for day-to-day operations.		
Decision making	Process and manner in which an organization and the individuals in that organization make decisions, decide courses of action, and plan.		
Use of data	Translating a variety of data into information to be used as evidence for making sound decisions.		
Relationships	Type and depth of connection members have with each other and the level and degree of caring and concern present in that connection.		
Behaviors & interactions	Observable actions of group members toward each other within the organization and toward outsiders.		
Artifacts	Tangible items that are of historical importance to the school and/or that represent the beliefs, values, principles, and vision of the organization.		
Heroes	People deemed to be important to the members of the organization because they embody the beliefs, values, principles, and vision of the organization.		
School improvement	Degree to which the organization and its members are committed to continuous improvement of various aspects of the organization and its processes.		

Appendix A
 Concepts, Definitions, and Coding Chart
 (Leadership Practices)

Concept	Constitutive Definition	Operational Definition	Coding
LEADERSHIP PRACTICES			
Ensures safe & orderly environment	Degree to which the school environment is perceived as safe by the various stakeholders and procedures for operations and management of people are efficient, outlined, and understood by all stakeholders.	The indicators for the concept “leadership practices” will vary, depending on the study reviewed. All studies will not have all indicators.	Coding will depend on what was used in the study.
Establishes & maintains vision & goals focused on high levels for all	The extent to which the principal has facilitated the development of goals, outcomes, and overall image the school stakeholders hope to achieve in the future. This also includes the extent to which this vision is based on high achievement expectations for all students and staff members, regardless of perceived barriers to learning. Minimum achievement targets are established and expected for all students, regardless of disability, English proficiency, ethnicity, background, or socio-economic level.	Examples of instruments used to measure leadership practices may include the Vanderbilt Assessment of Leadership in Education (VAL-ED) developed at Vanderbilt University, 360° leadership surveys, the Principals’ Instructional Management Rating Scale (PIMPRS) by developed by Hallinger and Murphy (1985), or qualitative measures such as leadership audits.	
Has high expectations for all	Minimum achievement targets are established and expected for all students, regardless of disability, English proficiency, ethnicity, background, or socio-economic level. Faculty and staff are also held to a high level of performance in their roles, meeting or exceeding all standards outlined in their respective job descriptions.		
Establishes norm of continuous improvement	The principal facilitates the establishment of routines, procedures, and processes for analyzing data; using the information as the basis for decision making; monitoring progress toward meeting targeted goals and objectives; and adjusting goals and objectives to a higher level based on results. The principal ensures that the school is constantly measuring growth; adjusting the vision, goals, and outcomes; and improving as an organization.		
Plans, implements, and participates in professional development for staff	The principal assesses the professional needs and interests of faculty and staff and organizes opportunities for a variety of learning activities. The principal ensures that each faculty and staff member is involved in the relevant activities. The principal participates in the activities that are required of the faculty and staff.		
Monitors alignment of curriculum, instruction, and assessment	The principal assesses the degree to which the written curriculum is actually taught and the degree to which summative tests reflect what was taught and outlined in the written curriculum.		

Appendix A
 Concepts, Definitions, and Coding Chart
 (Leadership Practices)

Concept	Constitutive Definition	Operational Definition	Coding
LEADERSHIP PRACTICES			
Monitors & facilitates teacher effectiveness	The principal observes each teacher on a regular basis and provides instructional feedback on the teacher's classroom management, facilitation of student learning, knowledge of content and pedagogy, impact of teaching strategies on student learning, student engagement, and relationship with students, parents, and colleagues.		
Provides instructional feedback to teachers/staff	The principal shares specific results of observations, perceptions evaluative assessments with the teacher in a timely manner.		
Uses evidence-based decision making	The principals collects, analyzes, and synthesizes a variety of data and uses the results as the basis for making decisions.		
Involves stakeholders in decision-making & empowers faculty/staff	The principal uses various strategies to include representatives from the faculty, staff, parents, community members and students in making school-based decisions and to address the needs and concerns of various constituents. The principal shares information and allows faculty and staff to make appropriate level decisions based on their respective roles and responsibilities and serves as a resource to them.		
Parent/community outreach & involvement	The principal actively tries to involve and interact with parents and the community through a variety of strategies.		
Monitoring progress of students & sharing results	The principal reviews student grades and assessment results to determine if progress is being made and the extent of the progress; to identify patterns for further analysis, including areas of concern and areas of strength; to review subgroup performance; and to identify students who may be at risk academically.		
Assessment of program impact	The principal collects and analyzes data to determine if a particular program is successful in increasing student achievement.		
Allocation of human & fiscal resources	The method the principal uses to distribute resources to various members of the faculty and staff. Resources may include additional personnel, volunteers, money, materials, increased time, space, or equipment.		

Appendix A
 Concepts, Definitions, and Coding Chart
 (Leadership Practices)

Concept	Constitutive Definition	Operational Definition	Coding
LEADERSHIP PRACTICES			
Self-efficacy	The extent to which a principal believes he or she can make a difference in the effectiveness of the organization.		
Implementation of first and second-order changes	Principal is aware of the differences between 1 st order (incremental, refining) changes and 2 nd order (deep, fundamental) changes; strategies for most effective transition during the change process; the impact of the various types of changes on the faculty and staff; and effective strategies for overcoming resistance and barriers to change.		
Serves as role model	The principal demonstrates commitment to the vision, beliefs, principles, and mission of the school through his/her behaviors and language.		

Appendix B
Measurements of School Culture and Climate

Name of Instrument & Contact Information	Author(s)	Year	Scales	Level of Analysis	Format
<p>California School Climate & Safety Survey (CSCSS)</p> <p>Michael Furlong, PhD University of California Counseling, Clinical, and School Psychology Depart. Santa Barbara, CA 93106</p>	<p>Furlong, et al Furlong, Morrison & Boles</p>	<p>2005 1991</p>	<ul style="list-style-type: none"> • Potentially dangerous behaviors • Global feelings of safety • Positive campus climate • Personally experienced victimization 	<p>School Student</p>	<p>Student self-report questionnaire, format varies by section Likert scale 1-5 (very much – not much, strongly agree/strongly disagree); # times of incidents, Likert 1-3 (How did you feel); multiple choice a-e; and short answer</p>
<p>Comprehensive Assessment of School Environments (CASE)</p> <p>National Assoc. of Secondary School Principals (NAASP) 1904 Association Drive Reston, VA 20191-1537 703.860.0200</p> <p>For survey-related questions or to order, contact Anne Knudsen, 703-860-7263, knudsena@nassp.org.</p>	<p>NAASP</p>	<p>1987</p>	<ul style="list-style-type: none"> • Teacher-student relationships • Security & maintenance • Administration • Student academic orientation • Student behavioral values • Guidance • Student-peer relationship • Parent and community school relationships • Instructional management • Student activities 	<p>School</p>	<p>Surveys (Student, parent, staff forms)</p>

Name of Instrument & Contact Information	Author(s)	Year	Scales	Level of Analysis	Format
<p>Comprehensive School Climate Inventory (CSCI)</p> <p>Contact: Darlene Faster, Director of Communications</p> <p>National School Climate Center (NSCC) 545 8th Avenue New York, NY 10018 212.707.8799, x22 dfaster@schoolclimate.org http://schoolclimate.org</p>	Center for Social Emotional Education (CSEE)	2004	<p><u>10 Dimensions (12 for school staff)</u></p> <ul style="list-style-type: none"> • Safety rules & norms • Sense of physical security • Sense of social-emotional security • Support for learning • Respect for diversity • Social support – adults • Social support – students • School connectedness-engagement • Physical surroundings • Leadership • Professional relationships 	School	<p>(Students, Teachers, Parents)</p> <p>Likert-scale (1-5)</p>
<p>Educational Effectiveness Survey (EES)</p> <p>Center for Educational Effectiveness, Inc. 2249 152nd Ave. NE. Redmond WA 98052</p> <p>Contact Information: Phone: 425-283-0384 Fax: 425-747-0439 www.effectiveness.org</p>	Center for Educational Effectiveness, Washington State	2003	<p><u>Nine characteristics of high-performing schools</u></p> <ul style="list-style-type: none"> • Clear & shared focus • High standards & expectations for all students • Effective school leadership • High levels of collaboration & communication • Curriculum, instruction, & assessment aligned with standards • Frequent monitoring of learning & teaching • Focused professional development • Supportive learning environment • High levels of family & community involvement 	School	Survey
<p>Effective School Battery (ESB)</p> <p>University of Maryland 3214 Benjamin Building College Park, MD 20742 301-405-2858</p>	Gottfredson	1984	<ul style="list-style-type: none"> • School safety • Staff morale, • Administrative leadership, • Fairness and clarity of school rules, • Respect for students, • Classroom orderliness, • Academic climate, • School rewards, • Student educational expectations, • Attachment to school 	School	<p>Survey</p> <p>Variety of response-item categories</p>

Name of Instrument & Contact Information	Author(s)	Year	Scales	Level of Analysis	Format
Effective Schools Student Survey (ESSS)	San Diego County	1984	Designed to address best practice issues related to staff development and school planning. Addresses seven characteristics or correlates of effective schools. <ul style="list-style-type: none"> • High Expectations for Success • Clear School Mission • Instructional Leadership • Frequent Monitoring • Opportunity to Learn • Time on Task • Positive Home School Relations • Safe and Orderly Environment 	School	Survey
Instructional Climate Inventory (ICI)	Braskamp & Maehr	1988	Gathers teacher perceptions of school climate; 12 separate scales related to three general domains: <ul style="list-style-type: none"> • Instructional Leadership • Satisfaction and Commitment, • Climate 	School	Survey
NSSE Survey & Opinion Inventories NSSE 1699 East Woodfield Rd. Schaumburg, IL 60173 1-800-843-6773	National Study of School Evaluation	2005	<ul style="list-style-type: none"> • Quality of the instructional programs • Support for student learning • School climate • Parent/school relationships • Student/school relationships • Resource management 	School	Survey Likert-scale
Organizational Climate Description Questionnaire (OCDQ)	Halpin & Croft	1962	<ul style="list-style-type: none"> • Supportive principal behavior • Directive principal behavior • Restrictive principal behavior • Collegial teacher behavior • Intimate teacher behavior • Disengaged teacher behavior 	School	Questionnaire
Organizational Climate Description Questionnaire-Revised Elementary Form (OCDQ-RE, Elementary)	Halpin & Croft	1962	<ul style="list-style-type: none"> • Supportive principal behavior • Directive principal behavior • Restrictive principal behavior • Collegial teacher behavior • Intimate teacher behavior • Disengaged teacher behavior 	School	Questionnaire

Name of Instrument & Contact Information	Author(s)	Year	Scales	Level of Analysis	Format
Organizational Climate Description Questionnaire-Secondary Form (OCDQ-R, Secondary)	Halpin & Croft	1962	<ul style="list-style-type: none"> • Supportive principal behavior • Directive principal behavior • Restrictive principal behavior • Collegial teacher behavior • Intimate teacher behavior • Disengaged teacher behavior 	School	Questionnaire
Organizational Culture Inventory Human Synergetics 148 Randhurst Village Drive Suite 200 Mount Prospect, IL 60056 Toll Free: 800.622.7584 Phone: 847.590.0995 Fax: 847.590.0997 info@humansynergetics.com	Cooke & Lafferty	1983	Measures extent to which behaviors helps people to fit in and meet expectations in the organization <ul style="list-style-type: none"> • Principal leadership, • Teacher professionalism, • Achievement press for students to perform academically • Vulnerability to the community. Note: The measure is a combination of the OHI and OCDQ	School	Likert-scale (1-5) 1 = Not at all 5 = To a very great extent
Organizational Health Inventory Contact Information Wayne K. Hoy Professor Emeritus Educational Administration The Ohio State University whoy@mac.com http://www.waynehoy.com	Hoy & Sabo Hoy et al.	1998 1991	<ul style="list-style-type: none"> • Institutional Integrity • Consideration • Initiating Structure • Principal Influence • Resource Support • Morale • Academic Emphasis 	School	Questionnaire Rate extent to which statements are true' (34-50 items)
Organizational/Supervisory Climate Inventory	Claudet	1998	<ul style="list-style-type: none"> • Organizational structure • Professional autonomy • Collaborative sharing/rapport • District supervisory climate • Self-reflection • Centralization 	School	Survey Likert-scale (1-4) 1 = Strongly Disagree 4 = Strongly Agree

Name of Instrument & Contact Information	Author(s)	Year	Scales	Level of Analysis	Format
<p>School Climate Assessment Instrument (WASSC-SCAI)</p> <p>*Note: previously Western Alliance for the Study of School Climate</p> <p>John Shindler, Ph.D. Professor of Education California State University, Los Angeles</p> <p>Alliance for the Study of School Climate 5151 State University Drive Los Angeles, CA 90032 Phone: 323.343.5824</p>	<p>*Alliance for the Study of School Climate</p>	<p>N.D.</p>	<ul style="list-style-type: none"> • Appearance & physical plant • Faculty relations • Student interactions • Leadership/decision-making • Discipline environment • Learning environment • Attitude & culture • School-community relations 	<p>School</p>	<p>Survey</p>
<p>School Climate Inventory-Revised (SCI-R)</p> <p>(Tennessee School Climate Inventory – Revised)</p> <p>Center for Research in Education Policy at CREP@memphis.edu or 1.866.670.6147</p>	<p>Butler & Alberg Butler & Rakow</p>	<p>1989 1995</p>	<ul style="list-style-type: none"> • Order • Leadership • Environment • Involvement • Instruction • Expectations • Collaboration 	<p>School</p>	<p>Survey (faculty only) Likert-type scale (1-5) 1 = Strong Disagreement 5 = Strong Agreement</p>

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<p>[CFK] School Climate Profile (SCP)</p> <p>[Charles F. Kettering Foundation]</p>	Fox, et al.	1973	<ul style="list-style-type: none"> • <u>General School climate</u>-Respect, trust, high morale, opportunity for input, continuous academic and social growth, cohesiveness, school renewal, caring • <u>Program determinants</u>- Opportunities for active learning, individualized performance expectations, varied learning environments, flexible curriculum and extracurricular activities, support and structure appropriate to learners' maturity, rules cooperatively determined, varied reward systems • <u>Process Determinants</u>- Problem-solving ability, improvement of school goals, identifying and working with conflicts, effective communications, involvement in decision making, autonomy with accountability, effective teaching-learning strategies, ability to plan for future • <u>Material determinants</u>- Adequate resources, supportive and efficient logistical system, suitability of school plant 	School	
<p>School Culture Audit</p> <p>Dr. Chris Wagner Center for Improving School Culture P. O. Box 737 Cloquet, MN 55720 Phone: 270.791.3088</p>	Phillips	1993	<p>Examines 3 types of behaviors:</p> <ul style="list-style-type: none"> • Professional collaboration • Collegial relationships • Efficacy/self-determination 	School	<p>5-step Audit</p> <ul style="list-style-type: none"> • Interviews • Observations • Survey • Evaluation • Presentation

Name of Instrument & Contact Information	Author(s)	Year	Scales	Level of Analysis	Format
School Culture Survey	Saphier & King Edwards et al.	1985 1996	<ul style="list-style-type: none"> • Teacher professionalism and goal setting • Professional treatment by administration • Teacher collaboration 	Individual & School	Survey Likert-scale (1-5) 1= almost never 5= almost always
School Culture Survey (SCS) Middle Level Leadership Center University of Missouri To obtain permission to use this instrument, print and complete the permission form found at www.mllc.org	Gruenert & Valentine	1998	<ul style="list-style-type: none"> • Collaborative leadership • Teacher collaboration • Professional development • Collegial support • Unity of purpose • Learning partnerships 	School	Survey
School Culture Triage Survey Dr. Chris Wagner at chris@schoolculture.net or 270.791.3088 Center for Improving School Culture P.O. Box 737 Cloquet, MN 55720	Phillips Phillips & Wagner Wagner & Masden-Copas	1996 2002 2002	Measures degree to which the three “culture behaviors” are present in the school/district <ul style="list-style-type: none"> • Professional collaboration • Affiliative and collegial relationships • Efficacy or self-determination 	School District	Survey Liker-scale (1-5) 1= Never 5 = Always or Almost Always
School Level Environment Questionnaire-Rev (SELQ-Revised) Emerald Group Publishing Howard House—Wagon Lane Bingley BD16 1WA United Kingdom T: +44 (0)1274 777700 F: +44 (0)1274 785201 emerald@emeraldinsight.com	Rentoult & Fraser	1983	Eight dimensions: <ul style="list-style-type: none"> • Affiliation • Student supportiveness • Professional interest • Achievement orientation • Formalization • Centralization • Innovativeness • Resource adequacy 	School	Questionnaire

Name of Instrument & Contact Information	Author(s)	Year	Scales	Level of Analysis	Format
School Success Profile Learning Organization (SSP-LO) Gary L. Bowen, Ph.D. School of Social Work, University of North Carolina 325 Pittsboro Street Chapel Hill, NC 27599-3550	Bowen & Powers	2003	<u>Dimension: Learning Organization Actions</u> <ul style="list-style-type: none"> • Team orientation • Innovation • Involvement • Information flow • Tolerance for Error • Results orientation <u>Dimension: Sentiment</u> <ul style="list-style-type: none"> • Common Purpose • Respect • Cohesion • Trust • Mutual support • Optimism 	School	Survey Likert-scale (1-6) 1 = strongly disagree 6 = strongly agree
School Work Culture Profile	Snyder	1988	<ul style="list-style-type: none"> • School-wide planning • Professional development • Teacher collaboration 	School	Survey Likert-scale (1-5) 1= strongly disagree 3= undecided 5= strongly agree
Staff Development & School Climate Assessment Questionnaire (SDSCAQ)	Zigarmi & Edeburn	1980	<ul style="list-style-type: none"> • Communications • Innovations • Advocacy • Decision making • Evaluation • Attitudes toward staff development 	School	Questionnaire