University of Massachusetts Global A nonprofit affiliate

UMass Global
UMass Global ScholarWorks

Dissertations

Spring 4-20-2016

Common Leadership Responsibilities of Principals of Successful Turnaround Schools

Jezelle Fullwood
Brandman University, jez327@att.net

Follow this and additional works at: https://digitalcommons.umassglobal.edu/edd_dissertations

Part of the Educational Leadership Commons

Recommended Citation

Fullwood, Jezelle, "Common Leadership Responsibilities of Principals of Successful Turnaround Schools" (2016). *Dissertations*. 71.
https://digitalcommons.umassglobal.edu/edd_dissertations/71

This Dissertation is brought to you for free and open access by UMass Global ScholarWorks. It has been accepted for inclusion in Dissertations by an authorized administrator of UMass Global ScholarWorks. For more information, please contact christine.bombaro@umassglobal.edu.

Common Leadership Responsibilities of Principals of

Successful Turnaround Model Schools

A Dissertation by

Jezelle Fullwood

Brandman University

Irvine, California

School of Education

Submitted in partial fulfillment of the requirements for the degree of

Doctor of Education in Organizational Leadership

April 2016

Committee in charge:

Dr. Timothy McCarty, Committee Chair

Dr. Keith Larick

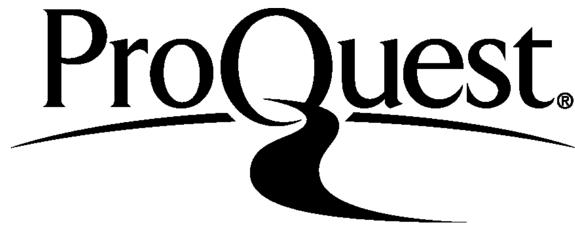
Dr. Donna Campbell

ProQuest Number: 10123617

All rights reserved

INFORMATION TO ALL USERS
The quality of this reproduction is dependent upon the quality of the copy submitted.

In the unlikely event that the author did not send a complete manuscript
and there are missing pages, these will be noted. Also, if material had to be removed,
a note will indicate the deletion.



ProQuest 10123617

Published by ProQuest LLC (2016). Copyright of the Dissertation is held by the Author.

All rights reserved.
This work is protected against unauthorized copying under Title 17, United States Code
Microform Edition © ProQuest LLC.

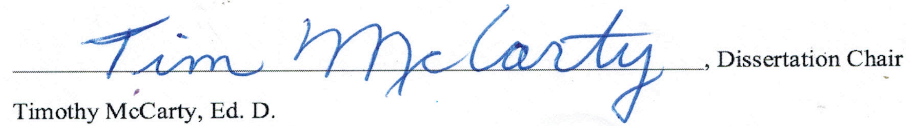
ProQuest LLC.
789 East Eisenhower Parkway
P.O. Box 1346
Ann Arbor, MI 48106 - 1346

BRANDMAN UNIVERSITY

Chapman University System

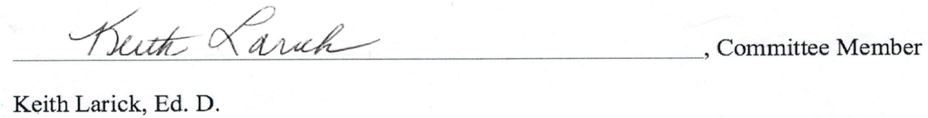
Doctor of Education in Organizational Leadership

The dissertation of Jezelle Fullwood is approved.



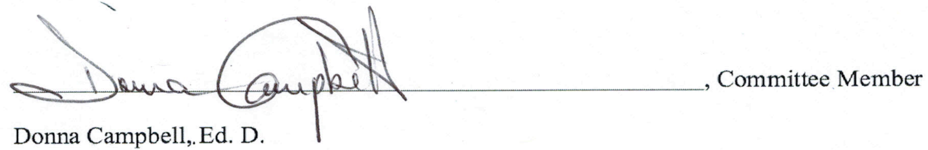
____, Dissertation Chair

Timothy McCarty, Ed. D.



____, Committee Member

Keith Larick, Ed. D.



____, Committee Member

Donna Campbell,. Ed. D.

____, Associate Dean

Patricia Clark-White, Ed. D.

April, 2016

Common Leadership Responsibilities of Principals of

Successful Turnaround Model Schools

Copyright © 2016

by Jezelle Fullwood

ACKNOWLEDGEMENTS

Writing a dissertation is a daunting task, fraught with the ups and downs that go along with family and career commitments as well. Staying on track with timelines both personal and professional is, at times, overwhelming; but because of great support, hard work and a lot of prayer, I am honored to say, mission accomplished!

I would like to start by thanking Dr. Timothy McCarty for all of his support and guidance throughout this dissertation journey. Due to unforeseen circumstances, he graciously assumed the roles of committee member and then chair of my committee. His feedback was always direct and extremely helpful. He pushed me in ways that I did not embrace initially, but I became excited to hear what he thought of my edits and writing as our professional relationship matured. I trust his opinion and value his leadership. Writing a dissertation is just about as hard as it sounds, but working with Dr. McCarty has made this journey achievable.

I would also like to thank my committee members. Dr. Keith Larick has assisted me on this journey as a committee member, was extremely supportive, and I appreciate his get it done and keep it simple attitude. I would also like to thank Dr. Donna Campbell, my third committee member. She has become a very good friend during this process and she kept me from jumping when I was on the ledge! Each of them took time from their busy lives to find time for me and I can only offer a sincere thank you.

I would not have the pleasure of writing this acknowledgement without the support and direction of every faculty and staff member in the Brandman University's School of Education, Organizational Leadership department. The professors and staff are knowledgeable, encouraging and willing to guide us toward the completion of great tasks.

I especially thank Dr. David Vierra. He served as the mentor for our cohort and is a wonderful ally to have in your corner. We were the great AV Cohort because of you!

None of this would ever be possible without the support of those who love me. Family and friends are my backbone and with every accomplishment in my life, I can look back and see the faces of those who held me up. I thank my parents James and Avrette Fullwood, without whom none of this would be possible. They give solid advice, willing to lend an ear and beam with pride every time I see them. A huge thank you to my son, Joshua Richards. He is my reason why. I think of him in all that I do, and I push harder just because I know he's watching. There are so many others that have been of great support. A special thanks to my sister/friend, Jann Nicole McClinton. Had I known she was such a great editor, I could have saved a bit of money! Thank you for helping me through and holding my hand when I needed it. Family, friends, and colleagues that have helped to make a difference, mean all the difference, but I could not end without thanking my good friend Kelly Kastel. She listened when I needed to vent, read drafts of assignments and chapters, and allowed me talk with her about minutia just because she knew I needed the break. I love her like family because she is family and I say thank you.

ABSTRACT

Common Leadership Responsibilities of Principals of

Successful Turnaround Model Schools

by Jezelle Fullwood

Purpose: The purpose of this qualitative study was to discover which leadership responsibilities, within the domains of trust, communication, learning, and shared leadership, did elementary and middle school principals of successful turnaround schools commonly perceive as most necessary to lead a turnaround intervention model school. Themes were identified related to leadership responsibilities, practices and processes of turnaround principals within the domains of trust, communication, learning, and shared leadership identified by Fritjof Capra (2002) and the twenty-one leadership Responsibilities identified by Robert Marzano (2005). This study contributed to the literature to understand what it took to improve, or "turnaround" a school that was identified as failing by the state of California. With this understanding, how to select principals to lead schools with current and increasing achievement gaps will become more evident.

Methodology: The participants in the present study were principals of successful elementary and middle school principals. The study was designed using a qualitative interview protocol. Principals participated in phone and in-person interviews.

Findings: Examination of the qualitative data indicated that principals commonly perceived that within the domain of trust, fostering relationships was most necessary. Under the domain of communication, having laser-like focus was most necessary.

Within the domain of learning, being a change agent was most necessary. Lastly, within the domain of shared leadership, building culture was most necessary when leading a successful turnaround school.

Conclusions: The study data support the conclusion that all of the responsibilities identified by Marzano (2005) were needed to lead a successful turnaround school. However, principals commonly perceived that some responsibilities were more necessary than others to lead a turnaround school.

Recommendations: Further research is advised. Recommendations include the study of the following: What do teachers perceive as the most important leadership responsibilities to lead a turnaround model school? What do school districts look for in principals when staffing turnaround model schools? Further research could be conducted on non-turnaround model schools to determine what is necessary for effective principal leadership before a school begins to decline.

TABLE OF CONTENTS

CHAPTER I: INTRODUCTION 1
Background 3
Effective Leadership in Organizations 5
The Principalship 7
Principals of Turnaround Schools 8
Statement of the Research Problem 11
Purpose Statement 12
Research Questions 12
Significance of the Problem 13
Definitions of Terms 14
Definitions of Variables 16
Delimitations 19
Organization of the Study 19

CHAPTER II: REVIEW OF THE LITERATURE 21
History of School Reform Efforts 21
Turnaround Schools 26
Successful Turnaround Schools 30
Leading the Work 32
Marzano's Twenty-one Leadership Responsibilities 37
Capra's Leadership Domains 56
Synthesizing Marzano and Capra 57
Summary 66

CHAPTER III: METHODOLOGY 68
Overview 68
Purpose Statement 68
Research Questions 68
Research Design 69
Population 73
Sample 74
Instrumentation 75
Data Collection 76
Data Analysis 77
Limitations 78
Summary 79

CHAPTER IV: RESEARCH, DATA COLLECTION, AND FINDINGS 81
Purpose Statement 82
Research Questions 82
Methodology 83
Population 85
Sample 86
Demographic Data 88

Data by Research Question ... 90
Research Question 1 ... 91
Research Question 2 ... 95
Research Question 3 ... 99
Research Question 4 ... 103
Summary ... 107

CHAPTER V: SUMMARY, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS ... 110
Purpose Statement ... 110
Research Questions ... 110
Methods ... 111
Population ... 111
Sample ... 112
Major Findings ... 113
Research Question 1 ... 114
Research Question 2 ... 116
Research Question 3 ... 117
Research Question 4 ... 118
Unexpected Findings ... 119
Conclusions ... 123
Implications for Action ... 125
Recommendations for Further Research ... 128
Concluding Remarks and Reflections ... 130

REFERENCES ... 132

APPENDICES ... 146

LIST OF TABLES

Table 1. Synthesis of Capra's Communication Leadership Domain and Marzano et al.'s Leadership Responsibilities 59

Table 2. Synthesis of Capra's Learning Doamin and Marzano et al.'s Leadership Responsibilities 61

Table 3. Synthesis of Capra's Trust Doamin and Marzano et al.'s Leadership Responsibilities 63

Table 4. Synthesis of Capra's Shared Leadership Doamin and Marzano et al.'s Leadership Responsibilities 65

Table 5. Demographic Data of Selected Turnaround Schools 88

Table 6. Demographic Data of the Sample 89

Table 7. Analysis of Leadership Responsibilities within the Domain of Trust 92

Table 8. Analysis of Leadership Responsibilities within the Domain of Communication 96

Table 9. Analysis of Leadership Responsibilities within the Domain of Learning...... 100

Table 10. Analysis of Leadership Responsibilities within the Domain of Shared Leadership 104

LIST OF FIGURES

Figure 1. Synthesis of Capra' leadership domains and Marzano et al.'s twenty-one leadership responsibilities 72

Figure 1. Synthesis of Capra' leadership domains and Marzano et al.'s twenty-one leadership responsibilities 84

CHAPTER I: INTRODUCTION

The subject of how to confront the needs of students and improve failing schools has been an ongoing educational discussion for more than fifty years. Major legislation including the Elementary and Secondary Education Act (ESEA) (Elementary and Secondary Act Public Law 89-10, 1965) has caused educational leaders to make significant changes in the way students receive instruction. The need for school reform has been documented since the early 1980's when President Ronald Reagan, in response to the business community and national universities, convened the National Commission on Excellence in Education. The work from this commission resulted in the report *A Nation at Risk: The Imperative For Nation Reform* (1983), which called for significant reforms to the U.S. educational system.

Educators at all levels recognized the importance of the "A Nation at Risk" report of 1983. It called for the improvement of American schools and was heralded as the "excellence movement" (DuFour et al., 2008, p. 34). Since this report, Presidents George H.W. Bush, William Clinton and George W. Bush have led national educational reforms designed to create a well-prepared student to enter college as well as a more intelligent workforce.

One of the most significant pieces of federal legislation passed to affect public education was No Child Left Behind (NCLB) (No Child Left Behind Act Public Law 107-110, 2002). This legislation placed federal accountability onto each State's standards. By amending federal education programs, it reauthorized ESEA requiring all states to educate all students, including previously underserved subgroups (Department of Education, 2011). However, after a decade of these standards based reforms in

California, significant achievement gaps remained for all previously underserved students (Legislative Analyst Report, 2011). Moreover, ongoing reforms, new standards, and additional assessment systems did not yield the results needed for California students.

In California, one way to address the needs of schools and close the persistently low achievement gap was to identify those schools that made inadequate growth on the Annual Percentage Index (API) nor met Adequate Yearly Progress (AYP) within a period of three years, as defined by NCLB. Identified schools were required to adopt one of four intervention models to immediately address this concern within the organization. Intervention models included restructuring, restart, closure, and turnaround (www.cde.ca.gov). Of the four models, the turnaround intervention model had been widely used by school districts across California to implement and sustain academic growth. A turnaround was defined as a documented, quick, dramatic and sustained change in the performance of an organization (School Turnarounds, 2007) and had been shown to produce the necessary results needed in some California schools.

From 2010 to 2013, ninety-one schools in California were directed by the State Board of Education to implement an intervention model to increase student achievement. Of those, twenty-nine schools implemented a turnaround intervention model. Of the twenty-nine turnaround model schools, only ten were successful as measured by growth on state mandated assessments within the three years of the turnaround implementation. More specifically, only ten turnaround model schools increased and sustained growth on the California State Test (CST), thereby having met state growth targets. (California Department of Education, n.d.). Identifying what was different at these ten turnaround model schools is a significant focus of this study.

The implementation of a turnaround intervention model in schools required the following; replacement of the principal, rehire of no more than fifty percent of the staff and granting the principal sufficient operational flexibility (including staffing, calendars/time and budgeting) to fully implement a comprehensive approach to substantially improve student outcomes (United States Department of Education, 2011). A high stakes reform movement such as this required an intense focus on the leadership, specifically the principal. Locating effective principals was the primary focus of reform efforts to transform and turnaround schools from failing to achieving (Hickey, 2010). The main goal of school turnaround was to immediately raise student achievement. With this intense focus, there was an emerging body of research discussing what it took to lead and sustain academically successful schools. Many researchers agreed that without strong school leadership, the school organization would suffer (Fullan, 2003) and the leader, the principal, must be willing to do whatever was needed to lead the organization toward success.

Background

At its core, the educational system and its schools were complex organizations in need of leadership. Organizations in the midst of turnaround inherently struggled for survival amongst achievement gaps, funding concerns, and personnel issues. The literature showed that one model of organizational survival was dependent upon it being led as a living system/human organization (Romero, 2012). This was the focus of Dr. Fritjof Capra (2002). Capra identified the four domains of trust, communication, learning, and shared leadership as a requirement for an organization to survive and thrive.

Within the organization, a leader had to have the will and skill to lead the work for these four domains to be present (Romero, 2012).

In schools, the principal was expected to have and understand the inherent responsibilities to effectively lead a school organization. These responsibilities were ways in which principals promoted increased student achievement (DuPont, 2009). Dr. Robert Marzano examined effective principal leaders and identified Twenty-one leadership and responsibilities that positively impacted student achievement (Romero, 2012).

Principals were the leaders and first lines of defense in schools (Elmore, 2000). They were the "go-to" persons on campus and expected to have had the knowledge to address a myriad of concerns, with responsibilities for academics, management, supervision, budget, and other topics. In addition, principals of turnaround schools were well versed in how to quickly turn around a school in the midst of, at times, chaotic conditions (Landesfeind, 2007). Even with all of the research that had been done around effective leadership and student achievement, an achievement gap between underserved populations and those less at risk still existed (www.cde.ca.gov). The focus of this study was to determine what specific skills contributed to the success of ten principals at turnaround schools. This study determined what turnaround principals commonly perceived to be the most necessary leadership behaviors that a principal should possess when leading a turnaround school. As new assessments revealed persistent and increasing achievement gaps, this study determined what leadership traits were common among principals of successful turnaround intervention model schools across the state of California.

The review of the literature concentrated on what was learned about the management and leadership skills of principals at turnaround schools, while addressing the lack of research around what was needed to lead and sustain a successful turnaround. Identifying why leaders of such organizations were successful could aid future educational leaders to close new and increasing achievement gaps. The principal's leadership at turnaround school sites, and the research of Dr. Robert Marzano were discussed to understand the history of leadership responsibilities and common leadership practices.

Effective Leadership in Organizations

An organization is a "dynamic system in which activities, relationships, and other interactions are woven into a whole" (Sullivan, Johnson, Mercado, & Terry, 2009). To identify and focus on change within an organization, one typically looked at leadership first. It was common practice to make changes in the leadership of an organization in order to affect its culture and productivity. This type of dramatic change was described as transformational (Anderson & Anderson-Ackerman, 2010). Transformational change was the process a leader employed to enhance and motivate stakeholders in an organization. The outcome enabled the leader and employees to pursue new opportunities and sustain the change over time.

A transformational leader in educational organizations understood the very detailed work that had to be directed, modeled, and sustained (Muhammad, 2009). Morale, motivation, and performance were improved as a leader engaged in systematic change in the organization. Additionally, Muhammad and Hollie (2012) discussed various ways the leader of an educational organization provided a focus and direction for

followers that inspired them to work hard. Their suggestions included modeling the behavior they desired to see in others, clearly stating expectations, and providing specific feedback to subordinates.

The primary need for breakthrough result stems from the need for immediate school improvement. A potential transformational change that could have produced improvement was a turnaround model. The turnaround intervention model examined various aspects in the school community and determined which variables must be changed. The overarching premise in the literature was the idea that organizational improvement, specifically school improvement, was essentially staff improvement, but the result was also an increase in student achievement (Dufor, Dufor, & Eaker, 2008).

A primary emphasis on people in such a model would have meant directing attention on the quality of the education system, the quality of teachers, and leaders (Fullan, 2008). Leaders communicated to all stakeholders in the school the purpose for doing the important work in which they were engaged. Ackerman Anderson & Anderson (2010) also challenged those involved to take ownership of their work and the success of the organization. However, as the leader concentrated on the change of others, they had to be mindful of their own actions and mindset.

Organizations, specifically educational organizations, were in desperate need of clear direction from leadership (Fullan, 2002). When dealing with clients that were unpredictable (students, parents, teachers), it was critical that the leader provided a vision about the needs at the site. If schools didn't perform to prescribed expectations, it was the leader's role to determine what radical, transformational changes needed to be made,

and what specific direction should've been communicated to begin the process (Lazzaro, 2009).

To understand the organization and its needs, Capra (2002) suggested examining an organization through autopoiesis, which was defined as a system or organization that was capable of reproducing and maintaining itself to guarantee sustainability. In order for a school organization to have created and sustained academic success, the components necessary for survival within a living system must have been present. This theory went beyond the identification of basic human needs such as air, water, food and shelter but other needs to ensure that the organization would thrive. Capra (2002) identified the four domains that a leader should nurture to be effective within all organizations. They included communication, learning, trust, and shared leadership. Approaching the school organization as a living system meant that the leader also understood the needs of the members who were in the trenches alongside the leader; doing the work and ensuring basic needs were evident within the organization.

The Principalship

The role of the school principal has been the primary focus when determining if a school is successful or not. The requirements for becoming a school principal within public school districts in the state of California included obtaining a master's degree or higher, in addition to an administrative credential from an accredited higher level institution. The California Commission on Teacher Credentialing (The California Commission on Teacher Credentialing, n.d.) listed the expectations of school and district administrators who possess such a credential. Those who held an Administrative Service Credential were expected to; (1) develop, coordinate, and assess instructional programs,

(2) evaluate certificated and classified personnel, (3) provide students' discipline, (4) provide certificated and classified employees discipline, (5) supervise certificated and classified personnel, (6) manage school site, district, or county level fiscal services, (7) recruit, employ, and assign certificated and classified personnel, (8) develop, coordinate, and supervise student support services.

If all administrators were held to the same credentialing expectations, then what specific skills and knowledge would assist them to successfully lead a failing school within a turnaround intervention model? A school leader charged with creating a significant or radical change in a school would want to take a very different approach than one who was continuing to build on past successes (Marzano et al., 2005). The mystery of why one principal's leadership style was more effective than another's is unsolved (Hoyle, 2012). Each leader had unique capabilities and exhibited strengths and weakness in various areas within instructional leadership, supervision, and management.

Principals of Turnaround Schools

Historically, the success and failure of a school had been directly linked to the site principal, suggesting that the site principal had a major effect on the culture, management and success of the school (Muhammad & Hollie, 2012). As schools were held to increasingly higher standards, the course of educational improvement practices had to adapt. For almost fifty years, the direction of education had been in a constant state of shifting agendas, with the federal government being in the driver's seat, succumbing to public pressure, low student achievement, and the possible impact to the economy (Hickey, 2010).

The most recent shift had been toward turnaround models in schools across the nation in an effort to improve student achievement. The NCLB authorization concentrated on students having access to high quality education through highly qualified teachers as measured by state standardized assessments (www.cde.ca.gov, 2014). States were required to set standards and provide annual testing with specified proficiency levels. These levels communicated to all stakeholders, a school's, and district's ability to maintain effective instructional programs and determined eligibility for specialized state or federal funding.

NCLB mandated states to agree to measure and report accountability with a goal to close the achievement gaps between socio-economic status and ethnicity. The large reform movement set a target for all students to be proficient or advanced in reading and mathematics by the 2013-2014 school year. To respond to such high expectations, there arose a need to focus on student learning and on the leadership who were held responsible for leading the work in the district and the schools (Muhammad & Hollie, 2012).

"The concept of turnaround schools did not originate from the academic study of education; rather it was borrowed from the organizational sciences and the business management world" (Mette, 2012, p. 4). When schools made growth of less than fifty API growth points, and did not meet their AYP as defined by NCLB, they were deemed persistently low achieving. Schools were then required to adopt an intervention model to immediately address the concern. NCLB created a need for turnaround principals who were to initiate change resulting in increased student achievement within a short period of

time. It was imperative that leaders of turnaround schools had the skills necessary to lead a major reform effort quickly.

There continues to be an emerging body of research on high performing schools and research on schools that transitioned over a longer period of time (more than three years). However, NCLB required low performing schools to turnaround over a shorter period of time (no more than three years). There was little data in educational research regarding the attributes of turnaround principals (Hickey, 2010). How schools turn around and what turnaround principals professionally experienced in the process was not clearly defined so that the success of one could be replicated amongst many.

Principals of turnaround schools had the added burden of being accountable to the state for immediate improvements. Because of this, principals selected to lead turnaround schools were typically more experienced than their colleagues, and had a proven record of performance. But why did these leaders succeed? Defining the mission and vision of the school, managing the instructional program, promoting a positive learning environment, setting directions, developing people, and making the organization work in various ways were but a few of the areas that had been studied.

"Successful leaders required many complex skills and offered challenging settings to study when it came to effective leadership" (Romero, 2012). Research showed that educational leadership was in a state of crisis precipitated by an inability to attract and retain highly qualified candidates for leadership roles, and many current leaders were ill prepared to take on the numerous challenges of turnaround schools (DuBois, 2011). Did the transformation of a school from failing to succeeding happen by skill or luck? How does Marzano's research of principal leadership and Capra's research of successful

organizations help with understanding turnaround principals and what it took to be successful?

Statement of the Research Problem

Across the nation, including California, schools were failing to meet the needs of all students (Jennings, 2012). As a result of high stakes testing, schools that were labeled as failing were given little time to improve and not all principals were successful in leading their schools toward academic success (Hickey, 2010). Achievement gaps amongst underserved groups and their more advanced peers continued to rise as accountability measures increased. To solve the problem in California, many districts adopted intervention models to immediately increase student achievement and close the gaps. The turnaround intervention model was widely used but schools continued to struggle to make the needed organizational changes (cde.ca.gov).

The good news was that for every combination of intransigent obstacles there was an example of a school that had successfully solved the problem (Lichtman, 2014, p. xvii). Some turnaround schools were able to make the academic growth needed to close the achievement gaps. There were a multitude of data, which reported the impact of the principal on student achievement and success in schools. School improvement and school turnaround shared similar goals, to increase student achievement. However, school turnaround involved a dramatic improvement within a short amount of time while general school improvement had less stringent requirements.

The conditions of a turnaround intervention model in school sites required the replacement of the principal and to rehire no more than fifty percent of the staff. Principals were also granted increased flexibility to ensure budgets, staffing, and other

operational needs were met. The right leader was a critical component of a successful turnaround (Mette, 2012).

Principals of turnaround schools had an increased responsibility of being accountable for immediate improvements (Hickey, 2010). Nevertheless, how and why a principal of a turnaround school was successful and what specific leadership responsibilities and characteristics they possessed was not clear. Research was needed to understand in what way the principal contributed to the school organization as a whole and to identify which specific leadership responsibilities most directly impacted the success of turnaround model schools.

Purpose Statement

The purpose of this qualitative study was to discover which leadership responsibilities, within the domains of trust, communication, learning, and shared leadership, did elementary and middle school principals of successful turnaround schools perceive as most necessary to lead a turnaround intervention model school.

Research Questions

1. What leadership responsibilities within the leadership domain of trust do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?
2. What leadership responsibilities within the leadership domain of communication do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

3. What leadership responsibilities within the leadership domain of learning do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?
4. What leadership responsibilities within the leadership domain of shared leadership do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

Significance of the Problem

This research focused on the leadership practices of turnaround principals, which directly impacted the success of turnaround schools. The results of the study contributed to the knowledge regarding turnaround principals and what leadership responsibilities, identified by Marzano et al. (2005), within the domains of trust, communication, learning, and shared leadership, identified by Capra (2002), most impacted the success of turnaround schools. The expectation was that this study would be of significance to superintendents and boards of education, as well as researchers or consultants who were responsible for addressing the immediate needs of a school failing to close achievement gaps and meet the needs of all students. These results may be of significance to college and university programs responsible for the preparation of principals. Additionally, the results from this study could assist in the creation or refinement of policies regarding failing schools, and what responsibilities principals need to exhibit at schools that are not failing to ensure sustainability of program and success in light of current accountability measures.

Evidence that leadership made a difference in closing the achievement gap for students continued to emerge. Research has cited the importance and contribution of the

educational leader on a school's level of success or survival (Romero, 2012). However, there was little research on the specific leadership of successful turnaround principals (Hickey, 2010). This study will contribute to the gap in the literature concerning the needs of turnaround schools and the type of leadership that was most likely to impact and improve the organization. Research findings regarding characteristics of high performing schools existed in large numbers in the literature, but studies of turnaround schools and principals of turnaround schools did not (United States Department of Education, 2001). Identifying the most necessary leadership responsibilities within the domains of trust, communication, learning, and shared leadership will contribute to the development of leadership models for principals who are in charge of turnaround schools as well as those at other schools that may or may not have achievement gaps.

Definitions of Terms

For the purpose of this study, the following definitions were used as key terms:

- API: The Academic Performance Index (API) was a measurement of academic performance and progress of individual schools in California.
- Autopoesis: "The process that distinguished living from nonliving systems . . . systems [that] consisted of recursive networks of iterations among components that produced all and only the components necessary for such networks to continue producing them within a boundary" (Krippendorff, 2009, para. 23).
- AYP. Adequate Yearly Progress (AYP) was a measurement defined by the Federal "No Child Left Behind Act" that allowed the U.S. Department of

Education to determine how every public school and school district in the country was performing academically.

- ESEA: The Elementary and Secondary Education Act (ESEA) was passed by Congress in 1965. The act was an extensive statute that funded primary and secondary education, while explicitly forbidding the establishment of a national curriculum. It also emphasized equal access to education and established high standards and accountability.
- Local Education Agency (LEA): The term used to identify school districts
- Leadership: “The interaction among members of a group that initiated and maintained improved expectations and the competence of the group to solve problems or to attain goals” (Bass, 2008, p. 28); "…providing direction" and "exercising influence" (The Wallace Foundation, 2004).
- NCLB: The No Child Left Behind Act of 2001 (NCLB) was a United States Act of Congress that was a reauthorization of the Elementary and Secondary Education Act, which included Title I, the government's flagship aid program for disadvantaged students.
- Organization: “A dynamic system in which activities, relationships, and other interactions were woven into a whole” (Sullivan L. et al. 2009).
- Turnaround Legislation: State legislation from 2010 whose stated purpose was to provide innovation in schools and to turnaround underperforming schools. It was written in part to respond to the federal requirement that states wishing to qualify for Race To The Top (RTTT) funds needed to have their own legislation outlining school improvement requirements that was in line with

President Obama’s Blueprint for Reform (Grandson, 2014).

- School Improvement: Education reform was the name given to a demand with the goal of improving education. Small improvements in education theoretically have large social returns, in health, wealth and well-being. Historically, reforms had taken different forms because the motivations of reformers had differed (http://www.cde.ca.gov/fg/aa/lc/lcffoverview.asp)

Definitions of Variables

For the purpose of this study, the following definitions, determined by the Marzano et al. (2003), which was reflective of the Marzano et al. (2005) language, were used:

- Affirmation: This term referred to actions where the principal “recognized and celebrated school accomplishments and acknowledged failures” (Marzano et al., 2003, p. 4).
- Change Agent: This term referred to an educational leader who was “willing to and actively challenged the status quo” (Marzano et al., 2003, p. 4).
- Open Communication: A principal who “established strong lines of communication with teachers and among students” (Marzano et al., 2003, p. 4) illustrated the open communication role.
- Contingent Rewards: An educational leader who “recognized and rewarded individual accomplishments” (Marzano et al., 2003, p. 4) portrayed the contingent rewards characteristic.

- Culture: The practice of an educational leader who fostered shared beliefs and a sense of "community and cooperation" (Marzano et al., 2003, p. 4) depicted the functions of the culture role.
- Discipline: An administrator who "protected teachers from issues and influences that would detract from their teaching time or focus" (Marzano et al., 2003, p. 4) performed the characteristic of discipline.
- Flexibility: A principal who "adapted leadership behavior to the needs of the current situation and was comfortable with dissent" (Marzano et al., 2003, p. 4) embodied the characteristic of flexibility.
- Focus: A leader who "established clear goals and kept those goals in the forefront of the schools' attention" (Marzano et al., 2003, p. 4) demonstrated the role of focus.
- Ideals/Beliefs: An administrator who "communicated and operated from strong ideals and beliefs about schooling" (Marzano et al., 2003, p. 4) practiced the functions of ideals/beliefs.
- Input: A leader who "involved teachers in the design and implementation of important decisions and policies" (Marzano et al., 2003, p. 4) executed input.
- Intellectual Stimulation: A principal who "ensured that faculty and staff were aware of the most current theories and practices and made the discussion of these a regular aspect of the school's culture" (Marzano et al., 2003, p. 4) incorporated the characteristic of intellectual stimulation into the school.
- Involvement (with curriculum, instruction, and assessment): An administrator who "was directly involved in the design and implementation of curriculum,

instruction and assessment practices" (Marzano et al., 2003, p. 4) epitomized the role of involvement with curriculum, instruction and assessment.

- Knowledge (of curriculum, instruction, and assessment): A principal who "fosterd shared beliefs and a sense of community and cooperation" (Marzano et al., 2003, p. 4) characterized the responsibility of knowledge of curriculum, instruction, and assessment.
- Monitoring/Evaluating: An administrator who "monitord the effectiveness of school practices and their impact on student learning" (Marzano et al., 2003, p. 4) portrayed the function of monitoring/evaluating.
- Optimizer: An educational leader who "inspired and lead new and challenging innovations" (Marzano et al., 2003, p. 4) practiced the optimizer role.
- Order: A principal who "established a set of standard operating procedures and routines" (Marzano et al., 2003, p. 4) demonstrated the role of order.
- Outreach: A principal who "was an advocate and spokesperson for the school to all stake holders" (Marzano et al., 2003, p. 4) typified the characteristic of outreach.
- Relationship: An administrator who "demonstrated an awareness of the personal aspects of teachers and staff" (Marzano et al., 2003, p. 4) illustrated the role of relationship.
- Resources: The principal who "provided teachers with materials and professional development necessary for the successful execution of their jobs" (Marzano et al., 2003, p. 4) represented taking responsibility for resources.

- Situational Awareness: An educational leader who "was aware of the details and undercurrents in the running of the school and used this information to address current and potential problems" (Marzano et al., 2003, p. 4) practiced situational awareness.
- Visibility: An administrator who "had quality contact and interaction with teachers and students" (Marzano et al., 2003, p. 4) embodied the role of visibility.

Delimitations

This study was delimited to included sample size, methodology constraints, length of the study, and response rate. This study included data from turnaround principals of 9 elementary schools and 1 middle school, which had been deemed successful by the State of California, as measured by state and federal targets. Data collected could not necessarily be used to generalize leadership responsibilities of principals in all schools, as only turnaround schools were selected to participate in the study.

Organization of the Study

This study was arranged into five chapters, which examined the leadership responsibilities necessary to lead a successful elementary turnaround school. Chapter One introduced the study including the background on school reform, the principalship, types of leadership and turnaround schools. This initial chapter created a foundation to examine leadership at school sites and what had been done historically to close the achievement gap in order to address the needs of all students.

Chapter Two contained a review of the literature and further investigated the topics of leadership as defined by Robert Marzano (Marzano, Waters, & McNulty, 2005)

and the needs of an organization as defined by Fritjof Capra (Capra, 2002). What was needed to be an effective leader was discussed by various researchers and included a discussion on the missing pieces of educational reform (Kirtman, 2014). The history of school reform was examined more closely with an emphasis on what it took to be excellent in the field of education (Blankenstein & Noguera, 2015). A synthesis of the research conducted by Marzano et al. (2005) and Capra (2002) was provided as well as a context for the research.

Chapter Three included a discussion of the methodology and design elements used for this study and included a cross-reference of the research of Marzano and Capra as well. This cross-reference influenced the research design and methodology. The sampling method, participants and instrumentation were also identified. To give further explanation, the third chapter presented procedures for data collection. The chapter then described how the analysis of data was conducted and how it was applied to the research.

The discussion of results and summary of the study were presented in Chapter Four. The analysis of data from the interview protocol was discussed to identify what principals commonly perceive as the most necessary leadership responsibilities of principals of successful turnaround schools. The findings in this study facilitated a basic understanding of the integral responsibilities necessary for successful leadership. The final chapter summarized and drew conclusions based on the findings in chapter four. It included the implications for action and recommendations for further research as well.

CHAPTER II: REVIEW OF THE LITERATURE

The chapter presents a review of related literature to establish a context for the findings of this study, and for the identification of common leadership responsibilities (Marzano, 2005) within the domains of trust, communication, learning, and shared leadership (Capra, 2002) of principals of successful turnaround model schools. The works of Dr. Robert Marzano and Dr. Fitjof Capra are reviewed as well as a review of how the leadership skills identified by Marzano (2005) and Capra (2002) could be applied to an educational organization. This chapter presents the historical development of school reform efforts (specifically the turnaround model of intervention), a review of the role of the principal, and what the research stated with regard to the types of leadership needed to lead a successful school organization. The review of the literature concludes with a discussion of the research on what was needed to effectively lead a turnaround intervention model school.

History of School Reform Efforts

Over the past fifty years, U.S. school reform had been dominated by major movements aimed at promoting equity, increasing school choice, and using academic standards to gauge improvement (Jennings, 2012). Equity reform, school choice, and standards based reforms all had public support and a greatly impacted the way in which school organizations functioned. For the most part, schools had been organized for the purpose of ensuring that all students learned enough to become productive citizens. However, the federal government had to step in because local school districts and state governments did not provide education in equitable ways for all students (Olsen, 2013). "In the 1960s and 1970s, the federal government enacted a variety of programs and

policies to improve educational equity for minority children, poor children, disabled children, children with limited English proficiency and women and girls" (Jennings, 2012, p. 2).

In addition to the Civil Rights Act of 1964, President Lyndon B. Johnson led Congress to pass the Elementary and Secondary Act (ESEA) of 1965. This law was enacted as a reform tool to guarantee educational equity for all students (Hickey, 2012). The use of categorical aid – funds targeted to support specific groups of students who were at risk of educational problems - was allocated to provide additional educational services to support their academic success. Title I of this act was introduced to support students from low- income families. The ESEA changed the way state schools were funded and provided additional resources for at-risk and low-income students. The law's original goal, which remains today, was to improve educational equity for students from low-income families. It provided federal funds to school districts serving such students. The funding provided was earmarked for professional development, supplemental materials and programs, and parental involvement programs for low-income and low-achieving students. Since its initial passage in 1965, ESEA had been reauthorized several times. Each authorization refined the program, but the initial goal of improving educational opportunities for children from lower income families remained (California Department of Education, n.d.).

Another major law was enacted in 1975 to guarantee a free and appropriate education for children with disabilities. This law, The Individuals with Disabilities Education Act (IDEA), provided parents with the ability to file a lawsuit if their children had not received services guaranteed under the law (Jennings, 2012). Additionally, this

law obligated school districts to pay for the range of services agreed to in a student's individual education plan (IEP) regardless of state or federal funding provided for students with disabilities.

All in all, the school equity reform movements of the 1960s and 1970s yielded great improvements for many students. However, they lacked the ability to improve the educational system of all students, which led to demands for more choices for education.

In 1983 President Ronald Reagan called together eighteen professionals who had been drawn from the private sector, government, and the educational community from across the nation to address the growing problems in public education. He likened the education crisis to that of an act of war by a foreign nation. The work of this commission resulted in a report entitled *A Nation at Risk: The Imperative for Educational Reform* (1996). Within the report, the commission made 38 recommendations divided across five major categories of curriculum content, standards and expectations, time, teaching, and leadership and fiscal support.

The Nation at Risk report began the standards movement and in the late 1980s standards were written by teacher professional organizations across the nation, including the National Council of Teachers of English (ncte.org) and the National Council of Teachers of Mathematics (nctm.org), to be adopted nationally. This approach was expanded to other subject areas by the George H. W. Bush Administration with the expectation of assessing whether a student mastered basic math and English language skills and measured how well students were learning through state testing (Jenkins, 2012).

The initial efforts to create standard based reforms were not successful due to an excessive number of standards (Marzano, 2005). The chief concern was the inability for educators to teach the multitude of mandated standards during the span of kindergarten through twelfth grade. In 1993, The National Council of Education Standards and Testing was established at the urging of Secretary of Education, Lamar Alexander to begin the development of bi-partisan national standards and testing for K-12 education (Sonoma State University, 2015). The effort to develop a national consensus about standards was ultimately unsuccessful as well and in 1994, Governor Bill Clinton and President George H. W. Bush continued to advocate for standards and tests but urged states to develop their own standards and tests to assess student learning (Mette, 2011). However, the legislation that Governor Clinton enacted did not require states to provide students with support but did provide increased educational opportunities to meet the rigorous state standards. The nation's governors gathered with business and education leaders and discussed critical actions needed to improve America's system of public education (achieve.org/summits). These meetings, National Education Summits, were instrumental in garnering public support to raise standards and improve performance in schools. At the summit in 1996, the nation's governors and business leaders pledged to work together, state by state, to raise standards and academic achievement in public schools. The summit also led to the creation of Achieve, Inc. It was founded as an independent, nonpartisan, nonprofit education reform organization and was dedicated to working with states to raise academic standards and graduation requirements, improve assessments, and strengthen accountability (achieve.org). "By 2001, when George W.

Bush was elected president, all states were either in the process of implementing standards and aligned tests or had already done so" (Jennings, 2012, p. 5).

The need to increase academic achievement and desire to reform the entire system were the focal points of the standards-based reform movement.

> The original purpose of the standards-based reform movement was to identify what students should know and be able to do at specific grade levels and to measure whether they were mastering that content. As the movement matured, it took on the additional purpose of applying consequences to schools whose students did not show mastery. In this way the standards movement morphed into test-driven accountability (Jennings, 2012).

In an effort to ensure that all students benefitted from excellent education, Bush enacted the No Child Left Behind Act (NCLB) in 2002. This legislation increased the intensity of previous laws and required states to engage in more extensive grade level testing. NCLB set a deadline of 2014. It called for all students to be proficient in English language arts and mathematics and outlined specific actions that schools and districts had to take if they did not meet the annual state proficiency goals (Hickey, 2010). The NCLB legislation increased control over accountability, assessment, and the use of funding to provide rewards and sanctions (Anderson, 2007). This new authorization concentrated on students having access to high quality education through highly qualified teachers as measured by annual state standardized assessments (United States Department of Education, 2011). By 2011, nearly half of all schools in the United States had not meet their state targets for student proficiency (Jennings, 2012). Schools that failed to make

adequate yearly progress (AYP) for two consecutive years were identified for "school improvement," and they had to create a plan to address the needs of the school. If schools failed to make adequate progress for a third year, they were identified for corrective action and needed to implement interventions designed to initiate school improvement. A fifth consecutive year of inadequate progress required the district to implement a school restructuring plan that included reconstituting school staff, including the leadership, and changing the school's governance, along with other major changes. This was referred to as the "turnaround model" of intervention.

Data from the 2015 State Balanced Assessment Consortium (SBAC) state assessments revealed that only thirty-four percent of California's students met achievement targets in math, and forty-four percent met achievement targets in English language arts. The results, however, also revealed wide disparities in achievement among student groups, with sixty-five percent of English language learners, forty-six percent of African-Americans, forty-one percent of low-income students and thirty-nine percent of Hispanic students scoring in the lowest of four achievement levels. This compared with twenty-three percent of white students and twelve percent of Asian students who scored in the lowest level (cde.ca.gov). If this trend continued, the state of California would have had an increased need for schools to implement an intervention model and an increased need for principals experienced in the implementation of intervention models.

Turnaround Schools

"School turnaround models of intervention were based on an idea derived primarily from the business sector" (Watkins, 2013, p. 28). It was defined as a

documented, quick, dramatic and sustained change in the performance of an organization (School Turnarounds, 2007). As accountability measures increased and states became anxious to improve schools to avoid sanctions, “turnaround schools” became a familiar term in the educational lexicon (Protheroe, 2010). The expectation was that academic achievement would improve for the same cohort of students within two years. The implementation of a turnaround was a process that resulted in an organization ending its decline and usually required adaptability to respond to the needs of a changing environment (Mette, 2012).

Prior to legislation that required equity for all students, most schools sorted children, offering different kinds of education based on a student’s socioeconomic status, the programs offered at particular schools, or the location of the school (Chenoweth, 2007). As school standardization and improvement became necessary, the turnaround intervention model emerged as a necessary option for schools not performing at expected levels based on the required NCLB legislation. The changes required for the turnaround model as outlined by the U.S. Department of Education were:

- Replace principal
- Use locally adopted "turnaround" competencies to review and select staff for school (rehire no more than fifty percent of existing staff)
- Implement strategies to recruit, place, and retain staff
- Select and implement an instructional model based on student needs
- Provide job-embedded professional development designed to

build capacity and support staff

- Ensure continuous use of data to inform and differentiate instruction
- Provide increased learning time for staff and students
- Provide social-emotional and community-oriented services and supports
- Implement new governance structure
- Grant operating flexibility to school leader

The theory of action underlying the turnaround model was that the existing configuration of leadership and instructional personnel had not created a learning environment in which students had succeeded. Therefore, in order to dramatically change the environment for the benefit of the children who were enrolled in the school, the adults needed to change (Kowal et al., 2010). Under the turnaround model, change entailed literal change of personnel as well as behavioral change by the high-capacity personnel that remained (Hickey, 2013). However, in order for schools to raise student academic achievement within a turnaround model of intervention, an effective leader was key (Muhammad, 2012). Fullan (2005) defined turnaround leadership as the type of leadership that was needed for turning around a persistently low-performing school to one that was performing acceptably, as measured by student achievement on state tests. A significant component of the turnaround process was the leader of the school organization (Hickey, 2013).

To make the substantial changes needed for implementation of a turnaround model, increased funding was necessary as well. The United States Department of

Education provided states and school districts federal grant funds under Title I. School Improvement Grants (SIGs) were awarded by the U.S. Department of Education to State Education Agencies (SEAs) under ESEA and reauthorized by NCLB in 2002. The SEAs, in turn, awarded subgrants to local educational agencies (LEAs) for the purpose of supporting focused school improvement. In 2009, the Obama Administration and specifically, U.S. Secretary of Education, Arnie Duncan, challenged the educational community to make the lowest-achieving schools its highest priority. Between 2009 and 2013 an unprecedented amount of nearly five billion dollars was committed to SIG for low performing schools. This opportunity allowed school leaders to use financial resources to focus on developing teacher skills and competencies to facilitate improvement in student achievement.

> Strong school leadership makes the difference between good schools and bad schools; successful students and unsuccessful students. Building strong school leadership has always been my priority. These grants will help retain and support strong leadership in schools that need it the most. (*U.S. Department of Education Awards More Than $16.2 Million in Grants to Improve School Leadership at Lowest-Performing Schools*, 2015)

The schools in this study all received between four and six million dollars in installments over a three-year period. Of these, only ten met their CST growth targets as measured by state and federal mandates. While some say the stimulus rules opened the door for excessive focus on eliminating or radically changing the teaching staff, the ultimate goal was to improve schools for children (Arnie Duncan, 2015). Others saw the

reform efforts as similar to those under NCLB, which produced few success stories (Watkins, 2013, p. 29).

There has been conflicting research on whether turnaround intervention was the best option to improve and sustain student achievement at persistently low-achieving schools. There had been even more division among researchers regarding what it took to lead a successful turnaround school (Landesfeind, 2007). Of the twenty-nine turnaround model schools that received SIG funds and implemented the turnaround intervention model, only ten were successful as measured by growth on state mandated assessments. Throwing money at the problem had not closed the achievement gap problem. How did a school ensure a successful turnaround implementation and what factors lead to success in closing the achievement gap?

Successful Turnaround Schools

When looking at successful schools, particularly those that had been in decline and subsequently improved, the primary focus was on the school leadership – the school principal. Although there were limited studies on what specific leadership skills, behaviors, or responsibilities were needed to produce a successful turnaround school, there were a few behaviors and skills that were highlighted in the research. According to Blankenstein (2004), a school turnaround was only possible when the culture and climate of the school was addressed. Schools, like any other organization, needed to be safe and nurturing places in order for personnel and students to thrive. Padilla (2013) discussed the need for school reform to be rooted in trust among the personnel. "Where trust existed among teachers, parents and school leaders within the school community, school improvement initiatives took hold" (Padilla, 2013, p. 135). With trust in place there was

more open and honest communication which lead to shared responsibility and leadership amongst the staff. Turnaround schools were not like other public schools. They had been deemed persistently low achieving, which ate at the morale and confidence levels of the staff, students, and community. Heifetz, Grashow and Linsky (2009) discussed the need for school leaders to build trust by being more adaptive in their leadership practices in order to create and sustain improvement. The ability to be more adaptive, meant having a willingness to create shared leadership and being open to diverse ideas to create an environment for risk taking, was needed for success in a turnaround environment.

Learning was another component needed to sustain success. Schools that took the time to invest in the learning and the continued improvement of staff showed incremental growth in a relatively short period of time (DuBois, 2011). Padilla (2013) also discussed the research conducted by Calkins (2008), which detailed the data from a study conducted on high-performing, high-poverty schools (HPHP). The data showed that schools with high levels of trust among the staff, as well as a willingness to learn, led to a sense of ownership of the school and the personal responsibility for its success. This shared ownership led to shared leadership, and was a key component in successful HPHP schools. Successful turnaround schools established a shared leadership and responsibility for learning (Calkins, Guenther, Belfiore, & Lash, 2007). Districts needed to ensure that a school principal exhibited the values of trust, communication, shared leadership, and learning to guarantee they were ready to take on the daunting task of leadership at a turnaround school.

Leading the Work

The school administrator was the key element of successful organizational development and improvement (Ibach, 2014). Research continuously revealed that school leadership made a difference in improving learning and leaders were faced with increasing expectations to improve school conditions and student achievement levels while serving diverse student populations (Olsen, 2013). The role of the school principal was examined through a number of different frameworks with each model drawing a distinct line between school leadership of the past and the present (Landesfeind, 2007). Early in education, American schools and the responsibilities of the principal were typically handled by the classroom teacher. As the need for a more educated workforce grew, the need for a more defined yet expanded role for school principals became necessary. By the early 1900s, the principalship was an acknowledged position with a professional organization, the National Association of School Principals, and professional recognition from the National Education Association (Goodwin et al., 2005). The principal was predominantly the school manager, a role that would continue through the 1950s (Landesfeind, 2007).

In the 1960s and 1970s the role and expectations of the principal began to change due to labor laws and civil rights movements. During this time, the principal was expected to be more knowledgeable about personnel, collective bargaining units, and contract law. Additionally, principals needed to guarantee that their schools and teachers were compliant with new legislation. Initially, the link between school leadership and student achievement was not a focus of research. However, a study by Bossert, Dwyer, Rowan, and Lee (1982) researched the characteristics of leadership, what school leaders

were responsible for, and how school leadership affected student achievement. In the 1980s a key turning point occurred due to the findings of *A Nation at Risk* (1983), which identified a connectedness between principal leadership, the impact of the principal on improving teaching, and student learning (Olsen, 2013).

Researchers have engaged in multitudes of studies on the role, results, and approaches of effective school leaders and the principalship. Two leadership models, instructional leadership and transformational leadership, emerged as the predominant approaches for management of school organizations. "From studies in the 1980s, leadership was first established as an important condition for school effectiveness and the principal was initially termed as an instructional leader, a different role from the administrative manager during the period from the 1920s to the 1970s" (Olsen, 2013, p. 78). Instructional leaders were considered those who had standardized practices of effective teaching while maintaining high expectations for teachers and students. Critics argued that principals as instructional leaders was a difficult task and worked against inherent school structures and norms (Bossert et al., 1982).

By the late 1990s, the role of the principal as school leadership merged. Principals were thought of as instructional leader and transformational leader. Transformational leaders were described as change agents, driving organizational learning for improved academic outcomes (Bolman & Deal, 2008). With increasing needs of school organizations, which included mounting sanctions due to the requirements of NCLB, school leaders needed to have the ability to identify problems and solve them, in collaboration with other stakeholders, and to initiate change (Anderson-Ackerman, 2010). Critics of this model were concerned that school leaders lacked a

focus on curriculum and instruction (Hallinger, 2003) and that there needed to be a combination of the two models, instructional and transformational, in order for schools to be successful. Of this research, the prevailing educational trends of the 1990s included shared leadership, empowerment, and learning (Marzano, 2002; Capra, 2003).

The role of principal was staggering in its demands, particularly in the context of school reform (Trail, 2000) and the candidates for the job were dwindling. With the daunting projections of 2.2 million teachers needed in the next decade, the focus had been on their qualifications and whether they have the skills needed to advance into school principalship. Additionally, in 2013, the Bureau of Labor Statistics reported that teachers advancing into principal positions were growing at an annual rate of six percent, which was slower than the average for all other occupations (Bureau of Labor and Statistics, n.d.). Someone to lead the work was becoming harder to find.

> Reading the literature on the principalship can be overwhelming, because it suggests that principals should embody all the traits and skills that remedy all the defects of the schools in which they work. They should be in close touch with their communities, inside and outside the school; they should, above all, be masters of human relations, attending to all the conflicts and disagreements that might arise among students, among teachers, and among anyone else who chooses to create conflict in the school; they should be both respectful of the authority of the district administrators and crafty at deflecting administrative intrusions that disrupt the autonomy of teachers, they should keep an orderly school; and so on (Elmore, 2002).

Those people who were in the position of principal were not necessarily equipped for the job, and this was an important issue that had to be addressed (Queen & Queen, 2005). "Unlike much of private industry, the public education system had given limited attention to recruiting and cultivating leaders" (Landesfeind, 2007, p. 17). The role of the principal has changed from that of managing facilities and people to a leader of instruction and learning. The fact remained, however, that the administrative and improvement burden had dramatically increased for principals in the last decade" (Fullan, 2014, p. 57). Leaders within any organization, schools or other types, were required to have had foundational leadership qualities to understand the living system and human needs within the organization (Capra, 2002). Research showed that school leaders did not directly control their schools, although they attempted to do so as if the schools were machines (Romero, 2012). Educational leaders did not control; they guided the school toward improvement and therefore survival (Dufor and Marzano, 2011).

Although there were leadership standards, which school principals adhered to, there was no common comprehensive job description for principals. The job could vary depending upon the district or school. However, there were some common expectations of the school leader, which included the principal as a standards-driven leader, a leader of the team, the instructional leader, the leader of a culture of learning, and a transformational leader (Lipton & Wellman, 2013). Most states, following the accountability trend, had adopted standards for educational leaders (i.e., principals) modeled after the Interstate School Leaders Licensure Consortium Standards (ISLLC). The standards were as follows:

1. Setting a widely shared vision for learning. An education leader promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.
2. Developing a school culture and instructional program conducive to student learning and staff professional growth. An education leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.
3. Ensuring effective management of the organization, operation, and resources for a safe, efficient, and effective learning environment. An education leader promotes the success of every student by ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.
4. Collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources. An education leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.
5. Acting with integrity, fairness, and in an ethical manner. An educational leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner.

6. Understanding, responding to, and influencing the political, social, legal, and cultural contexts. (http://wps.ablongman.com/ab_bacon_edadmin_1/0,6183,462533-,00.html)

Overall, the standards were a part of the larger accountability picture, but they also addressed multiple leadership responsibilities that may be linked to the work of Marzano, (2005) and Capra (2002). As the school accountability system has evolved, so have the roles of everyone on site, especially the site administrator. The principal was held to a higher standard in every sense of the word (Hattie, 2012).

Marzano's Twenty-one Leadership Responsibilities

The study of leadership and the specific skills and responsibilities that a principal needed to successfully lead an educational organization had been the primary focus of Dr. Robert Marzano's work. Dr. Marzano was a leader among his peers for his study of school leadership. *What Works in Schools* (Marzano, 2003) and *Classroom Instruction That Works* (Marzano, Pickering, & Pollack, 2001) discussed what was needed from instructional and site leaders to positively affect student achievement and maintain a positive educational organization.

Marzano's research in *School Leadership That Works* was an analysis of 69 different educational leadership studies. These studies examined the relationship between the building leader and student achievement. The data were synthesized in order to identify leadership behaviors that had a direct impact on student achievement. From this research, twenty-one leadership responsibilities were identified that had a positive impact. In general, the principal's leadership was positively correlated with student

achievement. The research suggested that site leaders, specifically principals, had to be willing to be transformational leaders. They needed to foster and seek diversity of thought while guiding the shared vision of the organization. The *Encyclopedia of Educational Leadership and Administration* supported this theory as well by stating that school leaders had to share in the belief that the school organization must work to inspire new and higher levels of trust and commitment in the school community as a foundation for success (Hoyle, 2006). Marzano's Twenty-one Leadership Responsibilities are listed and defined in the appendix (APPENDIX A).

School leaders had to be willing and committed to continuous improvement (Kirtman, 2014) and many times that involved great change. Turnaround schools required that great change take place and that the leader be at the helm of the change. The leadership responsibilities defined by Marzano et al. (2003) were a study on the magnitude or levels of change and found roles associated with each (p. 6). An analysis was completed by Marzano et al. to develop data regarding the relationship between the twenty-one leadership responsibilities (Marzano et al., 2005) and how they affected the success of school principals. To obtain the data needed, an online survey was given to principals to participate. As each respondent completed the survey, he or she received results regarding his or her own observations about personal involvement and perceived levels of change for their organization (Ibach, 2014). The leadership characteristics evolved from the responsibilities outlined by principals. In the analysis of the survey, the twenty-one leadership responsibilities became the foundation of the work to be done with school leaders. When reviewed, the explanations of these roles in the Marzano et al. study identified leadership responsibilities as important in responding to change.

Change Agent.: Marzano et al. (2003) considered the change agent role to be "the extent to which the principal was willing to and actively challenged status quo" (p. 4). Although important, in his analysis of its impact on student learning, this role was found to have a small effect on student learning. To minimize staff anxiety, the administrator adjusted the rate of speed of the change so as not to cause undue stress (Ibach, 2014). As staff came to understand the elements of transition, tension eased in the process (Kirtman, 2014). Fullan (2010) also encouraged leaders to let their employees fall forward through the "implementation dip" (p. 17) and discussed the basic understandings of resistance to change. Administrators who engaged in change had to understand the origins of resistance. To ease staff through a change, a change agent held the ability to logically forecast the possibilities or benefits of the change (McEwan-Adkins, 2003). Leaders in this role worked with each individual or group of individuals to identify and address the barriers to change. Thus, these leaders created a balance for staff to accept and work throughout the change (Ibach, 2014)). This developed a collaborative approach, and participants perceived they were a part of the decision-making process of the change (Dufor, 2011). Knowledge of the ideas of forming, storming, norming, and performing, were also effective tools of change agents to judge where in the process an organization was with change. The use of a professional learning community by change agents was also appropriate to regulate the cycles of change and created a sense of stability and sustainability (Zimmerman, 2006). Applying appropriate support to those in the change process were also characteristics of change agents. These measures of support included being a good listener, networking resources, offering varying levels of professional

development, celebrating and rewarding successes, and trusting and valuing staff (Zimmerman, 2006).

Flexibility: The flexibility role according to Marzano et al. (2005) was "the extent to which the principal adapted his or her leadership behavior to the needs of the current situation and being comfortable with dissent" (p. 49). Marzano et al. (2005) stated that educational leaders had to be agile in application of their roles. As a result of such flexibility, innovation constantly arises, which caused challenges and improvements to the system (Ibach, 2014). During this process, more questions were asked, data was analyzed, and yet another innovation was created. Then the innovation was studied for improvement and the process begins again. Unfortunately, there was no way to stave off some failures during the process of continuous improvement, but there was a way to acknowledge the learning and improve. Rigidity did not save a leader, nor did defensiveness (Ibach, 2014). It was important for an administrator to apply patience and flexibility while allowing fledgling leaders to practice new leadership roles (Huber, 2004). While the role of subordinates evolved, so did the roles of the administrator, which was another characteristic of flexibility. In all situations, administrators kept an open mind to varying points of view to allow for the best problem solving or decision-making to occur (Dufor et al, 2008). In the ability to be flexible, administrators responded to situations of a social, technical, strategic, or economic nature.

Ideals/Beliefs.: Marzano et al. (2003) defined ideals/beliefs as the extent to which the principal communicated and operated from strong ideals and beliefs about schooling" (p. 4). Other aspects of this responsibility included characteristics such as focus on culture for building a sense of community, attention given to setting and meeting goals,

and relationships which networked people and each of these characteristics together (Ibach, 2014). If the leader supported the beliefs of the group, members perceived that the organization was a safe place in which to work. Ideals and beliefs fueled the leader's vision and direction for education and this type of leader inspired others. Research did not support any universal definition of beliefs or ideals. However, practitioners and researchers continued to study how leaders utilized beliefs and ideals (Begley & Stefkovich, 2007). When in the decision making process, administrators focused on possible consequences. The literature reviews agreed that educational leaders innately applied ethics when they made decisions and had a tendency to employ a rationale of doing what was best for the student even when the decision was difficult (Begley & Stefkovich, 2007; Frick, 2009). Research also showed the use of the phrase "in the best interest of students" had been strategically used to create consensus or to manage staff into compliance (Begley & Stefkovich, 2007). In these cases the ideals and beliefs that supported the student ruled out discourse or noncompliance amongst staff.

Intellectual Stimulation: Intellectual stimulation, defined by Marzano et al. (2003) was defined as "the extent to which the principal ensured that faculty and staff were aware of the most current theories and practices and made the discussion of these a regular aspect of the school's culture" (p. 52). Asking probing questions, sharing data and collaborative problem solving were integral elements of this role. These activities were not limited to educational personnel only: leadership included parents, students, and community members (Ibach, 2014). A school leader used other tools, aside from data, in order to challenge and restructure the thinking and operations of people in an organization. Examples included reading and gathering varying points of view. These

tools assisted larger activities such as action research, professional learning communities, or other means of continuous improvement (Dufor, 2011). These procedures assisted educational leaders with introducing new ideas that supported staff members to grow in their practice (Muhammad, 2009). In this work, teachers reported they were more apt to participate and contribute to the organization (Ibach, 2014).

Knowledge of curriculum, instruction, and assessment: Marzano et al. (2003) described the characteristic of knowledge of curriculum, instruction, and assessment as "the extent to which the principal was knowledgeable about current curriculum, instruction, and assessment practices" (p. 4). Curriculum and instruction was at the heart and soul of a school and school district. Teaching and learning was what schools did best and all resources were tied to this very function. Collins (2001) described this concept of purpose as "the hedgehog" (p. 18), or finding the single most important purpose of the organization. An administrator's role was to continue to promote, refine, and support the staff in regards to the hedgehog. In the case of education, the function of schools was to educate students. Administrators were the leaders of the teaching and learning in the schools through their interaction with teachers focused on curriculum and instruction (Schmoker, 2006). Through the elements of understanding curriculum and instruction, the impact to student learning had great benefits (Marzano et al., 2003). Also, with this skill came the ability of an administrator to recognize how deeply or widely the content should be taught at particular levels (Hallinger, 2003). The application of data required a principal to be able to close gaps and push for improved results. In reviewing the literature, researchers combined the knowledge of curriculum, instruction, and assessment with the role of involvement in the same (Ibach, 2014). Leithwood (2005)

added that in this administrative role, the leader should have used formative and summative assessments to measure the application and student learning of curriculum taught.

*Monitor/Evaluatin*g: The monitor/evaluating characteristic is described as “the extent to which the principal monitored the effectiveness of school practices and their impact on student learning” (Marzano et al., 2003, p. 4). Aside from observations, walkthroughs, and evaluations, the responsibility of the administrator was to work collaboratively with the staff to assist them in the application of data for planning and decision-making (Schmoker, 2006). This might look like a principal and teacher tracking reading scores of a class and deciphering which students could benefit from specialized supports. The need for educational leaders to move beyond management of staff and building to a supervisory role was emphasized in the work of Dufor et al. (2010). When data showed areas in need of improvement for the school, the administrator’s responsibility was to research the problem and inclusively work with staff and stakeholders and facilitate a resolution. In doing this work, it created a professional dialog and lent itself to continuous improvement (Muhammad and Hollie, 2014). Additionally, this work required reflection on practice, goals, and data. Each of these elements also contributed to growth plans to set professional work goals and enriched the evaluation experience. Educational leaders in this role should used the appropriate information with staff to give feedback and supported growth. When done correctly, the use of formative and summative data assisted in evaluation of policy and programming in schools (Schmoker, 2006) to positively affect student achievement.

Optimizer: The optimizer role in the Marzano et al. (2003) study was characterized as "the extent to which the principal inspired and lead new and challenging innovations" (p. 4). Administrators had the difficult position of attempting to motivate and inspire those they supervised. During times of change, such as a turnaround school, it was important that the leader encouraged staff that it's worth it to engage in the challenging work needed to succeed. To do this, the principal had to develop and rely on experts on staff to aid in communicating a central message in an optimistic way (Muhammad, 2010). A leader who was an optimizer supported the work of the experts and helped others to understand this work. For those employees or systems facing change, as in a turnaround school, the educational leader sought to grow people in their understanding of the situation and how contributions could be made in moving forward (Ibach, 2014). This behavior was valued by staff rather than an authoritative or top down decision making process (Heifetz, 2003). An optimizer also shared data to paint a picture for staff to assist in decision-making (Marzano et al., 2005). Using data, the leader was able to guide staff in making decisions based on information rather than emotions and opinion. In essence, an optimizer taught people how to solve problems rather than seek solutions from authority figures (Heifetz, 2003). This stemmed from the work of Dufor (2011). Through the use of professional learning communities, capacity building, and sharing current knowledge to build new knowledge and work was best practice. The power a principal had to support the innovation process was critical in regards to innovation because it required a restructuring process through teamwork (Kirtman, 2014). While most people tended to resist innovation, the educational leader, who was an optimizer, assisted with clarifications and reinforcement of vision for guidance. These

administrative actions enforced boundaries to assist staff in transition through implementation of innovative practices while monitoring the work (Blankenstein & Noguera, 2015). In schools reported to be innovative, the staff reported that their administrator(s) showed that they were an optimizer by supporting risk taking. They agreed that there was no one right way to accomplish innovative practices but being an optimizer was beneficial to the process (Ibach, 2014).

Culture: Marzano et al. (2003) explained culture as building and maintaining an environment in which a common language is employed, ideas are shared, and staff members operated within the norms of the organization; "the extent to which the principal fostered shared beliefs and a sense of community and cooperation" (Marzano et al., 2003, p. 4). Educational leaders built culture through their attentiveness to the goals and outcomes of a group's mission and vision (Fullan, 2001). A theme of leadership was to envision and communicate concepts to those impacted or concerned to build a sustainable culture of improvement. Muhammad (2010) discussed the need of a clear vision for how a school operated and involved all stakeholders in the development of that vision. If the vision inspired the group, some of the more difficult challenges of past rituals and norms could be replaced or left behind. The generic example of "We believe all children can learn" (p. 13) comes from the old school of thought, according to DuFour. This is contrasted to a PLC-focused organizational statement that explained the culture of learning, demonstration of learning, and how the environment would react or support the student if learning was not achieved. Cotton (2003) classified culture as the process in which a leader placed a high value on interested parties in decision-making and action in fulfilling decisions. Researchers linked a positive culture to the clear

communication of mission, as well as vision and goals. The importance of administration setting goals and maintaining a positive and productive culture was consistently addressed in the works of Dufor et al. (2008) and Muhammad (2010). Relationship building was a cornerstone of culture and elements of safe schools and communication were also components critical to an effective and productive culture (Sergiovanni, 2007).

Communication: Marzano et al. (2003) stated that the characteristic of communication was paramount to growth; "the extent to which the principal established strong lines of communication with teachers and among students" (p. 4). Shared decision-making and distributive leadership rested with the leader's application of communication (Ibach, 2014). Communication required developing networks, sharing information, and developing relationships (Sergiovanni, 2007). Communicating collaboratively built trust between the employees and administrator, which also allowed for better communication amongst staff members. Other forms of communication were just as important as verbal communication. Successful leaders demonstrated positive leadership characteristics through the ability to network people and groups together, facilitate movement of a group when progress on work or discussion deadlocks, influence decisions, bring unknown views or data to light, and raise expectations. How and what educational leaders communicated was at the core of the research (Ibach, 2014). With consistent communications, trust, transparency, and credibility created conditions for staff to be responsive to the vision, mission, goals, or conversation about the work (Bass, 2007). While either verbally or in written form, the consistent communication carried with it openness to the message (Bass, 2008). The use of body language, humor, and setting of boundaries were also important elements of communication that leaders had to

understand and employ as well. In essence, communication was a social and emotional process that influenced staff performance (Kirtman, 2014).

Input: The function of input or "the extent to which the principal involved teachers in the design and implementation of important decisions and policies" (Marzano et al., 2003, p. 4) was found to be another beneficial responsibility for effective leadership. Those who allowed faculty to share in some of the leadership roles built trust and developed future leaders (Dufor et al., 2008). These behaviors contributed to communication and supported thoughtful decision-making. Within the organizational structure, different activities were used to gather input from stakeholders. A leader used one or more methods such as survey, focus groups, evaluation, one on one conversation, or meeting groups (Ibach, 2014). These activities allowed leaders to share and learn with stakeholders. From these types of activity, a sense of ownership or investment occurred in the decision making process (DuBois, 2011). These characteristics represented shared leadership by an administrator, through including the staff and other stakeholders. This process also influenced how others made decisions, decided to try new methods, shared data, and worked with colleagues (Leithwood et al., 2004). As more people participated over time, the staff began to feel valued within the organization and assisted the educational leader as they all worked towards important decisions and common goals. The impact of input allowed for the building of capacity among all levels of leaders and directly impacted student learning (Hallinger, 2003).

Order: Marzano et al. (2003) stated "the extent to which the principal established a set of standard operating procedures and routines" (p. 54) best defined the role of order. It was the collection of details, rules, and regulations that set the values and norms of a

group (Lambert, 2003). This included working through technical issues of problem solving with a group or instituting individual leadership solutions (Heifetz, 2003). Part of an orderly environment included respecting social norms, policy, and administrative regulations (Lazzaro, 2009). According to Fullan (2003) a correlation existed between high student achievement and agreement between students, staff, and parents that the learning environment had order, was safe, and accommodating. With this environment, the successful administrator kept order by carrying on deep conversations regarding practice and continuous improvement. This included support for staff members who needed support to adapt to the culture and required a structured and orderly environment (Ibach, 2014).

Affirmation: "The extent to which the principal recognized and celebrated school accomplishments and acknowledged failures" (Marzano et al., 2003, p. 4). "What gets rewarded gets done" (Sergiovanni, 2007, pp. 61-62). The principal was also a motivator and knew that tangible rewards motivated staff. In the highest level of leadership, Level 5, of Good to Great, administrators gave the positive acknowledgment to other people or to faceless luck rather than to self (Collins, 2001, p. 35). Whether the reward was verbal or some other kind of tangible affirmation, staff used these as cues for recognition of alignment with goals (Ibach, 2014). Communication of positive data with staff constituted praise and encouraged higher expectations (Heath & Heath, 2010). Studies suggested that the successful use of the affirmation role empowered and increased teacher efficacy, which resulted in increased enthusiasm, risk taking, unity, and interdependence (Louis & Wahlstrom, 2008). Teachers involved in a continuous improvement processes reported a sense of intrinsic affirmation through their description of school culture

(Hallinger, 2005) and principals rewarded teachers with leadership roles to affirm and reinforce strengths (Ibach, 2014). More importantly, intrinsic motivation increased for staff when the administrator recognized staff for a job done well.

Contingent Rewards: Contingent rewards, in the work of Marzano et al. (2003), signified “the extent to which the principal recognized and rewarded individual accomplishments” (p. 4). Along with affirmation, contingent rewards and accolades existed to show approval and reinforced good work, including verbal recognition, tokens, or other tangible rewards. An administrator strategically applied kudos so they did not become empty words or gestures (Ibach, 2014). Studies demonstrated that this behavior caused staff to perceive value of their efforts from another’s perspective and increased self-confidence and sense of worth. These perceptions moved through staff interactions with administration, other staff members, and with students and positively impacted student performance (Hallinger, 2003). Additionally, studies showed that if an administrator used specific praise coupled with contingent rewards, the entire organization strived for improvement.

Discipline: In most cases, one may believe that discipline had to do with evaluation of staff, and adherence to policies and procedures. However, Marzano et al. (2003) rationalized the role of discipline as “the extent to which the principal protected teachers from issues and influences that would detract from their teaching time or focus” (p. 4). In general terms, the characteristic of discipline was a bit higher than most of the roles. An administrator with this characteristic removed obstacles for teaching staff and promoted their work (Elmore, 2000). The principal’s role was to promote a focus on learning and deflected the distractions from interrupting academic learning (Hallinger,

2003). Additionally, the administrator served as a filter for staff so district regulations or local policies did not dominate staff time or learning (Leithwood et al., 2004). Elmore (2000) called this role "buffering" (p. 6) as this reduced disturbances to classroom instruction. Sergiovanni (2001) stated that, for these reasons, principals were caught between the teachers' need for academic time with students and the demands of district and parents. With the increase of accountability from stakeholders, this role grew for administrators (Hallinger, 2005). In high performing schools, teachers reported that administrators protected them from the pressures of district or community issues. Part of this role coincided with the communication, outreach, and relationship roles, which were necessary when progressing through the change of a turnaround intervention model school.

Focus: The role of focus, "the extent to which the principal established clear goals and kept those goals in the forefront of the school's attention" (Marzano et al., 2003, p. 4), as portrayed in the study, affected student academic growth. Application of goals in the classroom, school building, and district reinforced the mission of education and allowed for purposeful measurement of successes (Ibach, 2014). Having a clear mission and vision for success helped staff to feel confident even in the midst of great change. It was important to have well defined goals to achieve the mission and vision by way of short-term benchmark goals along the way Dufor et al., 2010). The leaders of the organization decided how the data from such benchmarks should affect staff by either identifying needs for support or highlighting in order for celebration. With focus, leaders incrementally transitioned staff through change without causing damage to the staff or organization as a whole.

*Involvement with curriculum, instruction and assessmen*t: The Marzano et al. (2003) study illustrated a difference between knowledge of and involvement in curriculum, instruction, and assessment, by separating design and practices from the knowledge role to create the characteristic of involvement (Ibach, 2014). The responsibility was defined as "the extent to which the principal was directly involved in the design and implementation of curriculum, instruction, and assessment practices" (Marzano et al. 2003, p. 4). The level of participation of a school administrator in curriculum and instruction affected the morale of staff and their respect for the administrator (Ibach, 2014). Coaching discussions with teachers, aligning staff development with best practices of teaching, observations with feedback of both constructive criticism and praise were necessary to ensure alignment to state and district mandated programs as well the school based curriculum. Leithwood (2005) specifically mentioned the responsibility of administrators to provide content and pedagogical guidance and Hallinger's (2003) study created a comprehensive summary of this role into three areas: oversight and evaluation of teachers, curriculum coordination, and analyzing student data.

Outreach: The leadership responsibility of outreach was defined as "the extent to which the principal was an advocate and spokesperson for the school to all stakeholders" (Marzano et al., 2003, p. 4). With the interest of student growth by parents, community, and government, the building administrator not only ensured compliance with statutes but also served as a liaison between the school and all stakeholders (Ibach, 2014). This connection to community required educational leaders to hold a strong sense of responsibility for the custodial care of youth (Fullan, 2004; Schmoker, 2006). According

to studies by Brown & Olson (2015), the principal was the initial contact to form and support community-school partnerships. Such activities provided on school campuses included before and after school care, mental health counseling, dental services, medical assistance, mentoring, tutoring, and substance abuse counseling (Ibach, 2014). Sometimes these services were offered in a specific area or room of a school. In these resource centers, students or their families could also obtain clothing, help with utilities, and English language classes or interpreting. Another form of outreach existed between the principal and community. An administrator served in the role of outreach when advocating for specific subgroups of students. While there were school personnel to case manage and meet the needs of a child, it was the principal's responsibility to ensure regulations were met and the relationship between the school and the parents remained healthy (Ibach, 2014). In some cases this might have been allowing a service, such as providing after-school care or working with local organizations to supplement curriculum (Hiatt-Michael, 2003). Being a connection between the school, central office, and parents was also an important aspect of this role. Principals had the responsibility to follow district policy and report progress, while filtering this information so as not to take student academic time from teachers (Elmore, 2004). Educational leaders worked with parent advisory groups or school site councils that included parents and community members (Anderson, Leithwood, Seashore-Louis, & Wahlstrom, 2004). Other ways to demonstrate outreach included implementing initiatives with community input such as curriculum selection or specialized programs (Anderson et al., 2004). All of these activities considered under the role of outreach, in the Marzano et al. (2003) study, contributed to the effects on student achievement.

Relationship: The role of relationship in the balanced leadership study, as defined by Marzano et al. (2003), was depicted as "the extent to which the principal demonstrated an awareness of the personal aspects of teachers and staff" (p. 4). Through interactions of working with teachers and other staff members, educational leaders developed relationships. For administrators strong in this area, appropriate descriptive words in the study included, "understanding, trusted, and courageous." Leaders of this type of culture tended to make sacrifices for the group. In this, collegial trust and support in one another's learning occurred (Dufor et al. 2008). These mutually respectful behaviors, including celebrations, promoted positive culture and were common in learning organizations (Sergiovanni, 2007). The focus for a leader was to develop and support relationships with the staff that supported the mission, vision, and goals of the organization (Capra, 2014). Teachers reported a higher sense of self-efficacy and empowerment in their work when they felt there were strong professional relationships and connection amongst staff (Leithwood, 2008). With ongoing communication, listening, modeling, and data sharing, the administrator influenced the learning and teaching in the classroom and not specifically through observation and evaluation (Hallinger, 2005). Fostering strong professional relationships within the organization contributed to a culture of sharing, trusts and motivation to continue the work even in difficult times (Louis & Wahlstrom, 2008).

Resources: The resources responsibility was defined as "the extent to which the principal provided teachers with the material and professional development necessary for the successful execution of their jobs" (Marzano et al., 2003, p. 4). When one considered the amount of resources both material and technical, the administrative role of funding,

distributing, and ensuring service and professional development increased the functions within this role exponentially (Ibach, 2014). Professional development and time for such were included with this role (Leithwood, 2005) and for an administrator to promote high quality professional development, data had to assist in deciding the particulars of needed training. As a result, educational leaders included staff and other parties with an interest in budgeting, allocation of resources, and creative use and application of those resources (Ibach, 2014). Sergiovanni (2001) reminded administrators of the importance of their ability to eliminate barriers and afford necessary resources to enhance the work of those on staff. This could be a difficult task when focusing on the need to make immediate improvements in a turnaround intervention model environment.

Situational awareness: The Marzano et al. study (2003) determined the characteristic of situational awareness as "the extent to which the principal was aware of the details and undercurrents in the running of the school and used this information to address current and potential problems" (p. 4). This category represented the ability of a leader to incorporate listening and feedback skills with staff to address informal situations that may have caused disruption and affected the work. Employing this leadership responsibility greatly affected student achievement. Awareness of history and context of a school contained many variables such as community identity, organizational leadership structure, student demographics, geographical location, resources, and funding models (Hallinger, 2005). These were all considerations in the background of decisions for an administrator. With regard to change or continuous improvement, an administrator's awareness of undercurrents could make or break an initiative (Ibach, 2014). These elements assisted a leader in deciding how to introduce the change, to whom, and when

(Ackerman-Anderson, 2010). As the transition through change occurred, the principal was acutely aware of the balance of pressure on staff members. Before problems could arise, the adept administrator assisted an employee or group of staff through the learning process to positively define the change and its benefits (Ibach, 2014).

Visibility: The role of visibility, or "the extent to which the principal had quality contact and interactions with teachers and students" (Marzano et al., 2003, p. 4) was shown to have a significant impact on student learning. Physically leaving the desk and the managerial operations of administrative leadership to work with staff increased the opportunity for visibility (Ibach, 2014). An educational leader who visited with staff demonstrated a desire to support staff in the spirit of steward leadership (Senge, 2006). Research showed that teachers cared about these types of interactions. Frequent observations of classroom practice and supporting peer observations was linked to improved teacher instructional technique, self-efficacy, and embedded professional development opportunities (Louis & Wahlstrom, 2008). Words of praise had to be specific about best practice. Additionally, learning about challenges and successes were considered meaningful and influenced the teacher's performance in the classroom (Ibach, 2014). Dufor et al. (2008) discussed the importance of visibility by explaining that administrators who facilitated this type of behavior influenced the work done by other staff members. They were present during PLC discussions that were facilitated by other teachers or staff. There were other forms of visibility other than working directly with teachers face to face. Written or verbal feedback regarding practice to provoke reflection of a staff member was one such example (Louis & Wahlstrom, 2008). Some instructional leaders committed to responding to emails within a day's time, and others held

community sharing or feedback meetings each month (Anderson et al., 2004). Part of the importance of these meetings was to vet the comments and concerns of different groups of constituents. Attending events in and outside of the building increased visibility too. These types leadership characteristics enriched the principal's role and built the type of organization needed within a turnaround intervention model school.

Capra's Leadership Domains

Dr. Fritjof Capra has dedicated his life's work to researching and understanding organizations and how they work. Be it technological, health care, or schools, each organization had inherent needs in order to ensure its success. In the books *The Hidden Connections* (Capra, 2002) and *The Systems View of Life* (Capra and Luisi, 2014), Capra described the necessary components needed to create and sustain a thriving organization. One of the main components of his work was the need for effective leadership of the organization. The basis of Capra's work was anchored in the theory of autopoiesis, the study of living systems. Capra maintained that all organizations were living systems that responded to internal and external influences. Organizations were ever-changing based on the interactions they experienced (Capra, 2002). It was up to the leader of the organization to find strategic ways to empower others to create the conditions for sustained success (Romero, 2012).

Capra (2002) expanded upon the idea of treating an organization as a living system, outlining leadership behaviors that contributed toward an organization's success. He stated, "It is evident that such leadership requires a wide variety of skills so that many paths for action are available" (Capra, 2002, p. 125). The first of these skills or leadership domains was communication, which was described as the act of "building up

and nurturing networks of communications" (p. 122). Communication was imperative for school organizations to thrive. Fullan (2014) describes how various lines of open communication contributed to a school's success. "When individuals were required to explain themselves, they became clearer about what they were doing and why" (Fullan, 2014, p. 89). The second domain Capra (2002) identified was learning, which required the leader to foster and develop the third identified domain of trust. Having trust among all members of the organization allowed the leaders to "use their own power to empower others" (Capra, 2012, p. 124). Lastly, the domain of shared leadership was identified and described as the leader's ability to empower others and relied heavily on the degree to which the leader was willing to share his or her decision making capabilities (Romero, 2012). In summary, the four leadership domains, through which an organization was led toward ongoing success were communication, learning, trust, and shared leadership. The school principal was the primary instructional, supervisory leader on the school campus. As principal, the ability to manage the effects on all stakeholders in the organization was an ongoing challenge, not easily managed by even the most experienced leaders.

Synthesizing Marzano and Capra

An organization was a "dynamic system in which activities, relationships, and other interactions are woven into a whole" (Sullivan, 2009, para. 2). Dr. Fritjof Capra has done extensive work in the area of organizations as living systems. He studied what was needed in an organization to ensure its success.

Further developing a design for organizations focused on the human members, Capra (2002), in his book *The Hidden Connections*, built the construct of the organization as a living system, which he called the human organization (Romero, 2012). Getting the

job done was a vague component of organizational survival (Romero, 2012). Capra maintained that understanding the constructs of the organization was paramount to leading it successfully, thus ensuring its survival. The principal in turnaround model intervention schools must have a clear understanding of what it takes to have a significant impact on the school organization to ensure a quick turnaround and sustain the success over the long term. Understanding how to adapt, change, and learn in response to a multitude of influences was necessary to lead the organization while maintaining and sustaining growth.

Communication: In the study of organizations, Capra discussed leadership and what domains should have been present in all leaders to have a successful impact and sustain change. The domains of communication, trust, shared leadership, and learning were identified by Capra (2002) as being the pillars of a successful organization. "It is evident that leadership requires a wide variety of skills, so that many paths for action are available (Capra, 2002, p. 125). The first of these skills is communication, which is the act of "building up and nurturing networks of communications" (p. 122). Effective communication was the key to understanding a person's thought process. It may have entailed verbal and non-verbal cues and information. Communication worked by "creating that openness – a learning culture" (p. 123). Within communication all other domains were present: trust, learning, and shared leadership.

In the domain of communication identified by Capra (2002), and in research conducted by Marzano et al. (2005), the behaviors and leadership responsibilities that supported the success of a school organization were discussed. The leadership responsibilities identified by Marzano et al. (2005) that aligned with Capra's leadership

domain of communication were affirmation, communication, contingent rewards, focus, ideals/beliefs and outreach. Each of these leadership responsibilities concentrated on the need for effective communication to safeguard stability within the organization. This included establishing clear goals and celebrating the success of individuals when goals were met. Additionally, expecting superior performance and acknowledging failures when appropriate, and adjusting if necessary, was underscored (Marzano et al., 2005).

Table 1 detailed the leadership responsibilities identified by Marzano et al (2005) that align with Capra's leadership domain of communication.

Table 1

Synthesis of Capra's Communication Leadership Domain and Marzano et al.'s Leadership Responsibilities.

Leadership responsibility	Description
Affirmation	Recognizing and celebrating the legitimate successes of individuals within the school as well as the school as a whole; also recognizing and acknowledging failures when appropriate
Communication	Establishing and fostering clear lines of communication to and from the staff as well as within the staff
Contingent rewards	Expecting and recognizing superior performance from the staff
Focus	Establishing concrete goals relative to student achievement as well as curriculum, instruction, and assessment practices in the school, and keeping these prominent in the day-to-day life of the school
Ideals/Beliefs	Operating from a well-articulated and visible set of ideals and beliefs regarding schooling, teaching, and learning
Outreach	Being an advocate of the school to all relevant constituents and ensuring that the school complies with all important regulations and requirements

Capra (2002) discussed the importance of communication within the network of the organization. In the educational organization, keeping all stakeholders informed of its focus, through ongoing and effective communication, proved important to keep track of specific goals (Romero, 2012). This was beneficial to the leader as well, in order to learn

about the needs of the organization while highlighting the successes. A leader who was adaptable and agile was one who could operate in an ambiguous climate using communication to challenge organizational mental models (Romero, 2012).

Learning: Learning was the second domain identified, by Capra (2002) as being necessary to lead a successful organization. As leaders communicated, they facilitated organizational learning (Capra, 2002; Senge, 2006; Romero, 2012). Leadership was dependent upon the leader's ability to learn from experiences and to use them to further the organization. A leader who was able to learn in and from the organization was able to transfer that new learning into useful situations (Dufor et al., 2010). In Capra's domain of learning, the leadership responsibilities identified by Marzano included being a change agent, creating intellectual stimulation, having knowledge of curriculum, instruction, and assessment, knowing how to use resources, and having situational awareness. Each of these responsibilities required the leader to be a learner by being keenly aware of the dynamics of the organization, and initiating change if necessary to create an environment for success. The leader was knowledgeable about the latest theories and practices in the field of education and developed a plan to ensure all stakeholders were held to the same standards as life-long learners.

Table 2 listed the leadership responsibilities identified by Marzano et al (2005) that align with the leadership domain of learning.

Table 2

Synthesis of Capra's Learning Leadership Domain and Marzano et al.'s Leadership Responsibilities.

Leadership responsibility	Description
Change Agent	Being willing to challenge school practices that have been in place for a long time and promoting the value of working at the edge of one's competence
Intellectual stimulation	Fostering knowledge of research and theory on best practices among the staff through reading and discussion
Knowledge of curriculum, instruction, and assessment	Seeking out and keeping abreast of research and theory on effective practices in curriculum, instruction, and assessment
Resources	Ensuring that the staff members have the necessary resources, support, and professional development to effectively execute the teaching and learning process
Situational awareness	Being keenly aware of the mechanisms and dynamics that define the day-to-day functioning of the school and using that awareness to forecast potential problems

For an educational organization to thrive and continually improve, the leader should have the ability to foster an environment of lifelong learning through knowledge of not only management skills, but also of curriculum, instruction, and assessment. As the organization developed, the leader had to have the ability to be a change agent and focus on things that were going well so that they could be replicated and corrected if needed (Ackerman-Anderson & Anderson, 2010). The leader was in a constant state of learning as he/she developed and utilized the skill of situational awareness — knowing what the organization needed at the time and what resources were needed to get the job done. The authors of *The Mindful School Leader (Brown & Olson,* 2015) discussed the importance of being aware of situations that may threaten the health of the organization.

By learning through communication, more effective ways of meeting the needs of students and the organization were developed.

Trust: Trust, identified by Capra (2012), was necessary to sustain a successful organization. A leader who practiced trust building contributed to the survival of an organization that operated in the uncertainty and ambiguity of the human organization (Romero, 2012). Trust was the foundation of all relationships and was needed for organizations to thrive. Trust was built by maintaining open communication and respecting the opinions of others in the organization. The authors of *Learning By Doing* (Dufor, Dufor, Eaker, and Many, 2012) discussed the leader's role in fostering trust among staff members at a school site. They discussed the need for norms and non-negotiable items to ensure the organization had a basic foundation for building trust through ongoing and data driven communication. Accusation, blame, and excuses only hindered the process of communication and trust building and could not be tolerated.

Marzano's (2005) leadership responsibilities that aligned with Capra's (2002) domain of trust include discipline, monitoring/evaluating, order, relationships, and visibility. Each of these responsibilities contributed to building trust in that it focused on the leader building and sustaining effective relationships. This was done through establishing clear procedures and routines that gave staff and students a sense of order and predictability. Additionally, the leader focused on being visible to staff and students while protecting members of the staff from unnecessary interruptions that would be a distraction to the work. To build trust, the leader had to be willing to learn alongside their subordinates and provide feedback as part of an effective system of monitoring.

Staff felt that the leader was there in support of the work, but they understood there was to be an evaluation of the work as well (Dufor et al., 2010).

Table 3 listed the leadership responsibilities identified by Marzano et al (2005) that align with Capra's leadership domain of trust.

Table 3

Synthesis of Capra's Trust Leadership Domain and Marzano et al.'s Leadership Responsibilities.

Leadership Responsibility	Description
Discipline	Protecting staff members from undue interruptions and controversies that might distract them from the teaching and learning process
Monitoring/Evaluating	Establishing an effective monitoring system to provide feedback on the effectiveness of the school's curriculum, instruction, and assessment practices and their effect on student achievement
Order	Establishing procedures and routines that give staff and students a sense of order and predictability
Relationships	Attending to and fostering personal relationships with staff
Visibility	Being highly visible to teachers, students, and parents through frequent visits to classrooms.

Building and fostering a climate of trust was needed in all school organizations (Gruenert & Whitaker, 2015). Stakeholders felt that they all shared the same level of expectation for the work being done and that there were clear accountability measures in place. Muhammad & Hollie (2012) explained that trust was built by establishing procedures and routines in the organization, and this directly correlated with the work of Capra (2002) and Marzano et al. (2005). Additionally, trust was ingrained in the culture of the school organization by ensuring that staff was protected from unnecessary interruptions which may have distracted from the established goals. To monitor this

work, stakeholders saw the leader as visible and approachable so that he/she was not seen as too far removed from the work. Being seen as part of the team helped to maneuver through difficult times and tough decisions.

Shared Leadership: Shared leadership was identified by Capra (2012) as being necessary to ensure the goals of the organization continued even in the absence of the identified leader. “To further support the need for shared leadership, a recent study examined the construct of leadership identity and how it dynamically changes within today’s organizations. The researchers found that leader and follower identities can shift among group members through a social construction process” (DeRue & Ashford, 2010, p. 628). This construct aligns with Capra’s (2002), as he spoke to the social interactions among the members of the human organization” (Romero, 2012).

A syntheses of Capra’s (2002) leadership domain and Marzano’s (2005) leadership responsibilities included building and maintaining culture, being flexible, involvement in curriculum, instruction, and assessment, allowing input, and being an optimist about the view of the school and what it could accomplish in the future. These responsibilities described leaders as having the ability to invite and honor the expression of a variety of opinions and actively helping staff members with issues regarding the operations of the school. The concept of shared leadership was discussed in many leadership texts. Dufor (2011) explained that the practice of shared leadership aids in the concept of ownership for the overall organization. As members take active roles in the organization, the successes are documented so there could be repetition, and failures were looked upon as experiences for future learning. As members in the school setting

engaged with one another, it was imperative that everyone knew their role. The site principal helped to cultivate that understanding among the staff.

Table 4 detailed the leadership responsibilities identified by Marzano et al (2005) that align to the leadership domain of shared leadership.

Table 4

Synthesis of Capra's Shared Leadership Domain and Marzano et al.'s Leadership Responsibilities.

Leadership responsibility	Description
Culture	Building and maintaining a culture in which a common language is employed, ideas are shared, and staff members operate within the norms of cooperation
Flexibility	Inviting and honoring the expression of a variety of opinions regarding the running of the school and adapting one's leadership style to the demands of the current situation
Involvement in curriculum, instruction, and assessment	Actively helping teachers with issues regarding curriculum, instruction, and assessment in their classrooms
Input	Establishing and fostering procedures that ensure that staff members have input into key decisions and policies
Optimizer	Providing an optimistic view of what the school is doing and what the school can accomplish in the future

The importance of shared leadership was discussed in *Switch: How to Change Things When Change is Hard* (Heath & Heath, 2010). The authors made the claim that by building people up they were more inclined to develop the strength to act. Having a culture of shared leadership included being flexible to the needs of the organization. Dufor et al. (2010) described the significance of shared leadership. They discussed the need to establish clear procedures for staff to have input on key decisions. This supported the research of Marzano et al. (2005) and Capra (2002) as well. The principal had to be involved in and have a clear understanding of curriculum and instruction, while

having a realistic, yet optimistic, view of the work that needed to be done. This was imperative in order to make critical decisions for student improvement.

The four leadership domains described are focused on the human members of the organization (Romero, 2012). If organizations were to survive, leaders had to be capable of leading the work and fostering a culture that led to the quick turnaround needed to improve student achievement within a failing school. However, as principals of turnaround model schools were studied, none of the four domains described emerged as being the most prevalent to ensure success. The results of this study identified which leadership responsibility emerged as the most prevalent as commonly perceived by principals to turnaround a failing school and more importantly, prevent it from failing in the first place.

Summary

The history of education in the United States revealed a myriad of reform efforts to address failing schools. At the core of such reform efforts was the principal, tasked with leading the organization during periods of turmoil. Bolman and Deal (2003) stated that successful leaders required many complex skills. Leaders of school organizations, in particular, required an understanding of leadership and a subset of skills in student achievement. The history of school reform efforts leading up to the current school turnaround intervention models being implemented was of great importance to understand what it took to lead not only a turnaround school, but what principals would need to assist in closing achievement gaps and preventing new ones from being created. Turnaround schools had been a model that schools and districts implemented to make quick and dramatic change that could be sustained over time (Kowel et al.). The key was

to understand what type of leadership it took to be effective in a turnaround organization (Capra, 2002).

> It turns out that leadership not only matters: it is second only to teaching among school related factors in its impact on student learning… Indeed, there are virtually no documented instances of troubled schools being turned around without intervention by a powerful leader. Many other factors may contribute, such as turnarounds, but leadership is the catalyst. (Leithwood, K., Seashore Louis, K., Anderson, S., & Wahlstrom, K., 2004).

Overall, the literature supported that the role of school principal was multifaceted and challenging work. It also supported that being a principal of a turnaround model school added an additional layer of difficulty due to an intense focus on improvement and accountability. As key concepts and themes were identified in the research, they were organized into a syntheses matrix (APPENDIX B). Although there have multiple studies on the principalship and turnaround schools, there has yet to be a study on what leadership responsibilities and characteristics are most necessary to successfully lead a turnaround model intervention school.

CHAPTER III: METHODOLOGY

Overview

This chapter described the research methodology used to examine the behaviors and responsibilities of educational leaders of successful turnaround model elementary schools. Using qualitative study inquiry strategies for data collection, information was gathered to identify and analyze the most prevalent leadership behaviors and responsibilities of the principal of a successful turnaround model elementary school, as measured by state and federal assessment targets (California Department of Education, (n.d.) 2014). This chapter described the research methodology and procedures of the study. The chapter began with a restatement of the purpose of the study and research questions, followed by the description of the research design, and a rationale for methodology and approach. The chapter also included descriptions of the research population, research sample, instrumentation, data collection and analysis. The chapter concluded with a discussion of limitations and a summary.

Purpose Statement

The purpose of this qualitative study was to discover which leadership responsibilities, within the domains of trust, communication, learning, and shared leadership, did elementary and middle school principals of successful turnaround schools perceive as most necessary to lead a turnaround intervention model school.

Research Questions

1. What leadership responsibilities within the leadership domain of trust do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

2. What leadership responsibilities within the leadership domain of communication do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?
3. What leadership responsibilities within the leadership domain of learning do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?
4. What leadership responsibilities within the leadership domain of shared leadership do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

Research Design

There are three main types of data collection when doing qualitative research, all which typically come from conducting fieldwork: interviews, observations, and documents. When conducting interviews, Patton (2002) stated, the data "reveals direct quotations from people about their experiences, opinions, feelings, and knowledge" (p. 4). The study was designed using a qualitative method of research. The emphasis was on obtaining information and a thorough knowledge of individuals who were bounded or present during the time and place of the program or event (McMillan & Schumacher, 2010); in this case, the successful turnaround model school. Because it was essential to have the perspective of those who were and present during the turnaround, the study focused on individual interviews (APPENDIX G). Through the interview process, one's feelings, beliefs, perceptions and opinions were captured. Krathwohl (2009) defined interviewing as a "…prime qualitative data-collecting tool that serve[s] the purposes of qualitative method" (p. 295). Krathwohl also shared that "interviews are particularly

useful in tracing causes, especially when they lie in the personal meanings of a coming experience – what was significant to the respondent" (p. 295). This type of information is not typically obtained through the use of a quantitative approach such as survey (Patton, 2002). Through the in-depth process of interviewing the participants, information was obtained to understand their experiences as a principal of a successful turnaround school.

Qualitative data is often used as a means of collecting verbatim statements from respondents through interviews. However, in recent years, qualitative survey research has been conducted with the use of both open and close-ended surveys (Jensen, 2010) if the population size was sufficient. Due to the limited size of the population of this study, it was decided that individual interviews would garner the best results (Jensen, 2010).

By respondents making sense of experience as shared meaning (Hickey, 2010; Patton, 2002), this type of data was collected to paint a picture of what principals felt was necessary to successfully lead a turnaround model elementary school. The interview asked participants to identify and discuss which leadership responsibility they felt was most necessary for leadership of a turnaround model school. Additionally, principals were asked to provide examples of their practice to support their beliefs (Krathwohl, 2009). Principals should have artifacts that support their work and what they feel is important to them (Dufor et al., 2010). Documentation and artifacts such as memos, minutes and agendas, schedules, and policies and procedures, among others, will help the researcher reinforce what the participants report about their perceptions of leadership.

These two types of data collection were used to retain meaningful characteristics of events (Yin, 2009). Through a constructionism frame (Patton, 2002), principals in the

turnaround school setting reported their perceptions, views, and beliefs about what it took to implement a turnaround model of intervention and successfully meet state and federal targets each year during the three-year turnaround phase.

After interviews were conducted and artifact collection was complete, data was examined from coded information and the results were charted to identify what participants believed to be the most necessary leadership responsibilities identified Marzano et al. (2005) within the leadership domains identified by Capra (2002).

To ensure each of the responsibilities and domains were properly addressed during data collection, a synthesis of Capra's leadership domains and Marzano et al.'s leadership responsibilities was incorporated into the data collection instruments. The research of Dr. Marzano et al. (2005) resulted in the identification of twenty-one leadership responsibilities. Through the work of Dr. Capra (2002), four leadership domains were identified. The synthesis of these works was incorporated into the study and data collection instrument to acquire the desired data. A similar study was conducted, through a Delphi study, by Dr. Richard Romero (2012). Data was collected and analyzed on the leadership of schools through the lens of organizational survival (Romero, 2012).

The figure (*Figure 1*) shows Romero's synthesis of the leadership domains and responsibilities upon which this research was also focused.

Capra's Leadership Domains	Communication	Learning	Trust	Shared Leadership
Marzano et al.'s Twenty-one Leadership Responsibilities	Affirmation Contingent Rewards Focus Ideals/Beliefs Open Communication Outreach	Change Agent Intellectual Stimulation Knowledge of curriculum, instruction, and assessment Resources Situational Awareness	Discipline Monitoring/ Evaluating Relationships Visibility Order	Culture Optimizer Flexibility Involvement in curriculum, instruction and assessment Input

Figure 1. Synthesis of Capra' leadership domains and Marzano et al.'s twenty-one leadership responsibilities (Romero, 2012)

Interviews conducted by phone or in person have proven successful when used in similar studies (Hickey, 2010). Data was collected and analyzed in an identical fashion through the use of coding to ensure anonymity. After the interviews were concluded, an overall analysis was conducted. Final results were determined by identifying trends about what principals of successful turnaround schools commonly perceived as the most necessary leadership responsibilities to lead a successful turnaround school. Triangulation was then used to strengthen the data. Triangulation is a technique that facilitates validation of data through cross verification from two or more sources (Patten, 2009).

Data source triangulation uses evidence from different sources such as interviews, public records, and other documents (Creswell, 2013). By triangulating the data, the study becomes more substantive. The results from this study could be useful to current educational practitioners, specifically school districts, to determine the best selection for

school principal positions. Additionally, educational preparation programs may find the results of this study useful in preparing practitioners for the profession. School districts would be able to use this information to assist in professional development activities for school leaders as well.

Population

A population is a group of individuals who are comprised of the same characteristics (Creswell, 2008). Thus, a population can be any size and come from any region (Hickey, 2010). Ideally, a study should have an ample population size to ensure that adequate data is collected. However, it is not always feasible for the researcher to gather multitudes of data from large population samples (Patton, 2002). For the purposes of this study, the population included all schools in California that implemented a turnaround intervention model. In the state of California, forty-one school districts petitioned and received SIG funds on behalf of ninety-one elementary, middle and high schools. From 2010 to 2013, twenty-nine schools implemented a turnaround intervention model. Of those, a total of twenty-nine schools, which included twenty elementary, six middle, and four high schools, adopted a turnaround intervention model (cde.ca.gov). These turnaround schools, like their non turnaround counterparts, were required to improve student academic performance for all students by five percent each year to meet the Annual Performance Index (API) set by the state as measured by the state mandated assessments. Additionally, schools were required to meet Adequate Yearly Progress (AYP). The goal of AYP was for all students to reach proficient levels in reading and math by 2014 as measured by performance on state tests across the nation. Adequate yearly progress (AYP) was the measure by which schools, districts, and states are held

accountable for student performance under Title I of the No Child Left Behind Act of 2001 (cde.ca.gov). However, only nine elementary schools and 1 middle school successfully met federal and state targets. The targeted population in this study were ten school principals of elementary and middle schools that led a successful turnaround intervention model school during 2010 to 2013 in the state of California (California Department of Education, n.d.).

Meeting the criteria for participants was necessary to the success of the study. By consenting to participate, contributors committed to data collection by interview. In order to qualify, the participants must have served at the turnaround school for at least two school years during the turnaround implementation between 2010-2013.

Sample

"No rule of thumb exists to tell a researcher precisely how to focus a study. The extent to which a research or evaluation study is broad or narrow depends on purpose, the resources available, and the interests of those involved" (Patton, 2002). Purposeful sampling was needed to select the participants for the study due to the limited number of participants available during the research. Additionally, specific criteria was developed which included selecting individuals that were specifically knowledgeable about and had participated in the turnaround process.

A sample consists of one or more observations from the population (Krathwohl, 2009). Stratified purposeful sampling is typically used to identify samples within a sample (Patton, 2002). This method was used to identify participants that were part of the larger sample of turnaround school principals, but also those principals within that sample that were deemed successful. The population sample consisted of ten principals

that met the criteria of having been assigned to the school site for at least two years during the turnaround model implementation. Additionally, only schools that met API and AYP during the 2010-2013 school years were asked to participate in the study (cde.ca.gov).

Instrumentation

Dr. Robert Marzano examined effective principal leaders and identified twenty-one leadership traits and responsibilities that positively impacted student achievement (Marzano, 2002). Additionally, Dr. Fritjof Capra identified four domains that all leaders should foster to ensure that the organization is successful and sustainable. The research conducted by Marzano and Capra has been the foundation for several studies of school principals and organizational leadership (Romero, 2012). However, identification and isolation of any one particular responsibility or domain has not been conducted. To make the research more manageable, a cross-reference of the leadership responsibilities and domains was created based on similar research conducted in a Delphi study by Dr. Ricardo Romero (2012).

Completion of this study required a process of soliciting feedback through a specifically designed series of interview questions, using the study's research questions, as a foundation to gather necessary data. The instrument was carefully designed to include the identified leadership responsibilities of Marzano and leadership domains of Capra. In this way, respondents would identify which leadership responsibility within the leadership domain they perceived was most important to lead a successful turnaround school.

In qualitative inquiry, the researcher is the instrument (Patton, 2002). In this study, the researcher has to interpret the data provided by the participants. To ensure validity and reliability, an expert panel, consisting of three educational leaders in California, were identified and invited to participate in the study (APPENDIX C). The expert panel included one principal within a low socio-economic urban school, one principal in a high socio-economic suburban school and one assistant superintendent of educational services within a low socio-economic urban school. These educational leaders were not included in the population sample but had a background and knowledge of principal leadership and turnaround intervention model schools.

The expert panel engaged in a process of content validity by assessing if the interview questions were aligned to the content that the question intended to assess. Through a field test, in way of a mock interview, the expert panel gave feedback about the design of the protocol and interview questions as well as the style and behavior of the researcher during the interview. Adjustments were made to the instrument to ensure that each question was valid and measured what it was supposed to measure (Patton, 2002). In addition, the field test measured if the results would be consistent, under similar methodology, and an accurate representation of the total population under study (Joppe, 2000).

Data Collection

To ensure the data was valid, demographic and achievement data of turnaround schools in the study was obtained from public records contained on the California Department of Education (CDE) (California Department of Education, n.d.) and the Los Angeles County Office of Education (LACOE) websites (Los Angeles County Office of

Education, n.d.). The university's Institutional Review Board (IRB) reviewed this study prior to beginning to ensure there was minimal risk to participants. Upon approval from IRB, a letter of invitation was sent electronically to subjects, along with consent forms, which explained the participant's rights as well as protocols for confidentiality. Depending on the location of the participants, the interviews were conducted in person or by phone. In addition to questions regarding the twenty-one leadership characteristics, the interview protocol asked principals to provide information that reported their current position, how long they had been in the field of education and what their perceptions were about school leadership within the domains of trust, communication, learning, and shared leadership. The interviews were tape recorded and information was coded to identify trends and recurring themes.

Data Analysis

This study asked principals of successful turnaround schools to provide data on what leadership responsibilities they perceived were most necessary to ensure and sustain success at a turnaround school. The data collected from the interview questions were coded to identify recurring themes, commonalities, and patterns identified by the participants. To aid in this process NVivo software was utilized. This tool has been used to support qualitative methods research to handle non-numeric data such as the responses from participants included in this study. After themes were identified, the data was linked back to each research question that addressed the leadership responsibility and domain. From the data collected, a narrative was provided that may be shared by principals to others (McMillan & Schumacher, 2010). The results of the study and an

overall summary was shared with the principal of each turnaround school through email and phone calls.

Limitations

Limitations exist within the design of every study as they were beyond the control of the researcher. Some typical limitations were sample size, methodology constraints, length of the study, and response rate (Roberts, 2010, p. 162). One limitation within the study was the background and experience of the researcher. The researcher had been a principal of a turnaround school and had extensive knowledge of the turnaround school process, which could cause bias. To mitigate this limitation, the researcher identified and included only those schools that had been deemed successful during all three years of the turnaround intervention during 2010-2013. The researcher's former school did not meet that criteria and was not included in the study. The interviews focused on the stories of the participants and the data was collected verbatim to ensure no researcher bias. Another limitation of this study was that the sample within the population was ever changing. Principals who had been successful were often offered other positions within the organization and were difficult to secure for the interview. In addition, although a very specific set of selection criteria was used, the true level of knowledge of the subject matter varied with each participant. Another limitation was the response rate and willingness of participants. This limitation was minimized by making personal phone calls and setting appointments with the respondents to encourage participation in a timely fashion. Furthermore, the study was limited to only principals of successful turnaround schools within the state of California, thereby creating a limited sample size. Lastly,

invited subjects had the choice to decline to participate in the study thus limiting the number of responses for data collection.

Summary

In struggling schools, a principal leading and implementing a turnaround intervention model may be the best way to intervene by focusing on the behaviors and mindset of people within the organization. To accomplish such a turnaround, a leader needed to transform the organization (Ackerman-Anderson & Anderson, 2010). Fullan (2006) explained how many believed that although the principal as an instructional leader was a good beginning for school reform, principals should actually be transformational leaders, turning schools into learning organizations that continued to evolve and improve. If being a transformational leader is the foundation, according to Marzano (2003) principals who exemplify the twenty-one leadership responsibilities are the scaffolds for which all other work in the organization is built.

As schools improved, the focus on people was paramount in order to sustain the work that had been done. Principals understood that this work was never–ending, and to sustain reform efforts in any organization required clear direction, modeling, and a focus on people improvement. The people of the organization made up a part of the larger living system. Understanding and focusing on school organizations as living systems allowed the principal to increase their skills in the areas of building trust, shared leadership, learning, and communication (Capra, 2002). If the leader of the organization focused on specific strategies and actions, then true sustainable change could occur.

This chapter described the overall study, discussed the background and research problem, stated the purpose, significance of the study, research questions, as well as

described the overall research methodology for the study of behaviors and responsibilities of educational leaders of successful turnaround model schools. The chapter also included a description of the research population and instrumentations; data collection, analysis, and limitations were discussed as well.

CHAPTER IV: RESEARCH, DATA COLLECTION, AND FINDINGS

This chapter presented the research findings, which included an analysis and description of the data collected from interviews of six California elementary principals and one middle school principal, regarding their perceptions of what leadership responsibilities were most necessary to successfully lead a turnaround intervention model school. The data and findings included key words and phrases that identified and described the common leadership responsibilities these seven successful turnaround principals, within the state of California, perceived to be most necessary an how it contributed to their success.

In California, twenty-nine elementary, middle, and high schools implemented a turnaround intervention model during the 2010-2013 school year. Of those twenty-nine schools, only nine elementary and one middle school were successful as measured by state and federal assessments. This study included a sample of those ten California principals whose schools met the achievement standards. Principals from all ten schools were invited to participate in the study and seven agreed to contribute to the study through interviews and submission of artifacts.

The findings were organized by each of the four research questions. The data was reported in narrative form and highlighted the trends, feelings, beliefs and common perceptions of principals in response to the twenty-one leadership responsibilities of Dr. Robert Marzano (2005) and Organizational Leadership Domains of Dr. Frijof Capra (2002). This chapter addressed the effectiveness, validity, and reliability as a means of ongoing research, focused on gathering “thick, rich” data (Patton, 2012). The identities

of the principals and the names of their schools were not included in the study in order to protect their identity and their perspectives on leadership.

Purpose Statement

The purpose of this qualitative study was to discover which leadership responsibilities, within the domains of trust, communication, learning, and shared leadership, did elementary and middle school principals of successful turnaround schools perceive as most necessary to lead a turnaround intervention model school.

Research Questions

This study sought to provide an in-depth understanding of the common perceptions of seven California turnaround elementary school principals regarding leadership responsibilities most necessary to lead a turnaround model intervention school.

1. What leadership responsibilities within the leadership domain of trust do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?
2. What leadership responsibilities within the leadership domain of communication do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?
3. What leadership responsibilities within the leadership domain of learning do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?
4. What leadership responsibilities within the leadership domain of shared leadership do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

Methodology

For this qualitative study, the sources used to gather data were audiotaped semi-structured interviews and a collection of artifacts to support the claims of the principals. These interviews and artifacts enabled the researcher to collect data on the common perceptions of elementary and middle school principals regarding the most necessary leadership responsibilities to lead a successful turnaround model intervention school. Triangulation was then used to strengthen the analysis and interpretation of the data in the study. This data collection process allowed the researcher to identify and analyze themes and patterns, and assisted the researcher with presenting the common perceptions of selected turnaround elementary and middle school principals' in seven districts across the state of California and how these responsibilities contributed to their success as a turnaround school leader. Through the in-depth process of interviewing the participants, information was obtained to understand their experiences as a principal of a successful turnaround school.

To assist in framing the study, leadership models were utilized within the research design and methodology. The research of Dr. Marzano et al. (2005) resulted in the identification twenty-one leadership responsibilities. Through the work of Dr. Capra (2002) four leadership domains were identified. Each of these leadership models was used in the design of study and research interview questions. To ensure each of the responsibilities and domains were properly addressed during data collection, a synthesis of Capra's leadership domains and Marzano et al.'s leadership responsibilities was incorporated into the data collection instruments. A similar study was conducted by Dr.

Richard Romero (2012) in which data was collected and analyzed on the leadership of schools through the lens of organizational survival (Romero, 2012).

Overlaying Capra's (2002) four leadership domains with Marzano et al.'s (2005) twenty-one leadership responsibilities provided a framework for the study. Figure 1 depicted the categorization of Marzano et al.'s leadership responsibilities and Capra's leadership domains.

	Capra's Leadership Domains			
	Communication	Learning	Trust	Shared Leadership
Marzano et al.'s Twenty-one Leadership Responsibilities	Affirmation Contingent Rewards Focus Ideals/Beliefs Open Communication Outreach	Change Agent Intellectual Stimulation Knowledge of curriculum, instruction, and assessment Resources Situational Awareness	Discipline Monitoring/ Evaluating Relationships Visibility Order	Culture Optimizer Flexibility Involvement in curriculum, instruction and assessment Input

Figure 1. Synthesis of Capra' leadership domains and Marzano et al.'s twenty-one leadership responsibilities

Patton (2002) discussed that in qualitative inquiry, the researcher is the instrument. To guarantee validity and reliability, an expert panel was identified and invited to participate in the study (APPENDIX C). The expert panel consisted of educational leaders, not included in the population sample that had a background and knowledge of principal leadership and turnaround intervention model schools. Through a field test, by way of a mock interview, the expert panel gave feedback about the design of the protocol and interview questions as well as the style and behavior of the researcher

during the interview. Adjustments were made to the instrument to ensure that each question was valid and measured what it was supposed to measure (Patton, 2002). In addition, the field test measured if the results would be consistent, under similar methodology.

Population

A population was a group of individuals who were comprised of the same characteristics (Creswell, 2008). Thus, a population could be any size and come from any region (Kearns, 2015). Ideally, a study should have had an ample population size to ensure that adequate data was collected. However, it was not always feasible for the researcher to gather multitudes of data from large population samples (Patton, 2002). For the purposes of this study, the population included all schools in California that implemented a turnaround intervention model.

In the state of California, forty-one school districts petitioned and received School Improvement Grant (SIG) funds on behalf of ninety-one elementary, middle and high schools. Of those, a total of twenty-nine schools, which included twenty elementary, six middle, and three high schools, adopted a turnaround intervention model between 2010-2013 (cde.ca.gov). These turnaround schools, like their non-turnaround counterparts, were required to improve student academic performance for all students by five percent each year to meet the Annual Performance Index (API) set by the state, as measured by the state mandated assessments. Additionally, schools were required to meet Adequate Yearly Progress (AYP). The goal of AYP was for all students to reach proficient levels in reading and math by 2014, as measured by performance on state tests across the nation. Adequate yearly progress (AYP) was the measure by which schools, districts,

and states were held accountable for student performance under Title I of the No Child Left Behind Act of 2001 (cde.ca.gov). However, only nine elementary schools and one middle school successfully met federal and state targets during the three-year turnaround. The targeted population, in this study, were ten elementary and middle school principals that led successful turnaround intervention model schools during 2010 to 2013 in the state of California (California Department of Education, n.d.).

Sample

Patton (2002) suggested that there were many ways a researcher may have focused a study and may depend on the purpose, resources available, and interest of those involved in the research. Purposeful sampling was needed to select the participants for the study due to the limited number of participants available during the research. Additionally, several criteria were developed which included selecting individuals that were specifically knowledgeable about and had participated in the turnaround process. This study included ten principals that met the criteria of having been assigned to the school site for at least two years during the turnaround model implementation. Additionally, only schools that met API and AYP during the 2010-2013 school years were asked to participate in the study (cde.ca.gov).

Meeting the criteria for participants was necessary to the success of the study. By consenting to participate, principals committed to data collection by interview and submission of artifacts. In order to qualify, the participants must have served as principal at the successful turnaround school for at least two school years during the turnaround implementation between 2010-2013.

Stratified purposeful sampling was typically used to identify samples within a sample (Patton, 2002). This method was used to identify participants that were part of the larger sample of turnaround school principals, but also those principals within that sample that were deemed successful. The population sample consisted of ten principals that met the criteria of having been assigned to the school site for at least two years during the turnaround model implementation. Additionally, only schools that met API and AYP during the 2010-2013 school years were asked to participate in the study (cde.ca.gov).

A letter of introduction was sent to each participant via email. The letter contained information about the researcher, the topic being studied, and the criteria for which they were selected (APPENDIX D). Additionally, an Informed Consent form, which included the Participant's Bill of Rights, was sent to all principals who responded to the initial invitation (APPENDIX E). This document described the study in greater detail and included the purpose, procedures, risks, and the assurance of confidentiality.

Participants were asked to agree to audiotaping of the session for approximately one hour. The purpose of audiotaping participants was to carefully capture their responses (Patton, 2002). It was vital during data collection "to record as fully and fairly as possible that particular interviewee's perspective" so as to have a complete understanding of the data being collected (Patton, 2002, p. 380). Audiotaping offered the researcher the opportunity to capture exact information that was being provided by the participant (McMillan & Schumacker, 2010).

Once agreed, an interview time was reserved and confirmed along with the online Informed Consent document that had been approved by Brandman University's

Institutional Review Board (BUIRB, APPENDIX F). Of the ten invited, seven responded and agreed to participate. These seven principals were provided with an overview of the study and were allowed to opt out of the study at any time. Participants were also assured of their anonymity within the study.

Demographic Data

This research was conducted with principals located in seven school districts in the state of California. Each urban-suburban district served in excess of ten thousand students. The elementary and middle schools identified in this study served students with high populations of English learners and socio-economically disadvantaged subgroups during their turnaround implementation. The table below represents the demographics of each school within the study.

Table 5

Demographic Data of Selected Turnaround Schools

SCHOOLS	COUNTY	SCHOOL TYPE	PERCENTAGE OF ENGLISH LEARNERS	PERCENTAGE OF SOCIOECONOMICALLY DISADVANTAGED
School #1	San Francisco	Urban Gr. TK-5	38%	92%
School #2	Tulare	Rural Gr. TK-5	58%	89%
School #3	Alameda	Urban Gr. TK-5	52%	90.5%
School #4	San Francisco	Urban Gr. 6-8	31%	69%
School #5	Monterey	Urban-Suburban Gr. TK-5	29%	58%
School #6	San Bernardino	Urban TK-5	47%	78%
School #7	Yuba	Rural TK-5	27%	60%

The principals, of the identified turnaround schools, ranged in age ranged from forty-sixty and their years as a school site principal ranged from nine to seventeen years. All of the participants had Master degrees in education and administrative service credentials. Two of the seven principals that participated in the study had earned Doctorate degrees in education.

All of the participants in this study had been principals in other schools within their current district prior to being placed as a turnaround model school principal. Each had the opportunity to select up to fifty percent of their site staff and were engaged along-side the central office in the hiring process for certificated and classified staff. Additionally, all principals had significant additional financial resources through a School Improvement Grant (SIG) for their school. Findings presented in this study reflected the commonalities of ideas and perceptions of the elementary and middle school principals interviewed by the researcher. The table below represented the demographic data of each principal within the study.

Table 6

Demographic Data of the Sample

PARTICIPANTS	AGE	GENDER	YEARS AT TURNAROUND SCHOOL	TOTAL YEARS OF EXPERIENCE	EDUCATION LEVEL
Participant #1	45-50	Male	6	15	Doctorate
Participant #2	55-60	Female	6	9	Master of Arts
Participant #3	45-50	Male	4	12	Master of Arts
Participant #4	40-45	Female	3	7	Master of Arts
Participant #5	40-45	Female	3	17	Doctorate
Participant #6	45-50	Female	3	9	Master of Arts
Participant #7	50-55	Female	5	10	Master of Arts

Data by Research Question

The analysis of the data was reported in both a narrative and table format following each of the research questions. The data from the interviews of the seven principal participants was organized, studied, and summarized to include consistent and repeated words or phrases. Through the process of coding, common themes were identified. The data analysis only discussed the comments that principals stated most frequently. A detailed analysis was conducted to determine patterns and main themes that were identified based on the interviews of the participants. Patton described this process as "identifying the patterns of experiences participants bring to the program, what patterns characterize their participation in the program, and what patterns of change were reported and observed by the participants" (Patton, 2002, p.250). Patton (2002) maintained that data analysis "involved creativity, intellectual discipline, analytical rigor and a great deal of hard work" (p. 442).

The interview data was transcribed, analyzed, and coded for key words with the use of NVivo software. Phrases related to principal's perceptions of which of the twenty-one leadership responsibilities were the most necessary within the domains of trust, communication, learning and shared leadership to successfully lead a turnaround model school were discovered. With the use of expert panel members, a field test was conducted. Expert panel participants engaged in the interview process and they provided in depth information on the reliability and validity of the interview protocol. The researcher and expert panel members concluded that the information gathered from the field test was reliable and that the themes and patterns, regarding which leadership

responsibility was most necessary to successfully lead a turnaround model school, would address the research questions.

Some of the themes that emerged were categorized to include the following:

- Common perceptions of principals regarding their success as a turnaround model principal;
- How their success was attributed to the leadership domains of communication, trust, learning and shared leadership;
- Which of the twenty-one leadership responsibilities did principals commonly perceive to be most necessary to successfully lead a turnaround school?

The review of literature was used to reinforce or refute the main ideas and themes that emerged from the data analysis. As the data was analyzed, specific ideas and categories were created to identify and manage common themes regarding the twenty-one leadership responsibilities (Marzano, 2005) within the four leadership domains (Capra, 2002), which contributed to their success as a turnaround intervention model principal.

Research Question 1

RQ1: What leadership responsibilities within the leadership domain of trust do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

Descriptions of principals' perspectives were collected through semi-structured interviews and analyzed to answer research question one. The responses were consistent regarding the leadership responsibilities that coincided within the domain of trust.

Central themes and patterns were created identifying what principals commonly perceived as the most necessary leadership responsibility to lead a turnaround intervention model school and how it contributed to their success as a principal of a turnaround intervention model school. The table below (Table 7) represents the frequency of related comments stated by principals in response to five of Marzano's (2005) leadership responsibilities that were overlaid with Capra's (2002) leadership domain of trust.

Table 7

Analysis of Leadership Responsibilities within the Domain of Trust

LEADERSHIP RESPONSIBILITY	KEY WORDS AND PHASES STATED BY PARTICIPANTS	NUMBER OF RELATED COMMENTS	DESCRIPTION OF THEMES	ARTIFACTS SHARED TO SUPPORT CLAIMS
Discipline	No unnecessary interruptions Staying focused	3	Protection from outside and inside distractions	Memos to staff and parents about classroom interruption
Monitoring/ Evaluating	Important Needs to be specific Constant feedback Reflection	4	Inspect what you expect Focus and follow through	Data collection Learning Walk Data Minutes and agendas of staff and data meetings
Order	Routines Specific Policies and procedures	6	Schedules protection of time	Master calendar Daily schedules
Relationships	Building and fostering	22	Trusting colleagues Not a competition	PD notes Staff meeting agendas

Visibility	Be seen Get out of the office	17	Classroom visits Interacting with students	Observation notes Pictures at school events

Principals were asked to give examples and provide artifacts to support their perception that relationship building, within the domain of trust, was the most necessary to their success as a turnaround principal. Five principals stated that one way of fostering trust was to be visible on campus during structured and non-structured times. Principals shared that being visible enabled the staff to want to do the work and contributed to success. Principals were visible to staff members when they not only visited classrooms, but also attended special events and activities and showed a presence during recess, lunch and other non-structured times. This helped staff to understand that the principal was invested in knowing the students and not just evaluating teacher performance (Principal #3, personal communication February 22, 2016). One principal stated that in addition to being visible, she had an “open door” policy. Staff members were welcome to come in to discuss issues regarding students, curriculum or even personal concerns (Principal #3, personal communication February 22, 2016). In this way, principals were perceived by staff as being transparent, which made principals more “trust worthy” in the eyes of the staff. Principal #5 even discussed keeping chocolate, stress balls, and other items to help staff, students and parents feel more welcome in his office. “As people came in I treated them like they were in my home. We got down to business but it wasn’t in a contentious environment” (Principal #2, personal communication February 19, 2010). Principals described building and fostering relationships as being present, open to ideas, and ensuring strict confidentiality and providing multiple opportunities for social interaction

amongst staff, between parents and staff and students and staff as well. “I found that people are far less likely to engage in negative talk and gossip about one another if you know their history and current reality. That applies to staff, students, and their families” (Principal #2, personal communication February 19, 2016).

Principals provided artifacts such as classroom visitation appointments, agendas of staff meetings, email correspondence, flyers for on and off campus social events, and schedules of special school based activities to represent the importance of fostering trust through building relationships and being visible. Although the artifacts provided were submitted to represent the importance of building relationships and visibility, they also contribute to the other leadership responsibilities contained within the domain of trust. The artifacts represented order and discipline in that they signified that the school had established routines that gave the staff a sense of order and predictability; keeping them from unnecessary distractions and interruptions (Marzano, 2005). Additionally, the email communication and observation notes showed monitoring and evaluation was important to the process and built trust through feedback and communication. These interview findings were supported by the literature review and triangulated with the collection of artifacts. Dufor et al. discussed that by providing feedback as part of an effective system of monitoring, staff felt that the leader was there in support of the work (Dufor et al., 2010).

All principals interviewed agreed that each of the leadership responsibilities within the domain of trust were necessary to their success as a leader of a school that was in need of immediate improvement. However, twenty-two comments related to building relationships and seventeen comments related to visibility, were stated by all principals.

The data signifies that these two leadership responsibilities were commonly perceived as being most necessary, within the domain of trust, to lead a turnaround intervention model school.

Research Question 2

RQ2: What leadership responsibilities within the leadership domain of communication do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

Descriptions of principals' perspectives about communication were collected through semi-structured interviews and analyzed to answer research question two. The responses were consistent regarding the leadership responsibilities that coincided within the domain of communication as it applied to their success as a turnaround model school principal. Central themes and patterns were created identifying what principals identified as the most necessary leadership responsibility to lead a turnaround intervention model school and how it contributed to their success as a principal of a turnaround intervention model school. The table below (Table 8) represents the frequency of related comments stated by principals in response to six of Marzano's (2005) leadership responsibilities that were overlaid with Capra's (2002) leadership domain of communication.

Table 8

Analysis of Leadership Responsibilities within the Domain of Communication

LEADERSHIP RESPONSIBILITY	KEY WORDS AND PHASES STATED BY PARTICIPANTS	NUMBER OF RELATED COMMENTS	DESCRIPTION OF THEMES	ARTIFACTS SHARED TO SUPPORT CLAIMS
Affirmation	Personal success is important	3	Celebration	Personal notes Shout out at staff meetings Celebrations
Open Communication	Important Needs to be specific Constant feedback Reflection	22	Open and constant communication	Memos, email, one on one meetings, minutes and agendas Common vision and mission
Contingent rewards	Not always important	6	Public acknowledgement of great work	Kudos at staff meeting
Focus	Goes with communication	38	Purpose Laser-like focus	PD notes Staff meeting agendas
Ideals/Beliefs	Can't interject your own ideals Must be developed by the team	9	Understand the culture	Mission and vision statement Norms
Outreach	Communicating with stakeholders	7	Advocating for students and the school	Fliers from community meetings, parent meetings, outreach

All principals stated that communication was a necessary leadership domain to be successful as a turnaround model school leader. Within the domain of communication, there were thirty-eight comments articulated by respondents, which reported that the leadership responsibility of *focus* was "extremely important". A principal stated, "…you can not communicate about non issues or irrelevant data" (Principal #3, personal

communication February 22, 2016). To respond to such high expectations, there arose a need to focus on student learning and on the leadership who were held responsible for leading the work in the district and the schools (Muhammad & Hollie, 2012). Additionally, there were twenty-two comments related to the leadership responsibility of *open communication.* Principals stated that it was necessary to have ongoing and consistent communication focused on the goals and vision of the school. "It all goes together. You can't have one without the other" (Principal #5, personal communication February 25, 2016).

Principals were asked to expand upon the perception of focus being most important within the domain of communication. Each respondent discussed the requirement to focus on student need academically, behaviorally, and socially.

> It is easy to become distracted by adult issues when working at a school. We have to keep our focus on the needs of kids. I heard Dr. Tom Many speak at a PLC conference and he said 'Schools are built for kids, not adults' that stayed with me (Principal #4, personal communication February 24, 2016).

Principals who listed focus within the domain of communication as most necessary to lead a successful turnaround school offered artifacts such as memos, staff meeting agendas, minutes from staff and leadership team meetings, and sample letters to support their claim that the principal has to have an instructional focus on campus for conversations to be meaningful. One principal stated: "Part of the problem in schools that were once failing is that there are too many programs, initiatives, and distractions. We had to narrow our focus to see what was working for kids and what wasn't. Data

meetings were futile with all of the mounds of useless data flying around" (Principal #2, personal communication February 19, 2016).

Open communication was also identified as being important to the success of the turnaround school leader. Respondents stated that open communication needed to be constant, open, and ongoing. This contributed to their success in that they were perceived by staff as honest, approachable and engaged in the work along side the staff" (Principal #5, February 25, 2016). Many (2010) described having a focus and communicating it to staff encouraged an understanding and development of "collective commitments" (Many, 2010).

If the leader of the organization focused on specific strategies and actions, then true sustainable change could occur (Capra, 2002). Several of the principals indicated that there had been change amongst the staff during and after the turnaround implementation. However, they stated that having a clear focus was paramount to their success. "We were accountable to not only each other, but the laser-like focus that we had agreed upon. It did not matter who came or went, we had a focus and a plan that we were accountable to" (Principal #4, personal communication February 24, 2016).

Principals who listed focus as most necessary to lead a successful turnaround school, offered artifacts such as memos, staff meeting agendas, minutes from staff and leadership team meetings, and sample letters to support their claim. These provided artifacts supported the second most necessary leadership responsibility of open communication. Additionally, to support this claim, principals reported that they communicated with staff on a regular basis verbally and in writing. Having a focus within the communication was the most necessary leadership responsibility, within the

domain of communication, to successfully lead a turnaround intervention school. Although other leadership responsibilities within the domain of communication were mentioned and stated as being valuable, focus and communication were by far the most common leadership responsibilities that principals perceived as most necessary.

Research Question 3

RQ3: What leadership responsibilities within the leadership domain of learning do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

Descriptions of principals' perspectives about learning were collected through semi-structured interviews and analyzed to answer research question three. The responses were consistent regarding the leadership responsibilities that coincided within the domain of learning as it applied to their success as a turnaround model school principal. Central themes and patterns were created recognizing what principals identified as the most necessary leadership responsibility to lead a turnaround intervention model school and how it contributed to their success as a principal of a turnaround intervention model school. The table below (Table 9) represents the frequency of related comments stated by principals in response to five of Marzano's (2005) leadership responsibilities that were overlaid with Capra's (2002) leadership domain of learning.

Table 9

Analysis of Leadership Responsibilities within the Domain of Learning

LEADERSHIP RESPONSIBILITY	KEY WORDS AND PHASES STATED BY PARTICIPANTS	NUMBER OF RELATED COMMENTS	DESCRIPTION OF THEMES	ARTIFACTS SHARED TO SUPPORT CLAIMS
Change agent	Visionary	31	Challenge the status quo	Master calendar schedules different than the remainder of the district
Intellectual stimulation	Lifelong learning Conferences and PD	5	Professional Development	Book studies, lesson studies, and PD minutes
Knowledge of curriculum, instruction, and assessment	Instructional Leadership	26	Seeking what works Understanding researched based instructional strategies	Conference Attendance PD and PLC meetings, agendas, and minutes
Resources	Fiscal, personnel, facilities, and time	19	Alignment and focus	Master calendar, daily schedules
Situational awareness	Knowing how to respond	9	Taking care of issues before they arise	Schedules of events, policies and procedures

Principals commonly perceived that learning was important to their success as a turnaround leader. “Just as we ask teachers to continue to learn and grow, we must do the same” (Principal #2, personal communication February 19, 2016). Ibach (2014) discussed the need to acknowledge learning in order to improve. Being a life long learner, educators continually improved, becoming instrumental in the process of classroom instruction and student learning. In analyzing the leadership responsibilities

that are contained within the leadership domain of learning, two findings were most significant. There were thirty-one comments related to being a change agent and twenty-six comments related to having knowledge of curriculum, instruction, and assessment. Other leadership responsibilities received five, nine, and nineteen comments respectively indicating their relationship to the other responsibilities but were not commonly perceived by principals as being most necessary to the successful leadership of a turnaround intervention school.

Although there were twenty-six comments related to the leadership responsibility of knowledge of curriculum, instruction, and assessment, only one elementary principal stated that it was most necessary to lead a turnaround school. He stated: "…before I can ask for my teachers to learn about new curriculum, I need to understand it myself so that I know if it's something that will meet our needs" (Principal # 1, personal communication February 17, 2016). This interview finding was supported by the literature review in this study. Dufor et al. (2010) discussed the need for a leader and instructional staff to have had an understanding of and agreement to a guaranteed and viable curriculum. Principal #3 discussed the need for principals to understand curriculum as well. She stated,

> I learn something new everyday. In a job such as this, if you're not learning or refining, then something is seriously wrong. If you think you know everything, then it's time to move on 'cause you're not doing it right. I will never say I'm bored or I covered that yesterday, because there is always something new to learn. I don't expect the doctor I visit to use practices from twenty years ago and I'm sure parents would like educators

to use current practices with their students too (Principal # 3, personal communication February 22, 2016).

Artifacts to support this claim included agendas and minutes from PLC meetings, which documented discussion about adopted curriculum, instructional best practices, and researched based instructional strategies. Furthermore, there was documentation of attendance at conferences, in district workshops, and professional development focused on curriculum and instruction.

It was important that the leader knew the direction as well as the content. Muhammad (2009) discussed the need for leaders to introduce new ideas in order to support staff members to grow in their practice. The remaining six principals in the study stated that the leadership responsibility that was most necessary to successfully lead a turnaround school was *change leader*. The principal of the only middle school represented in the study stated, "You have to challenge school practices that have been in place for long periods of time. Some things were allowed to happen that were not beneficial to student success (Principal #7, personal communication February 28, 2016). Being a change leader meant being willing to challenge the status quo (Ackerman-Anderson & Anderson, 2010). All seven principals commented on the need to be a leader of change and six perceived it to be most important. The principals discussed the need for knowledge of the curriculum, but "if you teach it the same old way, you're gonna get the same old results" (Principal #1, personal communication February 17, 2016).

Artifacts that were submitted to support their claims included documentation from conferences, school master calendars and daily schedules that differed from other

calendars in the district or other school sites, school policies, and mission and vision statements that were unique to the turnaround school site. Principal # 6 discussed the difficulties of being a change agent. Although important, it's hard to "go against the grain." Another principal stated, "Other schools see what you're doing and question or criticize you and even the teachers for having different ideas. Until they see it work, you are sometimes an island" (Principal # 5, personal communication February 25, 2016). The need for principals of turnaround schools to be a change agent was supported by the review of literature in this study. Being a change agent drove the organizational learning for improved educational outcomes (Bolman & Deal, 2008). Anderson & Ackerman-Anderson (2010) discussed the need for leaders to be transformational change agents, turning schools into learning organizations that continued to evolve and improve.

Learning was an important domain that took time and structure (Capra, 2002). Without ongoing learning, organizations remained stagnant and change that needed to occur, such as the change needed at a turnaround intervention model school, could not happen (Wasden, 2014).

Research Question 4

RQ4: What leadership responsibilities within the leadership domain of shared leadership do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

Descriptions of principals' common perceptions about shared leadership were collected through semi-structured interviews and analyzed to answer research question four. The responses were consistent regarding the leadership responsibilities that coincided within the domain of shared leadership as it applied to their success as a

turnaround model school principal. Central themes and patterns were created identifying what principals identified as the most necessary leadership responsibility to lead a turnaround intervention model school and how it contributed to their success as a principal of a turnaround intervention model school. The table below (Table 9) represents the frequency of related comments stated by principals in response to five of Marzano's (2005) leadership responsibilities that were overlaid with Capra's (2002) leadership domain of shared leadership.

Table 10

Analysis of Leadership Responsibilities within the Domain of Shared Leadership

LEADERSHIP RESPONSIBILITY	KEY WORDS AND PHASES STATED BY PARTICIPANTS	NUMBER OF RELATED COMMENTS	DESCRIPTION OF THEMES	ARTIFACTS SHARED TO SUPPORT CLAIMS
Culture	Common commitments, language and behavior	37	Common understanding	Staff meeting minutes Grade level/PLC agendas and minutes On and off campus celebrations
Flexibility	Adaptability	8	Willingness to change based on need	Memos, email, one on one meetings, minutes and agendas
Involvement in curriculum, instruction, and assessment	Helping with decisions about curriculum	12	Attending PLC meetings	PLC minutes and agendas
Input	Valued opinions Give people a say in the matter	17	Stakeholder input Asking their opinion	PD notes Staff meeting agendas
Optimizer	Positivity Cheerleader	14	Being positive about the school and it purpose	School-wide celebrations

Heifetz, Grashow and Linsky (2009) discussed the need for principals to be more adaptive which meant being open to and having a willingness toward shared leadership. Principals in the study commonly perceived shared leadership to be necessary to successfully lead a turnaround school. One principal stated,

> We had to have an understanding that we're all in this together. It helped the PLC process, improved instruction, and helped us to become more cohesive in our approach. You can't be divided if we all have ownership and a stake in the outcome. It took time to build that and we had to hit the ground running (Principal #3, personal communication February 22, 2016).

Of the five leadership responsibilities that were cross-referenced within the domain of shared leadership, thirty-seven comments were stated in relation to *culture*. All principals identified culture as being the most necessary to successfully lead a turnaround school. Of all the common expectations and responsibilities, being the leader that shaped the positive culture was needed within all organizations (Lipton & Wellman, 2013). One principal discussed his role as a leader to be one that shaped the understanding of staff to include a positive, learning centered, instructional environment. He stated, "The research doesn't lie, culture and change go hand in hand. Teachers had to believe that they could do it so that they could impart that philosophy onto their students" (Principal #1, personal communication February 17, 2016). When discussing culture, four principals mentioned that discipline had greatly improved as the culture of learning increased. Many researchers linked culture to many other aspects of school improvement. Improving culture affected instruction, student learning, discipline, and

even staff attendance. The importance of the principal setting goals along side the staff, as well as maintaining a positive and productive culture, has been consistently addressed in the works of Dufor et al. (2008) and Muhammad (2010) referenced in the literature review of this study.

> We had to have shared agreements. Meaning that no matter who came and who went, what we as a staff stood for would not be compromised. This is how we did business. We had to have a strong culture regarding instruction, grading, behavior, discipline, parent communication…you name it and we had an agreed upon understanding of it. If something wasn't clear, we talked about it as a team, and came to a shared understanding and commitment. It was not easy. That process took time, trust, and an additional agreement that we all are coming from a place of good intention and what was best for kids. Leave your ego at the door! (Principal #3, personal communication February 22, 2016)

By definition, every school has a culture (Hanson, 2001). Schools have their own unique set of values, beliefs, and feelings, which emphasize what is important to them. Marzano et.al (2005) found that the following behaviors are associated with the responsibility of culture:

- Promoting cohesion among staff
- Promoting a sense of well-being among staff
- Developing an understanding of purpose among staff
- Developing a shared vision of what the school could be like.

All of these points are necessary when trying to shape the culture of a turnaround school. One principal stated that "…culture was often discussed in schools and districts but not developed in school leaders. We don't know if it's just someone's personality or a skill" (Principal #2, personal communication February 19, 2016).

Artifacts and examples to support principals' interview comments included copies of minutes from staff meetings, PLC and grade level meetings, examples of ongoing and annual celebrations as well as teacher led professional development. One principal shared that she made a concerted effort to ensure that teachers introduced information at staff meetings as much as possible, so that she could get buy in from staff before anything new was adopted (Principal #4, personal communication February 24, 2016). Although this supported her claim that developing culture was important, it also supported the other leadership responsibilities of *input, optimizer, flexibility, and involvement in curriculum, instruction and assessment*. Each of these areas reinforced culture and helped to refine the "shared agreements" that contributed to a strong and positive culture (Dufor et al., 2010).

Summary

This chapter presented the key research findings of the study. It included an examination of the interviews conducted with seven elementary and middle school principals, along with document analysis, regarding their common perceptions of the most necessary leadership responsibilities within the leadership domains of trust, communication, learning, and shared leadership to successfully lead a turnaround intervention model school. Through an extensive interview process with six elementary

turnaround principals and one middle school turnaround principal from seven districts across the state of California, descriptive themes were identified and studied.

All of the turnaround school principals had similar ideas and perceptions about what it took to lead a turnaround intervention model school and how the leadership responsibilities contributed to their success. Common themes about leadership, focused on the twenty-one leadership responsibilities identified by Marzano (2005) within the four leadership domains identified by Capra (2002), were identified and analyzed to discover how it contributed to their success as a turnaround leader. Overarching conclusions from the research data were analyzed. These included the common perceptions of the principals regarding their experiences as a leader of a successful turnaround school and their demonstration and practice of the leadership responsibilities and domains.

The leadership responsibilities that principals commonly perceived to be most necessary to lead a turnaround school included:

- Within the domain of trust, building and fostering relationships and being visible were commonly perceived as being most necessary and contributed their success;
- Within the domain of communication, having a focus and open communication were commonly perceived as being most necessary and contributed their success;
- Within the domain of learning, being a change agent and having knowledge of curriculum, instruction and assessment were commonly perceived as being most necessary and contributed to their success;

- Within the domain of shared leadership, culture was commonly perceived as being most necessary and contributed to their success.

These themes occurred throughout the principals' interviews and collected artifacts. Principals described the twenty-one leadership responsibilities as all being important to the success of a turnaround model school principal and did assist them with school leadership. However, through interviews, identifying which responsibilities were most necessary allowed principals to discover their own ideas and perceptions of what contributed to their success as a leader.

Additional themes that emerged in the principal interviews included collaboration with staff to reinforce culture, learning from one another, understanding research-based strategies and curriculum, and the use of data to improve instructional leadership within an environment that was focused on school improvement. The majority of the principals interviewed also agreed that understanding the twenty-one leadership responsibilities while reflecting upon and revisiting their efforts, as instructional leaders would assist them in their current leadership roles. The next chapter presents the findings, conclusions, and recommendations from the study.

CHAPTER V: SUMMARY, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS

This chapter reviewed the purpose of the study, research questions, methodology, population, and sample. The chapter then described the major findings, conclusions from the findings, implication for action, recommendations for further research, and concluding remarks.

Purpose Statement

The purpose of this qualitative study was to discover which leadership responsibilities, within the domains of trust, communication, learning, and shared leadership, did elementary and middle school principals of successful turnaround schools perceive as most necessary to lead a turnaround intervention model school.

Research Questions

This study sought to provide an in-depth understanding of the common perceptions of seven elementary school principals regarding leadership responsibilities most necessary to lead a turnaround model intervention school.

1. What leadership responsibilities within the leadership domain of trust do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?
2. What leadership responsibilities within the leadership domain of communication do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?
3. What leadership responsibilities within the leadership domain of learning do principals of successful turnaround schools perceive as being most necessary

and how did this contribute to their success?

4. What leadership responsibilities within the leadership domain of shared leadership do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

Methods

The sources used to gather data for this study were audiotaped semi-structured interviews and collection of artifacts to support the claims of the principals. These interviews and artifacts enabled the researcher to collect data on the common perceptions of elementary and middle school principals regarding the most necessary leadership responsibilities to lead a successful turnaround model intervention school. Triangulation of data was then used to strengthen the data. This data collection process allowed the researcher to analyze themes, commonalities, and patterns, and assisted the researcher with presenting the perceptions of selected turnaround elementary and middle school principals' in seven districts across the state of California and how these responsibilities contributed to their success as a turnaround school leader.

Population

The population for this study encompassed elementary, middle and high school principals in school districts across the state of California that implemented a turnaround intervention model. In the state of California, forty-one school districts petitioned and received School Improvement Grant (SIG) funds on behalf of ninety-one elementary, middle and high schools. Of those, a total of twenty-nine schools, which included twenty elementary, six middle, and three high schools, adopted a turnaround intervention model between 2010-2013 (cde.ca.gov). These turnaround schools were required to meet the

Annual Performance Index (API) set by the state, as measured by the state mandated assessments. In addition, these schools were required to meet Adequate Yearly Progress (AYP). Adequate yearly progress (AYP) was the measure by which schools, districts, and states were held accountable for student performance under Title I of the No Child Left Behind Act of 2001 (cde.ca.gov). However, only nine elementary schools and one middle school successfully met federal and state targets during the three-year turnaround. The targeted population, in this study, were ten elementary and middle school principals that led successful turnaround intervention model schools during 2010 to 2013 in the state of California (California Department of Education, n.d.).

Sample

According to McMillan and Schumacher (2010), "a target population is a group of elements or cases, whether individuals, objects, or events, that conform to specific criteria and to which we intend to generalize the results of the research" (p. 129). The targeted population in this study was the ten school principals of elementary and middle schools that led successful turnaround intervention model schools during 2010 to 2013 in the state of California (California Department of Education, n.d.). The turnaround school principals in this study were selected due to the researcher's familiarity with the turnaround school model and process as well as accessibility to the participants.

Purposeful sampling was needed to select the participants for the study due to the limited number of participants available during the research. Purposeful sampling "people are selected because they are information rich and illuminative…they offer useful manifestations of the phenomenon of interest" (Patton, 2002, p. 240). Purposeful sampling for this study allowed the researcher to learn and obtain in depth information

regarding principals' common perceptions about what it took to successfully lead a turnaround intervention model school. More specifically, the study sought to discover which of the twenty-one leadership responsibilities (Marzano, 2005) with the four organizational leadership domains (Capra, 2002) were commonly perceived as most necessary to lead a turnaround school and close achievement gaps amongst low performing and at-risk students.

Meeting the criteria for participants was necessary to the success of the study. By consenting to participate, contributors committed to data collection by interview and submission of artifacts. In order to qualify, the participants must have served as principal at the turnaround school for at least two school years during the turnaround implementation between 2010-2013. Ten principals met the selection criteria and were identified invited to participate in the study. Of the ten that were identified, seven agreed to participate.

A letter of introduction was sent to each participant via email. The letter contained information about the researcher, the topic being studied, and the criteria for which they were selected (Appendix D). An Informed Consent form, which included the Participant's Bill of Rights, was sent to all principals who responded to the initial invitation (Appendix E). This document described the study in greater detail and included the purpose, procedures, risks, and the assurance of confidentiality.

Major Findings

The research for this study produced several major findings regarding the common perceptions of elementary and middle school principals. The common perceptions about what leadership responsibilities were most necessary to successfully

lead a turnaround model intervention school were reported. These major findings were organized by research question. The intent of each research question was to discover if principals commonly perceived that the leadership domains of trust, communication, learning and shared leadership were important to their success as a leader. In addition, each question identified principals' common perceptions of the necessity of twenty-one leadership responsibilities and how the responsibilities that they perceived as most necessary contributed to their success as a leader of a turnaround school in the state of California.

Similar comments contributed by the principals during the interviews were grouped together and used to identify related themes and categories to produce these findings. The leadership responsibilities that principals stated were the most necessary as determined by the highest number of related comments were reported in this chapter. Several research questions revealed common responses with two highly rated leadership responsibilities within a leadership domain. In each case where this occurred, findings regarding both highly rated leadership responsibility were reported.

This research study produced meaningful findings consistent with the educational research on principal leadership and the needs of all organizations. The review of the literature was used to affirm or negate the findings from the qualitative data.

Research Question 1

RQ1: What leadership responsibilities within the leadership domain of trust do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

Principals included in this study all stated that trust was important and necessary to lead a turnaround intervention model school. Within the domain of trust, it was discovered that each of the five leadership responsibilities were valued by principals included in this study. However, building and fostering *relationships* was commonly perceived as the most necessary responsibility to lead and quickly turnaround a school closely followed by the leadership responsibility of *visibility*.

The instrument used to collect responses, semi structured interview and artifact collection, identified the five leadership responsibilities of *discipline, monitoring and evaluating, relationships, visibility, and order* within the domain of trust. Principals found all of these responsibilities as a necessary leadership responsibility. Nonetheless, a concentration on *relationships* was commonly identified as contributing to their success as a turnaround principal. The research supports this perception. Research supported that relationships were the cornerstone (Sergiovanni, 2007) to school improvement and culture. Marzano (2005) maintained that building relationships with staff, parents and students demonstrated awareness of the work that needed to be done and contributed to success. Additionally, staff reported a higher sense of self-efficacy and empowerment in their work when they felt there were strong professional relationships and connection amongst staff (Leithwood, 2008).

Visibility had the second highest number of responses within the domain of trust as well. This leadership responsibility, as stated by principals, was necessary to help build trust through relationships. Artifacts were presented to support this assertion including memos, emails and anecdotal notes representing principals' visibility in and around campus. The research supported the importance of visibility as well.

Blankenstein and Noguera (2015) discussed principal visibility amongst the principal qualities necessary to lead a school of excellence. Although not identified as most necessary, principals commonly identified this leadership responsibility in relation to building relationships on campus to foster trust amongst the staff.

Research Question 2

RQ2: What leadership responsibilities within the leadership domain of communication do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

The seven principals included in this study stated that communication was important to success as a turnaround intervention principal. The six responsibilities included within this domain were *affirmation, contingent rewards, focus, ideals and beliefs, open communication and outreach*. Of the six, *focus* was commonly perceived as most necessary and contributed to principal success, closely followed by *open communication*. The instruments used to collect responses, semi structured interview, and artifact collection, reinforced their assertions that it was important to have focus. Furthermore, principals shared artifacts that represented ongoing and open communication with staff within a focus of student learning. The artifacts had consistency and required the recipients to give attention to the identified instructional focus. The artifacts were streamlined and supported the finding that principals reduced unnecessary programs and initiatives without their central office concurrence.

The research supported the perception to have focus by reducing initiatives. Dufor et al. (2010) discussed the need for a viable curriculum and ridding schools of excessive initiatives. All principals stated that they had read many research articles and

determined that to ensure a direct correlation between instruction and student learning, there had to be a “laser-like” focus (Schmoker, 2011) on specific programs, initiatives, and practices at the school site and communicating that focus was paramount to their success.

Research Question 3

RQ3: What leadership responsibilities within the leadership domain of learning do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

Within the domain of learning, each principal stated that the five leadership responsibilities of change agent, intellectual stimulation, knowledge of curriculum, instruction and assessment, resources and situational awareness were important to their success as a turnaround principal. However, being a change agent was commonly perceived as the most necessary responsibility to ensure success at a turnaround intervention model school. This finding was closely followed by comments about knowledge of curriculum, instruction and assessment.

The school principal was a critical component of the school turnaround process. As a change agent, leaders needed to show courage and confidence, be emotionally intelligent and have a strong moral purpose. This type of leadership was often referred to as transformational leadership by principals. Principals who led in this way were more apt to understand the needs of the entire organization. The leader as change agent was supported by the research. Ackerman-Anderson & Anderson (2010) discussed the development of an organization and the need for the transformational leader to have had the ability to be a change agent; focusing on things that were going well so that it could

be replicated. Change agent did not mean 'going rogue' but it meant that principals had a clear picture from the 'balcony' and could make strategic moves when necessary. Although artifacts included mission and vision statements and schedules that differed from other schools in the district, there were no specific artifacts that directly supported the perception of transformational leaders. However, the frequency of comments and supporting research substantiated the finding of the necessity of change agent.

A finding regarding a second leadership responsibility with the domain of learning emerged. Principals stated that *knowledge of curriculum, instruction and assessment* was important, but only in a cursory manner. Principals stated that they had a general understanding of what students needed to know and be able to do but did not engage in the details of the work. Principals did refer to the importance of being a part of an effective PLC. In this way, principals felt that they could participate in conversations about the work without needing to understand the minute elements. The artifacts supplied indicated a strong focus and alignment to the PLC process. In contrast, the artifacts did not represent principals' direct involvement in curriculum and instruction.

The research reviewed supported the finding of knowledge of curriculum, instruction and assessment. Kirtman (2014) discussed the principals' role in leading an instructional team by understanding overall components of curriculum. Although important, principals identified it as second within the leadership domain of learning.

Research Question 4

RQ4: What leadership responsibilities within the leadership domain of shared leadership do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

Shared leadership was perceived as very important by all principals within the study. Of the five leadership responsibilities of *culture, optimizer, flexibility, involvement in curriculum, instruction, and assessments* included within the domain of shared leadership, *culture* was, by far, commonly perceived as most necessary responsibility to lead a turnaround model school. Interestingly, there were comments related to culture in response to all of the research questions and leadership responsibilities. "Culture trumps everything" (Principal #7, personal communication February 28, 2016). The leadership responsibility of culture was the main finding of this research question. No other responsibility was commented on at a level to be considered a secondary finding.

Principals defined culture as not only being focused on instruction but on the way the school conducted all aspects of their business. The research supports this perception. Historically, the success and failure of a school had been directly linked to the site principal, which had a major effect on the culture, management, and success of the school (Muhammad & Hollie, 2012). According to Blankenstein (2004), a school turnaround was only possible when the culture and climate of the school was addressed. To support this assertion, principals submitted artifacts such as minutes from staff and PLC meetings which focused on defined common language, reiterated agreed upon and collective commitments, and provided time for discussion to determine shared agreements amongst the staff.

Unexpected Findings

Unexpected findings result in every study. However, there are benefits of gaining new knowledge through unexpected results (Yusko, 2014). There were four unexpected findings that resulted from this study.

The first unexpected finding was the common perceptions and comments about *culture*. The seven California principals collectively made thirty-seven comments related to culture during the separate interviews. Culture received the highest number of key words and phrases during the interview process. The term ‘culture’ was interjected into all answers regarding the four leadership domains and twenty-one leadership responsibilities. Essentially, a culture of learning for students and adults was what principals deemed most necessary. All of the work done on the school site concentrated on how to assess culture, build it, and maintain it to increase student achievement. Culture became the overarching idea that framed all other perceptions about what it took to be successful within a turnaround school.

During the interviews, all principals referred to the culture of their school being shaped, changed, and refined to meet the needs of all students. Even when the leadership responsibility of culture was not contained within a specific leadership domain during the interview, principals still commented on how the other responsibilities contributed to the culture of the school, weaving it into the fabric of the interview conversation, and contributing it to their success as a leader. Some of the comments about culture were as follows:

- “We have a culture of learning here. The adults and students on this campus are invested in learning more so that we can grow as a school” (Principal #4, personal communication February 24, 2016).
- “Reaching out to staff and other stakeholders solidifies the culture” (Principal #2, personal communication February 24, 2016).

- "Public acknowledgement and contingent rewards help to build trust and a positive culture" (Principal #7, personal communication February 28, 2016).
- "Relationships and culture go hand in hand" (Principal #5, personal communication February 25, 2016).
- "Having some semblance of order and discipline build up the culture" (Principal #1, personal communication February 17, 2016).
- "Being a change agent means upsetting the culture at times" (Principal #4, personal communication February 24, 2016).
- "The principal has to be flexible in order to work within the given culture" (Principal #3, personal communication February 22, 2016).

The word 'culture' was by far the most frequently used word during each interview. This phenomenon solidified the perception that culture was the foundation upon which student learning was built. Principals wanted to ensure that the study reported on the need to have a positive and learning centered culture that was focused on the needs of students. This finding was unexpected in that principals connected culture to all other leadership domains and responsibilities.

Another unexpected finding was what principals reported about the leadership responsibilities of *knowing about curriculum and instruction and assessment* and *involvement in curriculum, instruction, and assessment*. Principals stated that although important, they didn't need an in-depth understanding of curriculum and instruction to be effective. This comment was weaved into the conversation about culture. Principals stated that having a 'culture of learning' ensured that everyone had general knowledge about what students needed to know and be able to do. Principals reported that they

relied on their classroom teachers, coaches, and other experts to be the instructional leaders. Principal #1 stated "I have skilled and excellent people around me that I trust to be the experts so I can focus on what's happening around the school" (Principal #1, personal communication February 17, 2016). Another stated "There is no way to be an expert in all things instructional, at every grade level. As a PLC, I have to trust that my team is continually learning and they bring me up to speed at every meeting" (Principal #4, personal communication February 24, 2016). This finding was unexpected due to the research about principals needing to be instructional leaders and leaders of learning (NAESP, 2001).

The third unexpected finding was the strong focus on Professional Learning Communities (PLCs). All principals stated that they had a strong culture of PLCs on their campus. Each leadership responsibility was supported by Dufor's (2010) work of what leaders needed to do to foster a culture of learning and PLCs. Principals used the four questions of a PLC to explain their knowledge and involvement in curriculum, instruction and assessment as well. Principals wanted the researcher to know that they understood what it took to be a successful PLC and the four questions were stated repeatedly as well as contained in supporting artifacts. The questions were:

- What do we want all students to learn?
- How do we know they've learned it?
- What will we do when they don't learn it?
- What will we do when they've already learned it?

All of this data pointed to the importance of establishing a culture of learning by leading staff to become an effective and productive PLC. Principals needed to ensure

teachers focused on the instructional needs of students with a results orientation (Dufor et al., 2010). Additionally, through PLCs principals reported that strong relationships were built. Conversations were focused on the student needs as opposed to adult issues. This also contributed to a strong culture of learning. Although principals did not rate *knowledge or involvement in curriculum, instruction and assessment* as being most necessary to lead a turnaround school, each stated that through the PLC process they were all better informed on the instructional needs of students.

Lastly, the lack of professional development (PD) that principals had received on the twenty-one leadership responsibilities, identified by Marzano et al. (2005) was unexpected. All principals stated that they knew of Marzano's work and that each responsibility was important. Principals stated they perceived that the central office knew of the importance of each leadership responsibility as well. However, the artifacts submitted indicated a focus on PD for principals in the areas that they perceived as less necessary. They included PD in instruction, curriculum, and classroom management practices as opposed to what was necessary to lead a school successfully. Even when principals had the opportunity to select their own PD, the artifacts, submitted by principals, represented a focus in areas outside of the twenty-one leadership responsibilities, culture, and PLCs.

Conclusions

This study examined the common perceptions of principals of successful turnaround schools in relation to what Marzano et al. (2005) stated were the twenty-one leadership responsibilities of principal and framed within four leadership domains identified by Fritjof Capra (2002). There were distinct commonalities amongst principals

regarding which leadership responsibilities they attributed to their success. Each conclusion was related to a finding in this study. Through triangulation of the data from the frequency of comments and phrases, the supporting artifacts, and research, this study produced four conclusions. These conclusions were (a) changing the culture changed the school; (b) participation in professional learning communities (PLCs); (c) building relationships on campus to solidify trust; and (d) establishing and communicating an identified focus and alignment of resources.

1. Culture was the foundation upon which the school was built. Based on the findings in this study, it was not enough to know how change worked. Leading a culture of change was a deliberate and strategic practice. As transformational leaders, principals focused on buy-in from staff members, instructional strategies and goals to get the job done.
2. Turnaround schools benefitted from principals who engaged in the PLC process along with staff to turn their schools around. Principals who engaged in the process of building an effective PLC by developing a shared vision with a clear focus were successful when staying the course. This study found that principals cannot be the "jack of all trades and the master of none."
3. Building relationships by being visible, celebrating major and minor accomplishments and having clearly established lines of communication built unbreakable bonds on staff. Trust and relationship went hand in hand. People needed to know what to expect from the leader and from one another. Building and fostering positive, professional relationships ensured that unmet

expectations didn't lead to disappointment and affected the important work that needed to be done

4. Based on the findings in this study, successful turnaround schools had limited initiatives and a laser-like focus on instructional needs of students. Principals and staff determined the primary instructional needs at their school site and focused on selected strategies to address the need. Resources were aligned and professional development supported the identified focus. The strategies were implemented it with fidelity, assessed for effectiveness and replicated if successful.

Implications for Action

The findings in this study showed that districts were successful in hiring principals with several years of experience to implement a turnaround intervention model. Nevertheless, not all schools were successful as measured by the requirements outlined by No Child Left Behind Act (NCLB). Leaders of such intervention models needed to have specific leadership skills and abilities to help lead the change at school sites and address the severe academic deficits. Principals that were successful helped to implement and sustain a strong culture of learning as evidenced by their increases in student achievement.

While this study focused on the turnaround school model in response to NCLB requirements, the latest round of annual academic assessment data in California showed that the achievement gap was still prominent across the state, again creating a substantial need for intervention. This study showed that one model, the turnaround intervention model, had shown promise to meet the needs of students and to close chronic

achievement gaps. Additionally, this study identified what principals needed to do within a turnaround model environment to close the achievement gap on their campus. Therefore this study remains significant.

Principals of such intervention models needed to create the identified leadership domains, have specific skills, and practice leadership responsibilities to help lead the change at school sites. These responsibilities for leadership were highlighted during this study through the research of Marzano (2005) and Capra (2002). The implication was that these models were effective.

In addition, knowing the perceptions of principals regarding what was most important to close the achievement gap at a low performing school, it was also important to help understand what it took to be a leader. Also, knowing what was most important to successfully intervene in a school that was failing helped principals understand how to prevent achievement gaps. Knowing the leadership responsibilities that were common to principals of successful turnaround schools can begin to guarantee that the needs of all students are addressed.

This study was conducted with the outcome of contributing to the body of knowledge in existence in the field of educational leadership. Specifically, educational leadership focused on discovering what it took to lead and turnaround a failing school within the frame of Capra's (2002) four leadership domains and Marzano's (2005) twenty-one leadership responsibilities. This study showed that within a turnaround model intervention school, some responsibilities were most important. The conclusions of this study proved to have the following implications on the future actions of educational leaders within these leadership models:

1. Establishing a learning culture is important. School districts must align hiring practices, professional development (PD), and evaluation around the development, assessment, and sustainment of culture.
2. Principals must build trust through building relationships. Principals must identify ways to bring staff together outside of the workday.
3. The turnaround model works when paired with effective leaders. Districts must design professional development (PD) and evaluation protocols for principals, which rate a principal's ability to effectively build positive relationships.
4. Principal PD and university curriculum must be developed based on the design of the turnaround model.
5. Principals must engage in leading effective Professional Learning Communities (PLCs) by sharing in a collaborative process to identify and address the specific needs of students.
6. Principal evaluation must shift from leaders as managers to leaders as collaborative problem solvers focused on improving student learning.
7. Districts must survey the staff of prospective principals to discover if they are perceived to have the leadership responsibilities, identified in this study, to lead an effective school.
8. Districts must provide clear mandates ensuring that principals can carryout their school plans without distraction. Principals must balance mandates and be clear about the instructional needs and expectations of students.
9. Principals must develop clear mechanisms to effectively communicate to staff.

Principals must maintain visibility on a consistent basis to assess and support the implementation of best practices.

10. Principals must communicate with various stakeholders and include them in the decision making process. This includes certificated staff, classified staff and parents to ensure buy-in of initiatives.
11. Districts must create positions dedicated to designing programs specifically for schools with achievement gaps. These programs must outline expectations and evaluation around the top seven leadership responsibilities and include PD for principals to support in closing the achievement gaps at their school.

Recommendations for Further Research

Based on the findings of this research investigation, the following recommendations for further research are suggested:

- This study could be replicated with principals of non-turnaround intervention schools to discover what they perceived to be the most necessary leadership responsibilities to lead a school at the elementary, middle and high school levels.
- This study could be replicated with teachers at turnaround intervention schools that met their API and AYP requirements within the three-year turnaround implementation to discover what they perceived to be the most necessary leadership responsibilities.
- This study could be replicated with teachers of non-turnaround intervention model schools to discover what they perceived to be the most necessary leadership responsibilities of principals of turnaround intervention schools.

- This study could be replicated with superintendents and other central office personnel to discover what they perceived to be the most necessary leadership responsibilities of principals of turnaround intervention schools.
- A study could be conducted on the other intervention models (restart, transformation, restructure, closure) to discover if these models proved successful in closing achievement gaps.
- A more detailed study could be conducted to discover how professional development could assist principals in their leadership of schools to ensure achievement gaps were decreased and in some cases never created to begin with. This would support the efforts of designing professional development conducive to effective professional learning.
- A more detailed study could be conducted to focus on culture and what principals needed to do, specifically to foster culture on school sites.
- A more detailed study could be conducted on focus and alignment of programs and what principals need to do guarantee a viable curriculum on school sites.
- A more detailed study could be conducted to focus on relationships and what principals needed to do specifically to foster and build relationships on school sites.
- A more detailed study could be conducted with principals as change agents to discover what principals do to exhibit that they are being effective change agents.
- A more detailed study could be conducted on PLCs at turnaround schools to

discover if there is a direct correlation between PLCs and turnaround school success in closing the achievement gap.

Concluding Remarks and Reflections

This study examined the common perceptions of seven principals within the state of California on what it took to lead a successful turnaround intervention model school. This research study confirmed the importance of principals needing to have the knowledge, skills, and abilities to lead school sites with high levels of students with achievement gaps. The data and findings from this study contributed to the field of educational leadership by identifying key leadership behaviors necessary to lead a turnaround school. Equally important was the finding of the need for school districts to invest in ways to develop the necessary leadership responsibilities in principals that are currently at school sites that were performing as well. Ultimately, the goal of this study was to contribute toward the research on principal leadership and what has worked to positively affect all schools and the children they serve.

As a principal, serving in an elementary school, I am amazed at how the leadership responsibilities contained in this study influenced my work each day. It has always been a delicate and constant dance to ensure that students are provided necessary instruction while caring for the adult needs on campus as well. Each stakeholder, including parents, teachers, students, classified staff members and the community required the attention of the principal. Until I engaged in this study, I did not realize to what degree how many of these responsibilities had become second nature in the work that I do. I must say, that I have learned so much from this study, the process, and I am eager to see what other research is conducted as a result. It is my hope that this study can

contribute to what we already know principals need to be successful. Designing programs at universities, identifying exemplary models at school sites, and providing leadership preparation around the needs of principals at all school sites exist as a resource for all principals. This support and preparation should be constant, not just for those schools and principals that are struggling, but all before the struggles begin.

REFERENCES

A Nation at Risk: The imperative for educational reform. (1983). American Education, 19, 2-3. Retrieved from http://search.proquest.com/docview/63532510?accountid=8459.

Aguilar, E., Goldwasse, D. & Tank-Crestetto, K. (2022, October, 2011). Supporting principals, transforming schools. Educational Leadership, 69 (2), 70-73.

Andrews, T. (2012). What is social constructionism? *The Grounded Theory Review*, 11 (1). 39 46.

Ackerman-Anderson, L., & Anderson, D. (2010). *The change leader's roadmap: How to navigate your organization's transformation* (2nd ed.). San Francisco, CA: Pfeiffer.

Adams, M., Blumenfeld, W., Castaneda, C., Hackman, H., Peters, M., & Zuniga, X. (2013). *Readings for diversity and social justice* (2nd ed.). New York, NY: Routledge.

Anderson D. & Ackerman-Anderson, L. (2010). *Beyond change management: How to achieve breakthrough results through conscious change leadership* (2nd ed.). San Francisco, CA: Pfeiffer.

Anderson, L. W. (2007). *Congress and the classroom: From the cold war to "no child left behind*". University Park, PA: The Pennsylvania State University Press.

Barth, R., Rebecca, D., Richard, D., Barbara, W. E., Michael, F., Douglas, R., ...Rick, S. (2005). On common ground. Bloomington: Solution Tree.Bass, B. M. (2008). *The bass handbook of leadership (4th ed.).* New York, NY: Free Press.

Begley, P., & Stefkovich, J. (2007). Ethical school leadership: Defining the best interests of students. *Educational Management Administration & Leadership, 35(2),* 205-224.doi:10.1177/1741143207075389

Blankenstein, A. M. (2004). *Mission possible: Achieving and maintaining academic improvement in high-performing schools.* Thousand Oaks, CA: Corwin Press.

Blankenstein, A. & Noguera, P. (2015). *Excellence through equity: Five principles of courageous leadership to guide achievement for every student.* Thousand Oaks, CA: Corwin Press.

Bolman, L., & Deal, T. (2008). *Reframing organizations: Artistry, choice, and leadership (4th ed.).* San Francisco, CA: Jossey-Bass.

Bossert, S., Dwyer, D., Rowan, B., & Lee, G. (1982). *The instructional management role of the principal. Educational Administration Quarterly, 18(3),* 34-64

Boykin, A. W., & Noguera, P. (2011). *Creating the opportunity to learn: Moving from research to practice to close the achievement gap*. Alexandria, VA: ASCD.

Brown, V., & Olson, K. (2015). *The mindful school leader: Practices to transform you leadership and school*. Thousand Oaks, CA: Corwin Press.

Bureau of Labor Statistics, U.S. Department of Labor, *Occupational Outlook Handbook, 2014-15 Edition*, Elementary, Middle, and High School Principals, on the Internet at http://www.bls.gov/ooh/management/elementary-middle-and-high-school-principals.htm.

Bureau of Labor and Statistics, U.S. Department of Labor Statistics. (n.d.). http://www.bls.gov/ooh/management/elementary-middle-and-high-school-principals.htmBureau of Labor and Statistics. (n.d.).

http://data.bls.gov/search/query/results?q=school+principal+needsCalifornia Department of Education. (n.d.). http://www.cde.ca.gov.

California Department of Education. (n.d.). http://www.cde.ca.gov

California Department of Education. (n.d.). http://www.cde.ca.gov/ta/ac/ar/

Calkins, A., Guenther, W., Belfiore, G., & Lash, D. (2007). *The turnaround challenge: Why America's best opportunity to dramatically improve student achievement lies in our worst-performing schools*. Boston, MA: Mass Insight & Education Research Institute.

Capra, F. (2002). *The hidden connections*. New York, NY: Doubleday.

Capra, F. & Luisi, P. (2014). *A systems view of life: A unifying vision.* Cambridge, MA: Cambridge University Press.

Chenoweth, K. (2007). *It's being done: Academic success inn unexpected schools*. Cambridge, MA: Harvard Education Press.

Collins, J. (2001). *Good to great: Why some* companies *make the leap...and others don't*. New York, NY: HarperCollins Publishers, Inc.

Cotton, K. (2003). *Principals and student achievement: What the research says.* Alexandra, VA: Association for Supervision and Curriculum Development.

Cox, J. & Cox, K.B. (2008). *Your opinion please: How to build questionnaires in the field of education* (2nd ed.). Thousand Oaks: Corwin Press

Creswell, J. W. (2009). *Research design: Qualitative, quantitative, and mixed methods approaches*. Thousand Oaks, CA: Sage.

Creswell, J.W. (2013). *Qualitative inquiry & research design: choosing among the five approaches*. Thousand Oaks, CA: Sage Publications, Inc.

Danielson, C. (2002). Enhancing student achievement. Alexandria, Virginia: Association for supervision and curriculum development.

Deal, T. E., & Peterson, K.D. (1999). *Shaping school culture: The heart of leadership.* San Francisco, CA: Jossey –Bass.

Denzin, N. K. (1978). *The research act: A theoretical introduction to sociological methods* (2nd ed.). New York, NY: McGraw-Hill.

DuBois, P. (2011). *From isolation to collaboration: A new perspective on school leadership. (Order No. 3449139, Pepperdine University). ProQuest Dissertations and Theses, 228.* (Doctoral dissertation). Retrieved from http://search.proquest.com/docview/861746242?accountid=10051. (861746242).

DuFour, R., DuFour, R., Eaker, R., & Karhanek, G. (2010). *Raising the bar and closing the gap: Whatever it takes*. Bloomington, IN: Solution Tree Press.

Dufor, R., Dufor, R., & Eaker, R. (2008). *Revisiting professional learning communities at work: New insights for improving schools* (10th ed.). Thousand Oaks, CA: Solution Tree Press.

Dufor, R., Dufor, R., Eaker, R., & Many, T. (2010). *Learning by doing: A handbook for professional learning communities at work* (2nd ed.). Bloomington, IN: Solution Tree Press.

DuFour, R., & Marzano, R. J. (2011). Leaders of learning how district, school and classroom leaders improve student achievement. Bloomington Indiana: Solution Tree Press.

Elmore, R. (2000). *Building a new structure for school leadership*. Retrieved from http://www.shankerinstitute.org/Downloads/building.pdf

Elmore, R. F., & City, E. (2010). *The road to school improvement: It's hard, it's bumpy, and it takes as long as it takes*. Cambridge, MA: Harvard Press.

Fowler, M. (2014). *Survey research methods*. Boston Massachusetts: Sage

Fullan, M. (2003). *The moral imperative of school leadership*. Thousand Oaks, CA: Corwin Press, Inc.

Fullan, M. (2005). *Turnaround leadership*. *The Educational Forum*, *69*, 174-181.

Fullan, M. (2006). *Turnaround leadership.* San Francisco, CA: Jossey-Bass.

Fullan, M. (2008). *The six secrets of change: What the best leaders do to help their organizations survive and thrive.* San Francisco, CA: Jossey-Bass.

Fullan, M. (December, 2002). Leadership and sustainability. *Principal Leadership*, 3(40), 14-17.

Fullan, M. (2008). *The six secrets of change: What the best leaders do to help their organizations survive and thrive*. San Francisco: Jossey-Bass.

Fullan, M. (2014). *The principal: Three keys to maximizing impact*. San Francisco, CA: Jossey-Bass.

Fullan, M. (2014). *The principal: Three keys to maximizing impact*. San Francisco, CA: Jossey-Bass.

Gephart, D. M. (n.d.). Creating a culture of high achievement through principal selection [Lecture notes]. Retrieved from Fremont Unified School District: FUSD.org

Glatthorn, A. A., & Jailall, J. M. (2009). *The principal as curriculum leader* (3rd ed.). Thousand Oaks, CA: Corwin Press.

Goodwin, R., Cunningham, M. L., & Eagle T. (2005). The changing role of the secondary principal in the United States: A historical perspective. *Journal of Educational Administration and History, 37(1*), 1-17.

Grandson, IV, C. A. (2014). *Turning around schools: A view from the superintendent/central office as policy implementers* (Doctoral dissertation).

Gruenert, S., & Whitaker, T. (2015). *School culture rewired: How to define, assess, and transform it*. Alexandria, VA: ASCD.

Hiatt-Michael, D. B. (2003). *Promising practices to connect schools with community.* Greenwich, CT: Information Age Publishing.

Hallinger, P. (2003). Leading educational change: Reflection on the practices of instructional and transformational leadership. *Cambridge Journal of Education 33(3),* 229-351.

Haughton, A., & Balli, S. J. (2014, January/February 2014). Exiting P.I. how 10 principals turned around their schools. *Leadership, 43(3),* 28-31.

Hattie, J. (2012). *Visible learning for teachers.* New york: Rouledge.

Heath, C., & Heath, D. (2010). *Switch: How to change things when change is hard*. New York: Broadway Books.

Heifetz, R. (2003). *Leadership without easy answers*. Cambridge, MA: Harvard University Press.

Hickey, K. M. (2010). *Leadership practices and processes in turnaround schools: a phenomenological multi-case study*. (Order No. 3462963, Illinois State University. ProQuest Dissertations and Theses, 288. (Doctoral dissertation).

Retrieved from http://search.proquest.com/docview/880919891?accountid=10051. (880919891).

Hoyle, J. R. (2006). Leadership Styles. *Encyclopedia of educational leadership and administration*, 595-598. Retrieved from http://www.uk.sagepub.com/northouse6e/study/materials/reference/reference4.

Huber, S. (2004). School leadership and leadership development: Adjusting leadership theories and development programs to values and the core purpose of school. Journal of Educational Administration, 42(6), 669-684. doi:10.1108/09578230410563665

Ibach, K. L. (2014). *Twenty-one leadership responsibilities and quality management in the context of educational baldrige systems* (Order No. 3614471). Available from ProQuest Dissertations & Theses Global. (1518517951). Retrieved from http://search.proquest.com/docview/1518517951?accountid=10051

Jansen, H. (2010). The Logic of Qualitative Survey Research and its Position in the Field of Social Research Methods [63 paragraphs]. *Forum Qualitative Sozialforschung / Forum: Qualitative Social Research*, *11*(2), Art. 11, http://nbn-resolving.de/urn:nbn:de:0114-fqs1002110.

Jennings, J. (2012). *Reflections on a half-century of school reform: Why have we fallen short and where do we go from here?* Retrieved from http://www.cep-dc.org/displayDocument.cfm?DocumentID=392

Joppe, M. (2000). The Research Process. Retrieved February 25, 1998, from http://www.ryerson.ca/~mjoppe/rp.htm

Kowal, J., & Hassel, E. A. (2011). *Importing leaders for school turnarounds: Lessons and opportunities* [Public Impact]. Retrieved from www.dardencurry.org: www.dardencurry.org

Kirtman, L. (2014). *Leadership and teams. The missing piece of the educational reform puzzle.* Upper Saddle River, New Jersey: Pearson Education.

Krippendorff, K. (2009). Cybernetics. In S. W. Littlejohn & K. A. Foss (Eds.), Encyclopedia of communication theory. Thousand Oaks, CA: Sage. Retrieved from http://sage-reference.com/abstract/communicationtheory/n104.xml

Krathwohl, D. R. (2009). Methods of educational and social science research. Long Grove, IL: Waveland Press.

Kutash, J., Nico, E., Gorin, E., Tallant, K., & Rahmutullah, S. (2010). *School turnaround: A brief overview of the landscape and key issues.* Boston: FSG Social Impact Advisors.

Lambert, L. (2003). *Leadership capacity for lasting school improvement.* Alexandra, VA: Association for Supervision and Curriculum Development.

Latham, M. E., & Wilhelm, T. (2014, January/February 2014). Supporting principals to create shared leadership. Leadership, 43(3), 22-38.

Landesfeind, V. (2007). *The first 90 days of the principalship in a turnaround school. (Order No. 3261834, University of Southern California). ProQuest Dissertations and Theses, 201.* (Doctoral dissertation). Retrieved from http://search.proquest.com/docview/304807632?accountid=10051. (304807632).

L. E. Sullivan, R. B. Johnson, C. C. Mercado, & K. J. Terry (Eds.) (2009). The sage glossary of the social and behavioral sciences. Thousand Oaks, CA: Sage.

Retrieved from http://www.sagereference.com/abstract/behavioralsciences/n1792.xml

Lazzaro, K. E. (2009). *The relationship between principal transformational leadership practices and teacher retention* (Doctoral dissertation).

Leadership in 21st Century Schools. (2009). Leadership in the 21st century schools [Video file]. Retrieved from www.youtube.com

Leading for Effective Teaching: Toolkit for supporting principal success. (n.d.). Retrieved from http://depts.washington.edu

Leithwood, K., Seashore, K., Anderson, S., & Wahlstrom, K. (2004). *How leadership influences student learning*. New York, NY: The Wallace Foundation.

Lichtman, G. (2014). *#Edjourney: A roadmap to the future of education*. San Francisco, CA: Jossey-Bass.

Lipton, L. & Wellman, B. (2013). *Learning-focused supervision: Developing professional expertise in standards-driven systems.* Charlotte, VT: MiraVia.

LCAP Watch. (n.d.). http://lcapwatch.org/about-lcap-watch/

Louis, K., & Wahlstrom, K. (2008). How teachers experience principal leadership: The roles of professional community, trust, efficacy, and shared responsibility. Educational Administration Quarterly, 44(4), 458-495. doi:10.1177/0013161X08321502

Lyon, D., & Niblock, A. (2014). Our global mirror: Comparing student achievement and teacher practice around the world. *Independent School*, *73*(3), 64-69.

Magnusson, S. (2011). *Developing exemplary educational leaders.* Saarbrucken, Germany: VDM Verlag, Dr. Mueller Gmbh & Co. KG.

Marzano, R. J. (2003). *What works in schools: Translating research into action*. Alexandria, VA: Association for Supervision and Curriculum Development.

Marzano, R. J., Waters, T., & Mcnulty, B. A. (2005). *School leadership that works.* Denver, CO: Mid-continent Research for Education and Learning.

Marzano, R. J., Pickering, D. J., & Pollack, J. E. (2001). *Classroom instruction that works: Research-based strategies for increasing student achievement*. Alexandria, VA: Association for Supervision and Curriculum Development.

McMillan, J. H., & Schumacher, S. (2010). *Research in education: Evidence-based inquiry* (7th ed.). Upper Saddle River, NJ: Pearson Education, Inc.

McEwan-Adkins, E. (2003). Ten traits of highly effective principals: From good to great performance. Thousand Oaks, CA: Corwin Press.

Mette, I. M. (2012*). Turnaround schools as a u-turn for student achievement: The rotary of school reform efforts. (Order No. 3534012, University of Missouri - Columbia). ProQuest Dissertations and Theses, 163* (Doctoral dissertation). Retrieved from http://search.proquest.com/docview/1261957951?accountid=10051. (1261957951).

Moua, M. (2010). *Culturally intelligent leadership.* New York, New York: Business Expert Press.

Muhammad, A. (2009). *Transforming school culture: How to overcome staff division*. Bloomington, IN: Solution Tree Press.

Muhammad, A., & Hollie, S. (2012). *The will to lead, the skill to teach: transforming school culture at every level*. Bloomington, IN: Solution Tree Press.

Olsen, M. L. (2013). *Leadership for school turnarounds* (Order No. 3610138). Available from ProQuest Dissertations & Theses Global. (1497967256). Retrieved from http://search.proquest.com/docview/1497967256?accountid=10051

Overview of the standards movement. (2015). Retrieved from http://sonoma.edu/users/p/phelan/423/standards.html#Part2

Padilla, R. (2013). *Turnaround principals in urban schools: Case studies of leadership and process* (Doctoral dissertation). Retrieved from http://search.proquest.com.libproxy.chapman.edu/pqdtglobal/docview/1433828501/abstract/F3AB511AE196434CPQ/1?accountid=10051

Patten, M. L. (2009). *Understanding research methods: An overview of the essentials* (7th ed.). Glendale, CA: Pyrczak Publishing.

Patton, M. Q. (2002). *Qualitative research and evaluation methods* (3rd ed.). Thousand Oaks, CA: Sage Publications.

Pierce, Robert B. (2011). *Bernard Shaw as Shakespeare Clinic*. Shaw: The Annual of Bernard Shaw Studies **31** (1): 118–132.

Protheroe, N. (2010, January/February). Jump-start substantial school change. *Principal Magazine*, 26-31.

Queen, J. A., & Queen, P. S. (2005). *The frazzled principal's wellness plan: Reclaiming time, managing stress, and creating a healthy lifestyle*. Thousand Oaks, CA: The Writer's Edge, Inc.

Reeves, D. B. (2006). T*he learning leader how to focus school improvement for better results.* Alexandria Virginia: Association for Supervision and Curriculum Development.

Roberts, C. M. (2010). *The dissertation journey: A practical and comprehensive guide to planning, writing, and defending your dissertation* (2nd ed.). Thousand Oaks, CA: Corwin Press.

Romero, R. (2012). *Leading schools as living systems: a model of organizational survival: a delphi study.* (Order No. 3535787, University of La Verne). ProQuest Dissertations and Theses, 236. (Doctoral dissertation). Retrieved from http://search.proquest.com/docview/1286745348?accountid=10051. (1286745348).

Schmoker, M. (2006). *Results now: How we can achieve unprecedented improvements in teaching and learning.* Alexandra, VA: Association for Supervision and Curriculum Development.

Schmoker, M (2011). Focus: Elevating the essentials to radically improve student learning. Alexandria, VA: Association for Supervision and Curriculum Development.

Senge, P. M. (1990). *The fifth discipline the art & practice of the learning organization.* New York: Doubleday.

Sergiovanni, T. J. (2007). *Rethinking leadership: A collection of articles (2nd ed.).* Thousand Oaks, CA: Corwin Press.

The California Commission on Teacher Credentialing. (n.d.). www.ctc.ca.gov/credentials/CREDS/admin-svcs.html

The Wallace Foundation. (2004). How leadership influences student learning. Retrieved from The wallace foundation: www.wallacefoundation.org

The Wallace Foundation. (n.d.). http://www.wallacefoundation.org/Pages/federal-funding-school-turnaround-field-guide.aspx

Trail, K. (October 2000). Taking the lead: The role of the principal in school reform. *CSRD Connections*, *Vol. 1 No. 4*. Retrieved from http://www.sedl.org/csrd/connections

U.S. Department of Education Awards More Than $16.2 Million in Grants to Improve School Leadership at Lowest-Performing Schools [Press release]. (August, 2015). Retrieved from ed.gov: http://www.ed.gov/news/press-releases/us-department-education-awards-more-162-million-grants-improve-school-leadership-lowest-performing-schools

VanBruaene, M. (2014). Useful performance measures and metrics-how to measure efficiency and effectiveness. Retrieved from advancingyourorganization.com

Van Clay, M., Soldwedel, P., & Many, T. W. (2011). *Aligning school districts as plcs*. Bloomington, IN: Solution Tree Press.

Watkins, G. P. (2013). *The federal turnaround model: Is there a difference when the principal of a school is changed?* (Doctoral dissertation). Retrieved from http://search.proquest.com.libproxy.chapman.edu/pqdtglobal/docview/1436982351/3EEF57520CE44532PQ/1?accountid=10051

Westover, J. (2014, September/October). Leading systems to build capacity. *Leadership: Association of California School Administrators*, 24-27.

Young, P. G. (2004). *You have to go to school you're the principal.* Thousand oaks, CA: Corwin Press.

Yusko, R. (February 2014). Did you get unexpected research results? *Northern Illinois University Newsletter*: Sponsored Programs Administration. Retrieved from http://www.niu.edu/osp/newsletter/feb14/tto_column.shtml

Zimmerman, J. (2006). Why some teachers resist change and what principals can do about it. *National Association of Secondary School Principals Bulletin, 90(3),* 238-249.doi:10.1177/0192636506291521

APPENDICES

APPENDIX A

MARZANO'S ET AL'S TWENTY-ONE LEADERSHIP RESPONSIBILITIES

Responsibility	Definition
Monitoring/Evaluating	Establishing an effective monitoring system to provide feedback on the effectiveness of the school's curriculum, instruction, and assessment practices and their effect on student achievement
Culture	Building and maintaining a culture in which a common language is employed, ideas are shared, and staff members operate within the norms of cooperation
Ideals/Beliefs	Operating from a well-articulated and visible set of ideals and beliefs regarding schooling, teaching, and learning
Knowledge of Curriculum, Instruction and Assessment	Seeking out and keeping abreast of research and theory on effective practices in curriculum, instruction, and assessment
Involvement in Curriculum, Instruction and Assessment	Actively helping teachers with issues regarding curriculum, instruction, and assessment in their classrooms
Focus	Establishing concrete goals relative to student achievement as well as curriculum, instruction, and assessment practices in the school, and keeping these prominent in the day-to-day life of the school
Order	Establishing procedures and routines that give staff and students a sense of order and predictability
Affirmation	Recognizing and celebrating the legitimate successes of individuals within the school as well as the school as a whole; also recognizing and acknowledging failures when appropriate.
Intellectual Stimulation	Fostering knowledge of research and theory on best practices among the staff through reading and discussion.
Communication	Establishing and fostering clear lines of communication to and from the staff as well as within the staff
Input	Establishing and fostering procedures that ensure that staff members have input into key decisions and policies
Relationships	Attending to and fostering personal relationships with staff

Optimizer	Providing an optimistic view of what the school is doing and what the school can accomplish in the future
Flexibility	Inviting and honoring the expression of a variety of opinions regarding the running of the school and adapting one's leadership style to the demands of the current situation
Resources	Ensuring that the staff members have the necessary resources, support, and professional development to effectively execute the teaching and learning process
Contingent Rewards	Expecting and recognizing superior performance from the staff
Situational Awareness	Being keenly aware of the mechanisms and dynamics that define the day-to-day functioning of the school and using that awareness to forecast potential problems
Outreach	Being an advocate of the school to all relevant constituents and ensuring that the school complies with all important regulations and requirements
Visibility	Being highly visible to teachers, students, and parents through frequent visits to classrooms
Discipline	Protecting staff members from undue interruptions and controversies that might distract them from the teaching and learning process
Change Agent	Being willing to challenge school practices that have been in place for a long time and promoting the value of working at the edge of one's competence

(Marzano, et al., 2005, p.71)

APPENDIX B

SYNTHESES MATRIX

Topic: Common Leadership Responsibilities of Principals of Successful Turnaround Model Schools

Themes	Sources	Sources	Sources	Sources
History of School Reform Efforts	NCLB was the first time the nation ever declared that schools have a responsibility to teach every single child to the their state's standards of learning (Chenoweth, 2007, p. 9). Data on turnaround Schools (California Department of Education) "Horizontal and Vertical transfer of new information" is explained by Joyce & Calhoun, 2010, p.100).	States that failed to meet the annual academic objectives and failed to improve received sanctions from the state and loss of funding from the federal government (Hickey, 2010). Anderson (2007) discuss NCLB mandates and response by states and districts. Data gathered from CDE. (California Department of Education, n.d.)	States had the right to close or restructure schools, replace teachers, principals, and in some cases the superintendent and boards of education (Chenoweth, 2007). Discussion of the need for school turnaround (Kutash, 2010) CDE explains current shifts in school improvement including turn around schools (www.cde.ca.gov, 2014) No Child Left Behind was the first time the nation ever declared that schools have a responsibility to	Calkins, Guenther, Belfiore, & Lash, 2007 explain the data from the National Center of Education Statics, in 2010, there were 98, 817 public schools in the United States. Approximately 5,000, (nearly 5%) were identified as chronic failures Protheroe (2010) discusses the accountability measures, sanctions, etc…

			teach every single child to the their state's standards of learning (Chenoweth, 2007, p. 9).	
Turnaround Schools	Mette (2012) describes the concept of turnaround schools. Landesfeind (2007) discuss the need for principals of Turnaround schools to be well versed in how to quickly change a school.	Successful turnaround schools establish a shared leadership and responsibility for learning (Calkins, Guenther, Belfiore, & Lash, 2007). Muhammad and Hollie (2012) discuss stakeholder buy in. "School turnaround models of intervention are based on an idea derived primarily from the business sector" (Watkins, 2013, p. 28).	Turnaround legislation defined. (Grandson, 2014) "The concept of turnaround schools does not originate from the academic study of education; rather it was borrowed from the organizational sciences and the business management world" (Mette, 2012, p. 4).	Definition of school turnaround (School Turnarounds, 2007) Kowal etal., 2100) Turnaround further defined.
Successful Turnaround Schools	Turnaround principals are usually well respected amongst their peers and have experience in shaping and changing school culture	Hickey discusses the need for turnaround schools and principals. (Hickey, 2010) Educational leaders do not control; they guide the school toward	A Plan for Effective School Leadership- "collective efficacy and capacity" (Marzano et al., 2005 p.99). Blankenstein (2004) discuss	The mystery of why one principal's leadership style is more effective than another's is unsolved (Hoyle, 2012). Romero (2012) discuss what is needed at

	(Muhammad, 2009). Schools that take the time to invest in the learning and the continued improvement of staff will show incremental growth in a relatively small period of time (DuBois, 2011).	improvement and therefore survival (Dufor and Marzano, 2011).	the limited studies on leadership skills, characteristics or responsibilities.	successful schools
The Principalship	"Good leaders lead from the front… They also model the behaviors whey want to see in others. If there is a single point that sticks out from my school visits it is this: Schools will not change unless leaders are willing to model, lead, highlight, and reward innovative practices (Lichtman, 2014, p. 59)	The California Commission on Teacher Credentialing (The California Commission on Teacher Credentialing, n.d.) lists the expectations of school and district administrators who possess such a credential. The principalship is the highest priority in the current decade, out ranking standards, to achieve large scale reform (Fullan, 2003).	A school leader charged with creating a significant or radical change in a school would want to take a very different approach than one who was continuing to build on past successes (Marzano et al., 2005). Marzano, Waters, and McNulty (2005) identified the 21 most impactful responsibilities and behaviors	Dimensions of Instructional leadership: Resource provider: ensures "teachers have material and supplies to perform their duties." Instructional resource: communicator and visible presence to support day-to-day instructional activities" (Marzano et al, 2005, p.18).
Leading the	"The	The Wallace	A Plan for	Bureau of Labor

Work	interaction among members of a group that initiates and maintains improved expectations and the competence of the group to solve problems or to attain goals" (Bass, 2008, p. 28) "Unlike much of private industry, the public education system has only given limited attention to recruiting and cultivating leaders" (Landesfeind, 2007, p. 17). What does it take to be a great leader (Collins, 2001) **Autopoiesis**. "The process that distinguishes living from	Foundation (2004) Good leadership provides direction and influence. Brown and Olson, (2015) discuss the importance of communication in leadership Elmore and City, (2010) discuss small improvement rather than significant breakthroughs. Those that are currently in the position of principal are not necessarily equipped for the job and an equally important issue that must be addressed is that of school leadership (Queen & Queen, 2005). Dufor, Dufor, Eaker, & Many (2010) discuss organizational improvement equates to people improvement	Effective School Leadership- "collective efficacy and capacity" (Marzano et al., 2005 p.99). Building and fostering a climate of trust is needed in all school organizations (Gruenert & Whitaker, 2015). Leadership is secondary to teaching…(Leithwood, K., Seashore Louis, K., Anderson, S., & Wahlstrom, K., 2004). Anderson-Ackerman (2010) discuss the type of change needed to motivate stakeholders Educational leaders do not control; they guide the school toward improvement and therefore survival (Dufor and Marzano,	Statistics reports that teachers advancing into principal positions are growing slowly at six percent, which is slower than the average for all other occupations (Bureau of Labor and Statistics, n.d.) "Transformational leadership style influences the behavior of those on staff" (Lazzaro, 2009). Ackerman Anderson & Anderson (2010) discuss the importance of communication as a leader Fullan (2002) outlines, in great detail, the various ways that a leader can provide a clear direction for change.

	nonliving systems . . . systems [that] consist of recursive networks of iterations among components that produce all and only the components necessary for such networks to continue producing them within a boundary" (Krippendorff, 2009, para. 23).		2011).	
Marzano and Capra	"Experts agree professional development needs to include building the leadership capacity of principals to support instruction communicator and visible presence to support day-to- day instructional activities" (Marzano et al, 2005, p.18). (Dufour et	A leader who is able to learn in and from the organization is able to transfer that new learning into useful situations (Dufor et al., 2010). Muhammad (2009) discuss trust, communication and shared leadership. Romero (2012) synthesizes the work of Marzano and Capra The authors of *Aligning School Districts as*	Marzano (2005) discusses how to be a change agent. Capra (2002) researched organizational needs Capra (2002) domains of leadership include trust, communication, shared leadership and learning Capra (2002) explains autopoiesis	Maximizing instructional leadership through "collaborative practices…watch others in their work to improve instructional practice" (Fullan, 2014, p.109). Hoyle (2006) discuss trust in the school community The importance of shared leadership is discussed in *Switch: How to Change Things When Change is Hard* (Heath & Heath, 2010).

	al., 2010) An organization is a "dynamic system in which activities, relationships, and other interactions are woven into a whole" (Sullivan, Johnson, Mercado, & Terry, 2009).	*PLCs* (2011) discuss the ways in which a leader determines the role that he/she will play, as well as the roles of key staff members, in order to represent what work should be done (Van Clay, Soldwedel, & Many, 2011).		

APPENDIX C

EXPERT PANEL INVITATION

Dear Educator,

I hope this email finds you well. I am conducting research on ***Common Responsibilities of Successful Turnaround Model School Principals*** at Brandman University. The research instrument, an interview schedule, was developed based on a model built around an extensive literature review on principal leadership. As part of the reliability for this instrument an "Expert Panel" is being assembled for the study. The Expert Panel will be composed of three educational professionals who have extensive experience in principal leadership within and outside of turnaround model schools.

You are being contacted based on your background and knowledge of principal leadership **and/or** turnaround intervention model strategies. To expedite the process, this work will be done through email. Each panel member will independently review the interview protocol instrument and provide feedback on the questions and protocols for the interview. Additionally, after a field test of the interview with two principals, information will be sent to you regarding the process and a summary of results for any feedback and course correction to help make the interview protocol more reliable. If you are willing, documents will be sent to you after approval from Brandman University's Institutional Review Board (IRB) is received.

I appreciate your consideration to serve on the Expert Panel and look forward to your response.

Sincerely,

Jezelle Fullwood

APPENDIX D

INTRODUCTION LETTER

Email communication:

Dear Educational Leader,

I am in the process of completing a doctorate degree in Organizational Leadership. As part of my dissertation research at Brandman University, I am interviewing principals within the state of California who have worked at a turnaround intervention model school and received School Improvement Grant (SIG) funding. The purpose of this interview is to discover your perceptions about what contributes to success as a leader of a turnaround school.

Your input in this study will be of great value and should only take about 30-40 minutes of your time.

I appreciate your consideration and hope to hear from you soon to set up a time to chat. I can be reached by email or cell at (310) 923-0992.

Sincerely,

Jezelle Fullwood
Doctoral Candidate

APPENDIX E

INFORMED CONSENT

CONSENT TO PARTICIPATE IN RESEARCH

I am Jezelle Fullwood, a doctoral student from Brandman University in the School of Education Organizational Leadership Department. I am collecting data to contribute to the completion of a doctoral dissertation. You were selected as a possible participant in this study because you currently work or have worked as a principal at a school that was deemed successful during the participation of a turnaround intervention model. The purpose of this study is to determine the most prevalent and necessary leadership responsibilities of the principal of a successful turnaround model school.

PROCEDURES

If you decide to participate in this study, I will ask the following:

1. Review the documentation regarding the Twenty-one Leadership Responsibilities and four Leadership Domains (provided).
2. Participate in the individual interview in person or by phone.
3. The interview is designed to be completed within 60 minutes or less.

POTENTIAL RISKS AND DISCOMFORTS

The design of this interview instrument has been completed in a manner to reduce all potential risks and discomforts.

POTENTIAL BENEFITS TO PARTICIPANTS AND/OR TO SOCIETY

This study is designed to learn from your experiences as a principal while leading a turnaround intervention model school. The results from this study could be used, to assist universities and school districts, in the preparation of school leaders to improve, create, and sustain successful school organizations.

CONFIDENTIALITY

All information that is obtained in connection with this study will remain confidential and will be disclosed only with your permission or as required by law. Jezelle Fullwood, the principal researcher, will be the sole person with access to the data collected.

IDENTIFICATION OF INVESTIGATORS

If you have any questions or concerns about the research, please feel free to contact:

Jezelle Fullwood (Principal Researcher)
Cell: (310) 923-0992
jez327@att.net

Dr. Timothy McCarty (Dissertation Chair)
tmccarty@brandman.edu

PARTICIPANT BILL OF RIGHTS

Any person who is requested to consent to participate as a subject in an experiment, or who is requested to consent on behalf of another, has the following rights:

1. To be told what the study is attempting to discover.
2. To be told what will happen in the study and whether any of the procedures, drugs or devices are different from what would be used in standard practice.
3. To be told about the risks, side effects or discomforts of the things that may happen to him/her.
4. To be told if he/she can expect any benefit from participating and, if so, what the benefits might be.
5. To be told what other choices he/she has and how they may be better or worse than being in the study.
6. To be allowed to ask any questions concerning the study both before agreeing to be involved and during the course of the study.
7. To be told what sort of medical treatment is available if any complications arise.
8. To refuse to participate at all before or after the study is started without any adverse effects.
9. To receive a copy of the signed and dated consent form.
10. To be free of pressures when considering whether he/she wishes to agree to be in the study.

If you have questions regarding a research study, you should ask the researcher to answer them. You also may contact the Brandman University Institutional Review Board (BUIRB). The BUIRB may be contacted either by telephoning the Office of Academic Affairs at (949) 341-9937 or writing to the Vice Chancellor of Academic Affairs, Brandman University, 16355 Laguna Canyon Road, Irvine, CA, 92618.

APPENDIX F

BRANDMAN INSTITUTUIONAL REVIEW BOARD APPROVAL FORM

BRANDMAN UNIVERSITY INSTITUTIONAL REVIEW BOARD

IRB Application Action – Approval

Date: ____________________

Name of Investigator/Researcher: ____

Faculty or Student ID Number: ____

Title of Research Project:

[ ]

Project Type: _____ New _____ Continuation _____ Resubmission

Category that applies to your research:

_____ Doctoral Dissertation EdD
_____ DNP Clinical Project
_____ Masters' Thesis
_____ Course Project
_____ Faculty Professional/Academic Research
_____ Other: [ ]

Funded: _____ No _____ Yes ____
(Funding Agency; Type of Funding; Grant Number)

Project Duration (cannot exceed 1 year): ____

Principal Investigator's Address: ____

Email Address: ____________________________ Telephone Number: ______________________

Faculty Advisor/Sponsor/Chair Name: ____

Email Address: ____________________________ Telephone Number: ______________________

Category of Review:

_____ Exempt Review _____ Expedited Review _____ Standard Review

_____ I have completed the NIH Certification and included a copy with this proposal

_____ NIH Certificate currently on file in the office of the IRB Chair or Department Office

Signature of Principal Investigator:______________________________ Date:_______________

Signature of Faculty Advisor/
Sponsor/Dissertation Chair: ___________________________________ Date: _______________

BRANDMAN UNIVERSITY INSTITUTIONAL REVIEW BOARD
IRB APPLICATION ACTION – APPROVAL
COMPLETED BY BUIRB

IRB ACTION/APPROVAL

Name of Investigator/Researcher:____

_____ Returned without review. Insufficient detail to adequately assess risks, protections and benefits.

_____ Approved/Certified as Exempt form IRB Review.

_____ Approved as submitted.

_____ Approved, contingent on minor revisions (see attached)

_____ Requires significant modifications of the protocol before approval. Research must resubmit with modifications (see attached)

_____ Researcher must contact IRB member and discuss revisions to research proposal and protocol.

Level of Risk: _____ No Risk _____ Minimal Risk _____ More than Minimal Risk

IRB Comments:

IRB Reviewer: ___________________________________

Telephone:__________________________________ Email:_______________________________________

BUIRB Chair: ___________________________________ Date: ________________________________

REVISED IRB Application _____ **Approved** _____ **Returned**

Name: ____

Telephone:_____________________ **Email:** ________________________________ **Date:** ______________

BUIRB Chair: ___________________________________

APPENDIX G

INTERVIEW PROTOCOL

TURNAROUND SCHOOL PRINCIPAL INTERVIEW INSTRUMENT

Thank you for agreeing to participate in this interview. As part of my dissertation research for the doctorate in Organizational Leadership at Brandman University, I am interviewing principals within the state of California who successfully led turnaround intervention model schools between 2010-2013. The purpose of this interview is to learn about your perceptions about what contributed to your success as a leader of a turnaround school.

As we know there are many facets of leadership. You were sent a chart, which defined the Twenty-one Leadership Responsibilities and leadership domains via email. I have a copy for you to refer to do if necessary during the interview as well. Therefore it would be useful if you could focus your responses specifically on the Twenty-one Leadership Responsibilities within the four domains of trust, communication, learning, and shared leadership that you perceive as most important to your success as a turnaround leader.

The interview will take approximately one hour. There are a series of questions as well as potential follow up questions to gain further clarification. All information that is obtained in connection to this study will remain confidential and all data will be reported without reference to an individual or an institution. The data will be recorded and transcribed, and sent to you to check that ideas and thoughts were captured accurately.

I would like to remind you of the participant's Bill of Rights that was provided to you with the informed consent. To make this interview as comfortable as possible for you, please know that at any point during the interview you can ask that question be skipped or that the interview be discontinued entirely.

With your permission, this interview will be tape recorded to ensure that all ideas and thoughts are captured accurately.

Do you have any questions before we begin?

Part I Personal Demographics

1. Please state your name, current position, name of your school district, and where our interview is currently taking place.
2. How many years have you been a principal?
3. Please state the name of the school and district where you led a turnaround model school.
4. How long were you the principal of the turnaround school?
5. Please share your educational background (advanced degrees and credentials)
6. Can you share some information about your schools and districts' demographics (i.e. population of city, district size, rural, urban)?

Part II. Research Questions

***Research Question 1*.**

What leadership responsibilities within the leadership domain of trust do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

1. How do you feel that fostering trust contributed to your leadership of a turnaround school?

a. (If answer indicates that they did not foster trust)

   i. Why do you feel that trust did not contribute to your success during your turnaround leadership?

   ii. What do you feel was more important than fostering trust during your turnaround leadership?

b. (If answer indicates that trust was a contributor to success) (Remind participants of access to Marzano/Costa Chart)

   i. When you look at the responsibilities that fall under the domain of trust, which do you feel was most important in your leadership of a turnaround school?

   ii. Why do you feel that__________ was the most important responsibility?

   iii. How did this contribute to your success as a turnaround principal?

Potential follow up questions:

1. What did you do to foster ___________________ on your campus?
2. Can you provide a specific example?
3. Is there an artifact or documentation that you can provide?

Research Question 2

What leadership responsibilities within the leadership domain of communication do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

1. How do you feel that fostering communication contributed to your leadership of a turnaround school?
    a. (If answer indicates that they did not foster communication)
        i. Why do you feel that communication did not contribute to your success during your turnaround leadership?
        ii. What do you feel was more important than communication during your turnaround leadership?
    b. (If answer indicates that communication was a contributor to success) (Remind participants of access to Marzano/Costa Chart)
        i. When you look at the responsibilities that fall under the domain of communication, which do you feel was most important in your leadership of a turnaround school?
        ii. Why do you feel that__________ was the most important responsibility?
        iii. How did this contribute to your success as a turnaround principal?

Potential follow up questions:

1. What did you do to foster ___________________ on your campus?
2. Can you provide a specific example?
3. Is there an artifact or documentation that you can provide?

Research Question 3

What leadership responsibilities within the leadership domain of learning do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

1. How do you feel that fostering learning contributed to your leadership of a turnaround school?
    a. (If answer indicates that they did not foster learning)
        i. Why do you feel that learning did not contribute to your success during your turnaround leadership?
        ii. What do you feel was more important than learning during your turnaround leadership?
    b. (If answer indicates that learning was a contributor to success) (Remind participants of access to Marzano/Costa Chart)
        i. When you look at the responsibilities that fall under the domain of learning, which do you feel was most important in your leadership of a turnaround school?
        ii. Why do you feel that___________ was the most important responsibility?
        iii. How did this contribute to your success as a turnaround principal?

Potential follow up questions:

1. What did you do to foster ____________________ on your campus?
2. Can you provide a specific example?

3. Is there an artifact or documentation that you can provide?

Research Question 4

What leadership responsibilities within the leadership domain of shared leadership do principals of successful turnaround schools perceive as being most necessary and how did this contribute to their success?

1. How do you feel that fostering shared leadership contributed to your leadership of a turnaround school?
    a. (If answer indicates that they did not foster shared leadership)
        i. Why do you feel that shared leadership did not contribute to your success during your turnaround leadership?
        ii. What do you feel was more important than shared leadership during your turnaround leadership?
    b. (If answer indicates that shared leadership was a contributor to success) (Remind participants of access to Marzano/Costa Chart)
        i. When you look at the responsibilities that fall under the domain of shared leadership, which do you feel was most important in your leadership of a turnaround school?
        ii. Why do you feel that__________ was the most important responsibility?
        iii. How did this contribute to your success as a turnaround principal?

Potential follow up questions:

1. What did you do to foster ___________________ on your campus?

2. Can you provide a specific example?
3. Is there an artifact or documentation that you can provide?

Part III. Closing remarks

Are there any additional comments you would like to make about your experiences and success as a turnaround model principal?

This concludes our interview.

Thank you very much for your time and support in completing my research. A transcript of this interview will be sent through email for your feedback. If you would like a copy of the final research findings once the university accepts the research, please contact me and I will send it to you.

Thank you again.