LEADERSHIP IN GANG-IMPACTED SCHOOLS: HOW PRINCIPALS LEAD IN SCHOOLS
THAT HAVE LESS GANG ACTIVITY THAN THEIR COMMUNITY

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ABSTRACT

A safe (free from gang activity) and disciplined school environment conducive to learning is mandated by federal legislation such as the No Child Left Behind Act. Research has concentrated on reasons for gang activity in the school and the community as well as leadership in general but there is a void in the literature as it relates to the type of leadership in schools that is successful in limiting gang activity in schools that are less gang-impacted than the community from which they draw. Research questions include: (1) what do principals say about how they lead in gang-impacted schools that have fewer gang-related incidents than the community from which they draw their population and (2) what is the connection between principal leadership style and the presence of relatively fewer gang-related incidents in schools than in the community from which they draw their population?

This phenomenological study answered the question of how principals lead in gang-impacted schools with a more favorable environment than the communities they serve through interviews, observations and document analysis. The final product is the portraits and stories of principals' relationships with gang-impacted schools and the central concept of leadership in these types of schools. According to the three participants interviewed in this study, both transactional and transformational leadership attributes are necessary to lead a gang-impacted school that has fewer gang-related incidents than the community from which it draws. The underlying conclusion in this research study is that leaders who display more transformational leadership than transactional leadership attributes are more successful in gang-impacted schools. As a result of this study, principals who are placed in schools identified as being gang-impacted will be better equipped to identify and practice leadership behaviors that have worked for other school leaders. In addition, school districts will be better able to identify and provide staff development to and for potential leaders as it relates to leadership.

Dedication

This dissertation is dedicated to the following people:

- the memory of my father, Col. William F. Hebert, who emphasized the importance of education and helped me with my lessons throughout his life. Although he is not here to see in person the results of his support and love, I know that he would be proud of my accomplishment.
- my mother, Alice Sherman Hebert, who has been my role-model for hard work, persistence and personal sacrifices.
- Melissa J. Ackerman, who has been proud and supportive of my work and who has shared the many uncertainties, challenges and sacrifices for completing this dissertation.
- my siblings – William P. Hebert, Lisa M. Hebert, Joseph D. Hebert, Andrew F. Hebert, and Leslie A. Hebert – who have been my emotional anchors through not only graduate school, but my entire life.
- my uncle, Dr. Thomas Malesky, Ed.D., who has always been a role model for me in the field of education, constantly supportive and understanding of my goals.

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Specifically, I would like to thank my Skipper who guided me through the waters of dissertation writing not only from his boat during the summer months while on vacation, but through the various classes and seminars of the dissertation journey.

Additionally, Louie: I'm glad you said yes to be on my committee despite your initial hesitation. It meant a lot to me.

Table of Contents

LIST OF TABLES

LIST OF FIGURES

Chapter 1

Setting the Context for Inquiry

Goals 2000, The Educate America Act, stated that we would have safe, disciplined, and drug-free schools providing an environment favorable to learning by the year 2000 (Goals 2000: Educate America Act, 1994). In addition, the No Child Left Behind Act (2002) mandated that schools provide a significant educational experience for all students (No Child Left Behind, 2002). These goals and expectations are in line with the idea that school violence allows a culture of fear to overcome a culture of learning, thereby lessening academic achievement. Gronna and Chin-Chance (*Effects of School Safety and School Characteristics on Grade 8 Achievement: A Multilevel Analysis,* 1999) asserted that students who attend safer schools are more academically successful than those who attend less-safe schools. Also, according to Grogger (*Local Violence and Educational Attainment*, 1997), students who are disrupted by school violence may lose concentration, which could lead to a lapse in academic advancement.

Gang activity is one type of school violence that has been identified as inhibiting the academic achievement of students. Gottfredson, Gottfredson and Associates (*Gang Problems and Gang Programs in a National Sample of Schools*, 2001) in their report to the Department of Justice stated that "Youths who participate in gangs have much lower expectations than do other students, and are very much more likely to be threatened or victimized in school" (p. iv). According to reports issued by the U.S. Department of Education and Justice and other sources, (Chandler, Chapman, Rand, & Taylor, *Students' Reports of School Crime: 1989 and 1995*, and 1998; Gottfredson et al., 2001; Howell and Lynch, *Youth Gangs in Schools*, 2000), gang activity is present in school if there are reports of weapons, drugs, and violence in school. In addition, violent victimization of students in school was identified as another indication of gang activity, especially by rival gangs (Chandler et al., 1998). Trump (*Youth gangs and schools: The need for intervention and prevention strategies,* 1993) asserts that "although the majority of youth within a typical school do not participate in gang-related activity, the incidents that do occur impact the entire school community. Unresolved conflict interferes with the educational process and deprives students and faculty of valuable time needed for learning" (p. 4).

School administrators, particularly the head principal, are responsible for maintaining a safe and orderly environment so that academic achievement is encouraged and nurtured. Parents

and guardians send children to school with the expectation that the health, safety and welfare of their children will be maintained while, simultaneously, the students are being educated and socialized appropriately according to law. However, the rise in violence and gang activity (drugs and weapons) in schools has left administrators searching for the optimal way to keep schools safe and orderly while continuing to maintain a positive and productive learning atmosphere.

The type of leadership necessary to maintain safe and effective schools, which includes curbing gang activity, continues to be under-identified. As gang behaviors are often violent in nature and are increasing in frequency, appropriate leadership in gang-impacted schools must be identified and cultivated to keep schools safe and the learning environment viable. "The incidence of gangs in schools nearly doubled from 1989 to 1995, mirroring the growth in youth gangs seen over the past two decades" (Howell and Lynch, 2000, p. 1). According to Egley and Major (*Highlights of the 2002 National Youth Gang Survey,* 2004) 42 percent of respondents believed that the youth gang problem was getting worse. This was a significant increase when compared to earlier survey results of 27 percent (Egley, *National Youth Gang Survey Trends from 1996-2000,* 2002). According to Gottfredson et al. (2001), "Youths who participate in gangs have much lower educational expectations than do other students, and are very much likely to be threatened or victimized in school. For example 28 percent of gang-involved boys but only five percent of other boys reported that they had been threatened with a knife or a gun in the current year in school" (p. iv). In the 1980s and 90s, gangs became an epidemic (Griffin, *Gangs in Schools; an introduction to the problem and interventions*), and by 1998, the existence of youth gangs was reported in all 50 states (Arnette &Walsleben, 1998, *Combating Fear and Restoring Safety in School*). Leadership, specifically, is an issue that is mentioned by those concerned – school personnel, law enforcement, and parents alike – with the growth of gang activity; "principals' reports of school gang problems are associated with more victimization, less safety, and poorer administrator leadership according to teacher reports" (Gottfredson and Gottfredson, 1997, p. 21).

While much is written about the specific strategies that are available to school leaders to control gang visibility in the schools, very little is available to help identify specific leadership behaviors that are effective at limiting or eliminating violent behavior in gang-impacted schools. According to Moore (*Leadership Theory and Student Violence: Is There a Relationship?,* 1998),

"It appears that the leadership behavior of principals is related to school climate and school violence" (p. 52). Moore (1998) believes that the leader of the school, the principal, is the most noteworthy factor in determining school climate. If this premise is to be accepted, then the specific leadership styles must be identified to maintain a safe, learning atmosphere.

According to Wheatley (*Leadership and the New Science: Learning about Organization from an Orderly Universe,* 1994*),* the chaos theory of leadership – reaction based on the situation versus a well planned response – may explain why school leaders react to school violence in certain ways, but this explanation does little to help school leaders identify and practice a type of leadership that will limit or eliminate the violence in the first place. As Figure 1 outlines, this study will
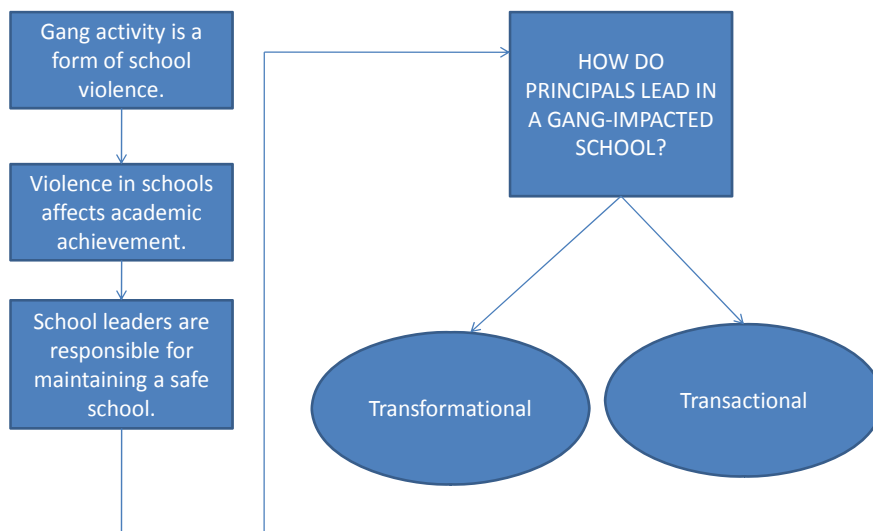
Figure 1. Context for inquiry.

attempt to describe the experiences of school principals as they relate to gang activity in order to better understand the leadership behaviors that are better suited to that environment.

Purpose and Significance of the Study

The purpose of this study is to identify and describe the common or shared experiences of high school principals whose schools maintain a more favorable environment than the communities they serve. This study helps to develop a deeper understanding of the leadership behaviors or types of leaders that seem to be more effective in limiting or eliminating gang activity in schools that are impacted by this condition. This phenomenological study results in portraits and stories of these principals' relationships with gang-impacted schools, and the central concept of leadership in these types of schools will be described through the words of the participants.

Using the results from this study, principals who are placed in schools identified as being gang-impacted will be better equipped to identify and practice the leadership behaviors that have worked for other school leaders when trying to limit or eliminate gang activity. Secondly, school districts will be better able to identify and provide staff development to and for potential leaders so they will possess the leadership characteristics necessary to lessen gang activity and keep schools safe. Finally, this study will add to the body of literature that exists about leadership as it relates to the impact of gang-impacted or unsafe schools on academic achievement.

Research Questions

School administrators are responsible for maintaining a safe environment so that academic achievement by all students can be a priority. Gang violence is one type of school violence that impacts learning. Therefore, the principal of a gang-impacted school should employ leadership behaviors that are most effective in reducing or preventing gang activity in schools. The research questions that will drive this phenomenological study are as follows:

1. What do principals say about how they lead in gang-impacted schools that have fewer gang-related incidents than the community from which they draw their population?
   a. What do principals say they do in gang-impacted schools?
   b. What do principals say they don't do in gang-impacted schools?
   c. What do principals say are difficult or easy about being a leader in a gang-impacted school?

2. What is the connection between principal leadership style and the presence of relatively fewer gang-related incidents in schools than in the community from which they draw their population?

These research questions are grounded in two separate theories and areas of study – school violence (of which gang activity is a component) and leadership styles and behavior as shown in Figure 2.
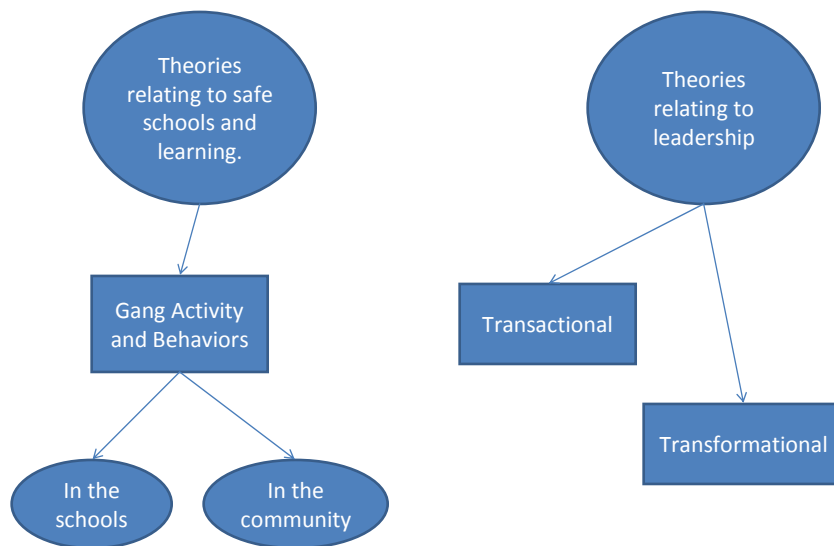
Figure 2. Conceptual framework: How do principals lead in a gang-impacted school which has less gang activity than the community from which it draws?

Definition of Terms

The definitions below are presented for the purpose and context of this paper. Other definitions for these terms exist, however, within the body of this paper, these definitions are being employed. Although some definitions are directly taken from the research, others were developed from the perspective of this research proposal.

Crew: a group of long-term friends with similar interests, similar to adolescent cliques; an organized social group presumably without criminal intentions (Lopez, Gallimore, & Rivera, *Latino High School Students' Perceptions of Gangs and Crews*, 2006).

Edge cities: those cities going through a state of rapid growth, and a major demographic shift - often a result of White flight (Bodinger-deUriarte, *Membership in Violent Gangs Fed by Suspicion, Deterred through Respect, 1993).*

Gang: three or more persons having a common identifying sign or an identifiable leadership who continuously or regularly associate in the commission of criminal activities.

Gang activity and/or indicators: presence of both guns and drugs, violent victimization of others, graffiti, vandalism, "stare downs", identifiable signs of membership in a gang such as clothing (style, color, etc.), colors, college or pro-sport logos, images, numbers, letters, hand signs, carrying of beepers, pagers, cell phones, sudden changes in grades and conduct, increase in truancy, limited/no involvement in extracurricular activities.

Gang-impacted: The combined presence of drugs, weapons, and violence in the school and the community.

Transactional leadership: the power to perform certain tasks and reward or punish for the team's performance. It provides the opportunity to lead the group and the group agrees to follow this lead to accomplish a predetermined goal in exchange for something else (Burns, *Leadership*, 1978).

Transformational leadership: the power to motivate teams to be effective and efficient through communication as the base for goal achievement. Transformational leaders focus on the big picture and employs motivational techniques to encourage followers to achieve the vision (Burns, *Leadership,* 1978).

Limitations and Delimitations

The researcher is a current high school assistant principal who works in a gang-impacted school, although only marginally impacted. In addition, the researcher has attended two gang-related workshops resulting in gang certification. Finally, the researcher has worked as an

assistant principal for one of the participants. Researcher bias could become a problem if the interviews become more guided in nature rather than allowing the stories to emerge naturally. The researcher's own predilections toward what works in a gang-impacted school and with gang prevention could influence responses if there is not adequate control on the part of the researcher.

A second limitation is the sample of participants. The assumption made by the researcher is that the head principal, rather than the assistant principals are responsible for the culture and climate of a school. Therefore, the choice to interview and observe only head principals was made. However, this may under- or overestimate the actual impact of the other administrators who work with the students on a daily basis.

Another problem with the sample may be the actual identification of the school as more or less gang-impacted. One component of the determination was made based on the numbers of drugs, weapons, and physical altercations that were reported on the discipline report sent to the Department of Education (DOE) by the schools. If a school under-reported its data, then the identification of a school as less gang-impacted than others may be skewed.

The data categories on the DOE report are problematic, as well. There is a code for assault, which is a form of physical altercation. An assault requires the involvement of the police as a criminal infraction. Most schools report physical altercations or fights as just that, thus avoiding police involvement. There is also a code solely for gang activity which is rarely entered. This is because the administrator must catch the students in the act, i.e. using their gang signs to indicate that the fight or verbal altercation is actually gang related. Finally, weapon is a broad category, including pocket knives as well as guns. A weapons' entry may range from box cutter to rifle to pellet gun. A pellet gun is not the weapon of choice for a violent gang altercation; however, it is included in the DOE reports.

These data were then compared to the data provided by law enforcement – the numbers of drugs, weapons, and physical altercations in the subdivisions which make of the attendance zones of each high school. Since many subdivision serve two or more schools, the numbers used in the comparison of school discipline infractions versus criminal actions may be counted twice. The ratio used to compare the schools to the communities, however, is large enough to account

for the double counting (1:5 – 1 incident of discipline as compared to 5 incidents of criminal activity).

Finally, because the literature generally reflects the idea that all leadership can be connected to transactional and/or transformational leadership approaches in some way, only these two categories were explored. Any unanticipated findings will be discussed in Chapter Five.

Summary of Chapters

This dissertation will contain five separate chapters. The first chapter introduces the magnitude of the gang problem in the schools, clearly presenting the need for the identification of the type of leadership best geared toward reducing the influence of gangs in schools. With gang incidents doubling in the span of only five years (Howell & Lynch, 2000), a 15 percent increase in survey responses reflecting that the gang situation has become worse in a one year span between 2001 to 2002 (Egley & Major, 2004) and gang activity being reported in all 50 states (Arnette & Walsleben, 1998), the nature of the gang problem in schools and the need for leadership to control its influence cannot be overstated.

Chapter 2 provides a review of literature designed to ground the study in theory as well as show the gap in the literature to which this study can contribute. This will include an analysis of school safety and its influence on academic achievement; gang activity and behaviors; gang preventions and interventions; gang activity as a pattern within local crime, and finally a discussion about Transactional and Transformational Leadership.

Chapter 3 focuses on the methodology to be used in this study. The research design (a phenomenological study) is explained in full, including information regarding the overall approach and rationale for the study, the site and population selection (sampling strategies), data gathering and data-analysis procedures, reliability, and any ethical considerations.

Chapters 4 and 5 present the research findings and present ideas for future study. Chapter 4 provides a quick review of the research design followed by a description and explanation of the leadership behaviors used by the participants in the study and their understanding of the meaning of the findings. Chapter 5 reports the findings, implications, and recommendations. Each

research question was examined in order to find an overarching conclusion. This chapter allows for a discussion of the relationship of the findings to the literature, as well as recommendations for future study.

Chapter 2
Review of Literature

This critical review begins by exploring the literature relating to safe schools and the effect of unsafe schools on learning. Gang activity and behaviors (as a component of unsafe schools) are explored in the context of the school and the community. Theories relating to leadership, specifically transformational and transactional, are examined in order to connect to the overarching question being explored: How do principals lead in a gang-impacted school which has less gang activity than the community from which it draws its population? The review of literature is guided by the following research questions:

1. What do principals say about how they lead in gang-impacted schools that have fewer gang-related incidents than the community from which they draw their population?

    a. What do leaders say they do in gang-impacted schools?
    b. What do leaders say they don't do in gang-impacted schools?
    c. What do leaders say are difficult or easy about being a leader in a gang-impacted school?

2. What is the connection between principal leadership style and the presence of relatively fewer gang-related incidents in schools than in the community from which they draw their population?

As stated earlier, the conceptual framework that the literature review is based on is represented in Figure 2.

Literature Review Process

Span of years. Original search efforts were confined to the years 1995 to 2007. However, as research progressed it became clear that the seminal research on the theories of gangs and gang behavior, as well as research on leadership, took place much earlier, in the 1970s and 1980s. The increase in literature on gangs and gang activity was directly related to the growth and influence of gangs such as the Crips and the Bloods in large metropolitan cities. The literature on leadership began to develop with the advent of leadership changes in large manufacturing companies such as Xerox and General Motors. Emphasis is given to studies that

were conducted in the past 10 years whenever possible, but early, groundbreaking research regardless of the year is included and discussed in-depth as well.

Nature of literature reviewed. Literature included in this review consists of theoretical literature, commentary literature, primary and secondary sources, web-based documents, government reports, and qualitative and quantitative research studies. The included theoretical literature discusses the basis for leadership behaviors and their effectiveness. A second group of theoretical literature examines the effect school safety has on academic achievement. In addition, commentary literature addressing the connection among drugs, weapons, and physical altercations as it relates to gangs and safety in schools is examined; commentary literature discussing leadership as it applies to schools is also explored. Web-based documents, government reports and various studies are presented, analyzed, and synthesized in order to achieve a deeper understanding of the effect leadership has on the culture and climate of schools as it relates to gang activity.

Search methodology.

Initial searches. The Educational Resources Information Center (ERIC) from First Search and from EBSCOhost was used the most extensively. It was primarily used to search ERIC, but also all data bases in the Virginia Polytechnic and State University Library system including Addison, the library catalog. The Digital Library and Archives was used to search Electronic Theses and Dissertations. Materials were obtained via the Inter Library Loan and Document Delivery service (Illiad) at Virginia Polytechnic and State University. In addition Google Scholar was used to identify general topics of interest that would then be included in the EBSCO Host: Advanced Search data base.

Key words. Searches were made using relevant key words and phrases: gangs; gang activity; gang-impacted; school safety; unsafe schools; principal leadership; school safety and principal leadership; school safety and academic achievement were terms used to find literature relating to safe schools and academic achievement. When searching for research relating to gang activity in the schools and/or the community terms used included: gang activity and school safety; principals and gang-impacted schools; gang activity and academic achievement; principal leadership and academic achievement; principal leadership and gang-impacted schools; school violence and academic achievement; gang prevention and intervention; school effectiveness and

gang activity. When researching leadership and leadership behaviors search terms included transformational leadership and school improvement; transactional leadership and school improvement

The search words or phrases that resulted in the most hits were: school safety and academic achievement; gang activity and school safety; gang activity and academic achievement; principal leadership and school effectiveness; transformational leadership and school improvement using "AND" as the Boolean connector. Online review of the abstracts reduced the selections to a reasonable number based on the selection criteria. Articles and studies related to prevention and intervention strategies were eventually excluded as leadership behaviors not programs were being examined.

Although literature was reviewed dealing with prevention of gang activities, literature dealing with specific intervention programs was excluded from the review. Leadership theory stresses the how of leadership, versus the what; the programs that were implemented may help curb gang activity, but convincing people of the need for the program is true leadership in action.

The literature that argued gang activity in schools was minimal and did not need to be addressed was included in the review. By presenting the argument that schools need to worry about academic interests only, the researcher was able to identify areas of concern that specific leadership behaviors could address.

Additional search channels. Supplementary search avenues included websites of organizations, conference papers and reports from various government agencies such as the Department of Justice and the Department of Education, and attendance at gang workshops and conferences. Meta-analyses, guides, books of first person accounts of dealing with gangs and gang activity in schools, reference lists found in the back of useful articles and studies were examined for additional sources of information. The reference lists were compared to determine point of origin for primary sources, sources that were cited by numerous studies that became the basis of the research in the areas of school safety, academic achievement and leadership. These studies may include seminal research and landmark studies.

Research dealing with the leadership of principals in gang-impacted schools was abundant but focused on specific reactive techniques. Research specifically pertaining to how

principals lead in gang-impacted schools that have fewer gang-related incidents than the community from which they draw their population was non-existent; rather research dealing with leadership behavior was embedded within the research on effective leadership, school safety and academic achievement.

School safety and learning.

Abraham Maslow (*A Theory of Human Motivation,* 1943) created a hierarchy of needs (see Table 1) consisting of five levels in order of importance. The lower four levels represent deficiency needs; needs that are necessary for human survival – physiological, safety, love/belonging, and esteem, while the uppermost level represents the needs of self-actualization. Deficiency needs must be met first, and if these needs are not met, an individual feels anxious and tense (Maslow, 1943).

Table 1

Maslow's Hierarchy of Needs

Needs	Examples	
Self-Actualization	Morality, creativity, problem-solving	
Esteem	Self-esteem, confidence, achievement	
Love/Belonging	Friendship, family	
Safety	Security of body, health, resources	
Physiological	Breathing, food, water, sleep	

According to National Goals 2000, specifically Goal 3: Student Achievement and Readiness, "The percentage of all students who demonstrate the ability to reason, solve problems, apply knowledge, and write and communicate effectively will increase substantially" (Goals 2000: Educate America Act, 1994). (see Appendix A) As evidenced by Maslow's Hierarchy of Needs (see Table 1), a feeling of safety must be achieved before any self-actualization can occur, and if a person, in this instance, a student does not feel safe, then learning (for instance, problem-solving) cannot take place. The basic need for safety must be satisfied before self-actualization can occur; school safety is paramount if learning is to transpire.

Gronna and Chin-Chance (1999) assert that students who attend safer schools are more academically successful than those who attend less-safe schools. According to Grogger (1997),

students who are disrupted by school violence may lose concentration, which could lead to a lapse in academic advancement. These assertions are in line with Maslow's Hierarchy of Needs (Maslow, *A Theory of Human Motivation,* 1943); students cannot move up the hierarchy until their need for safety is actualized. As suggested earlier, school principals are the individuals responsible for maintaining a safe environment, so their leadership styles are of interest.

Gang activity and behaviors in the schools.

Gang activity as a component of school violence has been identified as inhibiting the academic achievement of students. Gang activity in schools allows for a culture of fear to exist. This interferes with the educational process by disrupting learning. A report issued by the U.S. Department of Education and Justice (Chandler, Chapman, Rand, & Taylor, 1998) detailed several concerns regarding gangs and gang activity in schools. The main pieces of data are summarized as follows:

1. There is a strong correlation between the presence of gangs and both guns and drugs in schools.
2. Higher percentages of students reported knowing a student who brought a gun to school when gangs were present at the school than vice versa.
3. Gang presence increased the likelihood of seeing a student with a gun at school.
4. Students who reported that drugs were readily available at school were much more likely to report gangs at school.
5. The presence of gangs increased the likelihood of violent victimization at school (p.12).

The actual scope of the youth gang problem in American schools and its influence on academic achievement of either the gang members or non-affiliated students is difficult to assess. Even the use of the word "gang" to describe the group is not consistent across the nation, i.e. some may use "crew" or "posse" to describe their group (Howell, *Youth Gangs: An Overview*, 1998). While gangs are widespread in certain cities like Chicago and Los Angeles, many other cities, and consequently schools, deny the reality of gang activity altogether to avoid a negative image associated with their jurisdiction. In order to explore how school administrators lead in gang-impacted schools, it is necessary to define gang activity and consider the reasons why

young people join gangs. As defined earlier, gangs are three or more persons with a common identifying sign or an identifiable leadership who continuously or regularly associate in the commission of criminal activities (*Working Together to Erase Gangs in Our Schools,* 1993; Howell and Lynch, 2000). A more school-oriented definition is "groups or societies that initiate, advocate, or promote activities that threaten the safety or well-being of any person(s) or property on school grounds or that disrupt the school learning and working environment" (Gang Activity, 2004, p. 1).

There are various types of gangs to which these young people may belong. Delinquent youth gangs are groups of students who hang out together and have a group name, color, hand sign, etc. Turf-based gangs typically defend a geographic territory that they have marked as their own. Oftentimes graffiti marks the territory and criminal activities such as drive-by shootings are used to defend their claim (*Working Together to Erase Gangs in Our Schools,* 1993). Gain-based gangs are together for the purpose of engaging in criminal activities for economic gain, such as drug trafficking. While these gangs may also defend a geographic area, the turf is their place of business and that is the reason for protecting the turf. There are gangs dedicated to hate and violence against ethnic groups or religions as well (*Working Together to Erase Gangs in Our Schools,* 1993).

In *Gangs* (1990), Gaustad spoke to Larry Rawles, deputy director of Philadelphia' Crisis Intervention Network, who stated "gang membership offers kids status, acceptance, and self-esteem they haven't found elsewhere" (p. 2). *Gangs in Schools: Breaking Up is Hard to Do* (1988) goes even further and asserts that gangs meet many of the needs that other social groups offer such as "companionship, training, activities, protection, and a sense of belonging" (p. 9). In addition, gang activity can be attributed to a variety of issues: "boredom, alienation from …families and peers; dependency on illegal drugs, and the demands of supporting a drug habit" (*Gangs in Schools: Breaking Up is Hard to Do*, 1988, p. 9). Burnett (1999) lists four reasons for the formation of youth gangs:

1. A sense of alienation and powerlessness because of a lack of traditional support structures, such as family and school;
2. A sense of belonging; a sense of power and control;
3. A need to control turf in order to set a territory for its members;

4. A need for more resources and members leads to recruitment of new members and expansion of territory. (p. 2)

Once administrators have knowledge of the types of gangs students in their schools may be a part of, and an idea of why young people join gangs, the school leaders must have at their disposal a working list of gang indicators so that they may respond appropriately. According to Struyk, "Clothes are perhaps the most identifiable sign of membership" (*Gangs in Our Schools: Identifying Gang Indicators in Our School Population,* 2006, p. 11). The style of the clothing may allow for the concealing of weapons or drugs, or it may be worn so that gang membership is easily identified, i.e. sleeveless basketball jerseys (Struyk, 2006). Colors or the absence of color - black and white - combined with other clothing choices also may denote gang membership. Red has traditionally been the signifier of the Bloods, while blue has been co-opted by the Crips (*Working Together to Erase Gangs in Our Schools,* 1993). The colors can be carried throughout the outfit - shoelaces, beads, bandanas, and soles of shoes (*Working Together to Erase Gangs in Our Schools,* 1993). College or pro-sport logos on clothing also represent gang membership; the "Vice Lords of Chicago wear the jerseys of the Chicago Bulls and the Chicago Blackhawks, which contain the gang's colors and Louis Vuitton caps, which represent the gang's initials in reverse" (Struyk, 2006, p. 12).

In addition to clothing and colors, there are other, more subtle ways of communicating gang membership, thereby indicating gang activity in the schools. According to Struyk, (2006, p. 12), "Belt buckles can be engraved with gang symbols…and…certain buttons left unbuttoned, pockets turned inside out, or a collar turned up" may mean gang membership. "Images, numbers, and letters all have specific representation for different gangs (Struyk, 2006, p. 12). Crips, for example, will mark out the letter "B" and replace it with a letter "C" in writings and graffiti. Images, numbers, and letters all have meaning when connected to gangs. These representations could be found in the graffiti on school walls or the papers turned in by individual students to their teachers. Numbers, letters, and other images may also be seen in tattoos (see Appendix B).

Finally, hand signs flashed to other students are a way to communicate gang membership. "Every gang develops certain signs that can be flashed to other individuals as an indicator of their affiliation, or as a way to indicate to others who they are and what activities for which they desire to take credit. The signs also serve as a symbol of strength when a group of members is

together" (Struyk, 2006, p. 12). Hand signs may also display rank in a gang, (*Working Together to Erase Gangs in Our Schools*, 1993; Cantrell and Cantrell, *Countering Violence in American Schools,* 1993; Gottfredson et al., 2001) which may help administrators identify those students who are leaders in the gang, thereby helping to respond appropriately to gang activity (see Appendix C). Gang members tend to advertise their membership. The signals may be distinctive dress - bandanas, shoelaces, tee-shirts of specific colors - jewelry, tattoos, and hand gestures (Gaustad, 1990). Graffiti depicting gang symbols is used to mark "turf" and to challenge other gangs (Gaustad, 1990).

Other indications of gang activity are more general in nature and need to be addressed by school administrators if they are to limit or control gang activity in schools. The carrying of beepers, pagers, or cell phones may indicate involvement in the sale of drugs, an economic activity of gain-oriented gangs. Physical confrontations and/or stare downs in the hallways may mean groups of students are being harassed by other groups of students, by definition a warning of the existence of gang activity. Sudden changes in grades and conduct, an increase in truancy, or limited/no involvement in extracurricular activities may be indicative of gang activity for individual students (Struyk, 2006; *Working Together to Erase Gangs in Our Schools,* 1993; Burnett, *Gangs in Schools*, 1999*).*

It is important to determine whether or not schools are experiencing an increase in gang activity combined with an increase in crime. The wearing of certain colors or the appearance of graffiti does not mean that gang activity is leading to an upswing in violence in schools (Clay and Aquila, *Gangs and America's Schools: Spitting the Lit - Fact or Fad*, 1994). Students wearing gang colors and displaying gang insignia may only be trying to impress others. However, the appearance of gang related signs and symbols is something administrators need to be able to analyze in order to keep schools safe and the learning environment intact.

The National Center for Education Statistics (NCES), on behalf of the U.S. Department of Education (DOE), sponsors an on-going survey – The School Survey on Crime and Safety (SSOCS) – which collects data on crime and safety from principals and school administrators of U.S. public schools (Dinkes, Kemp, & Baum, 2008). The quantitative survey has been in existence since 1999, with subsequent data collection in 2003 and 2005; a fourth survey was completed for the 2007-08 school year, and the results are below:

1. In 2007, 36 percent of students in grades 9–12 reported they had been in a fight anywhere, and 12 percent said they had been in a fight on school property during the preceding 12 months.

2. In the same year, 44 percent of males said they had been in a fight anywhere, compared to 27 percent of females, and 16 percent of males said they had been in a fight on school property, compared to 9 percent of females.

3. Eighteen percent of students in grades 9–12 in 2007 reported they had carried a weapon anywhere, and 6 percent reported they had carried a weapon on school property during the previous 30 days. There were at least three times as many males as females who reported carrying a weapon—either anywhere or on school property—in all survey years. In 2007, for example, 9 percent of males carried a weapon on school property, compared to 3 percent of females, and 29 percent of males carried a weapon anywhere, compared to 7 percent of females.

4. Twenty percent of students in grades 9–12 in 2007 reported using marijuana anywhere during the past 30 days, and 4 percent reported using marijuana on school property during this period. (*Indicators of School Crime and Safety,* 2008, *p. vii*)

A study relating to the effects of school violence was conducted by Grogger and reported in *The Journal of Human Resources* in 1997. According to Grogger, information about the number of students who are victims of school violence is vast, however, knowledge of the consequences of school violence is limited (*Local Violence and Educational Attainment,* 1997). Grogger, through a review of literature, points out the students who have been attacked are more likely to stay at home. Also, these same students may fall behind or find it difficult to concentrate. This exploration of how "the violence on the part of one student affects the educational attainment of another" is the subject of Groggers' study (Grogger, 1997, p. 660).

Grogger utilized information gleaned from the High School and Beyond Study that provided data on students' educational attainment and principals' reports of school violence. The school violence measure contained principals' responses to the extent to which their schools suffered from fights among students, conflicts between students and teachers, and students bringing weapons to school. The results include, but are not limited to:

1. One in ten public school students attend a school in which fights among students present a moderate to serious problem.

2. Minor fighting problems are so prevalent as to be commonplace in public schools, affecting three-fourths of all public school students.

3. Moderate to serious conflicts between students and teachers are slightly rarer in public schools, although minor conflicts between students and teachers are nearly as common as fighting among students.

4. Moderate to serious weapons problems are more unusual, affecting only 1.1% of all public school students.

5. Minor weapons problems are surprisingly prevalent, affecting 39.7% of all public school students (Grogger, 1997, pp. 670-671).

Grogger constructed an "index of violence" (1997, p. 664) to explain student performance as it relates to the data above. This index led to three groups of violent behaviors: serious, moderate, and minor. Grogger then made the following connection based on the index and the data: a large number of schools experience either moderate of minor levels of violence (Grogger, 1997). Finally, two dependent variables were examined: higher education and employment. Combining these data with the index of violence, the following analysis is offered:

1. There is a negative association across schools between the level of violence and the graduation rate, which may indicate that violent students are less likely to complete high school.

2. Local violence reduces students' likelihood of graduating from high school
   a. Minor violence raises the drop-out rate by 5%.
   b. Moderate violence raises the drop-out rate by 24%.
   c. Serious violence raises the drop-out rate by 27%.

3. Serious local violence lowers graduated students' likelihood of attending college by 15.9% (Grogger, 1997).

These data reinforce the claim that school and neighborhood violence affect the educational attainment of students.

Gronna and Chin-Chance (1999) found that school safety significantly affected grade 8 reading and math achievement scores. More precisely, schools with lower levels of violence provided better learning environments that resulted in higher levels of achievement. According to Gronna and Chin-Chance, students who are in safer schools have higher achievement scores than those in less-safe schools.

Wilson-Jones (*Factors that Promote and Inhibit the Academic Achievement of Rural Elementary African American Males in a Mississippi School: A Qualitative Study,* 2003) conducted a case study of 16 African-American males in elementary school with the intent of isolating the factors that promoted or inhibited academic achievement for this group. While family assistance and parental involvement were identified as the primary factors promoting academic achievement, classroom distractions and school safety concerns were listed as inhibitors. One student expressed fear at being "hurt by other students" (Wilson-Jones, 2003, p. 15) while another reported that classroom disruptions caused by teachers needing to discipline students who were acting out stopped him from learning to the level he desired. These results demonstrate the need for effective school leadership to address school violence in the form of gangs and gang activity in order to achieve the national goals of "safe, disciplined, and drug-free schools" (Goals 2000: Educate America Act, 1994), and a "meaningful learning experience" for all students (No Child Left Behind Act , 2002).

As the literature has described, a safe school is necessary if a culture of learning is to overcome a culture of fear. Gangs and the violence associated with these groups are examples of what could lead to an unsafe school, a fearful learning environment, and low academic achievement. Although many schools deny the existence of gangs in their population, many school age children are in violation of school rules when they involve themselves in drugs, weapons, and physical altercations. Multiple authors have described these three types of behaviors – drugs, weapons, and physical altercations - as an indication of gang-impacted schools (Chandler, Chapman, Rand, & Taylor, 1998; Gottfredson et al., 2001; Howell and Lynch, 2000, Burnett, 1999). This same group of characteristics can be applied to schools when determining whether a school is gang-impacted. School leaders must address these behaviors through their leadership styles if school is to be conducive to learning rather than contributing to gang activities and fear.

Gang activity and behaviors in the community.

Youth gangs in America are not a new phenomenon (s D). The earliest record of a youth gang in the United States is in the mid-1700s as a possible response to urban conditions in this country (Howell, 1998). Other sources site the emergence of youth gangs following the Mexican Revolution in 1813; these gangs may have been born out of the social and cultural adjustment problems suffered by Mexican immigrants (Howell, 1998). The Industrial Revolution of the early 1800s led to emergence of gangs in large cities such as New York, Boston and Philadelphia (Howell, 1998). Gangs, however, are not specifically an urban phenomenon. The Wild West is famous for its bands of outlaws, groups that definitely fit the definition of a gang (Hamner, *Youth Violence: Gangs on Main Street, USA.,* 1993).

Urban gangs are consistently seen as a problem in the United States (see Appendix E), and have been since large numbers of immigrants came to the United States seeking the American dream, only to face discrimination, exploitation, and poverty (Hamner, 1993). "Gangs have traditionally offered, and continue to offer, a sense of identity to youth who feel shut out from employment and educational opportunities and estranged from the dominant cultural institutions." (Hamner, 1993, p. 3).

The U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention, provide striking statistics regarding the growth of youth gangs since 1980. The number of cities with gang problems increased from an estimated 286 cities with 2,000 plus gangs and approximately 100,000 gang members in 1980 to 4,800 cities and about 846,000 gang members in 1996 (Howell, *Youth Gangs: An Overview,* 1998). To make the problem of gangs and gang violence worse, gangs are now arriving in suburbs and "edge cities" (Bodinger-deUriarte, 1993, p. 4). "Edge cities" are those that are going through a state of rapid growth, with a population going through a major demographic shift - often a result of White flight - and where "the teen-age culture is imitative, and the defining ethos is urban" (Bodinger-deUriarte, 1993, p. 5). These are areas that have historically been free from gang activity, but, due to the climate of instability, are hotbeds of violent gang action. Spergel (*Violent Gangs in Chicago: In search of social policy,* 1984), cited by Bodinger-deUriarte (1993), stated that "areas in racial or ethnic transition – Puerto Rican, Mexican-American, and to a lesser extent Black – appear to be vulnerable to high rates of gang violence" (p. 5). "Urban sprawl, population growth, high unemployment and

urban recession 'pockets' have moved some street gangs out of the inner city, their traditional territory, and into new settings, including rural towns and suburban communities" (*Gangs in Schools: Breaking Up is Hard to Do,* 1988, p. 7). Los Angeles, considered to be America's "youth gang capital" (*Gangs in Schools: Breaking Up is Hard to Do*, 1988, p. 7) reported at least 600 gangs with 70,000 plus gang members within the boundaries of Los Angeles County. Of those 70,000, only 15,000 to 18,000 live inside the city limits, forcing schools with little to no experience with gang activity and its associated violence to learn to deal with the behaviors (*Gangs in Schools: Breaking Up is Hard to Do,* 1988).

In addition, "the composition of youth gangs is changing. Smaller, less structured gangs are emerging, such as neighborhood groups, and although drug trafficking is generally not an organized activity managed by gangs, drug gangs are more predominant now than in previous decades" (Howell, 1998, p. 14). The racial/ethnic composition is changing; no longer are African-Americans and Hispanics the main members of gangs or the only reason for a gang to form. In terms of a reason for membership, "gangs are becoming much more organized" (Howell, 1998, p. 14); usually an economic component emerges in addition to the ethnic and social element that is present with the less structured, neighborhood groups.

In 1997 Thornberry and Burch conducted research regarding school safety and violence. Their quest was to provide information related to who were committing delinquent and criminal offenses, as well as the level of those offenses. Thornberry and Burch sought to explore whether the allocation of juvenile justice resources was proper and effective based on quantitative data. This survey, The Rochester Youth Development Survey (RYDS), was excerpted from the Office of Juvenile Justice and Delinquency Prevention (OJJDP) Program of Research on the Causes and Correlates of Delinquency. According to OJJDP research, adolescents who join street gangs are more involved in delinquent acts than are adolescents who do not join such gangs (Thornberry & Burch, 1997). Despite such findings, there are few estimates as to the proportion of delinquent acts for which gang members are responsible (Thornberry & Burch, 1997). If gang members are responsible for more delinquent acts than their population would dictate, then efforts to reduce crime and violence nation-wide, let alone in the school environment, will be unsuccessful if gang intervention and prevention remains unaddressed (Thornberry & Burch, 1997).

In order to determine who is committing delinquent acts, and at what rate, the RYDS sampled 1,000 boys and girls in the seventh and eighth grades in the Rochester, New York public schools. The results were clear: gang members account for a disproportionate share of delinquent acts, particularly the more serious offenses. One-third of the RYDS sample was made up of gang members. It follows that if this group commits acts that are in proportion to their population, then gang members should be responsible for no more than one-third, or 30% of delinquent acts. However, according to Thornberry and Burch (1997), gang members were responsible for 65% of the delinquent acts, twice what would be expected. "Results clearly demonstrate the importance of not only preventing youth from gang involvement, but of intervening with youth who are already gang-involved and committing a disproportionate share of delinquent and criminal acts" (Thornberry & Burch, 1997, p. 3). Again, not knowing the number of high-crime area youths versus low-crime area youths puts these data in the questionable category, as the collective impact of those youth is not known.

According to Tita and Ridgeway (*The Impact of Gang Formation on Local Patterns of Crime,* 2007), "though much has been learned regarding the impact of gang membership on an individual's criminality, very little is known about how this impact translates at either the city or neighborhood levels" (p. 209). However, also according to Tita and Ridgeway (2007), "one of the more robust findings in criminology is that gang members commit more crimes than nongang youth" (pp 230-231). Tita, Cohen, and Engberg (*An Ecological Study of the Location of Gang "Set Space"*, 2005) reported that gangs form in the areas of the city that are termed high crime areas. There is also evidence generated from similar studies that there is a combined occurrence of gang turf and violent "hot-spots" (Griffiths & Chavez, *Communities, Street Guns and Homicide Trajectories in Chicago, 1980 – 1995: Merging Methods for Examining Homicide Trends Across Space and Time,* 2004; Tita, Cohen, & Engberg, 2005). A study by Block in 2000 found that there is a high correlation between assaults and drug incidents and the number of identified active gangs (*Gang Activity and Overall Levels of Crime: A New Mapping Tool for Defining Area of Gang Activity Using Police Records,* p. 379). Using this information allows the researcher to make the assumption that schools considered to be gang-impacted are populated by people from the neighborhood who also take part in those same types of criminal activities.

In the Report to Congress on Juvenile Violence Research (Bilchik, 1999) by the Office of Juvenile Justice and Delinquency Prevention (OJJDP), it was ascertained that "certain situational conditions appear to be associated with an increase in juvenile violent offending, such as…the presence of gangs" (p. x). This report agreed with other research that gang members had higher rates of delinquency than non-gang members (Tita & Ridgeway, 2007). Finally, the juvenile violence study confirmed that there "is a small group of youth who are responsible for a large proportion of serious and violent delinquency" (Bilchik, 1999, p. x) and that there is a disproportionate level of violence in many urban areas; the same areas that are experiencing a growth in gangs and sending the children of these urban areas to their neighborhood schools.

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) Research 2000 Report provided a summary of findings related to young offenders, causes and correlates of delinquency, and youth gang research. Of interest is the following statistic: "jurisdictions report most of their gang members are involved in one or more of the following serious and/or violent crimes: larceny/theft (17 percent), burglary/breaking and entering (13 percent), aggravated assault (12 percent), motor vehicle theft (11 percent), and robbery (3 percent)" (*OJJDP Research 2000 Report*, 2001, p. 15). Also, most gangs that appear in schools are involved in criminal activity, specifically violence, drug activity, and gun carrying (*OJJDP Research 2000 Report, 2001*).

Leadership styles.

Parents and guardians send children to school with the expectation that the health, safety and welfare of their children will be maintained while, simultaneously, the students are being educated and socialized appropriately according to law. The responsibility for school safety and academic achievement rests squarely at the feet of the school administrator, specifically the head principal. The old adage, "The buck stops here", attributed to Harry S Truman, appropriately summarizes how the public view who is ultimately responsible in the school. Therefore, it is important to identify certain types of leaders who may be more successful in leading a school that is considered to be gang-impacted.

This review of literature examines two leadership theories in order to understand which style is better suited to work in gang-impacted schools with the ultimate goal of curbing gang

activity - transactional and transformational leadership (Burns, *Leadership*, 1978; Bass, *Leadership and performance beyond expectations*, 1985). Transactional leaders give followers something they want in exchange for something the leader wants; transformational leaders allow followers to identify with the needs of the leader through motivation and morality. A third dimension of leadership – laissez-faire or non-leadership – is sometimes identified as well (Judge & Piccolo, *Transformational and Transactional Leadership: A Meta-Analytic Test of Their Relative Validity,* 2004). These two frameworks, transactional and transformational, are particularly helpful for a study focused on the type of leadership required for gang-impacted schools, because both focus on change. These two authors have been highly visible in the literature over time that speaks to their saliency in understanding leadership. Works by Bass and Burns represent seminal research regarding the behavior of leaders; yet represent two very different approaches.

James Burns, in his 1978 book, *Leadership*, first introduced the concepts of transactional and transformational leadership. His context was the political arena, but his ideas transcend many different areas. The basic premise of his theory is that there are two types of leaders, one who "offers purpose that transcends short-term goals and focuses on higher order intrinsic needs" (Judge & Piccolo, 2004, p. 755) – transformational and one who focuses on the "proper exchange of resources" (Judge & Piccolo, 2004) – transactional. Simply put, transactional leaders give followers something they want in exchange for something the leader wants, and transformational leaders allow followers to identify with the needs of the leader. Transformational leadership focuses on the mission and the vision of the organization, rather than the day-to-day tasks of management.

Bernard Bass, in his book *Leadership and performance beyond expectations* (1985) agreed with, but enhanced the two theories of leadership put forth by Burns. Bass advocated four factors of transformational leaders: charisma/idealized influence, inspirational motivation, individualized consideration, and intellectual stimulation. Charisma or idealized influence usually is displayed by the leader when they act as role models, or display high moral standards, vision and trust. Inspirational motivation is the action of creating a shared vision and high expectations within the organization. Individualized consideration represents how a leader listens to his or her followers, and helps them reach self-actualization (the final piece of Maslow's

pyramid). Finally intellectual stimulation relates to the ability of the leader to tap into people's minds and start them thinking and creating in new ways.

Transactional leadership occurs when the leader explains what is required of the followers and what payment will be received if the assignment is completed successfully. "The leader gets things done by making, and fulfilling, promises…By contrast, employees who do not do good work are penalized" (Bass, *From Transactional to Transformational Leadership: Learning to share the vision,* 1990, p. 20). This type of leadership depends upon whether the leader actually has control of the rewards or punishment that he or she is promising. In schools with gang problems, the discipline code is what is utilized to punish students who break school policy. This policy is generally county wide and not subject to change by the individual school leaders. The main emphasis in this type of leadership is appealing to the self-interest of the followers rather than to the higher goal of mission and vision.

Bass argued that the two concepts were separate but not opposite, and that the best leader represents some combination of the two styles. According to Judge and Piccolo (2004), the latest versions of the theories have four dimensions of transformational leadership, three dimensions of transactional leadership, and a non-leadership dimension. The dimensions of transformational and transactional leaders have been identified through various studies done by these two men. (see Appendix F)

According to Bass, transformational leadership occurs when the leader is able to motivate employees to "look beyond their own self-interest for the good of the group" (Bass, 1990, p. 21); this type of leader achieves results in one, two, or all of the following ways: being charismatic and thus inspiring; meeting the emotional needs of the employee, or intellectually stimulating the employee. The ways are similar to the stages of Esteem and Self-Actualization in Maslow's Hierarchy of Needs (see Figure 3), which people crave in their on-going personal development.

Charismatic leaders have great power and influence that is needed by a school administrator if a change in behavior, specifically gang behavior, is desired. Employees, or in this case, members of the school community – students - want to identify with the leader and would have a high degree of trust and confidence in the charismatic leader. With violent behavior being integral to gang behavior, charisma would be necessary to get gang members to

change their behavior. Charismatic leaders excite their followers with the idea that they may be able to accomplish great things such as academic achievement or graduation.

Bass (1990) stated that "in many instances, however such transactional leadership is a prescription for mediocrity" (p. 20). If academic achievement by the students is the goal of a school administrator, transactional leadership may not be the desired path. However, those students who are not achieving at a passing level may benefit from this approach.

It is easy to see how these leadership dimensions may influence a school that is identified as being gang-impacted. Leaders who watch and search for deviations from rules, such as discipline infractions, may be more suited to a school where students are threatened. Leaders who are comfortable with the use of symbols (mission and vision statements) may be better able to lead students who are comfortable and adept at that communication style. By interviewing and observing principals in their natural setting a better understanding of the type of leader needed in a gang-impacted school will emerge.

The Multifactor Leadership Questionnaire packet (Avolio & Bass, *MLQ Manual,* 2004) used by the researcher presented literature relating to the theoretical background and development of the theories the assessment tool is based upon and for the assessment tool itself. (see Appendix G) This theoretical background, developed by Avolio and Bass, explained the transactional leadership process and continued with an explanation of how that was augmented to reflect transformational leadership.

According to Avolio and Bass (*MLQ Manual, 2004),* transactional leaders convey successfully to followers the roles and tasks required for certain outcomes. These same leaders also recognize and understand what employees need or want as motivation to perform those tasks. Transactional leaders generally manage by exception, both actively (watches and searches for deviations from rules and standards, takes corrective action) and passively (intervenes only if standards are not met). They tend to use contingent rewards (promises rewards for good performance, recognizes accomplishments) to ensure success. The worst-case scenario in terms of a transactional leader would be one who utilizes the laissez-faire method - abdicates responsibilities and avoid making decisions. The transactional process is an essential component for all effective leadership; a leader must clarify what he or she wants as an outcome.

Transactional leaders employ extra effort in certain areas of leadership, especially when trying to exact change (Avolio & Bass, 2004)

The transformational leadership process involves the use of contingent rewards in concert with higher order leadership attributes. The key aspects of transformational leadership are Idealized Influence, Inspirational Motivation, Intellectual Stimulation, and Individualized Consideration (Avolio & Bass, 2004). Transformational leaders "arouse and inspire others"; "articulate…shared goals and mutual understanding of what is right and important"; "help others to think about old problems in new ways"; and understands and shares in "others' concerns and developmental needs and [treats] each individual uniquely" (Avolio & Bass, 2004, pp. 28 - 29)

Chapter 3

Methodology

Introduction

School violence, including gang activity, allows a culture of fear to overcome a culture of learning, thereby lessening academic achievement. A school is considered to be gang-impacted if there are reports of weapons, drugs, and physical altercations. Parents, who send their children to school expecting a safe environment, depend on school leaders to maintain an orderly and secure atmosphere so that learning can take place. The research identifying the type of leadership required to achieve both a protected and instructive environment for the students has been lacking. Therefore, this study explored what principals in gang-impacted schools say about leading in that environment. A qualitative, inductive approach with descriptive methods of data was used when considering the following research questions:

1. What do principals say about how they lead in gang-impacted schools that have fewer gang-related incidents than the community from which they draw their population?

   a. What do leaders say they do in gang-impacted schools?

   b. What do leaders say they don't do in gang-impacted schools?

   c. What do leaders say are difficult or easy about being a leader in a gang-impacted school?

2. What is the connection between principal leadership style and the presence of relatively fewer gang-related incidents in schools than in the community from which they draw their population?

This chapter outlines the overall research design and underlying principles of this study. It includes a discussion of the basic research design, sample selection, specific methodology, data collection, data analysis, data management, verification of interpretation, and ethical considerations.

The environment or reality in which the study took place is a large, diverse school system located in central Virginia. The district has more than 58,000 students and is one of the largest districts in the nation. Every school within the system, elementary and secondary alike, is

accredited by the Virginia Department of Education (DOE), and all, at some time, have made adequate yearly progress (AYP) under No Child Left Behind (NCLB).

Specifically, this study examined the principal leadership of three of the 10 non-alternative high schools in the county as it related to leading a gang-impacted high school that had less gang activity than the community from which the student population was drawn. The high schools from which the sample were drawn were all gang-impacted; all reported a combined presence of physical altercations or fights, drugs, and weapons to the Virginia DOE as did the school attendance zone from which they draw their student population (see Appendix H). For the purpose of this study, the high schools were identified with letters of the alphabet – School A, School B, etc. Of the 10 high schools in the county, two – B and D – are Blue Ribbon Schools of Excellence as designated by the U.S. Department of Education; five have been recognized by Newsweek Magazine as one of America's Best High Schools in the past five years – B, C, D, H, and I.

The number of students educated by this division has risen each of the past five years by an average of 1,100 students per year. Projections suggest that this type of growth will continue. A new replacement high school is in the planning phase. This growth, and likely demographic shifts, suggests that school leaders will continue to face probable gang activity in the schools. According to the school divisions' Strategic Plan, the county's White population has declined as a percentage of the total population, as the percentage of Blacks and Hispanics in the county has grown by 15 percent. As cited in the research, this White flight leads an area which has been free from gang activity into becoming a center of violent gang activity due to the instability of the neighborhood (Bodinger-deUriarte, 1993). When the gang activity spills over into the schools, the school principal must be prepared to lead the school community away from gang violence and toward academic achievement. Table 2 describes the demographic breakdown of the individual schools in the county.

Research Design

Qualitative research studies social phenomena – in the natural setting, interpretively, and by drawing on multiple levels of inquiry (Rossman & Rallis, *Learning in the Field, An Introduction to Qualitative Research,* 2003). By determining what meaning the participants make of a phenomenon – mainly through interviews – a researcher is able to paint a picture of what it is

like in that particular world as it relates to that specific phenomenon. Qualitative research requires interactive, face-to-face contact with participants; however, true qualitative research necessitates other methods of data collection as well. This entails observations, analyzing documents and records, looking at physical space, clothing, tools, decorations, and artifacts (Rossman & Rallis, 2003). This type of research requires that the context from which the experiences are drawn be explored just as thoroughly as the experience. Finally, qualitative research should be emergent and reliant on inductive logic (Rossman & Rallis, 2003). This allows personal perceptions to be front and center in the research, brought forward through questioning and subject to interpretation. Once the personal perceptions are presented, the purpose of qualitative research is to reduce individual experiences with a phenomenon to a description of the universal essence (Creswell, *Qualitative Inquiry and Research Design, Choosing Among Five Approaches,* 2007); generalize the idea to the whole.

Qualitative research has two distinctive features. For one, "the researcher is the means through which the study is conducted" and two, "the purpose is to learn about some facet of the social world" (Rossman & Rallis, 2003, p. 5). Basically, data become information which, when interpreted, become knowledge as depicted in Figure 3.
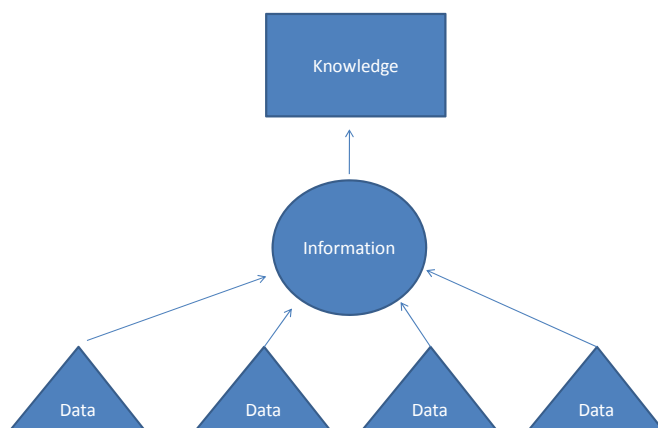
Figure 3. Data becomes information, which in turn, becomes knowledge.

Table 2

Demographic Information for Schools

School Year 2008 - 2009										
	A	**B**	**C**	**D**	**E**	**F**	**G**	**H**	**I**	**J**
Asian	2%	5%	4%	4%	1%	1%	5%	6%	3%	2%
Black	36%	28%	10%	16%	32%	39%	64%	8%	33%	28%
Hispanic	8%	3%	2%	7%	5%	2%	17%	2%	6%	4%
White	54%	64%	84%	72%	62%	58%	14%	83%	59%	68%
Disadv.	18%	11%	3%	10%	13%	17%	33%	4%	16%	12%
LEP	3%	0%	1%	6%	1%	0%	10%	1%	1%	1%
Spec. Ed.	12%	6%	6%	7%	13%	10%	11%	5%	9%	9%
School Year 2005-2006										
	A	**B**	**C**	**D**	**E**	**F**	**G**	**H**	**I**	**J**
Asian	2%	4%	*	5%	2%	1%	5%	3%	2%	3%
Black	31%	9%	*	15%	31%	33%	60%	10%	27%	24%
Hispanic	5%	2%	*	6%	4%	1%	15%	2%	3%	3%
White	62%	85%	*	73%	64%	65%	20%	85%	68%	70%
Disadv.	13%	3%	*	9%	10%	9%	25%	4%	10%	11%
LEP	0%	0%	*	7%	0%	0%	10%	1%	1%	0%
Spec. Ed.	16%	5%	*	11%	12%	11%	11%	7%	10%	13%
Percent change between 2006 and 2009										
	A	B	C	D	E	F	G	H	I	J
Asian	0%	1%	*	-1%	-1%	0%	0%	3%	1%	-1%
Black	5%	19%	*	1%	1%	6%	4%	-2%	6%	4%
Hispanic	3%	1%	*	1%	1%	1%	2%	0%	3%	1%
White	-8%	-21%	*	-1%	-2%	-2%	-6%	-2%	-9%	-2%
Disadv.	-5%	8%	*	1%	3%	8%	8%	0%	6%	1%
LEP	3%	0%	*	-1%	1%	0%	0%	0%	0%	1%
Spec. Ed.	-4%	1%	*	-4%	1%	-1%	0%	-2%	-1%	-4%

Note. * denotes no data available as school was not in existence until 2006-2007

In the case of this study the data were the interviews, observations, leadership assessments and document reviews the researcher performed. The information was in the form of answers to the questions regarding how principals say they led in gang-impacted schools that have fewer incidents of drugs, weapons, and violent physical altercations when compared to the school attendance zone from which they drew. Finally, the knowledge was a new understanding of the leadership behaviors school leaders employed to maintain a safe and educational school

setting. Qualitative methods of data collection and analysis allowed the researcher to reach an in-depth understanding of the complex and varied factors that influence leaders in gang-impacted schools that have fewer incidents of drugs, weapons, and physical altercations than their corresponding school attendance zones.

Specific Methodology

The study was qualitative in nature, as the answers to how principals led in gang-impacted schools emerged from research done in the natural setting – through interviews, observations in the individual schools, and document analysis. By interviewing and observing principals, examining crime data, and assessing leadership styles with the MLQ Multifactor Leadership Questionnaire, new understanding of the type of leadership behaviors needed to be more effective in curbing gang activity in secondary school surfaced. The final products were portraits and stories of principals' relationships with gang-impacted schools, and the central concept of leadership in these types of schools were described through the words of the participants.

Specific Qualitative Design

Qualitative studies can employ a variety of methods. Narrative studies, phenomenological research, grounded theory, ethnographic research, and case study research are the primary forms. "All five approaches have in common the general process of research that begins with a research problem and proceeds to the questions, the data, the data analysis, and the research report" (Creswell, 2007, p. 76). However, there are basic differences among the five types of qualitative research. The basic differences fall into seven main categories: focus, type of problem best suited for the design, discipline background, unit of analysis, data collection forms, data analysis strategies, and written report.

The focus and type of problem best suited for a phenomenological research design (see Appendix I) is one that works to understand the essence of an experience and describes the essence of a lived phenomenon. The experience and lived phenomenon in this study was leading in a gang-impacted school. Phenomenological research is an attempt by the researcher to understand a phenomenon – leading in a gang-impacted school – at a deeper level; an attempt to explore a lived experience to extract new, rich, and descriptive data. The discipline background

draws from education which is a characteristic of phenomenological research. The unit of analysis and data collection was the studying of several principals through interviews, observation, and document analysis – specifically crime data and the MLQ Multifactor Leadership Questionnaire (see Appendix G), as well as personal documents authored by the participants – who shared the experience of leading in a gang-impacted environment. These data were analyzed for significant statements, meanings, textural and structural descriptions, i.e. coded into themes and patterns. The final report was descriptive in nature, describing the essence of leading in a gang-impacted school. In this process, the researcher must "bracket" personal beliefs, feelings, and perceptions in order to be accurate to the phenomenon (Creswell, 2007).

The employment background of the researcher is varied: one year as a teacher in a suburban high school; five years experience as an Industrial Engineer with the aerospace industry working on government contracts; one year experience as a long-term substitute teacher in an urban high school; eight years experience as a teacher in a private, parochial high school, six years experience as a teacher in the county where this study took place; four years experience as a teacher in a small rural high school; and four years experience as an administrator in the county currently being analyzed. The educational background of the researcher is just as wide-ranging although all education was public in nature: High School degree from a large, public high school in Dayton, Ohio; Bachelor of Science degree in Education from a large, state university – The Ohio State University, Columbus, Ohio; Masters of Science degree in Curriculum and Instruction from a medium-sized state university – Ashland University, Ashland, Ohio; an administrative endorsement from a small state university – Longwood University, Farmville, Virginia; and current work on a doctorate degree in Educational Leadership from a large, state university – Virginia Polytechnic and State University, Blacksburg, Virginia.

As a school administrator in a gang-impacted school that does not meet the criteria for this study because the school is experiencing discipline at the same rate or only slightly better than the community from which it draws, it was necessary for the researcher to recognize and bracket those experiences relating to gang activity in the school. These experiences are a product of public and state education in large districts and schools, as well as actual teaching and administrative experiences in large, public, and gang-impacted schools. This was especially important to acknowledge when interviewing a former superior. Personal bias toward the

leadership needed to be acknowledged and bracketed so those being interviewed could tell their own story, not the version the researcher experienced.

Design specifics.

Unit analysis. The subjects of this research were principals of gang-impacted schools from a large, diverse, public school system in central Virginia whose schools experienced less relative gang activity than the community from which the schools drew.

Sample population. According to Seidman (*Interviewing as Qualitative Research, A Guide for Researchers in Education and the Social Sciences,* 2006), "it is not possible to employ random sampling" (p. 51) in interview studies. Rather than be concerned with generalizability, the researcher must work to reveal an individual's experience to which the reader of the study can connect. Therefore, connectability replaces generalizability in phenomenological research (Seidman, 2006). A purposeful sampling method was utilized, allowing for "the widest possibility for readers of the study to connect to" (Seidman, 2006, p. 52). This type of sampling – maximum variation sampling (Patton, *How to Use Qualitative Evaluation Methods,* 1987) – is an effort to reflect the wide range of people who may connect to the lived experience of the participant. Since the researcher was interested in the leadership behaviors of principals in gang-impacted schools that experienced less gang behaviors – drugs, weapons, physical altercations – than the corresponding attendance zones, only principals from schools that had less gang-related discipline (fights, drugs, and weapons) than the crime data that corresponded to the same type of incidents (assaults, narcotics, and weapons) of the corresponding attendance zones, were interviewed.

The school district from which the sample of principals was drawn for this study is a large, ethnically and economically diverse division growing and changing in ways that mirror the changes occurring nationwide. With a large enrollment and areas of the county having edge components, this school division lent itself to the growth of gang activity and behavior in the communities that fed the individual schools. Analyzing school discipline data, readily available on the Virginia DOE website and in the school districts' data warehouse, began the process of identifying the potential principals to be studied in this research project.

To be considered gang-impacted, schools must show a combined presence of fights, drugs, and weapons. Since discipline data for the schools in question have been data warehoused by the county electronically since the 2005-2006 school year, the researcher determined that due to convenience, these four years would be used as the parameters from which to choose the sample schools, and thus, the principals to be interviewed. Using these data, all ten schools were considered gang-impacted from the first year analyzed, as all ten schools had, and continued to have, a combined presence of the three conditions. The Crime Analyst of the Gang Strike Force for the county pulled corresponding criminal incident data in three similar categories – assaults, narcotics, and weapons for the same time frames. A matrix of school totals to community totals was created in order to identify the years in which schools had more success in limiting the amount of gang activity than the community from which the schools' attendance was drawn (see Table 3). These data, when further analyzed, allowed the researcher to determine if there was a time when certain schools were more successful than others at limiting gang behaviors when compared to crime data. Schools D, E, and F maintained a 1:5 or better ratio for at least three out of four years (see Table 4). This break point was chosen because maintaining a high ratio, i.e. School I had a 1:9 ratio for only one year, was determined to not be as successful as maintaining a positive school to community ratio over a number of years. A 1:5 ratio was also the first cut point that schools were able to be more successful at limiting gang behaviors than the communities for a significant amount of time – three out of four years.

The principals of the identified schools represented a cross-section of leaders in the areas of ethnicity, gender, and level of education. For the purpose of this study, the principals were identified in the same manner as the schools were – A, B, etc. Demographically, there were three White female principals, one Black female principal, one Black male principal, and five White male principals (see Table 5). The three high school principals whose schools experienced at least five times fewer gang-related discipline incidents when compared to gang-related crime data in the past four years were contacted by phone, then followed up by a letter in November of 2009 to introduce the researcher and briefly describe the research project. A questionnaire indicating their willingness to participate in the study was included in the letter which was returned to the researcher (see Appendix J).

Obtaining entry to the county and access to the school leaders required submission of a research request (see Appendix K) to the School Improvement Office of the school division in

Table 3

Ratios of School Totals to Community Totals in the Categories of Assaults: Fights, Narcotics: Drugs, and Weapons: Weapons by School Year

		2005-2006	2006-2007	2007-2008	2008-2009
School A	F:A	1:8	1:4	1:8	1:8
	D:N	1:7	1:7	1:4	1:3
	W:W	1:16	1:12	1:7	1:15
School B	F:A	1:11	1:6	1:4	1:4
	D:N	1:23	1:49	1:15	1:7
	W:W	1:2	1:22	1:7	1:3
School C	F:A	*	1:4	1:3	1:3
	D:N	*	1:1	1:11	1:2
	W:W	*	1:14	1:3	1:1
School D	F:A	1:8	1:6	1:7	1:19
	D:N	1:15	1:22	1:10	1:4
	W:W	1:5	1:17	1:17	0 : 0
School E	F:A	1:8	1:9	1:8	1:13
	D:N	1:12	1:14	1:8	1:9
	W:W	1:9	0 : 0	1:5	1:20
School F	F:A	1:6	1:4	1:7	1:7
	D:N	1:5	1:9	1:8	1:8
	W:W	1:35	1:18	1:23	1:45
School G	F:A	1:4	1:5	1:5	1:6
	D:N	1:33	1:15	1:21	1:4
	W:W	1:15	1:8	1:16	1:10
School H	F:A	1:2	1:6	1:9	1:5
	D:N	1:3	1:7	1:5	1:9
	W:W	1:12	1:7	1:9	0 : 0
School I	F:A	1:9	1:7	1:3	1:7
	D:N	1:12	1:7	1:7	1:1
	W:W	0 : 0	1:14	1:6	0 : 0
School J	F:A	1:7	1:7	1:10	1:8
	D:N	1:4	1:5	1:2	1:4
	W:W	1:16	1:6	1:28	1:4

Note. A = Assaults; F = Fights; N = Narcotics; D = Drugs; W = Weapons; * school not in existence

[a] Ratios represent school totals to community totals in the respective category, i.e. School A reported 1 fight in the school to every 8 assaults reported in the community.

Table 4

The Number of Years Each School Maintained the Identified Ratio of School to Community Incidents

	>1:14	>1:9	1:9	1:8	1:7	1:6	1:5	1:4
School A	0	0	0	0	1	1	1	3
School B	0	0	0	0	0	1	1	2
School C	0	0	0	0	0	0	0	0
School D	0	0	0	0	1	2	**3**	4
School E	0	0	1	2	2	2	**4**	4
School F	0	0	0	0	2	2	**3**	4
School G	0	0	0	0	0	0	2	3
School H	0	0	0	0	0	1	2	3
School I	0	0	1	1	2	2	2	2
School J	0	0	0	0	0	0	1	3

Table 5

Principal Demographic Information

School	Race	Gender	Years	Start
A	White	Female	2	2007
B	White	Female	4	2005
C	Black	Female	3	2006
D	White	Male	11	1998
E	White	Male	15	1993
F	White	Male	5	2004
G	Black	Male	1	2008
H	White	Female	8	2001
I	White	Male	4	2005
J	White	Male	6	2003

addition to obtaining approval from the Institutional Review Board (IRB) at Virginia Tech. This required becoming certified in the IRB process (see Appendix L) resulting in an IRB approval letter (see Appendix M). The county reviewed and approved (see Appendix N) the research proposal according to the following criteria:

1. The purpose of the research project is clearly stated.

2. The educational benefits of the research project are readily apparent.

3. The design of the project and procedures for gathering data will not place undue burdens on the students and/or staff.

4. The project demonstrates a respect for the rights of the individuals involved.

In addition, the following information was required:

1. Detailed statements explaining the issues to be addressed by the research project; describing the benefits that students or the educational program will incur as a result of the research project, and a description of the research procedures to be followed including: who are the subjects, how are the subjects to be selected, what type of data will be collected, who will collect the data, when and where the data collection will occur, and how much time the data collection will take.

2. Copies of all instruments and forms that are to be used in the research project.

3. A statement assuring that all participants will be volunteers, that no identifying information of the students, personnel, or school division will be released, and that the project will not detract from the educational program.

4. A statement agreeing that one or two copies of the research results (the number will be determined by the nature of the study) will be submitted to the Office of School Improvement and Instructional Support when the research project is completed.

Once the research proposal was approved, the interviews, observations and assessments of the selected principals took place.

Data collection methods. Data for this study were generated from a variety of sources – interviews, observations, leadership assessment tools, and document reviews. Since the environment in which the principal led was complex and varied, the sources for data were as well. The interviews with each principal were in-depth, face-to-face conversations as shown by the Interview Protocol (see Appendix M). The interviews were based on the participant's responses to general leadership issues and perceptions of school safety and gang activity in schools. The formal interviews of the principals were scheduled during an introductory meeting. At the conclusion of the scheduled interview with the principal, an observation in the field was

planned. At that time, the researcher also requested at least two documents of the principal's choosing that demonstrated the principal's personal leadership concepts.

This study used primarily open-ended questions so that the researcher could build upon and explore responses to the questions (Seidman, 2006). In this way, the participant could reconstruct his or her experience as it related to leading in a gang-impacted school. This interview structure allowed for spontaneity and for the participants to connect, correct, rephrase, and in some cases, to digress to related and important topics. Seidman suggests the following techniques to keep the interview on track yet open to the making of meaning: 1) "listen more, talk less – and ask real questions", 2) "follow up on what the participant says – but don't interrupt", 3) "ask questions when you do not understand", 4) "ask to hear more about a subject", and 5) "explore, don't probe" (Seidman, 2006, pp. 78 – 85).

The interview protocol (see Appendix O) was piloted with administrators who were members of the researchers' doctoral cohort. The cohort included five assistant principals, four principals, two assistant superintendants, and two central office personnel - both former principals. These administrators were chosen for the pilot to help identify gender- and ethnically-appropriate questions for these interviews as the make-up of the cohort included six White females, two Black females, two Black males, and three White males.

Each interview followed a similar sequence of events. First, the researcher attempted to establish a rapport with the participant, although not to the extreme of being overly friendly (Seidman, 2006). This was followed by a review of the ethics protocol, a request to sign an informed consent form (see Appendix P), a reminder that the interview will be taped, the interview, an agreement on future scheduled events (observation), and document needs.

All interviews were taped while the researcher simultaneously took notes in order to guide the subject into related areas or to explore some areas in more depth. Immediately after each interview, the researcher reviewed the tape and the notes in combination to informally identify the themes and patterns that emerged. This allowed for any change in format before the next interview. All interviews were professionally transcribed; themes and patterns were then formally coded. Clustering these themes was an on-going process and was repeated after each interview. The safety and security of the tapes and any accompanying notes was insured by

keeping them in a locked file cabinet in the researcher's home office. In addition, after defense of the dissertation, the researcher destroyed all copies of the tapes and notes.

Observations of each principal were scheduled at the conclusion of each interview or at the convenience of the principals. The observations were an opportunity for the researcher to see the participants in their natural environment. The goal of the researcher was to be as unobtrusive as possible, taking detailed field notes that described the context of the leadership behavior related to curbing gang activity. The observation was limited to a typical day at school, including hall duty, lunch duty, and discipline meetings with students.

After each observation, the researcher summarized and reflected on the field notes in order to make connections to interview responses and the research questions. In addition, connections were made to the documents that were gathered throughout the process.

During the time of the interview and observation, the principals were asked to share with the researcher typical documents that demonstrated his or her concept of leadership. Letters and memorandums, mission and vision statements, policy memorandums, the contents of a speech, an interview with the media, feature news articles, minutes of formal and informal administrative meetings all reflected leadership behaviors. At this time, the MLQ-5x survey was also administered.

The research design described above provided for validity and reliability so the results could be added to existing knowledge. However, validity and reliability are terms often associated with quantitative rather than qualitative research. In order to evaluate the quality of this study, the terms of validity and reliability were replaced with trustworthiness or accuracy and credibility.

Trustworthiness was achieved in this study through multiple avenues: prolonged engagement or the act of "being there", triangulation or having multiple sources of data, "rich, thick descriptions" (Creswell, 2007, p. 209), and clarifying research bias from the beginning of the study (Creswell, 2007; Rossman & Rallis, 2003). Credibility was addressed through good quality tape recordings, extensive field notes, and accurate transcriptions of the audio tape. In this way, the research or new knowledge came from the viewpoint of the participant. Also, this study was grounded in a conceptual framework that allowed the reader to understand the

research process and see how conclusions were reached (Rossman & Rallis, 2003). This allowed for transparency and the eventual, deeper understanding of the phenomenon

Post-activity data management. Data were kept organized and accessible in order to ease analysis. A data log was kept, including the day's activities, the date, time, place, and what actually transpired. Interviews were professionally transcribed and typed up as soon as possible after the interview. Field notes were cleaned up and typed up as well. Identification codes were assigned to all materials. Attendance at events, chronologies and descriptions and maps of settings were also written down and added to the data log. All information was locked after use in a file cabinet that was kept in the home office of the researcher when not in use.

Data analysis. The fieldwork stage of the research began in November, 2009 and continued through December, 2009. The initial meetings with the principals took approximately 15 minutes; each principal interview lasted 60 to 90 minutes. Observation of the principal in typical activities was scheduled for a two hour period and the gathering of documents and assessment through the MLQ-5x Leadership Questionnaire took approximately one hour. This study included a collection of data through interview, observation, assessment and analysis of documents. The use of triangulation as shown in Figure 4 allowed the researcher to compare the results from each data collection method and thereby ensured that the weaknesses inherent in one type were offset by the strengths in another (Amedy, 1999). The expectation was that patterns and themes would emerge that reflected leadership behaviors related to curbing gang activity. Data analysis took the form of descriptions of events, discussions, examples, relationships, unanticipated findings, and alternative explanations.

Ethical considerations.

The principals interviewed were provided with general safeguards pertaining to their identity. These safeguards included a letter of introduction (see Appendix Q) and an informed consent form (see Appendix P), an understanding of the interview agenda and time frame, use of a tape recorder for accuracy, and retention of data at a single location. Individual names and schools were coded. In addition, the ethics protocol was read to each principal prior to the interview. Finally, all agreements made with the participants were held in safe-keeping by the researcher.

Interviews

Observations

Documents (including
MLQ-5x Leadership
Surveys)
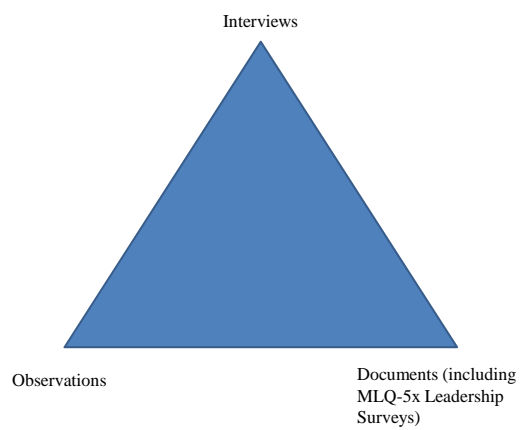
Figure 4. Triangulation of data.

Chapter 4

Results

Introduction

School violence, including gang activity, lessens academic achievement if a culture of fear is allowed to exist in school (Grogger, 1997). As defined by the author in Chapter One (Definition of Terms), a school is considered to be gang-impacted if there are reports of weapons, drugs, and physical altercations. School leaders are expected to provide an orderly and secure atmosphere – a safe environment – so that learning can occur. The research identifying the type of leadership characteristics required to achieve both a protected and instructive environment in the midst of gang activity has been lacking. Therefore, this study explored what principals in gang-impacted schools say about leading in schools that maintain a more favorable environment than the communities they serve. A qualitative, inductive approach with descriptive methods of data analysis was used when considering the following research questions:

1. What do principals say about how they lead in gang-impacted schools that have fewer gang-related incidents than the community from which they draw their population?
   a. What do principals say they do in gang-impacted schools?
   b. What do principals say they don't do in gang-impacted schools?
   c. What do principals say are difficult or easy about being a leader in a gang-impacted school?
2. What are the connections between principal leadership style and the presence of relatively fewer gang-related incidents in schools than in the community from which they draw their population?

This chapter contains an analysis of data gathered from interviews, observations, documents and leadership questionnaires conducted with and given to three principals in a large, ethnically and economically diverse school division growing and changing in ways that mirror the changes occurring nationwide. All principals led gang-impacted schools that had fewer gang-related incidents than the community from which they drew their population. The data were designed to answer the above research questions.

This chapter has five sections. The first is the introduction. The next section includes information regarding the sample of principals used as well as demographic information that may be of interest to the reader. This information is provided to help focus the reader and put the data into context. The following sections are based on the answers to the research questions and individual impressions of each principal. These sections include descriptions and explanations of the data gathered. The descriptions are then displayed in thematic matrices with quotes taken from the interviews and inferences gleaned from the observation field notes, document analysis and leadership questionnaire analysis.

Population and Sample

The school district from which the sample of principals was drawn is a large, ethnically and economically diverse division. All 10 high schools in the division were gang-impacted, however, the principals chosen to be interviewed led schools that experienced at least five times fewer gang-related discipline incidents when compared to similar gang-related crime data from the neighborhood from which the school drew their population (see Appendix H). The demographic breakout reflects three White males who have held the position of principal at the schools in study between five to 15 years (see Table 6).

Table 6

Participant Principal Demographic Information

School	Race	Gender	Years	Start
D	White	Male	11	1998
E	White	Male	15	1993
F	White	Male	5	2004

In addition, these three high school principals led schools (D, E, and F) that experienced at least five times fewer gang-related discipline incidents when compared to gang-related crime data (see Appendix G). Finally, the number of years each school maintained the ratio of 1:5 or higher (see Table 7).

Table 7

The Number of Years Each Participating School Maintained the Identified Ratio of School to Community Incidents

	>1:14	>1:9	1:9	1:8	1:7	1:6	1:5	1:4
School D	0	0	0	0	1	2	**3**	4
School E	0	0	1	2	2	2	**4**	4
School F	0	0	0	0	2	2	**3**	4

Note. The Column with the identified ratio of 1:5 school to community gang-related incidents is in bold type in order to highlight the number of years each school maintained the 1:5 or higher ratio required to be included in the study.

The three principals were each interviewed for a total of 60 – 90 minutes, observed in their natural setting for at least two hours, submitted at least two documents of their choice that they felt reflected their leadership style, and completed the Multifactor Leadership Questionnaire Leader Form (MLQ-5x). The interview was the main source of data. The observations and document analysis acted as validation for the interview results, while the MLQ-5x was used to determine the leadership style of each participant. Using these categories and themes the subsidiary research questions were analyzed. In addition, the connection between leadership style and the presence of fewer gang-related incidents than the community from which the schools drew attendance was based on the leadership theories of Burns and Bass referenced in the Review of Literature found in Chapter Two, and the theoretical background and development of the MLQ-5x leadership survey designed by Avolio and Bass (2004).

Research Question 1: What do principals say about how they lead in gang-impacted schools that have fewer gang-related incidents than the community from which they draw their population?

The interviews, observations, and documents were analyzed to identify the themes that naturally emerged during the process. Reading and rereading each interview and observation transcript and combing through the documents authored and chosen by the participants allowed for four overarching categories to emerge and be coded. These four categories described and explained what principals say they do in gang-impacted schools. The four categories were 1) building and maintaining relationships, 2) having prior knowledge of any neighborhood goings-

on pertaining to gang activity, 3) encouraging student success, and 4) working to develop and maintain a positive school climate and culture.

The first category – building and maintaining relationships – was the most obvious category to identify. At the onset of the interview, Participant A spoke of a "whole faculty emphasis on establishing relationships" (personal communication, December 3, 2009). Participant B believed that his "strength is working with people. I care" (personal communication, December 9, 2009). Finally, Participant C asserted that the one goal that has not changed during his tenure as principal is "relationships" (personal communication, December 10, 2009).

The category of having prior knowledge of any neighborhood goings-on pertaining to gang activity, although mentioned by all three participants, was not as important for all three. In fact, there was a gradation of importance with Participant B putting the most weight on prior knowledge as being important for leading in a gang-impacted school and Participant A giving it the least amount of importance. Participant B mentioned School and Community Resource Officers multiple times, Participant C a few times, and Participant A not at all. All participants agreed that outside knowledge of possible conflicts helps to ready the administration to address these conflicts during the school day. Participant B was eager to praise the police; "I think the police are real good about talking to each other and our SROs [School Resource Officers] are really good about communicating with us" (personal communication, December 9, 2009). Participant C reported that he found out about community violence "sometimes from police" (personal communication, December 10, 2009). Participant A referenced parents as the main source of prior knowledge (personal communication, December 3, 2009).

Encouraging student success was one category that was evident in all three participant's interviews, observations, and document analyses. Participant A boasted of being a "Blue Ribbon School…a model school [identified by the International Center for Leadership in Education]" (personal communication, December 3, 2009); Participant B related that he cared "that these kids become successful" (personal communication, December 9, 2009); and Participant C conveyed that "emphasis on student learning rather than student discipline" is a goal of his administrative team (personal communication, December 10, 2009).

Finally, working to develop a positive school climate and culture was a category that emerged from all three participant interactions. Participant A valued a "healthy kind of a thriving environment for students" (personal communication, December 3, 2009). Participant B wanted a school where "kids are feeling safe in school, and teachers are feeling like they're being empowered to do the right thing in the classroom, willing to take a chance" (personal communication, December 9, 2009). Participant C wanted to give his students a "level of freedom and respect" (personal communication, December 10, 2009).

These four categories led to the emergence of themes within each category. Relationships were further divided into with students and/or adults. Prior knowledge was further divided into with School Resource Officers, students, parents, and/or faulty. Encouraging student success was broken down into academically or socially. Finally, developing a positive school climate and culture was further divided into the themes of safety, discipline, or feeling comfortable. These categories and themes are detailed in Table 7.

Table 8

Categories and Themes

Categories	Themes
Relationships	• With students • With adults (faculty, parents)
Prior Knowledge	• School Resource Officers • Students • Parents • Faculty
Encouraging Student Success	• Academically • Socially
Developing a Positive School Culture and Climate	• Safety • Discipline • "Comfortableness" (to encourage responsible freedom to take risks)

In terms of forming relationships, the specific themes were forming relationships with students and forming relationships with adults (faculty and parents). Participant B believed that "kids feel like somebody around here does care about them" and "people in the community [adults] recognize the fact that I spend a lot of time with their kids, not just academically, but

also as far as in their extracurricular activities" (personal communication, December 9, 2009). Participant A spoke of the "deliberate attempt to get both students and faculty on board with building relationships" (personal communication, December 3, 2009), and Participant C spoke of the need to "develop trust and get people [teachers] to trust me" (personal communication, December 10, 2009).

When analyzing the category of having prior knowledge, this prior knowledge came from School and Community Resource Officers (the police), students, parents, and teachers. Participant A spoke of having "neighborhood coffees…and back to school nights" to let parents know they were willing to be the funnel for knowledge (personal communication, December 3, 2009). During the observation of Participant B, an impromptu meeting among the administrative team and the SRO was called by the principal to discuss a neighborhood conflict that had come to light the night before (personal communication, December 3, 2009). Participant C was the only principal who mentioned obtaining information from teachers, i.e. "depending on where it occurs, we may or may not have teachers in the area" (personal communication, December 10, 2009).

Encouraging student success was broken down into two themes: academically and socially, in preparation for life after high school. Participant A, in the document he provided for analysis, called the school year the "academic session" (personal communication, December 3, 2009). Participant B, in his 1997 Baccalaureate Speech, defined success as academic, athletic, extracurricular, and personal in nature (personal communication, December 9, 2009). Participant C submitted an article he authored detailing how to create common teacher planning in a master schedule in order to promote professional communication and improve instruction and student learning (personal communication, December 2009).

Finally, working to develop a positive school culture and climate involved the themes of safety, discipline, and feeling comfortable in the school environment (able to experience freedom and feeling free to take risks) for both students and teachers. Participant B checked the outside doors as he walked the building in the morning (personal communication, December 3, 2009). Participant A, during his walk around the building during lunch spoke of his belief that allowing a longer lunch period for students was a way to treat them more humanely while at the same time giving them freedom and responsibility (personal communication, December 3, 2009).

Participant C, in his 2008 graduation speech spoke of the "comfortable setting" the students had been exposed to during their four years in high school (personal communication, December 10, 2009). A more extensive listing of quotes reflecting the four categories and their corresponding themes is outlined in matrix form (see Appendices R, S, T, and U).

Using these categories and themes the following subsidiary research questions were analyzed:

What do principals say they do in gang-impacted schools?

Individual impressions.

Participant A. Participant A was the most reserved of the three men interviewed. He was hesitant to attribute any successes in the area of decreasing or maintaining a low rate of gang-related incidents to him or his leadership. It seemed a difficult task for him to speak openly about his strengths; he eagerly discussed areas in which he felt he needed work, however. For instance, when asked about what he valued deeply, he responded with "I don't know…I don't really think about this stuff" and "yeah, I don't know much about – I don't really think much about those kinds of things" (personal communication, December 3, 2009). In addition, his answers to the questions seemed academic in nature, i.e. "competence in delivering instruction and organizing the orderly operation of a school on a daily basis" (personal communication, December 3, 2009). It did not appear to be personal in any sense. Participant A's "wordle" – a graphic display of the most used words (see Appendix V) – reflected this impression, as the most frequent word that appeared was 'school' and 'know'; nothing with any direct connection to the research questions. Yet, when the interview was analyzed in depth, the four categories identified earlier, of relationships, prior knowledge, student success, and school climate/culture were integral to his beliefs about how to run a school.

In terms of relationships, Participant A articulated that he believed there needed to be an emphasis on forming relationships with students. He saw this relationship building as an opportunity; an opportunity to help students before they entered the real world. He indicated that high schools were "our last best chance to help high school kids…we have a chance to impact them and…I value that opportunity" (personal communication, December 3, 2009). He also

expressed that this forming of relationships needed to be intentional and deliberate so that the impact teachers and administration had on the students was valuable and positive in nature.

These impressions were substantiated by the observation and document analyses. During the observation he greeted students by name and spoke specifically to a student whose parent had sent an e-mail to Participant A requesting an exam exemption. This dialogue indicates a degree of relationship that is a little above the normal student-principal rapport. In the documents submitted for analysis (three separate monthly newsletters), Participant A spoke of the need for regular communication among students, teachers, and parents and outlined the electronic process designed to check a student's academic progress. He specifically mentioned that "the web-based program, however, should not take the place of regular communication with teachers" (personal communication, December 3, 2009). In addition, he gave out his personal e-mail address and phone number for easy access. One newsletter highlighted a "gathering" of feeder pattern schools and the high school (personal communication, December 3, 2009); an opportunity to share food and conversation. This displayed an intentional effort to form relationships with the community. He also talked about how technology allows students to collaborate and form new friendships while helping students to find adult experts and mentors to support their interests.

Encouraging student success – academically more so than socially, in preparation for life after high school – was important to Participant A. He specifically mentioned recognition from outside organizations as proof of academic achievement in both his interview and observation. These recognitions were mentioned in one of the newsletters, as well; he specifically used the term "academic session" to denote the school year (personal communication, December 3, 2009). In his interview he related that he was placed at this school so that there would be a return to "competence in delivering instruction" (personal communication, December 3, 2009). Academic achievement was supported in his decision to add an Academic Enrichment Period to the daily schedule. In addition, academic success was reflected through role modeling; the observation revealed Participant A's own academic connection and success with the University of Virginia through the display of his diploma. His office was replete with books on leadership and educational topics. And, although not implicit in the data, obtaining success in the social arena was evident through Participant's A support of Opportunities Never End (O.N.E. Lunch).

This 40 minute lunch period for the entire student body allowed for social intermingling that other schools do not allow.

Developing a positive school climate and culture was very important to Participant A and was the most talked about with words like "inviting", "healthy" and "organized" to describe his school (personal communication, December 3, 2009). He also spoke of his belief that both teachers and students felt they had the ability to affect positive change and take risks. He felt that teachers and students worked and learned in an environment of responsible freedom with consequences for actions that did not adhere to this norm.

This highlighting on a positive school culture and climate was reflected during the observation – his quiet, calm demeanor as he supervised the hallways during O.N.E. Lunch mirrored his comments about an organized and supervised environment i.e. "a school should be organized and inviting" and that teachers "feel like they are supported and that the school is safe, and it's organized and supervised and all that" (personal communication, December 3, 2009). His documents spoke of "bringing best practices to scale" (personal communication, December 3, 2009), and gave the credit to the faculty and students for their efforts in this area. He also spent a great deal of time on the "digital generation" in the second newsletter (personal communication, December 3, 2009) – speaking of the opportunity for youth to "seize new opportunities for engagement and change".

In summary, Participant A, according to his interview, observation, and document analyses is a leader who, although willing to deliver consequences when needed, is much more interested in forming relationships, encouraging student success, and developing a positive school culture and climate.

Participant B. Participant B was a chatty, personable man who seemed to enjoy articulating how he felt and what he did or didn't do as it related to leadership in a gang-impacted school. Participant B's "wordle" (see Appendix W) showed the following words being used with the most frequency in his interview: "think", "kids", "school", and "like". The four categories of relationships, prior knowledge, student success, and school culture and climate were all important to Participant B, and it seemed as though there was equal emphasis as to the need for all four in order to lead a gang-impacted school.

Forming relationships was a perceived strength of Participant B. He spoke about his ability to work with people and his talent to listen to what students and faculty members are saying about particular issues. "I care – I care about these kids" and his belief in the idea that "you don't just discipline a child, you listen to a child" (personal communication, December 9, 2009). He articulated a variety of times and in a variety of ways that students felt that "no matter what it's like in the neighborhood…I think they feel like somebody around here does care about them" (personal communication, December 9, 2009). Participant B also expressed that he cared about all kids, not just the A students; he also believed that the students knew that about him as well. He spoke often about "working as hard as possible to do the right thing – do the right thing for kids" (personal communication, December, 9 2009), and that treating kids and teachers alike with respect would go a long way in forming and maintaining positive relationships.

Participant B's feelings about the importance of forming relationships with students and adults were supported through observation and document analyses. On the day of the observation (personal communication, December 3, 2009), his office had been secretly decorated for the holidays in a "tacky" theme of sorts (lots of tinsel, plastic knick-knacks, etc.); his secretary, other office personnel and teachers had all taken part in the decorating. He held doors open for students and faculty alike. He talked about children and grandchildren to faculty members, called students by name and by nickname, and reminded individual students about their homework and applauded others for good grades. Two of the three documents provided by Participant B were speeches – one to honor Black History and one for a graduation. His Black History speech iterated a need to "understand the thoughts and feelings of others" and the need to form mutual respect with groups of people" (personal communication, December 9, 2009). In his Baccalaureate Speech (personal communication, December 9, 2009) he expressed the wish that students would "treat one another and others in later years with respect", and that he felt an "uncommon bond" with students.

Prior knowledge of gang-related incidents in the neighborhood also received a lot of comment from Participant B. Reflecting on the importance of relationships, Participant B said that students often let administrators know about incidents in the neighborhood; "the nice thing about students is that when you build a relationship with them, they will tell you if there is a gang presence in the school" (personal communication, December 9, 2009). Again connecting

relationships to prior knowledge, Participant B articulated that he "actively listens to what teachers have to say, that we actively listen to what other students have to say in the building" (personal communication, December 9, 2009). More so than the other two participants, Participant B expressed his reliance on the School Resource Officers (SRO) and Community Resource Officers (CRO) for information and insight when it came to gang activity. In one instance, the "CRO communicated with the SRO, who communicated with the administration. The one thing is the Community Resource Officers, some who have already been SROs are very aware of this particular area where we have lots of issues in the neighborhood and they are very good about communicating with the SRO or the administration in the building directly" (personal communication, December 9, 2009).

This dependence on the SRO was evident during the observation. Participant B called for the SRO immediately upon entering the building and asked about a fight that had allegedly taken place in the neighborhood the night before. The SRO had called the principal the night before and left a message that he (the SRO) had received information from the Community Resource Officer. Once he reached the SRO in the morning, the participant called an impromptu meeting of his administrative team and asked the SRO to relay the information to the group. After this, the team split up to supervise designated "hot spots" so that any gang-related activity would be deterred (personal communication, December 3, 2009).

Encouraging student success was also considered to be an important component for leadership in a gang-impacted school. The interview revealed a program in place at the school (SUCCESS – an in-house program designed to work with at-risk kids (academically and behaviorally - by giving them student mentors and extra mandatory academic help). The program is paid for with money from the school, not county, budget, so the commitment to helping students succeed is tangible. Participant B expressed his desire to help kids graduate from high school and talked about the importance of education in general, i.e. "Education is everything. Education builds bridges. Education gives you options" (personal communication, December 9, 2009).

This belief in encouraging student success was supported by observation and document analysis. During the observation, Participant B spoke to students individually about their grades in general, and their homework in specific. He was dressed professionally, and spoke of the need

to be a role model for students and faculty. The Academic Enhancement Period (AEP) which he had championed two years before (personal communication, December 9, 2009) was implemented to actively help students succeed. Although the speech dealing with Black History did not relate to student success per se, the Baccalaureate speech was littered with references celebrating student success, and not just academic success. Participant B highlighted the achievement of the athletes and dancers, the chorus and the band. He spoke of success being a relative term but that in the end, success was something that would make the world a better place; "I will tell you it is not about money, it is not about fame, it's about what's here – it's about your heart. You have that heart. You have the energy and the commitment necessary to make positive change" (personal communication, December 9, 2009).

A positive school culture and climate was also high on the list of items that a leader in a gang-impacted school worked toward according to Participant B. He believes that kids use the school building as a refuge:

> I think a lot of these kids that are in gangs are not very tough themselves and they use the group mentality to protect themselves and if you want to know the truth, I also think that they use the school building in its own way to protect themselves because they know that an issue is only get carried but so far before it's broken up. So every once in a while they will have their say knowing full well that it's not going to go any farther than that because an administrator or a faculty member is going to be around or a SRO to keep things from getting nasty. (personal communication, December 9, 2009)

He also reflected on his early years at the school when incidents of fighting to resolve problems were at an all time high. His response was to "ratchet up the discipline" (personal communication, December 9, 2009) which he felt made a significant difference. He made mention of the fact that principals need to "stick to their guns" (personal communication, December 9, 2009) as it relates to discipline so that the school is organized and the kids feel safe. More specifically, however, and removed from physical safety, Participant B felt that a safe school was one where teachers and students felt comfortable enough to take risks. He felt school should have a relaxed atmosphere, a place where kids wanted to be and not be in fear of being hassled.

Observation supported the interview findings. The morning of the observation Participant B walked the halls of the school to get "a feel for the building" (personal communication, December 3, 2009). That meant looking in on every classroom and checking every outside door to make sure it was locked. Participant B along with his administrative team was in the hall during every class change, chatting with students and teachers, and once again checking to make sure doors are locked. The graduation speech also lent support to Participant B's belief in a positive school culture and climate as a deterrent for gang activity. He spoke to the audience about the need for and the willingness to take risks. He talked about living in a world that exuded pride, dignity, and warmth; all attributes of a positive culture and climate (personal communication, December 9, 2009).

In summary, Participant B's interview results, observation data, and document analyses all showed him to be interested and able to deliver in the areas of forming relationships, having prior knowledge of gang activity in the neighborhood, encouraging student success and developing a positive school culture and climate so that his school had fewer gang-related incidents than the community from which it drew.

Participant C. Participant C was a friendly, talkative man who led the most diverse school of the three men interviewed. His frequency table or "wordle" (see Appendix X) reported that the most frequently used words during his interview were "kids", "school", "know", "think", "gang", "talking" and "understand". He and Participant B were much more likely to refer to gangs and gang activity than Participant A; however, he was very surprised that his school had such low numbers of gang activity when compared with the neighborhood.

Forming relationships was very important to Participant C as it related to leading in a gang-impacted school. He spoke often and emphatically about building relationships with gang kids, kids in general, and with the faculty. In fact, he spent quite a bit of time relating a story of when he first came to the school. According to Participant C, "no one was talking to anyone"; "no one trusted anyone, even in their own department" (personal communication, December 10, 2009). This became something that Participant C intentionally began to work to change. Participant C believed that respect for one another is the key to encouraging trust and eventually forming relationships; he related that when he began his tenure at the school:

I had a vision of where I wanted us to go and I knew it would take time – the first

thing I had to do was to develop trust and get people to trust me – because they

didn't trust anyone – they didn't trust each other. They didn't trust the other team.

And…and just by always being visible, always being out there answering

questions. That takes time. It comes at different rates of speed - now we have

gone to 12 faculty committees on the leadership team; they know we are going –

the administrative team meets every Thursday afternoon. (personal

communication, December 10, 2009)

He also conveyed that in order for this chain of events to happen, people (students and faculty), have to know that the principal cares about them as individuals. An example of this in action, according to Participant C, is the success of "Lunch and Learn", a one hour lunch period with academic tutoring (both mandatory and voluntary for half of the lunch hour) for all 1,800 students. By building relationships among students, faculty, and administration and respecting the student's ability to behave responsibly, "Lunch and Learn" went off without a hitch on a daily basis.

These insights were supported by observation data and document analyses. During the observation, Participant C walked the school the entire hour of "Lunch and Learn". During that time he talked to kids individually and by name, lent money when asked and gave congratulations for academic and athletic success when warranted. When a verbal altercation broke out between two boys, he personally walked one student to the office, all the while listening to the young man's side of the story and never interrupting. Later, during the observation, he stopped in to check up on the boy and offered some suggestions as to how to better handle the situation. At one point, Participant C even had his picture taken with a student Santa (personal communication, December 10, 2009).

The documents chosen by Participant C for analysis were a graduation speech and an article on Common Planning for teachers. The speech specifically mentioned the need to "build relationships with a broad spectrum of people so that you can also make our community a better place" (personal communication, December 10, 2009); he emphasized the need to be able to work collaboratively with others. The article on common planning, while not specifically

pointing to the need for relationships, implies that with common planning comes relationships among teachers so that students will be better served.

Encouraging student success (academically and socially in preparation for life after high school) was a category that rang true for Participant C. He spoke often and passionately about the schools' mission - to prepare kids for life after high school and not for standardized tests. Participant C also explained that when he first arrived at his school, it had the highest percentage of As and Bs in the county but an average SAT score of 876 and a pass rate of nine percent on Advanced Placement Tests. He was dismayed to realize "that there was absolutely no discernible plan for how to improve student achievement" (personal communication, December 10, 2009). He made it his mission to place an emphasis on student learning rather than student discipline and to help kids learn more – both academically and socially in preparation for life after high school.

Observation supported his belief that encouraging student success helped lead in a gang-impacted school. He took it upon himself to go to every ninth grade Physical Education class where he taught them how to calculate their Grade Point Average (GPA) and showed them the college GPA requirements. He also talked to the ninth graders about the value a GPA brought to an employer. In support of his claim that school should prepare a student for after high school, he made no mention of standardized testing when talking to the Physical Education classes; rather, he talked about "beginning with the end in mind" (personal communication, December 10, 2009).

Document analysis revealed a connection to encouraging student success as a core belief. The graduation speech talked about taking ownership of their (the students) learning and to continue to work to be critical thinkers; "For the past four years you have listened to me and others talk with you about high expectations, critical thinking and problem solving skills, and building relationships with others" (personal communication, December 10, 2009). He expressed the need to embrace life-long learning. The article talked about how common planning would promote professional development and improved instruction to help student achievement.

School culture and climate were subjects about which Participant C had much to say. His belief that school was a place of student learning (and not gang activity) was evident in his desire

to wipe out the shake downs for money in the bathrooms by some of the gang leaders and to stop the drug deals taking place; "and when we put them out, we put them out forever" (personal communication, December 10, 2009). He expelled students and felt that such an action sent a strong message about what would be tolerated and expected. At the same time, "Lunch and Learn" provided a level of freedom and respect for those students who do the right thing and encouraged students to monitor each other. This in turn helped to make the school environment comfortable and relaxing for both students and teachers. Safety and discipline were not the only areas of school culture and climate that were addressed by Participant C. Twelve committees, populated by students, teachers, and parents, helped make the environment in the school more positive; "we have gone to 12 faculty committees on the leadership team…they know where we are going" (personal communication, December 10, 2009). This committee structure allowed for a team concept to be in place in order to address school issues such as gangs and gang activity. The implementation of a master schedule that included common planning periods for teachers of the same subject or grade level and for special and regular education teachers went a long way in encouraging a positive climate and culture that was developed from within (personal communication, December 10, 2009).

The importance of a positive school culture and climate in a gang-impacted school was supported by observation data and document analyses. As Participant C taught the ninth grade Physical Education classes, he asked students what they thought about the mentor program and encouraged them to become involved in committees. He referred to the school as being a "comfortable" place (personal communication, December 10, 2009). The common planning article emphasized that master schedule with "common planning promoted professional growth and instruction" (personal communication, December 10, 2009) which led to more communication between and among students, teachers, and parents.

In summary, Participant C demonstrated a belief in the necessity of forming relationships, encouraging student success, and developing a positive school culture and climate; these beliefs helped him lead in a gang-impacted school and was supported by the data provided through observation, interview, and document analyses.

All three principals interviewed communicated that, as a rule, they worked to 1) form relationships with students and faculty, 2) have prior knowledge of any neighborhood goings-on

pertaining to gang activity, 3) encouraged student success, and 4) worked hard to develop and maintain a positive school climate and culture. No other categories or themes of any consequence emerged.

What do principals say they don't do in gang-impacted schools?

Individual impressions.

Participant A. The need for having prior knowledge of gang activity in the community held the least importance for Participant A. Although he alluded to asking for support from the community, he did not talk much about knowing about incidents that took place in the neighborhood as a reason for having less gang-related incidents in school. This was highly supported through observation and document analysis, as no mention of this behavior was made during the observation or articulated in the newsletters

Additionally, Participant A tried not to "split hairs...or play the nit-picky game with kids" (personal communication, December 3, 2009). In this way, each individual student and their actions were addressed and the administration was not held to a standard that may or may not fit the individual situation.

Participant B. If prior knowledge alerts Participant B to the possible gang-related activity, he will supervise with that knowledge in mind. However, he will intervene only if standards (or expectations) are not met; "unless they are doing something that violates school rules, we are going to let them be" (personal communication, December 9, 2009). "If they're just hanging on the walls, talking with each other, which they do on a regular basis, or go through those elaborate handshakes that they go through, we're typically not going to bother them" (personal communication, December 9, 2009). Although letting them hang out with each other, or across from rival groups may seem counter-intuitive to curbing gang activity, Participant B said the reason he let them behave in that way was that they were easier to monitor when he knew where they were and what they were doing.

Additionally, Participant B will not intervene if the opportunity presents itself as a chance for the SRO to get involved instead. By relying on the SRO, the administration has a partner in curbing gang activity. "Most of the time the SRO [stood out] and did an exceptional job of working those students" (personal communication, December 9, 2009).

Participant C. Having prior knowledge of gang activity in the neighborhood was not very important to Participant C in terms of leading in a gang-impacted school. While getting reports from the community or teachers may help, Participant C believed that kids started talking about incidences as they got on and off the bus and as administrators heard the talk, they dealt with the situation at that time. There was no mention of prior knowledge in either document.

In addition, Participant C "let a little stuff go" (personal communication, December 10, 2009). If students were found to be wearing or showing the colors of known gangs, they were told to put it away, but "we're not going to make a big issue of it" (personal communication, December 10, 2009). When gang interaction is suspected, Participant C chose not to deal with the interaction unless it is was deemed inappropriate. "I expect them to behave and I will monitor it, but I – and if I think something's going to brew, then I walk right in the middle of it" (personal communication, December 10, 2009). Participant C refused to expend too much effort on things that were not related to what he wants to accomplish in the big picture – student achievement. "Why do we expend so much effort on keeping food in the cafeteria? Is it going to help those kids learn more? Is going crazy about the dress code going to impact student learning? Don't sweat the small stuff" (personal communication, December 10, 2009).

What do principals say are difficult or easy about being a leader in a gang-impacted school?

Individual Impressions.

Participant A. Participant A, toward the beginning of the interview, said "what I do is not very difficult when all things considered, a lot of it is just – and I know it's not common, a lot of it is just common sense…that's all it is" (personal communication, December 3, 2009). Many times throughout the interview, Participant A returned to the idea that what he does is "not earth shattering" (personal communication, December 3, 2009) but what came naturally and made sense. When he made those statements he was referring to having a system in place; an organized school building. He related that the superintendent asked him to take over the school to address specific issues identified by the community, the school board and the superintendent's office. Those issues were a lack of communication (phones ringing and not being answered, for example), an inability to convey a sense of competence in delivering instruction, and organizing for the orderly operation of a school on a daily basis. One example of changes he made

organizationally was taking away assigned parking spaces in the front of the building and making them all visitor spaces. This allowed parents the opportunity to get in and out of the school during their work day easier than when they were forced to park a distance from the building.

On the other hand, some changes took more time and were very intentional. The school, according to Participant A, was almost in chaos at the beginning of his tenure. As he described, "fire alarms were going off, 911 calls on a regular basis…fire alarm strobe lights being ripped off walls. Holes were punched in drywall partitions. Windows were broken" (personal communication, December 3, 2009). Participant A also shared that students refused to identify themselves by name to the security officer, the administration, or teachers. By increasing the discipline and suspending students who caused these kinds of disruptions, Participant A gained control. It took time (3-5 months), but eventually an organized system was in place.

Getting the staff to accept change, take risks, and have an emphasis on relationships are items that are on-going and require maintenance of a sort according to Participant A. He saw this as more difficult than maintaining an organizational system and this was reflected in the emphasis put on developing a positive school culture and climate that was discussed earlier.

Participant B. Participant B echoed Participant A's reflection that ratcheting up discipline to draw attention to unwanted behaviors and to send a message was one action that was easy to implement but imperative to taking control of the day-to-day organization of the building. He also pointed out that he had a passion for working with kids and enjoyed being around kids in general, so the job of building a relationship with kids so they would be comfortable in the school environment was not a difficult job to perform.

One difficult aspect to leading in a gang-impacted school according to Participant B is that the job can be time-consuming. Participant B related that he spends a lot of time with students; not academically necessarily, but by observing them in their extra-curricular activities such as the play, chorus and band concerts, and athletic events. This was mentioned in Participant B's graduation speech and he thanked his family for allowing him the time away from home to accomplish this relationship-building activity

He also related that working one-on-one with students can be difficult in a school that houses 1800 to 2000 students. It takes effort to seek these students out and identify what they need individually. Getting to know them individually means going the extra mile; taking a student home after suspending him for 10 days and realizing exactly what type of home environment the student came from, for example (personal communication, December 9, 2009).

Participant C. Just as Participant A and B related, Participant C conveyed that the day-to-day organizational challenges were easy. This included ratcheting up the discipline in the beginning in order to set the tone, and hiring professional, competent teachers to replace those he identified as not being committed to his vision of how the school should look and feel. His ability to not "sweat the small stuff" (personal communication, December 10, 2009) also seemed to come easily. During the observation, he seemed impervious to the noise and the activity that swirled around him as he walked the halls. Dress code violations (skirts too short, for example) did not seem to even make an impression. Food outside the cafeteria did not even rate a comment of any type. Rather, he concentrated on making contact with as many students as possible in the short amount of time that Lunch and Learn offered.

What was, and continues to be difficult, according to Participant C, was getting other administrators and teachers to "not sweat the small stuff" and instead concentrate on the big picture – student learning and student accountability. Participant C related that he believed "that it took a belief in kids and their ability to handle responsibility" (personal communication, December 10, 2009) so that they could have more freedom. Waiting for them to appreciate this freedom and begin to monitor one another takes patience, something, according to Participant C (personal communication, December 10, 2009), administrators have in short supply.

Another difficulty was the diversity that School C faced. It was the most diverse school in the county. Working to ensure that students are exposed to and are tolerant of other groups took time and effort. Getting this message out to the freshmen each year, starting over in a sense, can be daunting.

In terms of what was easy about leading in a gang-impacted school, the common thread among all three principals was implementing an organizational structure so that the school would be able to run on its own without much oversight on the part of the principal, or discipline

incidents on the part of the students. In terms of what was difficult about leading in a gang-impacted school, the common thread among the three principals was the time and effort necessary to maintain the environment that was required to sustain the efforts in forming relationships, encouraging student success, and developing a positive school culture and environment.

Research Question 2: What is the connection between leadership style and the presence of relatively fewer gang-related incidents in schools than in the community from which they draw their population?

Of the data collection techniques employed in this study (interview, observation, document analyses and leadership survey), the MLQ-5x assessment survey was most directly related to determining the leadership style of those principals who led in gang-impacted schools that had relatively fewer gang-related incidents than the community from which they drew their population. The questionnaire contained 45 items "that identify and measure key leadership and effectiveness behaviors" (Avolio & Bass, 2004, p. 13). The nine leadership components – Idealized Influence (Attributed), Idealized Influence (Behavior), Inspirational Motivation, Intellectual Stimulation, Individualized Consideration, Contingent Reward, Management-by-Exception (Active), Management-by-Exception (Passive), and Laissez-faire Leadership was measured by four questions each. In addition, the survey included questions that related to extra effort, effectiveness, and satisfaction, all components of leadership that augment transformational leadership. A five point scale for rating the behavior was used. The rating scale for leadership items was: 0 = Not at all, 1 = Once in a while, 2 = Sometimes, 3 = Fairly often, and 4 = Frequently, if not always.

According to Burns (1978), all leaders possess transactional attributes; recognizing what workers need from their work and making sure they get it if deserving; exchanging rewards and promises for rewards for effort, and responding to the needs of workers if the work is being completed. A transformational leader, however, develops those needs and engages the worker in such a way that they also become leaders in their own right. Burns (1978) describes transactional leaders as those who raise employee awareness of achieving outcomes and developing strategies to reach said outcomes and encouraging workers to go beyond self-interest for the sake of the greater good of the organization.

Transactional leadership, using the MLQ-5x survey, is measured with questions relating to Management-by-Exception (Active and Passive) and Contingent Reward. Transformational leadership is measured through the questions dealing with Idealized Influence (Attributed and Behavioral), Inspirational Motivation, Intellectual Stimulation and Individualized Consideration. In addition, transformational leadership is augmented by satisfaction, extra effort, and effectiveness.

Individual results.

Participant A. Participant A, as evidenced by the scores received on the MLQ-5x leadership survey presented in Tables 9 and 10, would categorize himself as a leader with both transformational and transactional leadership attributes. When comparing these scores to the categories and themes gleaned from the interview, observation and document analyses, there seemed to be a correlation. The transformational leadership dimensions that most closely reflected the importance of forming relationships are Individual Consideration, Intellectual Stimulation, and Idealized Influence, both Attributed and Behavior were easily displayed as a matrix (see Appendix Y). The scores in these categories (see Table 9) conveyed that Participant A saw forming relationships as important based on his perceptions that he sometimes used these leadership attributes. It is important to note that Participant A chose to not answer three questions that directly dealt with transformational attributes. This omission meant that his score was lower due to a zero being inserted (as required) into the formula.

Table 9

MLQ-5x Transformational Leadership Results for Participant A

Transformational Leadership Components	Average Score	Scale Descriptor
Idealized Influence (Attributed)	2.3 (out of 4)	Sometimes
Idealized Influence (Behavior)	2.5 (out of 4)	Sometimes
Inspirational Motivation	3.0 (out of 4)	Fairly Often
Intellectual Stimulation	2.5 (out of 4)	Sometimes
Individual Consideration	3.0 (out of 4)	Fairly Often
Satisfaction	3.0 (out of 4)	Fairly Often
Extra Effort	2.0 (out of 4)	Sometimes
Effectiveness	2.5 (out of 4)	Sometimes

At the same time, transactional components (see Appendix Z) and tendencies were noted in Table 10 showing the correlation between contingent rewards and forming relationships. Participant A scored a 1.5 on these questions, which conveyed that he perceives himself as using contingent rewards once in a while.

The MLQ-5x findings also validated encouraging student success as one of the themes that emerged during interview, observation, and document analyses (see Table 9). Encouraging student success was reflected in the transformational leadership attributes of Idealized Influence (Attributed and Behavior), Individualized Consideration, Intellectual Stimulation and Inspiration Motivation for which Participant A earned between 1.75 and a 3.0 (Sometimes to Fairly Often).

Table 10

MLQ-5x Transactional Leadership Results for Participant A

Transactional Leadership Components	Average Score	Scale Descriptor
Contingent Reward	1.5 (out o 4)	Once in a while
Management-by-Exception (Active)	1.25 (out of 4)	Once in a while
Management-by-Exception (Passive)	1.75 (out of 4)	Once in a while
Laissez-faire Leadership	0 (out of 4)	Not at all

Again, not answering three questions forced the insertion of a zero into the formula, effectively lowering his score.

Transactional leadership attributes were also scored (see Table 10). As they related to the theme of encouraging student success, Participant A reported through the survey answers that he practices both Management-by-Exception (Actively – 1.75) and Management-by-Exception (Passively – 1.25) only once in a while. He also uses contingent rewards once in a while as reflected by his score of 1.5.

Validating the theme of developing a positive school climate and culture as an important transformational theme as it related to leading a gang-impacted school, Idealized Influence (both Attributed and Behavior), Inspirational Motivation, Intellectual Stimulation and Idealized Consideration all played a role. Participant A again perceived himself as sometimes using transformational leadership attributes to achieve a positive school climate and culture (see Table 9).

In terms of transactional qualities, Participant A used Management-by-Exception Active (1.25) and Management-by-Exception Passive (1.75) sparingly – only once in a while. His use of contingent reward according to the survey was also once in a while, reflected in a score of 1.5 (see Table 10).

Prior knowledge of gang activity as a theme was reflected in the transformational leadership attributes (see Table 9) of Idealized Influence (Attributed and Behavior) and the transactional components (see Table 10) of Management by Exception (Active and Passive) and

Contingent Reward. Participant A scored low in both, which validated the interview and observation results of Participant A.

   Participant B. Participant B, as evidenced by the scores received on the MLQ-5x leadership survey presented in Tables 11 and 12 perceived himself as a leader who is much more transformational than transactional in nature. When comparing these scores to the themes and categories gleaned from the interview, observation and document analyses, there seemed to be a correlation. The transformational leadership components that most closely reflected the importance of forming relationships were Individual Consideration, Intellectual Stimulation, and Idealized Influence , both Attributed and Behavior (see Appendix Y). The scores in these categories, ranging from 3.25 to 4.0 (Fairly Often to Frequently, if Not Always) as shown in Table 11, conveyed that Participant B saw forming relationships as important based on his perceptions that he sometimes used these leadership attributes.

At the same time, transactional tendencies were noted in Table 12 with the correlation between contingent reward and forming relationships. Participant B scored a 3.0 on these questions, which conveyed that he perceived himself as using contingent rewards fairly often. The MLQ-5x findings also validated encouraging student success as one of the themes that emerged during interview, observation, and document analyses (see Table 11). Encouraging student success was reflected in the transformational leadership attributes of Idealized Influence (Attributed and Behavior), Individualized Consideration, Intellectual Stimulation and Inspiration Motivation for which Participant B earned between 3.25 and a 4.0 (Fairly Often to Frequently, if not Always).

Table 11

MLQ-5x Transformational Leadership Results for Participant B

Transformational Leadership Components	Average Score	Scale Descriptor
Idealized Influence (Attributed)	4.0 (out of 4)	Frequently, if not always
Idealized Influence (Behavior)	4.0 (out of 4)	Frequently, if not always
Inspirational Motivation	3.75 (out of 4)	Fairly Often
Intellectual Stimulation	3.25 (out of 4)	Fairly Often
Individual Consideration	3.25 (out of 4)	Fairly Often
Satisfaction	3.0 (out of 4)	Fairly Often
Extra Effort	3.75 (out of 4)	Fairly Often
Effectiveness	4.0 (out of 4)	Frequently, if not always

Transactional leadership attributes were also scored (see Table 12). As they related to the theme of encouraging student success, Participant B reported through survey answers that his use

Table 12

MLQ-5x Transactional Leadership Results for Participant B

Transactional Leadership Components	Average Score	Scale Descriptor
Contingent Reward	3.0 (out o 4)	Fairly Often
Management-by-Exception (Active)	3.0 (out of 4)	Fairly Often
Management-by-Exception (Passive)	1.5 (out of 4)	Once in a while
Laissez-faire Leadership	1.0 (out of 4)	Once in a while

of contingent reward rated as fairly often, while at the same time he was focused on preventing problems and catching critical mistakes, reflected with his score of 3.0 for the attribute of Management-by-Exception (Active).

Validating the theme of developing a positive school climate and culture as an important transformational theme as it related to leading a gang-impacted school, Idealized Influence (both Attributed and Behavior), Inspirational Motivation, Intellectual Stimulation and Idealized Consideration all played a role. Participant B again perceived himself as using transformational leadership attributes to achieve a positive school climate and culture fairly often or frequently if not always (see Table 11).

In terms of transactional qualities, Participant B used Management-by-Exception (Active - 3.0) fairy often and Management-by-Exception (Passive- 1.5) sparingly – only once in a while (see Table 12). His use of contingent reward according to the survey was fairly often, reflected in his score of 3.0.

Prior knowledge of gang activity as a theme was reflected in the transformational leadership attributes of Idealized Influence (Attributed and Behavior) and the transactional components of Management by Exception (Active) and Contingent Reward. As Tables 11 and 12 show, Participant B scored high in both, validating the interview and observation results of Participant B.

Participant C. Participant C, as evidenced by the scores received on the MLQ-5x leadership survey presented in Tables 13 and 14 perceived himself as a leader who was more transformational than transactional in nature. When comparing these scores to the themes and categories gleaned from the interview, observation and document analyses, there seemed to be a correlation. The transformational leadership components that most closely reflected the importance of forming relationships are Individual Consideration, Intellectual Stimulation, and Idealized Influence , both Attributed and Behavior (see Appendix Y). The scores in these categories, ranging from 3.25 to 4.0 (Fairly Often to Frequently, if Not Always) as shown in Table 13, conveyed that Participant C saw forming relationships as important based on his perceptions that he sometimes used these leadership attributes.

At the same time, transactional tendencies were noted in Table 14 with the correlation between contingent reward and forming relationships. Participant C scored a 2.5 on these questions, which conveyed that he perceived himself as sometimes using contingent rewards.

The MLQ-5x findings also validated encouraging student success as one of the themes that emerged during interview, observation, and document analyses. Encouraging student success was reflected in the transformational leadership attributes of Idealized Influence (Attributed and Behavior), Individualized Consideration, Intellectual Stimulation, Inspirational

Table 13

MLQ-5x Transformational Leadership Results for Participant C

Transformational Leadership Components	Average Score	Scale Descriptor
Idealized Influence (Attributed)	3.5 (out of 4)	Fairly Often
Idealized Influence (Behavior)	4.0 (out of 4)	Frequently, if not always
Inspirational Motivation	3.5 (out of 4)	Fairly Often
Intellectual Stimulation	3.25 (out of 4)	Fairly Often
Individual Consideration	3.5 (out of 4)	Fairly Often
Satisfaction	4.0 (out of 4)	Frequently, if not always
Extra Effort	3.0 (out of 4)	Fairly Often
Effectiveness	3.0 (out of 4)	Fairly Often

Table 14

MLQ-5x Transactional Leadership Results for Participant C

Transactional Leadership Components	Average Score	Scale Descriptor
Contingent Reward	2.5 (out of 4)	Sometimes
Management-by-Exception (Active)	1.5 (out of 4)	Once in a while
Management-by-Exception (Passive)	1.25 (out of 4)	Once in a while
Laissez-faire Leadership	1.5 (out of 4)	Once in a while

Motivation for which Participant C ranked between 3.25 and a 4.0 (Fairly Often to Frequently, if not Always). (see Table 13)

Transactional leadership attributes were also scored (see Table 14). As they related to the theme of encouraging student success, Participant C reported through survey answers that his use of contingent reward rates as only sometimes, while at the same time he was occasionally focused on preventing problems and catching critical mistakes, reflected with his range of scores of 1.25 to 1.5 for the attribute of Management-by-Exception (Active and Passive).

Validating the theme of developing a positive school climate and culture as an important transformational theme as it related to leading a gang-impacted school, Idealized Influence (both Attributed and Behavior), Inspirational Motivation, Intellectual Stimulation and Idealized Consideration all played a role. Participant C again perceived himself as using transformational leadership attributes to achieve a positive school climate and culture fairly often or frequently if not always (see Table 13).

In terms of transactional qualities, Participant B used Management-by-Exception (Active and Passive) sparingly – only once in a while (1.25 to 1.5). He sometimes used contingent reward according to the survey, reflected in his score of 2.5 (see Table 14).

Prior knowledge of gang activity as a theme was reflected in the transformational leadership attributes of Idealized Influence (Attributed and Behavior) and the transactional components of Management by Exception (Active) and Contingent Reward. As Tables 13 and 14 show, Participant C scores were in a range of 1.25 – 2.5, validating the interview and observation results of Participant C not having a strong showing in this area or using these attributes only sometimes or once in a while.

Summary

The three participants in this study generally scored between a 3 and a 4 on questions relating to transformational attributes on the MLQ-5x Leadership Survey. This indicated a propensity to display transformational leadership attributes in their approaches to leading in a gang-impacted school. One question on the survey resulted in all three participants scoring a 4 (frequently, if not always). This question asked if they went beyond self-interest for the good of the group. The interviews and observations, particularly, showed this to be true. Each participant had articulated a vision for the school; Participant A wanted O.N.E. Lunch; Participant B wanted a mentoring program in conjunction with an enrichment period; Participant C wanted a Lunch

and Learn of 40 minutes not one hour. In each case, the participants acceded to the wishes of the group in spite of the outcome not being exactly what they had personally envisioned.

The following statements taken from the MLQ-5x described how the participants felt about their leadership style. They were very telling when used to connect leadership style and the themes and categories that emerged as the principals discussed the presence of relatively fewer gang-related incidents in schools than in the community from which they drew their population. Table 15 displays a list of the statements that all three participants scored a 3 (fairly often) or a 4 (frequently, if not always). These statements all conveyed transformational leadership attributes. When compared to the interview, observation, and document analyses it was evident that there was a connection among leaders who espoused these feelings about their leadership style and the presence of relatively fewer gang-related incidents in their schools than in the community from which they drew their populations.

Table 15

Transformational Leadership Statements and Scores for Participants A, B, and C

Statement	Transformational Attribute	Participant A	Participant B	Participant C
Go beyond self-interest for the good of the group	Idealized Influence	4	4	4
Talk optimistically about the future	Inspirational Motivation	4	4	3
Talk enthusiastically about what needs to be accomplished	Inspirational Motivation	3	4	4
Specify the importance of having a strong sense of purpose	Idealized Influence	3	4	4
Seek differing perspectives when solving problems	Intellectual Stimulation	4	4	3

(Table continued)

Table 15 continued

	Individualized Consideration	3	4	4
Treat others as individuals rather than just as a member of a group				
Consider the moral and ethical consequences of decisions	Idealized Influence	3	4	4
Emphasize the importance of having a collective sense of mission	Idealized Influence	3	4	4
Consider an individual as having different needs, abilities, and aspirations from others	Individualized Consideration	3	3	4
Suggest new ways of looking at how to complete assignments	Intellectual Stimulation	3	3	4
Get others to look at problems from many angles	Intellectual Stimulation	3	3	3
Help others to develop their strengths	Individualized Consideration	3	3	3
Express confidence that goals will be achieved	Inspirational Motivation	3	3	3

Other statements reflected the participants being on the cusp of transformational leadership; there was not a whole-hearted commitment to the leadership attributes. As depicted in Table 16, Management by Exception was an attribute usually seen in a transactional leader. In

two of the statements, the participants as a group were transformational (scoring once in a while or sometimes). Only one participant was managing by exception when it came to mistakes and errors. In terms of transformational leadership, only one participant did not perceive himself as that type of leader.

Table 16

Transformational-leaning Leadership Statements and Scores for Participants A, B, and C

Statement	Attribute	Participant A	Participant B	Participant C
Instill pride in others for being associated with me	Idealized Influence (Transformational)	3	4	3
Keep track of all mistakes	Management by Exception (Transactional)	2	3	2
Focus attention on irregularities, mistakes, exceptions, and deviations from standards	Management by Exception (Transactional)	1	3	2

Remembering that a 0 score reflects never, 1 reflects once in a while, 2 reflects sometimes, and 3 reflects fairly often, it was inferred that these three participants are closer to being transformational in these areas.

Outliers. Outliers represent those findings that only a few participants stated when it came to describing their leadership styles. In each case listed, the outlier was reluctant to speak freely about himself or his accomplishments – Participant A (see Table 17).

Table 17

Outlier Statements Relating to Transformational Leadership Attributes for Participants A, B, and C

Statement	Attribute	Participant A	Participant B	Participant C
Articulate a compelling vision of the future	Inspirational Motivation (Transformational)	2	4	4
Talk about their most important values and beliefs	Idealized Influence (Transformational)	1	4	4
Act in ways that build others' respect for me	Idealized Influence (Transformational)	0	4	4
Display a sense of power and confidence	Idealized Influence (Transformational)	1	4	3
Re-examine critical assumptions to questions as to whether they are appropriate	Intellectual Stimulation (Transformational)	0	3	3
Spend time teaching and coaching	Individualized Consideration (Transformational)	0	3	3
Direct my attention toward failures to meet standards	Management by Exception (Transactional)	1	3	1

Specifically, when asked to talk about things that he valued deeply Participant's A response was "I don't really think about this stuff" (personal communication, December 3, 2009). When asked about what he valued about his work his response was "You know, I don't

know. I don't know" (personal communication, December 3, 2009). He continued "Yeah, I don't know much about – I don't really think much about those things. So, I don't really know how to answer that kind of stuff…" (personal communication, December 3, 2009). This participant was much more comfortable answering the concrete type of questions, i.e. definitions, examples, etc.

A second occurrence of an outlier was found in the scores reflecting transactional leadership components. In this case, as Table 18 depicts, in many cases, the most transformational of the three leaders (Participant B), scored the highest in categories labeled as transactional. Participant B expects certain behaviors in exchange for freedom to interact without being hassled by the administration. "If it looks like they're going into the bathroom and there are too many people that are going into the bathroom for no particular reason, we are gonna go in there to make sure that we are not having a drug deal going on or that they're maybe having a beating, or something like that" (personal communication, December 9, 2010).

These outliers may not hold much importance, however, as all transformational leaders have transactional leadership attributes as the basis of their style. It is important to note, though, that Participant B led the school that reached maintaining the 1:5 four years in a row first.

Table 18

Outlier Statements Relating to Transactional Leadership Attributes for Participants A, B, and C

Statement	Transactional Attribute	Participant A	Participant B	Participant C
Provide others with assistance in exchange for their efforts	Contingent Reward	DNA	4	3
Keep track of all mistakes	Management-by-Exception (Active)	1	3	1
Focus attention on irregularities, mistakes, exceptions, and deviations from standards	Management-by-Exception (Active)	1	3	2
Fail to interfere until problems become serious	Management-by-Exception (Passive)	3	1	2
Concentrate full attention on dealing with mistakes, complaints, and failures	Management-by-Exception (Active)	1	3	1
Make clear what one can expect to receive when performance goals are achieved	Contingent Reward	1	3	1
Direct attention toward failures to meet standards	Management-by-Exception (Active)	1	3	1
Delay responding to urgent questions	Laissez-faire	0	3	1
Absent when needed	Laissez-faire	0	0	3

Note. *DNA = Did not answer

Chapter 5
Findings, Implications and Recommendations

The purpose of this study was to explore the leadership behaviors of principals who lead in gang-impacted schools that have at least five times fewer gang-related incidents than the community from which they draw their population. The goal was to identify and describe, through interviews, observations, and document analysis, the leadership attributes and behaviors used by these principals. In this chapter, conclusions on the findings of this study are reported. They are organized for the reader in terms of the themes and categories contained within to the study's research questions. The four themes (and the categories contained within) are: building relationships (with students, faculty and community members); having knowledge of gang activity in the community (from students, police, parents, and teachers); encouraging student success (academically and socially in preparation for life after high school); and developing a positive school culture and climate (safe, disciplined, comfortable – a culture and climate that allows for responsible freedom and the opportunity to take risks)The relationship of the finding to the literature and the implications for practice is included with recommendations by the researcher for future research studies follow**.**

Findings

Research Question 1: What do principals say about how they lead in gang-impacted schools that have fewer gang-related incidents than the community from which they draw their population?

a. **What do principals say they do in gang-impacted schools?**
b. **What do principals say they don't do in gang-impacted schools?**
c. **What do principals say are difficult or easy about being a leader in a gang-impacted school?**

Finding one. Principals in gang-impacted schools use flexibility and common sense when enforcing school rules. By not over reacting to things such as dress code violations, principals said they were able to deal with students who came from neighborhoods rife with gang activity and tended to display gang indicators such as colors and styles of clothing without applying disciplinary consequences. Principals who lead in schools with at least five times fewer

gang-related incidents than the community from which their population is drawn do not make a big deal of the perceived or actual student misbehavior. As stated by Participant C, "Why don't we direct our efforts towards what is truly our mission and not get hung up on all this other stuff" (personal communication, December 10, 2009). Common sense and the belief that the ultimate goal behind any school rule should be its relationship to increased student achievement guided these principals in the actual enforcement of school rules (dress code violations, hanging out as a group). These principals did not go looking for gang behaviors in their schools and believe that although drugs, weapons, and fights are symptomatic of gang existence, they are often times completely unrelated to gang activity and needed to be treated as such. Leadership that addressed gang-related behavior specifically was not generally employed (looking for colors, clothing, graffiti, tattoos, etc.). The theme this finding best relates to is developing a positive school climate and culture, specifically the categories of safety, discipline and a feeling of being comfortable in a school setting. This finding is consistent with the research reported in Chapter 2, specifically Maslow's assertion that self-actualization (including problem solving) cannot be attainted until the need for safety has been met.

Finding two. Principals in gang-impacted schools who wish to convey the greater mission and vision of a school with high academic expectations surround themselves with colleagues who accept the responsibility for the consistent enforcement of school rules. In order for the head principal to create a positive school culture and climate, they must have the opportunity to employ transformational attributes such as Idealized Influence, Inspirational Motivation, etc. By allowing students to exercise responsible freedom and risk-taking versus looking for discipline infractions, the head principal has the time and opportunity to devote his energies to fostering relationships, developing a positive school climate and culture, and encouraging student success. Participant A stated that "if you polled the kids [they would say] they have responsibility, they have sufficient freedom, and it is not an environment which is out of control or chaotic or just tense, where anything could happen at any minute" (personal communication, December 3, 2009). This finding is consistent with the research presented in Chapter 2; transformational leadership focuses on the mission and the vision of the organization rather than the day-to-day tasks of management (Judge & Piccolo, 2004), of which discipline would be an example.

Finding three. The three schools led by the principals in this study are not meeting AYP consistently, although all are accredited by the Commonwealth of Virginia. Research indicates that school violence leads to lapses in concentration and subsequent parallel lapses in achievement (Grogger, 1997). The results of this study do not support this claim. The No Child Left Behind Act or NCLB (2002) requires that schools maintain Adequate Yearly Progress (AYP) toward proficiency goals of 100% in the areas of mathematics, reading, graduation, and attendance (www.doe.virginia.gov/statistics_reports/accreditation_ayp_reports/ay/index.shtml). Comparing the four years of data used for discipline and criminal analysis to AYP attainment rates, Table 19 conveys that although safer than the community the school served, academic achievement is not as high. This is evidenced by a 1:5 or higher ratio of similar school discipline incidents to criminal activities for three of the four years studied and corresponding AYP results.

Table 19

Comparison of Ratio Attainment to AYP Attainment for all Schools in the School Division

	2005-2006		2006-2007		2007-2008		2008-2009	
	Ratio	AYP	Ratio	AYP	Ratio	AYP	Ratio	AYP
School A	Yes	Yes	No	Yes	No	Yes	No	Yes
School B	No	Yes	Yes	Yes	No	Yes	No	Yes
School C	*	*	No	Yes	No	Yes	No	Yes
School D	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**	**No**	**No**
School E	**Yes**	**No**	**Yes**	**Yes**	**Yes**	**Yes**	**Yes**	**No**
School F	**Yes**	**No**	**No**	**Yes**	**Yes**	**No**	**Yes**	**Yes**
School G	No	No	Yes	No	Yes	No	N	No
School H	No	Yes	Yes	Yes	No	Yes	Yes	Yes
School I	Yes	Yes	Yes	Yes	No	Yes	No	No
School J	No	Yes	Yes	Yes	No	Yes	Yes	Yes

Note. * indicates school was not in existence during this school year; bolded schools (D, E, and F) are led by the participants of this study.

Finding four. Principals in gang-impacted schools foster relationships with those groups and individuals who can provide prior knowledge of gang-related activity in the neighborhood. The advantage of having prior knowledge of community gang-related activity is an opportunity to deter similar activity in the schools, according to the principal of the only school in the study to achieve AYP all four years. Prior knowledge allows principals to be situational in their supervisory tactics. Rather than being "on patrol" all the time – looking for discipline violations, prior knowledge allows principals to maintain an atmosphere of freedom, which, in turn leads to

a positive school environment where students feel comfortable. The principal of the school stressed the importance of having a relationship with the school and community police officers, which paid off when needing prior knowledge of neighborhood gang activity in order to be prepared to quell any related situations in school. An example of this finding in action can be identified in the observation of this principal, which took place on December 3, 2009. The very first thing that Participant C did upon entering school at 7:03 a.m. was to ask his secretary to find the School Resource Officer so they could discuss a fight that took place in the neighborhood the night before. This led to an administrative team meeting to identify areas of the building which would need additional supervision during the day. The literature supports this need for extra supervision as a deterrent in some cases. Physical confrontations and/or stare downs in hallways may be a warning of gang activity (Struyk, 2006). Prior knowledge of a situation allows principals to implement a plan that will stop or curb this activity in the school. This finding is directly related to the theme of having prior knowledge, specifically from police, and to the theme of building relationships, primarily with adults.

Research Question 2: What is the connection between principal leadership style and the presence of relatively fewer gang-related incidents in schools than in the community from which they draw their population?

Finding five. Principals in gang-impacted schools who have fewer gang-related activity than the community from which they draw demonstrate transformational leadership attributes. According to Avolio and Bass, all leaders have transactional attributes; however, transformational leaders build on these attributes in order to provide opportunities for personal and organizational growth (2004). As reported earlier in Chapter 4, all three participants score either a 3 or 4 on statements that describe transformational leadership attributes. This means the participants display these attributes either fairly often or frequently if not always. Of interest is the finding that all three participants received a score of 4 in the area of going beyond self-interest for the good of the group. This directly relates to several themes and categories that emerged during this study. Specifically, this finding relates to the theme of developing a positive school culture and climate – in the areas of safety, discipline, and feeling comfortable in a school setting. Principals who practice Idealized Influence, Inspirational Motivation, Individualized Consideration and Intellectual Stimulation at a high level will achieve a positive school culture

and climate; one that is safe and disciplined, yet comfortable enough to encourage responsible risk-taking by both students and faculty. This finding is directly related to three of the four themes and their categories: developing a positive school culture and climate (safety, discipline, and comfortableness), encouraging student success (academically and socially), and forming relationships (students and adults).

Finding six. The transactional leadership attributes of Contingent Rewards and Management-by-Exception, in addition to transformational leadership traits, were apparent in the leadership style of the principal of the school that maintained a 1:5 ratio of school to community gang-related incidents for all four years analyzed in the study. Statements that indicate transactional leadership included 1) provide others with assistance in exchange for their efforts and 2) keep track of all mistakes. Table 20 lists all the statements that reflect these attributes in descending order. Participant B's scores are highlighted. This participant emphasized a need for prior knowledge (as described in finding four). Although all participants scored high on transformational attributes, this finding is integral to the notion that while principals whose schools have five times fewer gang-related incidents in their schools than the community from which they draw are more transformational than transactional, there is a time and a place for transactional attributes to be employed. These statements connect to the theme of prior knowledge and to developing a positive school culture and climate in the areas of safety and discipline.

Finding seven. Principals in gang-impacted schools demonstrated their ability to embrace change by implementation of programs that focused on forming relationships and encouraging student achievement, i.e. Lunch and Learn and One Lunch, demonstrate the ability to embrace change. This finding is reinforced by the idea that change is necessary for a positive school climate and culture. Participant C stated that "it's more about creating a culture where…they understand that the goal is always to do better and create a culture where people aren't afraid to try something new" (personal communication, December 10, 2009). This finding is connected to forming relationships with students and faculty, developing a positive school climate and culture and encouraging student success. The need to embrace change in the

Table 20

Transactional Leadership Statements and Attributes for Participants A, B, and C

Statement	Transactional Attribute	A	B	C
Provide others with assistance in exchange for their efforts	Contingent Reward	DNA	4	3
Keep track of all mistakes	Management-by-Exception (Active)	1	3	1
Focus attention on irregularities, mistakes, exceptions, and deviations from standards	Management-by-Exception (Active)	1	3	2
Fail to interfere until problems become serious	Management-by-Exception (Passive)	3	1	2
Concentrate full attention on dealing with mistakes, complaints, and failures	Management-by-Exception (Active)	1	3	1
Make clear what one can expect to receive when performance goals are achieved	Contingent Reward	1	3	1
Direct attention toward failures to meet standards	Management-by-Exception (Active)	1	3	1
Delay responding to urgent questions	Laissez-faire	0	3	1
Absent when needed	Laissez-faire	0	0	3

name of developing a more positive school climate and culture – evidenced by the forming of relationships and student achievement – is supported by research. By building relationships with students, principals give students a sense of belonging, thereby addressing one reason students join gangs (Burnett, 1999). When innovative programs that embody change are implemented, those youth who feel "shut out from employment and educational opportunities" (Hamner, 1993, p. 3) no longer feel the need to join a gang.

Finding eight. Having a supportive and accommodating family is central to the success of a principal leading a gang-impacted school. Forming relationships with students and faculty by being at school to watch extracurricular activities and talk with parents means time away from home. Working to develop a positive school culture and climate where students and faculty trust one another, take risks and embrace change is hard work that requires much time and effort outside of the normal school day. If unable to role model or set examples due to time constraints, the mission and vision desired by these principals would not have been achieved. Without the support of their families, these principals indicated that they would not be able to devote the time necessary to create a climate where gang-related school activities are five times fewer than similar gang-related activities in the community.

Finding nine. The creation of an organizational structure with support for students and faculty alike is useful for the forming of relationships, developing a positive school culture and climate, and for encouraging student success. The transactional nature of providing an organized system within which to work and learn combined with the transformational components of providing understanding and empathy for both students and faculty, is what permitted a positive school culture and climate which in turn encouraged student success to flourish. These principals appeared to understand the need for both, which led to students given this support responding with responsible behavior in the face of unconventional school programs such as O.N.E. Lunch and Lunch and Learn. Faculty, in spite of their reservations, adopted the Academic Enhancement Period to a greater extent than imagined by the principal making the proposal.

Implications for Practitioners

Implication one. Administrative guidelines and school division policy should allow the principal the ability to use judgment and discretion when enforcing school rules. By not over

reacting to minor discipline infractions that could be seen as gang-related, i.e. dress code violations, principals said they were able to deal with students who came from neighborhoods rife with gang activity.

Implication two. Principals who are intent on developing the mission and vision of the school should surround themselves with colleagues who believe in the concept that the principal should be free to build relationships rather than focus on the day-to-day consistent enforcement of school rules. This focus on transformational versus transactional leadership behaviors leads to less gang-related activity in the school.

Implication three. While working to maintain a safe environment for learning, administrators should put in place policies and procedures that place equal emphasis on the quality of instruction as well as student conduct. Principals in gang-impacted schools must work equally hard to encourage student achievement since a one-to-one correlation between the two is not a guarantee.

Implication four. Principals in gang-impacted schools should foster relationships with those groups and individuals such as school and community police officers who can provide prior knowledge of gang-related activity in the neighborhood. Prior knowledge of community disturbances that are gang-related allows principals to be proactive rather than reactive to possible connected school disruptions.

Implication five. School divisions should consider staff development for administrators that addresses transformational as well as transactional attributes. The emphasis should be on using the strategies or attributes from both areas that are appropriate to the situation.

Implication six. Programs dedicated to principal preparation should include more information about leadership revolving around transformational attributes and a greater understanding that the situation drives the leadership strategy needed at any given time; both transactional and transformational knowledge and skills are necessary. Transactional leadership is covered in courses dealing with the practical side of being a principal, i.e. law, finance, facilities, etc. Transformational leadership attributes are a natural progression from transactional attributes but need to be identified in order to be implemented.

Implication seven. School divisions, when considering staff development for principals in gang-impacted schools should provide specific staff development in the areas of initiating and implementing change. Change requires transformational leadership which, although a natural progression from transactional leadership, must be intentional.

Implication eight. When school divisions make personnel decisions regarding the placement of principals in gang-impacted schools, they should be aware of the expressed need for family support. The extra time needed to build relationships with students and faculty requires a support system that allows for that work to occur.

Implication nine. Principals in gang-impacted schools should establish a structured and supportive system for both students and faculty as they work to build a community that reflects the building of relationships, the encouraging of student success and the development of a positive school culture and climate.

Suggestions for Further Research

Suggestion one. Study principal leadership in gang-impacted schools that have equal to or more gang-related activity than the community from which they draw their population. Compare results with this study to determine if school leadership really makes a difference in results.

Suggestion two. Study principal leadership in schools that continue to make AYP (evidence of academic achievement) despite having more gang-related activity than the community from which they draw their population.

Suggestion three. Interview associates of leaders in gang-impacted schools that have fewer gang-related incidents than the community from which they draw in addition to leader interview and observations. This "outside" picture may prove or disprove the results generated from the leaders themselves.

Suggestion four. Interview the next tier of leadership in the school to find out what they do in concert with the head principal.

Suggestion five. Replicate the study in a strictly urban school system.

Suggestion six. Replicate the study in a strictly rural school system.

Summary and Conclusions

This phenomenological study explored how principals led in gang-impacted schools that have less gang activity than the community from which they drew their population. The theoretical framework proposed that gang activity in the schools that fared better than their corresponding community was linked to leadership behavior. The final product was the portraits and stories of principals' relationships with gang-impacted schools and the central concept of leadership in these types of schools. According to the three participants interviewed in this study, both transactional and transformational leadership attributes are necessary to lead a gang-impacted school that has fewer gang-related incidents than the community from which it draws. However, while themes varied as to individual values, the underlying conclusion on the interview data in this research study is that leaders who display more transformational leadership than transactional leadership attributes are more successful in gang-impacted schools. As a result of this study, principals who are placed in schools identified as being gang-impacted will be better equipped to identify and practice leadership behaviors that have worked for other school leaders. In addition, school districts will be better able to identify and provide staff development to and for potential leaders in as it relates to leadership.

Chapter 5 concludes this research study. The findings produced four themes leaders in schools that, despite being gang-impacted, have fewer gang-related incidents than the community, regard as important in their work; forming relationships, having prior knowledge of gang activity in the community, encouraging student success, and developing a positive school culture and climate. Recommendations invite all school leaders to participate in staff development pertaining to transformational leadership.

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Appendix A

National Goals 2000

Goal 3: Student Achievement and Citizenship

By the year 2000, all students will leave grades 4, 8, and 12 having demonstrated competency over challenging subject matter including English, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography, and every school in America will ensure that <u>all students learn to use their minds well</u>, so they may be prepared for responsible citizenship, further learning, and productive employment in our Naiton's modern economy.

The objectives for this goal are that…

- The academic performance of all students at the elementary and secondary level will increase significantly in every quartile, and the distribution of minority students in each quartile will more closely reflect the student population as a whole;
- The percentage of all students who <u>demonstrate the ability to reason, solve problems, apply knowledge</u>, and write and communicate effectively will increase substantially;
- All students will be involved in activities that promote and demonstrate good citizenship, good health, community service and personal responsibility;
- All students will have access to physical education and health education to ensure they are healthy and fit;
- The percentage of all students who are competent in more than one language will substantially increase; and
- All students will be knowledgeable about the diverse cultural heritage of this Nation and about the world community.

http://www.ed.gov/G2K/teachers/appndx5.html

Appendix B

Gang Symbols

Term	Meaning
5 in the sky…6 must die	Revenge: a People Nation member was killed so retaliation against the Folk Nation will occur
5 poppin'…6 droppin'	Used to disrespect gangs in the Folk Nation; People Nation represented by the number 5 shooting at the Folk Nation members (represented by the number 6)
6 poppin'…5 droppin'	The reverse of the above
8 Ball	1/8 oz. of cocaine or an alliance of Crips and Folk Nation
5150	California Mental Code – used to indicate the mental status of a person; may also indicate a threat by using the 5th and 1st letter (E and A) and the slang number for the police '50' to mean "Eradicate all Police"

(*Gangs Or Us, 2008*)

Term	Meaning
Three dots with two parallel lines underneath	Number 13 in Aztec which is the 13th letter (M) = Marijuana
Three dots in a triangle	MS-13: gang whose roots are El Salvadore
Happy Face ☺/Sad Face ☹	Comedy/Tragedy: Play now, pay later
Spiderweb	Indicates having done time in jail

(Struyk, 2006)

Appendix C

Gang Hand Signs

(Know Signs, 2008)

Appendix D

Youth Gangs in America
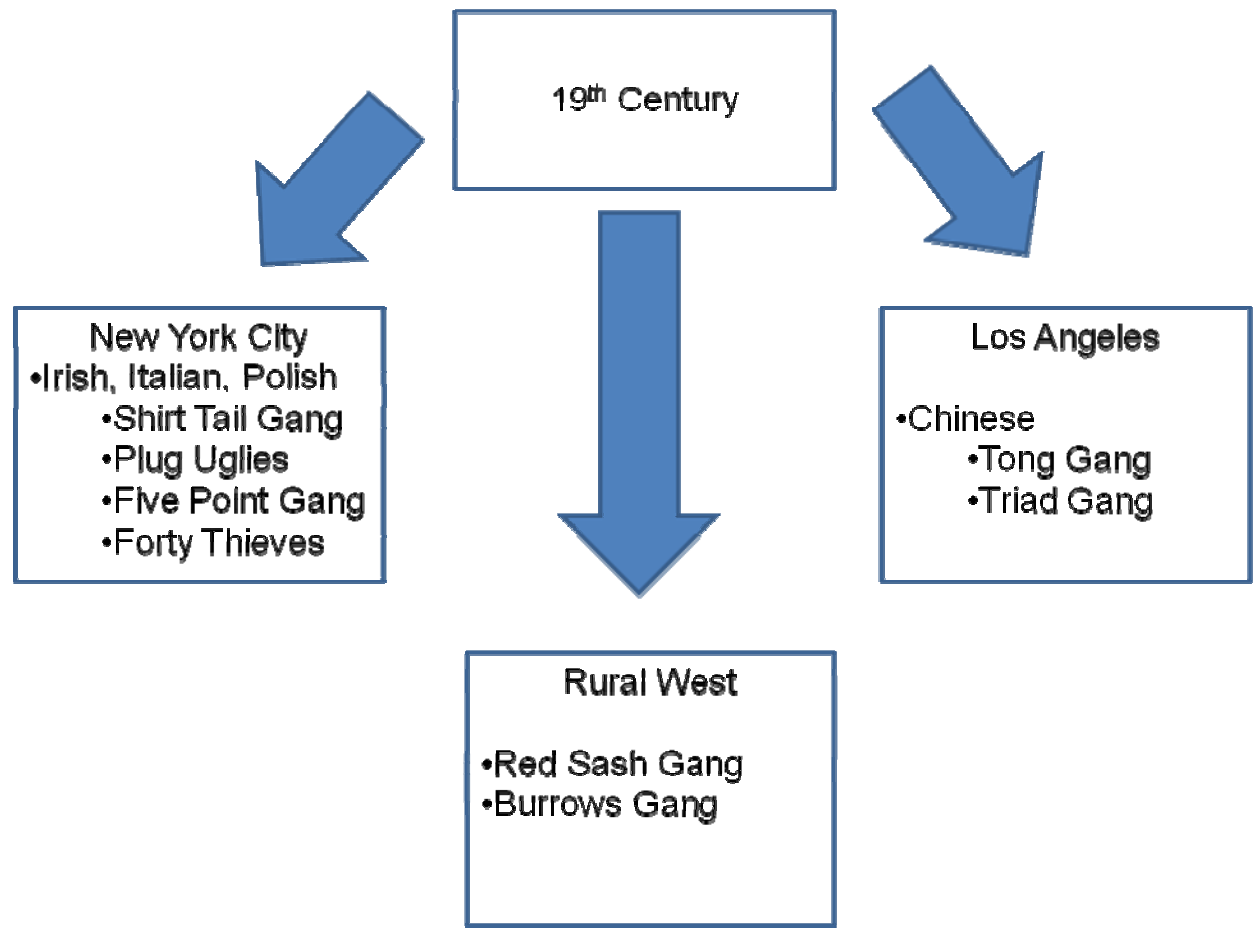
19th Century

New York City
•Irish, Italian, Polish
  •Shirt Tail Gang
  •Plug Uglies
  •Five Point Gang
  •Forty Thieves

Los Angeles

•Chinese
  •Tong Gang
  •Triad Gang

Rural West

•Red Sash Gang
•Burrows Gang

(http://www.knowgangs.com/gang_resources/gangs101/info_001.htm)

(http://www.gripe4rkids.org/his/html)

(http://www.acs-onweb.de/hd/content/pres_c2_facts_about_gangs/Hisory-Dateien/History.htm)

Appendix E

Urban Gangs
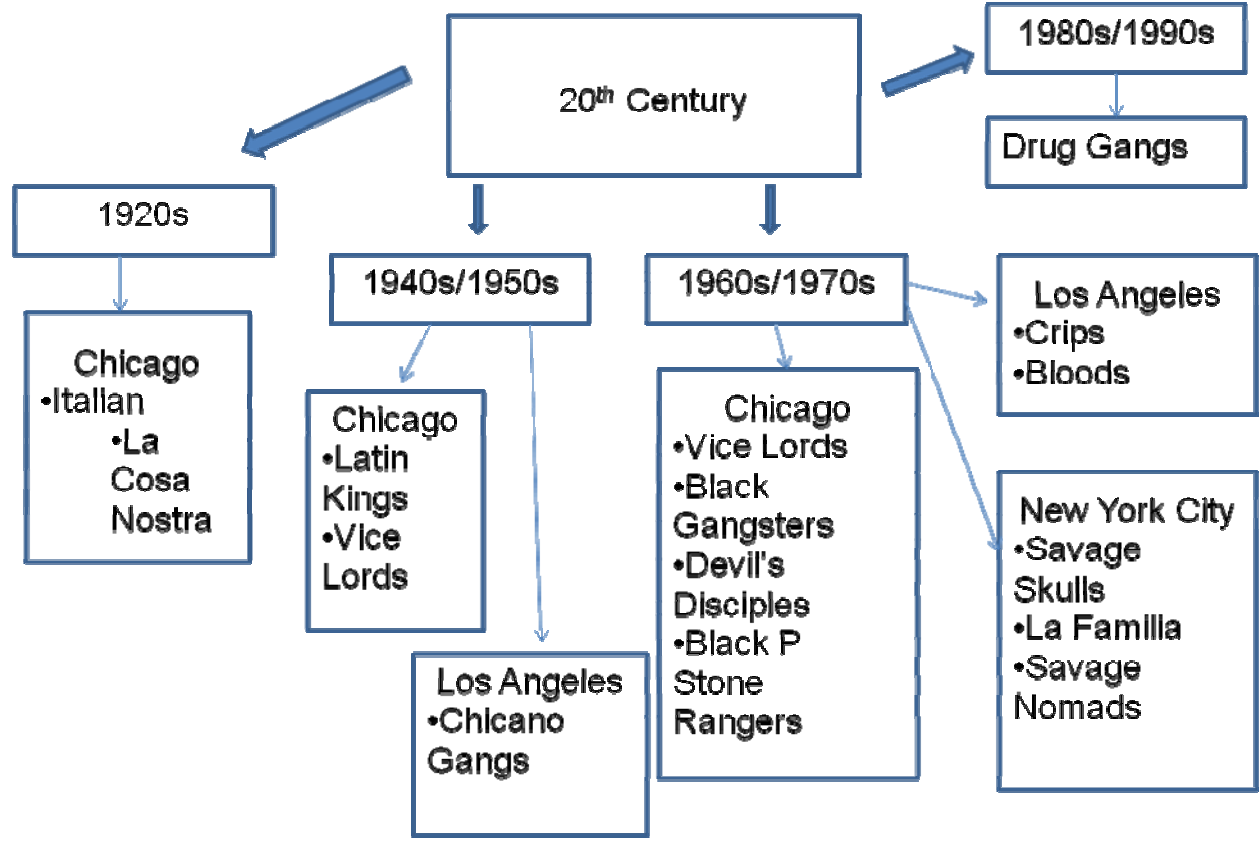
(http://www.knowgangs.com/gang_resources/gangs101/info_001.htm)

(http://www.gripe4rkids.org/his/html)

(http://www.acs-onweb.de/hd/content/pres_c2_facts_about_gangs/Hisory-Dateien/History.htm)

Appendix F

Dimensions of Leadership

Type of Leader	Characteristics	Examples
Transformational	Inspirational Motivation	Communicates high expectations, shared goals and mutual understandings; uses symbols to focus efforts, expresses important purposes in simple ways; involves charisma
	Intellectual Stimulation	Promotes intelligence, rationality, and careful problem solving in followers
	Individualized Consideration	Gives personal attention, treats each employee individually, coaches and advises; treating each individual uniquely
	Idealized Influence	Arouse and inspire others with a vision of what can be accomplished through extra effort; develops a higher level of autonomy, achievement and performance in followers
Transactional	Contingent Rewards	Contracts exchange of rewards for effort, promises rewards for good performance, recognizes accomplishments
	Management by Exception (active)	Watches and searches for deviations from rules and standards, takes corrective action
	Management by Exception (passive)	Intervenes only if standards are not met
	Laissez-Faire	Abdicates responsibilities, avoids making decisions

Appendix G

MLQ-5x Permission and Survey Sample

m nd garden

www.mindgarden.com

To whom it may concern,

This letter is to grant permission for the above named person to use the following copyright material;

Instrument: *Multifactor Leadership Questionnaire*

Authors: **Bruce Avolio and Bernard Bass**

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Multifactor Leadership Questionnaire

Instrument (Leader and Rater Form)

and Scoring Guide

(Form 5X-Short)

by Bruce Avolio and Bernard Bass

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Multifactor Leadership Questionnaire

Leader Form

My Name: _____ _____ Date: _____

Organization ID #: _____ Leader ID #: _____

This questionnaire is to describe your leadership style as you perceive it. Please answer all items on this answer sheet. **If an item is irrelevant, or if you are unsure or do not know the answer, leave the answer blank.**

Forty-five descriptive statements are listed on the following pages. Judge how frequently each statement fits you. The word "others" may mean your peers, clients, direct reports, supervisors, and/or all of these individuals.

Use the following rating scale:

Not at all	Once in a while	Sometimes	Fairly often	Frequently, if not always
0	1	2	3	4

1. I provide others with assistance in exchange for their efforts 0 1 2 3 4
2. I re-examine critical assumptions to question whether they are appropriate 0 1 2 3 4
3. I fail to interfere until problems become serious 0 1 2 3 4
4. I focus attention on irregularities, mistakes, exceptions, and deviations from standards ... 0 1 2 3 4
5. I avoid getting involved when important issues arise 0 1 2 3 4
6. I talk about my most important values and beliefs 0 1 2 3 4
7. I am absent when needed 0 1 2 3 4
8. I seek differing perspectives when solving problems 0 1 2 3 4
9. I talk optimistically about the future 0 1 2 3 4
10. I instill pride in others for being associated with me 0 1 2 3 4
11. I discuss in specific terms who is responsible for achieving performance targets 0 1 2 3 4
12. I wait for things to go wrong before taking action 0 1 2 3 4
13. I talk enthusiastically about what needs to be accomplished 0 1 2 3 4
14. I specify the importance of having a strong sense of purpose 0 1 2 3 4
15. I spend time teaching and coaching 0 1 2 3 4

Not at all	Once in a while	Sometimes	Fairly often	Frequently, If not always
0	1	2	3	4

16. I make clear what one can expect to receive when performance goals are achieved..........0 1 2 3 4

17. I show that I am a firm believer in "If it ain't broke, don't fix it." 0 1 2 3 4

18. I go beyond self-interest for the good of the group 0 1 2 3 4

19. I treat others as individuals rather than just as a member of a group....................0 1 2 3 4

20. I demonstrate that problems must become chronic before I take action...............0 1 2 3 4

21. I act in ways that build others' respect for me...0 1 2 3 4

22. I concentrate my full attention on dealing with mistakes, complaints, and failures...........0 1 2 3 4

23. I consider the moral and ethical consequences of decisions...............................0 1 2 3 4

24. I keep track of all mistakes 0 1 2 3 4

25. I display a sense of power and confidence 0 1 2 3 4

26. I articulate a compelling vision of the future..0 1 2 3 4

27. I direct my attention toward failures to meet standards.......................................0 1 2 3 4

28. I avoid making decisions..0 1 2 3 4

29. I consider an individual as having different needs, abilities, and aspirations from others.....0 1 2 3 4

30. I get others to look at problems from many different angles................................0 1 2 3 4

31. I help others to develop their strengths 0 1 2 3 4

32. I suggest new ways of looking at how to complete assignments.........................0 1 2 3 4

33. I delay responding to urgent questions 0 1 2 3 4

34. I emphasize the importance of having a collective sense of mission 0 1 2 3 4

35. I express satisfaction when others meet expectations 0 1 2 3 4

36. I express confidence that goals will be achieved 0 1 2 3 4

37. I am effective in meeting others' job-related needs 0 1 2 3 4

38. I use methods of leadership that are satisfying..0 1 2 3 4

39. I get others to do more than they expected to do 0 1 2 3 4

40. I am effective in representing others to higher authority......................................0 1 2 3 4

41. I work with others in a satisfactory way...0 1 2 3 4

42. I heighten others' desire to succeed 0 1 2 3 4

43. I am effective in meeting organizational requirements...0 1 2 3 4

44. I increase others' willingness to try harder 0 1 2 3 4

45. I lead a group that is effective 0 1 2 3 4

Appendix H

Crime Data vs. School Discipline Data

Crime Incidents in Attendance Zones 2005-2006			
Schools	Assaults	Drugs	Weapons	Total
A	418	155	47	620
B	209	46	27	282
C	76	13	0	89
D	353	91	31	475
E	273	84	36	393
F	232	74	35	341
G	561	132	58	751
H	90	23	12	125
I	179	37	17	233
J	340	83	48	471

Discipline Incidents at High Schools 2005-2006			
Schools	Fights	Drugs	Weapons	Total
A	50	22	3	75
B	19	2	11	32
C	*	*	*	*
D	46	6	6	58
E	34	7	4	45
F	41	15	1	57
G	129	4	4	137
H	44	8	1	53
I	21	3	0	24
J	46	22	3	71

Note. *denotes school not in existence

Crime Incidents in Attendance Zones 2006-2007				
Schools	Assaults	Drugs	Weapons	Total
A	416	140	47	603
B	234	98	22	354
C	66	13	14	93
D	332	154	33	519
E	298	108	38	444
F	262	71	35	368
G	543	170	59	772
H	83	35	7	125
I	205	69	14	288
J	370	84	41	495

Discipline Incidents at High Schools 2006-2007				
Schools	Fights	Drugs	Weapons	Total
A	117	20	4	141
B	38	2	1	41
C	18	10	1	29
D	57	7	2	66
E	51	8	0	59
F	62	8	2	72
G	112	11	7	130
H	13	5	1	19
I	28	10	1	39
J	50	18	7	75

Crime Incidents in Attendance Zones 2007-2008				
Schools	Assaults	Drugs	Weapons	Total
A	348	131	49	528
B	231	120	27	378
C	81	33	10	124
D	326	160	34	520
E	290	112	30	432
F	250	103	45	398
G	601	146	63	810
H	90	25	9	124
I	164	44	17	225
J	325	107	28	460

Discipline Incidents at High Schools 2007-2008				
Schools	Fights	Drugs	Weapons	Total
A	42	37	7	86
B	52	8	4	64
C	31	3	3	37
D	46	16	2	64
E	35	14	6	55
F	36	13	2	51
G	118	7	4	129
H	10	1	1	12
I	54	6	3	63
J	34	51	1	87

Crime Incidents in Attendance Zones 2008-2009			
Schools	Assaults	Drugs	Weapons	Total
A	397	92	58	547
B	227	98	25	357
C	91	27	6	124
D	345	121	26	492
E	353	88	39	480
F	312	81	45	438
G	544	114	60	718
H	111	35	5	151
I	174	43	13	230
J	394	102	34	530

Discipline Incidents at High Schools 2008-2009			
Schools	Fights	Drugs	Weapons	Total
A	51	35	4	90
B	51	14	8	73
C	27	11	6	44
D	18	27	0	45
E	28	10	2	40
F	47	10	1	58
G	91	30	6	127
H	22	4	0	26
I	26	6	0	32
J	51	27	9	87

Appendix I

Characteristics of a Phenomenological Study

Written report: describing the "essence" of the experience

Focus: understanding the "essence" of experience

Data analysis strategies: analyze for significant statements, meanings, descriptions

Phenomenology

Problem: needing to describe the essence of a lived phenomenon

Data collection forms: primarily interviews, with documents, observations and art

Unit of analysis: studying several individuals that have shared the experience

Discipline background: philosophy, psychology, and education

Appendix J

Participant Questionnaire

School: _____

Date: _____

Number of years as a principal in this school: _____

Path to principalship (choose one):

_____ Teacher, Dean, Assistant Principal, Principal

_____ Teacher, Assistant Principal, Principal

_____ Teacher, Activities/Athletic Director, Assistant Principal, Principal

_____ Teacher, Instructional Specialist, Assistant Principal, Principal

_____ Other

I have received your letter regarding the proposed research on leadership in gang-impacted schools that have less gang activity than the community from which they draw.

Choices:

_____ I am interested in participating in this study.

_____ I am interested in hearing more about the study. Please send the abstract of the study and schedule a meeting with me.

_____ I would like to talk with you before making any indication of interest. Please call me.

_____ I am not interested in taking part in this research at this time

The responses of any principal to this request and subsequent involvement of any kind will be held in the strictest confidence.

Appendix K

County Research Request

Explain the issues to be addressed by the research project

- A safe (free from gang activity) and disciplined school environment conducive to learning is mandated by federal legislation such as the No Child Left Behind Act. Research has concentrated on reasons for gang activity in the school and the community as well as leadership in general but there is a void in the literature as it relates to the type of leadership in schools that is successful in limiting gang activity in schools which are less gang-impacted than the community from which they draw. Research questions include:
  - What do principals say about how they lead in gang-impacted schools that have fewer gang-related incidents than the community from which they draw their population?
  - What is the connection between principal leadership style and the presence of relatively fewer gang-related incidents in schools than in the community from which they draw their population?

Describe the benefits that our students or educational program will incur as a result of the research project.

- This phenomenological study will answer the question of how principals lead in gang-impacted schools with a more favorable environment than the communities they serve through interviews, observations and document analysis. The final product will be portraits and stories of principals' relationships with gang-impacted schools and the central concept of leadership in these types of schools. As a result of this study, principals who are placed in schools identified as being gang-impacted will be better equipped to identify and practice leadership behaviors that have worked for other school leaders and school districts will be better able to identify and provide staff development to and for potential leaders in as it relates to leadership.

Describe the research procedures to be followed, including:

- Who are the subjects for the projects?
  - The subjects of this research will be the principals of gang-impacted schools from a large, diverse, public school system in central Virginia whose schools experience less relative gang activity than the community from which the schools draw.
  - Specifically, the subjects will be the principals of Manchester, Matoaca, and James River.
- How are the subjects to be selected?
  - To be considered gang-impacted, schools must show a combined presence of fights, drugs, and weapons. Since discipline data for the schools in question has been data warehoused by the county electronically since the 2005-2006 school year and is accessible on the Virginia Department of Education website, the

researcher determined that due to convenience, these four years would be used as the parameters from which to choose the sample schools, and thus, the principals to be interviewed. Using this data, ten schools (alternative and tech schools were not included since their population crosses attendance zones) are considered gang-impacted from the first year analyzed, as all ten schools had, and continued to have, a combined presence of the three conditions. The Crime Analyst of the Gang Strike Force for the county pulled corresponding criminal incident data in three similar categories – assaults, narcotics, and weapons for the same time frames. A matrix of school totals to community totals was created in order to identify the years in which schools had more success in limiting the amount of gang activity than the community from which the schools' attendance was drawn (see Table 2) This data, when further analyzed, allowed the researcher to determine if there was a time when certain schools were more successful than others at limiting gang behaviors when compared to crime data. As seen in Table 3, Schools D, E, and F maintained a 1:5 or better ratio for at least three out of four years. This break point was chosen because maintaining a high ratio, i.e. School I had a 1:9 ratio for only one year, was determined to not be as successful as maintaining a positive school to community ratio over a number of years. The 1:5 ratios was also the first time that schools were able to be more successful at limiting gang behaviors than the communities for a significant amount of time – three out of four years.

- What type of data will be collected?
  - Data for this study will be generated from a variety of sources – interviews, observations, leadership assessment tools, and document reviews
- Who will collect the data?
  - Interview transcripts will be completed by (1) myself; and/or (2) a reputable and discreet transcriber. If a transcriber is used, I will erase from the audiotapes all names and identifying particulars before submission for transcription.
- When/where the data collection will occur?
  - Interviews, observations, leadership assessments, and document collection will occur at the home school of each principal. Each principal will have the option to choose an alternative interview site.
- How much time data collection will take?
  - Introductory interview: 15 minutes
  - Interview: 60-90 minutes
  - Observation: 2-3 hours
  - Leadership assessment: 20-30 minutes
  - Document collection: 5-10 minutes

Copies of instruments and forms to be used in the research project

- MLQ Multifactor Leadership Questionnaire
- Letter of Introduction and Questionnaire
- Informed Consent Form

Statement assuring that all participants will be volunteers, that no identifying information of the students, personnel, or school division will be released, and that the project will not detract from the educational program.

- The rights of the participants are as follows:
  - o Voluntary participation
  - o Right to withdraw at any time during the interview process and within one month after the interviews have been completed
  - o Right to review and withhold interview material based on free access to audio-tapes and transcripts if requested. Interviewer will share how the participants' documents and other materials were analyzed and interpreted.
  - o Right to privacy and the right to request that identification remains confidential and will not be revealed. The participant will know the name of the transcriber and will understand the coding system used to protect identities.
  - o All interviews will take place in a safe place to be designated by the participant.
  - o With the exception of the dissertation committee chairpersons, I will not discuss with anyone any names, teaching locations, or identifying particulars of the participants.
  - o Numbers, letters, and colors will be substituted in the transcripts for all names of persons, schools, school districts, and counties. Every step will be taken to adequately disguise the participant's identify and employment location in any materials or presentations.
  - o The transcripts will remain in the direct physical possession of the researcher. The audiotapes and consent forms will be kept in a locked drawer of a file cabinet in the office of the researcher. Tapes will be destroyed upon acceptance of the dissertation, or upon request, returned to those interviewed.
  - o Interviews will be conducted outside of the school day at the convenience of the principal and so will not interfere with the educational program. Observations will be scheduled at the convenience of the principal
  - o The observations will be an opportunity for the researcher to see the participants in their natural environment The goal of the researcher is to be as unobtrusive as possible, taking detailed field notes which will describe the context of the leadership behavior related to curbing gang activity The observation will be limited to a typical day at school, including hall duty, lunch duty, and discipline meetings with students

I agree that one or two copies of the research results will be submitted to the Office of School Improvement and Instructional Support when the research project is completed.

Respectfully submitted,

Laura Hebert

Appendix L

Institutional Review Board Certificate

VIRGINIATECHVIRGINIATECHVIRGINIATECHVIRGINIATECH

Certificate of Completion

This certifies that

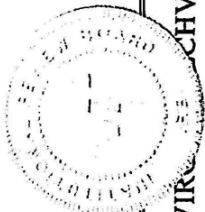*Laura Beatrice Hebert*

Has completed

Training in Human Subjects Protection

On the following topics:

Historical Basis for Regulating Human Subjects Research

The Belmont Report

Federal and Virginia Tech Regulatory Entities, Policies and Procedures

on

June 4, 2009

David Moore, IRB Chair

Appendix M

Institutional Review Board Approval Letter

VirginiaTech

Office of Research Compliance
Institutional Review Board
2000 Kraft Drive, Suite 2000 (0497)
Blacksburg, Virginia 24061
540/231-4991 Fax 540/231-0959
e-mail moored@vt.edu
www.irb.vt.edu

DATE: November 3, 2009

FWA00000572(expires 1/20/2010)
IRB # is IRB00000667

MEMORANDUM

TO: Travis W. Twiford
                Laura Hebert

Approval date: 11/3/2009
Continuing Review Due Date:10/19/2010
Expiration Date: 11/2/2010

FROM: David M. Moore

SUBJECT: **IRB Expedited Approval:**   "Leadership in Gang-Impacted Schools" , IRB # 09-868

This memo is regarding the above-mentioned protocol. The proposed research is eligible for expedited review according to the specifications authorized by 45 CFR 46.110 and 21 CFR 56.110. As Chair of the Virginia Tech Institutional Review Board, I have granted approval to the study for a period of 12 months, effective November 3, 2009.

As an investigator of human subjects, your responsibilities include the following:

1.   Report promptly proposed changes in previously approved human subject research activities to the IRB, including changes to your study forms, procedures and investigators, regardless of how minor. The proposed changes must not be initiated without IRB review and approval, except where necessary to eliminate apparent immediate hazards to the subjects.
2.   Report promptly to the IRB any injuries or other unanticipated or adverse events involving risks or harms to human research subjects or others.
3.   Report promptly to the IRB of the study's closing (i.e., data collecting and data analysis complete at Virginia Tech). If the study is to continue past the expiration date (listed above), investigators must submit a request for continuing review prior to the continuing review due date (listed above). It is the researcher's responsibility to obtain re-approval from the IRB before the study's expiration date.
4.   If re-approval is not obtained (unless the study has been reported to the IRB as closed) prior to the expiration date, all activities involving human subjects and data analysis must cease immediately, except where necessary to eliminate apparent immediate hazards to the subjects.

Important:
If you are conducting **federally funded non-exempt research**, please send the applicable OSP/grant proposal to the IRB office, once available. OSP funds may not be released until the IRB has compared and found consistent the proposal and related IRB applicaton.

cc: File

Invent the Future

VIRGINIA POLYTECHNIC INSTITUTE UNIVERSITY AND STATE UNIVERSITY
An equal opportunity, affirmative action institution

Appendix N

County Approval Letter

Dear Mrs. Hebert:

The ████████████████ Schools Research Review Committee has approved your request to conduct your dissertation study, "Leadership in Gang-impacted Schools: How Principals Lead in Schools that have Less Gang Activity than their Community" with the following conditions:

1) You are asked to ensure the anonymity of participating schools and ████████ ██████████ Schools (which may be referred to as "a large suburban school division in central Virginia");
2) you provide my office with one copy of your results for ████ research files; and
3) participants are clearly informed their participation is voluntary and that they have the right to choose not to participate at any point in the study.

Congratulations are in order for your reaching this point in your professional studies. If my office can be of further assistance, please feel free to call. I look forward to reading the completed study.

Sincerely,

W. Glen Miller, Jr. Ed.D., Manager
School Improvement

WGMJr/mtf

Appendix O

Interview Protocol

Name_____Title/School_____

Date_____ Years in position at school_____ Interviewer_____

As you know, a safe and disciplined school environment conducive to learning is mandated by federal legislation such as NCLB Research has concentrated on reasons for gang activity in the school and the community as well as leadership in general. However, there is no research regarding the type of leadership that is successful at keeping a school relatively free from gang-related incidents when compared to the rate of similar incidents in the community from which the school draws its attendance. I am interviewing several principals of schools whose schools experience less relative gang activity than the community from which they draw; specifically these schools experience a 1:5 ratio of school-based gang activity to community-based gang activity for at least three out of the past four school years. My goal is to identify, illuminate, and understand the values, skills, and practices which underlie this success

The information you provide in this interview will be used as part of phenomenological study for my doctoral dissertation. My interest is learning from your experience. The collected comments and experiences from the three interviews, in addition to observations and document analysis will be analyzed and synthesized in preparation for publication as a dissertation

The interview will last between 60 and 90 minutes. The interview will tend to focus on your leadership in school as it relates to safe schools and learning, gang activity in the school and in the community, and leadership styles and behaviors.

GANG ACTIVITY IN THE SCHOOLS AND THE COMMUNITY

Behaviors that affect learning can be categorized as serious, moderate, and minor with different results.

- Would you consider the gang-behaviors (fights, drugs, weapons) in your school as serious, moderate, or minor?
- What are your criteria for this characterization? What is the most outstanding or successful achievement you have been involved in accomplishing as it relates to gang behavior in the school? Is there a piece of work or a project that is linked to gang-activity either implicitly or explicitly of which you are particularly proud?
- What was it about you – unique qualities you have – that made it possible to achieve this result?

You are a principal of a school that consistently (3 out of the past 4 years) reports at least 5 times less discipline incidents that are related to gang activity (fights, drugs, and weapons) than similar criminal activity (assaults, narcotics, weapons) in the neighborhood of your school attendance zone

- To what do you attribute this success?
- How do you determine if there is a gang presence in your school?
- Can you give me an example of how a gang member interacted with a member of their own gang?
- How did you respond to the situation?
- Can you give me an example of how a gang member interacted with a member of a rival gang?
- How did you respond to the situation?

The more local or community violence, the lower the graduation rate in the school.
- Does community violence spill over into the school day?
- Can you give me an example?
- How did you find out about the community violence?
- What did you do about the possible impact of the community violence on your school?

Edge cities are those with rapid growth and demographic shifts
- Has your school experienced rapid population growth?
- Has your school experienced demographic shifts?
- If yes, in what way?
- How has this affected your school?

Smaller, less-structured gangs emerging; neighborhood groups
- What type of gang activity are you dealing with in your school – local or national in nature?
- What leads you to believe there are smaller, neighborhood gangs impacting your school?
- How do you deal with these neighborhood gangs?

EXPERIENCE OF LEADERSHIP

1. To begin, I'd like you to tell me a little about your beginnings with the school.

- What were your initial excitements, concerns and impressions as it related to gang activity in the school when you first began your principalship?

2. Looking at your entire experience as principal at School D/E/F, can you recall a time when you felt most successful or satisfied about your ability to lead in a gang-impacted school?

- What made it a successful or satisfactory experience?

- Who were the most significant others in this experience?
- Why were they significant?
- What was it about you that made it a successful or satisfactory experience?
- What were the most important factors in the school that helped make this a successful or satisfactory experience as it relates to your ability to lead in a gang-impacted school? (Personal leadership qualities, school structure, rewards, systems, skills, strategy, relationships, etc.)

3. Let's talk for a moment about some things you value deeply. Specifically, the things you value about 1) yourself; 2) the nature of your work; and 3) the school.

- Without being humble, what do you value the most about yourself – as a human being, a friend, a parent, an educator, a citizen, a son/daughter?
- When you are feeling best about your work, what do you value about the task itself?
- What is it about education that you value?
- What is the single most important thing the school has contributed to your life?

SAFE SCHOOLS AND LEARNING

School administrators, particularly the head principal, are responsible for maintaining a safe and orderly environment so the learning is encouraged and nurtured

- How do you define a safe school?
- Do you feel a culture of fear exists in your school?
- Do you think that students feel safe in your school?
- In your opinion, what is the most important achievement that you can recall that best illustrates this idea of a safe school where learning occurs?

The violence on the part of one student affects the educational attainment of another

- Can you give me an example where school violence on the part of one student affected the educational attainment of another?
- Are your students disrupted by school violence?

What is the most outstanding or successful achievement you have been involved in accomplishing as it relates to keeping your school safe? Is there a piece of work or a project which you are particularly proud?

- What was it about you – unique qualities you have – that made it possible to achieve this result?
- What organizational factors (e.g. leadership, teamwork, and culture) fostered this determination to excel or achieve in this area?

Appendix P

Virginia Polytechnic Institute and State University

Informed Consent for Participants in Research Projects Involving Human Subjects

Title of Project: Leadership in Gang-impacted Schools: How principals lead in gang-impacted schools that have less gang activity than the community from which they draw.

Investigator(s): Laura B. Hebert, Travis Twiford, and Carol Cash

I. Purpose of this Research/Project

The purpose of this study is to identify and describe the common or shared experiences of high school principals whose schools maintain a more favorable environment than the communities they serve. This study will help develop a deeper understanding of the leadership behaviors or types of leaders that seem to be more effective in limiting or eliminating gang activity in schools that are impacted by this condition. This phenomenological study will result in portraits and stories of these principals' (a total of three) relationships with gang-impacted schools and the central concept of leadership in these types of schools will be described through the words of the participants. This research will be used to complete my dissertation, for possible conference presentations or journal articles.

II. Procedures

You will be interviewed for approximately 60-90 minutes about your experiences as a principal in a gang-impacted high school. The interview will be recorded and notes will be made about the interview. You will only be asked to participate in one interview. The interview will take place at your home school, or another location of your choice. You are asked to be open and honest about your experiences as a principal in a gang-impacted high school. After the interview, a transcript of the conversation will be created. You will be invited to read the transcript and make comments

Observations of each principal will be scheduled at the conclusion of each interview. The observations will be an opportunity for the researcher to see the participants in their natural environment The goal of the researcher is to be as unobtrusive as possible, taking detailed field notes that will describe the context of the leadership behavior related to curbing gang activity

The observation will be limited to a typical day at school, including hall duty, lunch duty, and discipline meetings with students

During the time of the interview and observation, the principals will be asked to share with the researcher typical documents that demonstrate his or her concept of leadership Letters and memorandums, mission and vision statements, policy memorandums, the contents of a speech, an interview with the media, feature news articles, minutes of formal and informal administrative meetings all reflect leadership behaviors. Finally, each principal will be asked to complete a 30 minute leadership self-assessment survey.

III. Risk

There are minimal risks associated with this study. You are allowed to state that you do not wish to answer a question that is asked of you at any time.

IV. Benefits

Society will benefit from hearing your experiences as it may lead to a better understanding of the type of leadership necessary to limit gang activity in schools. School districts may benefit as they may better be prepared to provide appropriate professional development to administrators in gang-impacted schools. No promises or guarantees of benefits have been made to encourage you to participate.

V. Extent of Anonymity and Confidentiality

The name of the participants who are the source of the records, documents, tapes, and transcripts and any other material that could identify the participants in the research will remain confidential. However, research information is not privileged and is subject to subpoena by the courts. Another limit to confidentiality is if during the course of an interview or observation, the interviewer hears of the abuse or neglect of a child. In addition, it is possible that the Institutional Review Board (IRB) may view this study's collected data for auditing purposes. The IRB is responsible for the oversight of the protection of human subjects involved in research

Every effort will be made to hide your identity in any written work resulting from this study. Codes will be used in place of names (Principal A, B, and C). No mention of the actual school with which the principal is associated will be made

CDs or tapes made from the recordings of the interview will be stored and locked in a file cabinet in the home office of the researcher, as will any field notes taken during the observations. All documents collected from the participants will also be kept in the locked file cabinet, along with the results of the Leadership Assessment survey. The researcher and the transcriber will be the only individuals who will have access to the recordings. Copies of the transcripts may be viewed by the researcher or other members of her dissertation committee

All data will be destroyed after the dissertation defense, publication of any articles resulting from the study, or presentations made related to the study.

VI. Compensation

There will be no compensation offered to you for participating in this study.

VII. Freedom to Withdraw

Participation in the study is completely voluntary. You have the right to withdraw at any time during the interview or observation process. You are free not to answer any questions. If there are circumstances which arise and it is determined that you should not continue as a subject, the interview will end.

VIII. Subject's Responsibilities

I voluntarily agree to participate in the study. I have the following responsibilities.

1. I agree to answer questions honestly_____ (Initial)
2. I agree to allow the researcher to record the interview_____ (Initial)

IX. Subject's Permission

I have read the Consent Form and the conditions of this project. I have had all my questions answered. I hereby acknowledge the above and give my voluntary consent:

_____   _____

(Subject Signature)   **(Date)**

Should I have any pertinent questions about this research or its conduct, and research subjects'
rights, and whom to contact in the event of a research-related injury to the subject, I may contact:

Laura Hebert (Investigator)   804.378.2480 / lhebert@vt.edu

Dr. Travis Twiford (Faculty Advisor)   757.363.3930 x306 / ttwiford@vt.edu

Dr. Carol Cash (Faculty Advisor)   804.836.3611 / ccash48@vt.edu

Dr. M. David Alexander (Dept. Head)   540.231.9723 / mdavid@vt.edu

Dr. David Moore (Chair, IRB – VT)   540.231.4991 / moored@vt.edu

Appendix Q

Letter of Introduction

September 1, 2009

Dear Principal,

      I am writing to ask that you consider participating in a research study which will begin this year. This study is entitled Leadership in Gang-impacted Schools: How principals lead in gang-impacted schools that have less gang activity than the community from which they draw. I will briefly outline the proposal.

      A safe and disciplined school environment conducive to learning is mandated by federal legislation such as the No Child Left Behind Act. Research has concentrated on reasons for gang activity in the school and the community as well as leadership in general but there is a void in the literature as it relates to the type of leadership in schools that is successful in limiting gang activity in schools which are less gang-impacted than the community from which they draw.

      This phenomenological study will answer the question of how principals lead in gang-impacted schools with a more favorable environment than the communities they serve through interviews, observations and document analysis. As a result of this study, principals who are placed in schools identified as being gang-impacted will be better equipped to identify and practice leadership behaviors that have worked for other school leaders and school districts will be better able to identify and provide staff development to and for potential leaders in as it relates to leadership.

      This research is an effort to complete the requirements of an Ed.D. at Virginia Polytechnic Institute and State University and is undertaken with the knowledge and support of my dissertation committee chaired by Dr. Travis Twiford and Dr. Carol Cash. I am an assistant principal in a large, racially and economically diverse public school system in central Virginia, and my interest in the topic of leadership in gang-impacted schools has been long standing and continues through my dissertation

      Please return the enclosed Questionnaire to indicate your interest in participation in this research study. Depending upon your response, I will be contacting you to confirm your answer. I hope that you will consider my request to focus on your obviously successful personal leadership efforts as they relate to leading a gang-impacted school that has less gang activity than the community from which your attendance is drawn.

Sincerely,

Laura Hebert

Appendix R

Thematic Matrix for Relationships

Relationships with Students	Relationships with Adults
"The kids have to know that we really do care about them, and that we're trying to help them." (Participant B)	"I know people [in the building] and I know how to work with people." (Participant B)
"…a deliberate attempt to get students and faculty on board with relationships" (Participant A)	"I have worked a whole faculty emphasis on establishing relationships" (Participant A)
"[three goals of a school improvement plan] and one that has not changed is relationships" (Participant C)	"…and relationships are important" (Participant A)
"…the nice thing about students is that when you build a relationship with them…"(Participant B)	"Relationships are everything." (Participant B)
"How can you change and at the same time provide an opportunity where every student in school can have a relationship, a meaningful relationship with an adult?" (Participant C)	"I am more interested in the person that we're working with – the brain part of it will come." (Participant B)
"I had already built a relationship with one of the gang kids…" (Participant C)	"The first thing I had to do was to develop trust and get people to trust me – because they didn't trust anyone – they didn't trust each other…" Participant C
"You have to build that relationship with gang leaders." (Participant C)	"…at Back to School Night, I will tell parents, you know…make the school the heavy" (Participant A)
	"I built the master schedule and I put all the special education/collaborating teachers with their regular education teachers and sent them to training" (PC)

Appendix S

Thematic Matrix for Prior Knowledge of Gang Activity in the Neighborhood

Prior Knowledge	From Police	From Students	From Parents	From Teachers
	"Community police officer communicated with the School Resource Officer, who communicated with the administration" (PB)	"…the nice thing about students…they will tell you [if there is a gang presence in school]" (PB)	"neighborhood coffees and PTSA gatherings" (PA)	"…depending on where it occurs, we may…have teachers in the area" (PC)
	"Community Resource Officers, some who have already been School Resource Officers, are very aware of this particular area where we have lots of issues in the neighborhood and they are very good about communicating with the SRO or the administration in the building directly" (PB)	"we actively listen to what other student have to say in the building" (PB)	"at back to school night, I will tell the parents…call the school…make the school the heavy" (PA)	"we actively listen to what teachers have to say" (PB)
	"sometimes from the police" (PC)	"[find out about community violence] sometimes from the students" (PC)	"[find out about community violence] sometimes from the parents" (PC)	

	"the police are real good about talking to each other and our SROs are really good about communicating with us" (PB)	"most of the we hear about things [as soon as the kids get off the bus] and as soon as we do we bring those kids in" (PC)	
	"[situation when our gangs were interacting] our SRO stood out and really did an exceptional job of working those students" (PB)		

Appendix T

Thematic Matrix for Encouraging Student Success

Encourage Student Success	Academically	Socially	In General/In Life
	"[we have received recognition] from outside organizations, one would be the Blue Ribbon School Committee Another would be the International Center for Leadership in Education identified this school as a model school last year – one of 16 in the country. So that was based on achievement…" (PA)	"I think the SUCCESS program has been a huge program because I think we have an opportunity to work with – to have adults working directly with kids about behavior in a non-threatening environment…" (PB)	"Kids know that I care about what they do and I want them to be successful" (PC)
	"we are trying to get a hold of these students as ninth graders before they become problems in school due to the fact that they are failing" (PB)	"until they understand what the standards are in our school [behaviorally]…they have a tendency to struggle" (PB)	"our mission is to prepare you for life after high school not to prepare you for a SOL test" (PC)
	"this is a place of student learning" (PC)	"more emphasis on student learning rather than student discipline" (PC)	"I care – I care that these kids become successful" (PB)
	"until they begin to understand what the …requirements for success are academically, they have a tendency to struggle" (PB)		"we forget that we are actually trying to mold students to go into the world" (PC)
	"we want them to graduate from high		"Education is everything. Education builds

	school" (PB)		bridges. Education gives you options." (PB)
	"more emphasis on student learning rather than student discipline" (PC)		"education provides an opportunity to get kids to understand that what they have to do in life and that learning doesn't come just in a classroom" (PC)
	"Why do we expend so much effort on keeping food in the cafeteria – is it going to help kids learn more?" (PC)"		

Appendix U

Thematic Matrix for Developing a Positive School Climate and Culture

Working to build a positive school culture/climate	Safety	Discipline	Comfortableness
	"organized and inviting" (PA)	"we run a tight ship; we have boundaries" (PA)	"A healthy kind of a thriving environment" (PA)
	"organized and supervised" (PA)	"and when we put them out, we put them out forever" (PC)	"the ability to affect change – positive change – to make things better" (PA)
	"not an environment which is out of control or chaotic or just tense, where anything could happen at any minute" (PA)	"we ratcheted up the disciple…made a significant difference" (PB)	"kids…have responsibility, that they have sufficient freedom" (PA)
	"we consciously encourage…teachers that during class change, they should be standing the hall to supervise" (PA)	"We ended up expelling kids. And that sent a message." (PC)	"We have to give them a certain level of freedom and respect" (PC)
	"I think we've always run a well organized building" (PB)	"They knew that when I said I was going to do something, I was going to do it." (PC)	"If you give them that freedom, and they learn to appreciate it, they will frequently monitor each other" (PC)
	"Administrators are out every class change and so are more visible and we supervise when most of the students are out" (PA)	"But you have to stick to your guns" (PB)	"teachers are feeling like they are empowered to the right thing in the classroom, willing to take a chance" (PB)
	"they are not going to get hassled in the hallways and they're not going to get hassled	"We state clearly our expectations" (PA)	"I want kids to come to school because it's a place they want to be."

		in the bathroom, they're not going to get hassled in the classrooms" (PB)		(PB)
		"so a word to the wise, be good or be gone" (PA)	"where people are relaxing" (PB)
		"organizing for orderly operation on a daily basis" (PA)	"twelve faculty committees on the leadership team" (PC)
		"fair, consistent consequences" (PC)	"There is no such thing as 'your room'" (PC)
			"a culture where people are willing to share and talk to each other and they understand that the goal is always to do better and create a culture where people aren't afraid to try something new" (PC)
			"teachers had permission to try things…I encourage them to embrace change – to make change their friend" (PA)
			"a culture where kids support each other and they understand the importance of that and that it grows as time goes on." (PC)
			"the culture from within that really makes a difference…teachers have to have ownership" (PC)

Appendix V
Participant A Wordle

Appendix W

Participant B Wordle

Appendix X

Participant C Wordle

Appendix Y

Matrix of Transformational Leadership Components and Categories

Transformational Leadership Components	Relationships	Prior Knowledge	Student Success	School Culture/Climate
Idealized Influence				
• Wield power and influence over their followers	Yes	Yes	Yes	Yes
• Followers develop strong feelings about such leaders	Yes	Yes	Yes	Yes
• Followers invest trust and confidence in such leaders	Yes	Yes	Yes	Yes
• Arouse and inspire others with a vision of what can be accomplished with extra effort	Yes		Yes	Yes
• Socially oriented		Yes		
• Willing to inhibit their use of power by developing a higher level of autonomy, achievement, and performance in followers to gain greater levels of long term performance	Yes	Yes	Yes	Yes
• Encourage development, changes in mission and vision and achievement of each associate's full potential	Yes	Yes	Yes	Yes
Inspirational Motivation				
• Articulate shared goals and mutual understanding of what is right and important			Yes	Yes
• Provide visions of what is possible and how to attain				

them			Yes	Yes
• Enhance meaning and promote positive expectations			Yes	Yes
Intellectual Stimulation				
• Help others to think about old problems in new ways	Yes		Yes	Yes
• Followers are encouraged to question their own beliefs, assumptions, and values and those of their leader when appropriate	Yes		Yes	Yes
• Help followers develop the capacity to solve future problems unforeseen by the leader	Yes		Yes	Yes
• Associates learn to tackle and solve problems by being creative and innovative			Yes	Yes
Individualized Consideration				
• Understanding and sharing in others' concerns and developmental needs	Yes		Yes	Yes
• Treating each individual uniquely	Yes		Yes	Yes
• Not only recognize and satisfy current needs, but to expand and elevate those needs in an attempt to maximize and develop full potential	Yes		Yes	Yes
• Set examples and assign tasks on an individual basis	Yes		Yes	Yes
• Provide opportunities and develop organizational cultures supportive of individual growth	Yes		Yes	Yes

Appendix Z

Matrix of Transactional Leadership Components and Categories

Transactional Leadership Components	Relationships	Prior Knowledge	Student Success	School Culture/Climate
Management-by-Exception • Passive: intervening only when procedures and standards for task accomplishments are unmet		✓	✓	✓
• Active: focusing on preventing mistakes and catching those that are most critical		✓	✓	✓
Contingent Reward • Exchange rewards and promises of reward for appropriate levels of effort	✓	✓	✓	✓
• Respond to the needs and desires of associates as long as they are getting the job done	✓		✓	✓
Laissez-faire • Hands off leadership • Non-intervention				