

## Abstract

Dissertation title: THE RELATIONSHIP BETWEEN RESEARCH-BASED  
LEADERSHIP PRACTICES AND EMOTIONAL  
INTELLIGENCE OF HIGH SCHOOL PRINCIPALS

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The complexity of the role of school principal in today's era of high accountability is often overwhelming. For decades, policy makers and business leaders have voiced concerns about the ability of the public school system in the United States to keep pace with other nations. Those who express such concerns have encouraged the adoption of accountability systems that put pressure on teachers and administrators to produce highly successful students. As pressure increases, fewer principals are entering this stress-filled career; and those who do, are unprepared for the demands that lie ahead.

Educators are continuously grasping for the answer to how to best prepare and how to select the best principals in today's world of accountability. Looking to the business arena for guidance, research shows that emotional intelligence is a critical quality in organizational leadership. In education, while research has linked certain leadership practices and qualities of principals to increases in student achievement, there is very little mention of the emotional intelligence of principals.

This study was designed to determine if a relationship exists between emotional intelligence and effective school leadership practices; and which proven leadership practices have the strongest correlation to the competencies of emotional intelligence.

Data were collected with a validated two part questionnaire using a Likert scale to determine to what extent participants practice specific leadership behaviors (part I) and also possess emotional intelligence competencies (part II). The survey was designed based upon Marzano's 21 areas of leadership responsibility (Waters, Marzano, & McNulty, 2003) and Goleman's four domains of emotional intelligence (2002). The research was approached through quantitative, correlational analysis.

A strong positive correlation ( $r = 0.74$ ) was found between high school principals' research-based leadership practices and their emotional intelligence, and 55% of the variance in principals' leadership practices could be explained by their emotional intelligence. Therefore, a focus on emotional intelligence should be encouraged as part of education reform; from university curriculum and coursework, to principal hiring practices, to professional development for aspiring and practicing principals. School principals equipped with emotional intelligence competencies will be much more effective in successfully leading meaningful school reform.

THE RELATIONSHIP BETWEEN EMOTIONAL INTELLIGENCE AND  
RESEARCH-BASED LEADERSHIP PRACTICES  
OF HIGH SCHOOL PRINCIPALS

By

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## Dedication and Acknowledgements

This dissertation study is dedicated to my parents, Oscar L. and Harriet C. Carey, who taught me the importance of hard work and perseverance, as well as the influence of emotional intelligence in daily human interaction. My father had high expectations and encouraged me throughout my career as an educator; from classroom teacher to school administrator, to executive leadership roles at the central office level. My mother modeled for me, always with grace and a touch of humor, the amazing power of emotional intelligence. I only wish they were here on this earth to share with me in this celebration of accomplishment.

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## Chapter One: Introduction

### Background

There is no denying that the responsibilities of a school principal are all-consuming. On any given day, the principal deals with many situations, ranging from issues with parents, teachers, or students, to school assemblies, to lunch counts and fire drills; not to mention, ensuring that every student is meeting with success. Successful principals are expected to be many things to many people. They must be communicators, instructional leaders, visionaries, facilitators, masters of change, culture builders, producers of results, servant-leaders, character builders, and role models for teachers and students. McEwan (2003) suggests a similar list of important characteristics: (1) Communicator, (2) Learning-Centered, (3) Envisioner, (4) People-Centered, (5) Change Master, (6) Culture Builder, (7) Activator, (8) Producer, (9) Character Builder, and (10) Contributor. Darling-Hammond, LaPointe, and Meyerson concur when they state, “Contemporary school administrators play a daunting array of roles, ranging from educational visionaries and change agents to instructional leaders, curriculum and assessment experts, budget analysts, facilities managers, special program administrators, and community builders” (2007, p. 1).

As the expectations for principals continue to multiply, the impact of the current landscape of education should be considered. In 1983, the National Commission on Excellence in Education produced a report entitled *A Nation at Risk*, which concluded that schools in the United States were failing to prepare students to compete in a global economy (National Commission on Excellence in Education, 1983).

Beginning with this landmark document, leaders have espoused that our public schools are not preparing students to prosper in the world. This cry that the educational system has failed continues today (U.S. Chamber of Commerce Institute for a Competitive Workforce, 2012). Standards-based outcomes have been viewed during this era as the solution to the problem. The current trend in school reform follows the basic tenet that schools should be run like businesses. Words like “accountability”, “measurement”, “standards”, and “outcomes-based” became part of federal policy when the Elementary and Secondary Education Act, otherwise known as No Child Left Behind Act (NCLB), was reauthorized in 2001.

Principals today are under more pressure than ever before to succeed, and success is often defined in very narrow terms. NCLB requires that schools and school systems meet Annual Measurable Objectives for reading and mathematics each year, and all students are expected to reach 100% proficiency by 2014. Even though the recent federal waiver legislation has taken some of the pressure off of those in leadership roles, the environment that test scores define success, remains in place. With the adoption of the Common Core State Standards, newly designed assessments, and redesigned teacher and principal evaluation procedures that include student growth, any relief felt by educators will likely be short lived.

These most recent reform initiatives are by far the most sweeping in recent decades. The adoption of the Common Core State Standards requires educators to redesign curriculum around higher standards and make huge changes in teaching pedagogy. One can’t pick up an education periodical or journal today without being

immersed with information about the Common Core. The National Public Radio's Impact Report in Ohio reports:

And the latest big thing may be bigger than all the others: It's the Common Core education standards that Ohio and 45 other states are now putting in place. And it has public schools across the country sitting on the cusp of a massive change in nearly every aspect of how math and English are taught, learned and tested (Moxley & Bloom, 2013).

Education leaders today fully recognize that achieving success in terms of higher test scores has become more and more difficult. For true reform, principals are expected to move teachers from isolation to collaboration, change the focus from teaching to student learning, implement structures and processes that systematically monitor student learning and increase accountability, and distribute leadership amongst school staff (Louis, Leithwood, Wahlstrom, & Anderson, 2010). Such paradigm shifts create a profound backdrop for the job of principals, with few jobs having as varied an array of responsibilities as the modern principalship. Any of these roles can distract principals from their most important role as instructional leaders. Often, what the job demands exceeds the capacity of most people (Darling-Hammond, LaPointe, Meyerson, & Orr, 2007).

As expectations for principal performance continue to expand, a decreased desire by educators to take on this role has been observed. Not only is there a growing shortage of people who are willing to take principalships, there are far fewer candidates who are well qualified to lead instructional improvement. In a school leadership study commissioned by the Wallace Foundation, Darling-Hammond, et al. found that "the



pressures of new accountability systems, expanding responsibilities, reforms removing principal tenure, and inadequate compensation are some of the factors discouraging individuals who are certified for administration from seeking or remaining in principalships” (2007, p. 3). Many candidates do not view the principal’s job, in its current state, as at all desirable (Louis, Leithwood, Wahlstrom, & Anderson, 2010).

At the same time that fewer qualified individuals pursue this leadership track, the research on the impact of principal leadership has been increasingly solidified. Principals are now regarded as central to the task of building schools that promote powerful teaching and learning for all students, rather than merely maintaining the status quo (Peterson, 2002). This recognition, coupled with a growing shortage of high-quality principals in American schools, has heightened interest in leadership development as a major reform strategy. As such, research in the area of leadership style and practices is on the rise.

#### Leadership styles.

Over time, studies have identified numerous models of leadership. Kurt Lewin (1939) identified three styles of leadership in organizational management: authoritarian leadership, participative leadership, and delegative leadership. The Hersey-Blanchard Situational Leadership model was developed in 1969 and is based upon the premise that leaders should change their leadership styles depending upon the situation (Graeff, 1997). They categorize leadership into four (4) types ranging from directive to supportive behavior. Like the Hersey & Blanchard model, William Reddin (1970) introduced a model of leadership containing the same basic types; however, his model examines leadership in terms of relationship orientation or task orientation behaviors.

Blake and Mouton's Behavioral Leadership Model (2010) includes five different leadership styles. These styles reflect the relationship between a manager's concern for people, concern for production, and his motivation. Daniel Goleman's *Leadership that Gets Results* (2000), a landmark Harvard Business Review study, found six (6) styles of leadership, ranging from a leader who behaves in a coercive manner to one who uses a coaching style. James McGregor Burns first coined the phrase, Transformational Leadership, in the 1970's comparing "Transactional" leadership to "Transformational" leadership, the latter being a leadership style that can "transform" an organization. Clearly, leadership models have evolved through history from simply distinguishing leaders from followers, to determining effectiveness based upon traits, to models that are much more dynamic in nature (Mendez-Morse, 1993).

#### Leadership in education.

It is not only important to understand the various models of leadership as described above; but for the purpose of this study, it is even more important to examine those leadership traits that have been linked to successful educational leadership, specifically those found to lead to increases in student achievement. Defranco and Golden (Cook, 2006) identified nine (9) areas that must be considered in principals' leadership performance; some that are focused more on the instructional aspects of leadership and some that are centered around the managerial facets of leadership. A similar set of traits described by the Southwest Educational Development Laboratory (Mendez-Morse, 1993) common in successful leaders of educational change, includes being visionary, believing that schools are for learning, valuing human resources, communicating effectively, being proactive, and taking risks. The Southern Regional

Education Board (SREB) identified those individual traits and skills most desired in a high school principal expected to “turn a school around”, such as commitment, vision, empathy, confidence, and emotional intelligence (Schmidt-Davis & Bottoms, 2012).

Carrier (2012) grouped leadership traits that positively influence student achievement into two broad areas; instructional leadership and personal attributes such as a strong will and being humble. Finally, Marzano and his colleagues conducted extensive research that resulted in a link between 21 leadership behaviors and traits and an increase in student achievement including communication, flexibility and others that are reviewed in detail in the literature review of this study (2005).

#### Emotional intelligence.

From studies focused on effective practices of school principals, principal training programs and standards for the evaluation of school principals have been developed and implemented across the country. The Interstate Leadership License Consortium (ISLLC) established standards commonly referred to as the ISLLC Standards (2010). While these standards and associated indicators cover many areas of leadership, they all point to qualities that are more easily measured in quantitative terms. For example, two such indicators are: (1) Monitor and evaluate management and operational systems; and (2) Collect and analyze data that is pertinent to the educational environment. As the era of high accountability has evolved, the value of softer traits has enjoyed less prominence. If educators have become so focused on outcomes, could it be that a very important factor is being overlooked in the field of education, specifically in a principal’s ability to lead - emotional intelligence? Few fields have a greater presence of human interaction than the field of education.

Salovey and Mayer (1990) first used the term, “emotional intelligence”, defining it as “the ability to monitor one’s own and others’ feelings, to discriminate among them, and to use this information to guide one’s thinking and actions” (p.189). They identify five (5) domains of emotional intelligence including self-awareness, managing emotions, motivating self, empathy, and handling relationships. Bar-On defines emotional intelligence (2006) as one’s ability to use non cognitive skills and competencies to successfully deal with demands and pressures in life. Finally, Goleman (2002) identifies four domains. He terms these domains self-awareness, self-monitoring, social awareness, and relationship management. As can be observed in Table 1, there are very subtle differences in these three models, mostly having to do with the method of measurement (Viklund, 2013).

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Table 1: Major Models and Methods of Measurement of Emotional Intelligence

Model	Mayer-Salovey	Bar-On	Goleman
Definition	The ability to perceive accurately, appraise, and express emotion; the ability to access and/or generate feelings when they facilitate thought; the ability to understand emotion and emotional knowledge; and the ability to regulate emotions to promote emotional and intellectual growth.	An array of non-cognitive capabilities, competencies, and skills that influence one’s ability to succeed in coping with environmental demands and pressures.	A learned capability based on emotional intelligence that fosters outstanding performance at work.
Method of Measurement	Ability testing – observed. Example: Look at the face in the picture. What is the emotion?	Assessment of social/emotional behaviors - self-assessment. Example: I make people happy. (Likert scale)	Assessment of emotional competencies – observed or self-assessment. Example: Builds rapport (Likert scale)

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Research pointing to the importance of a leader's ability to relate to others and to manage the emotions of self and others is prevalent in the business sector. In a study of emotional intelligence and the linkage to leadership in business, Cooper and Sawaf (1997) identified four (4) key areas of emotional intelligence: emotional alchemy, emotional depth, emotional fitness, and emotional literacy. Anand and Udaya Suriyan (2010) found in a study on emotional intelligence and leadership practices that the emotional intelligence of business executives has a significant association with leadership practices. Colfax, Rivera, and Perez (2010) agree that effective global leaders have a developed emotional intelligence. They suggest that, "the paradigms of yesterday are constantly being reshaped by the innovations of today and the potential of tomorrow. In this fast paced and dynamic environment, one needs not look too far to find the measure of such leaders; one needs only to look within" (pg. 97). In other words, global business leaders should develop their emotional intelligence to the greatest extent possible.

#### Emotional intelligence in education.

While this research abounds in the business arena, study is scarce specifically related to the importance of emotional intelligence in school principals. A review of the literature by Labby, Lunenburg and Slate, revealed that very little attention has been devoted to the study of the emotional intelligence skills of principals (2012). Given the demand for highly qualified principals and the abundant presence of human interaction in the school setting, perhaps determining the relationship between research-based principal leadership practices and emotional intelligence is an area of study that can lead to greater insight into what makes a successful school principal.

#### The Problem

The hiring of school principals is increasingly difficult. Not only are fewer qualified individuals seeking this complex role, but it is difficult to identify the most effective principals using the traditional interviewing protocols used in education today. A series of questions and answers about predictable topics, more often than not, reveals little about the leadership ability of a principal. The pressure is on for those in the role to perform as a Superman-like character does. Professional development is critical for principals to be able to hone their leadership skills. When the most successful principals are scarce and burn out more quickly, it is essential that higher education leadership programs develop coursework that prepares educators for the role; that school systems hire the strongest candidates; and that those in the role of principal have numerous professional development opportunities that foster leadership growth.

Being able to identify those attributes and skills that are needed in effective principals will help. Additionally, determining if and how those skills can be learned is equally important. Goleman (1998) found that emotional competencies are learned and can be taught and that the mastery of such competencies evolves over time.

If in the business sector, specific leadership attributes have been identified that can be learned, shouldn't those attributes be researched for applicability in the field of education? Therefore, this study examines the relationship between research-based leadership practices of school principals and their emotional intelligence.

#### Purpose of the Study

The purpose of this study is to investigate the relationship between emotional intelligence and research-based leadership practices of principals. Multiple studies have

been conducted to identify those leadership skills that principals must possess to lead a school to achieve its mission. In this current environment of high stakes accountability, and the search for principals who can “turnaround” schools, an understanding of the behaviors of successful school principals is essential, with a strong focus on instructional leadership. Principals who have an impact on student achievement have a laser-like focus on instruction. As a result, research-based leadership practices have been adopted by states in the form of standards and are now being incorporated into new principal evaluation instruments. Any evaluation has as its core purpose to reflect areas of strengths and weaknesses. This identification will logically lead to the specific professional development needs of school principals.

In any human group, the leader is one to whom others look for clarity and reassurance, especially in times of uncertainty and change. This is true whether referring to the business environment or to school leadership. Embracing this assumption that there is likely an overlap in the skills required for business leadership and principal leadership, it is the basic premise of this study that given that (a) emotional intelligence has been linked to success in business then (b) research-based practices of principals may be linked to emotional intelligence. Therefore, the overarching purpose of this study is to examine the relationship between principals’ emotional intelligence and research-based practices of school principals, seeking implications for principal hiring as well as training and professional development for principals.

### Research Questions

This study sought to answer the following research questions:

1. Is there a relationship between a principal's emotional intelligence and research-based practices of school principals?
2. If so, which specific components of emotional intelligence have the strongest correlation to research-based practices of school principals?

### Research Structure

The population for this research study was high school principals in the state of Maryland. To ensure diverse representation, the entire population was invited to participate. Recognizing that all 201 high school principals in Maryland (MSDE, 2011) would likely not chose to participate; the desired sample for the study was at least 40 principals, which represented approximately 20% of high school principals in Maryland.

The population was contacted and invited to participate. Participants completed a dual part validated inventory that is a self-assessment of both leadership practices and emotional intelligence. A statistical analysis of the correlation between leadership practices and emotional intelligence was completed that would determine the relationship between research-based school leadership practices and emotional intelligence of high school principals in Maryland.

### Significance of the Study

Because research has suggested a strong relationship between emotional intelligence and bottom line success in the business arena, this linkage between emotional intelligence and research-based practices of school principals adds to the limited research that has been conducted investigating the role that emotional intelligence has in the education world. This linkage not only necessitates that the content of professional development be expanded to include elements of emotional intelligence, but suggests that



the ability to identify principal candidates' levels of emotional intelligence provides greater assurance of hiring effective principals.

## **Chapter Two: Review of the Literature**

### **Organization of the Review**

The premise of this research study, simply stated, was that if (a) emotional intelligence has been linked to success in business then (b) research-based practices of principals may be linked to emotional intelligence. Thus, the overarching purpose of this study was to examine the relationship between a principal's emotional intelligence and research-based practices of school principals, seeking implications for principal hiring as well as pre-service training and professional development for principals.

This literature review begins with a description of the current context of educational reform, shedding light on the increased complex nature of the school principal's job during the last few decades. As the principal's role has increased in complexity, the demand for high quality school principals has also increased. Therefore, the urgency is heightened not only to identify research-based leadership practices and qualities needed in principals today, but then to select and support principal candidates who can fulfill the complex responsibilities. This critical information will provide for the advancement of educational reform. There is no arguing that the context of educational reform today has greatly impacted the need for research in this area.

Next, the review explores the constructs of both leadership and emotional intelligence; first, leadership models in general followed by leadership practices that are specific to the needs of school principals. The review then arrives at the essence of the study, delving into the area of emotional intelligence, first defining its meaning and then exploring the research that has been conducted specifically as applied in the business arena and finally in the field of education. The review is therefore organized using a

deductive approach; beginning with the broad context of educational reform and leadership requirements and finally arriving at the heart of the study: research that has been conducted to date on the relationship between emotional intelligence and research-based practices of principals.

#### An Era of School Reform

School leadership cannot be studied in isolation. The context within which one is expected to lead greatly impacts the skills and knowledge necessary to lead our schools. Therefore the literature review begins with a description of an era of reform that has greatly influenced priorities for educators today.

#### A Nation at Risk.

Nearly three decades ago, President Ronald Reagan commissioned a blue ribbon committee charged with examining the state of public education in the United States. After two years of work, in the spring of 1983, the National Commission on Excellence in Education issued its report titled, *A Nation at Risk*. This report, in essence, took education leaders to task for becoming complacent about public schools in the United States. The Commission authored this landmark document, referring to it as "an open letter to the American people." The report described the urgency of improvement; specifically, the need to reform America's public schools. It cautioned that the nation was at risk with strong statements such as:

Our Nation is at risk. Our once unchallenged preeminence in commerce, industry, science and technological innovation is being overtaken by competitors throughout the world ... the educational foundations of our society are presently being eroded by a rising tide of mediocrity that

threatens our very future as a Nation and as a people. What was unimaginable a generation ago has begun to occur -- others are matching and surpassing our educational attainments ... If an unfriendly foreign power had attempted to impose on America the mediocre educational performance that exists today, we might well have viewed it as an act of war (National Commission on Excellence in Education, 1983, p. 9).

The document was organized around four major topics: content, expectations, time, and teaching. Within each topic, recommendations and implementation strategies made by the Commission are summarized as follows:

- that all students seeking a high school diploma have a foundation in the "five new basics", including English, mathematics, science, social studies, and computer science. Additionally, students planning to attend college should also have instruction in a foreign language;
- that schools, both K-12 and higher education, adopt more "rigorous and measurable standards" and have higher expectations for student performance and conduct;
- that institutions of higher education raise admissions standards to push students to do their best during their elementary and secondary years;
- that schools devote more time to teaching the new basics, which could take the form of longer, seven-hour school days, a school year with 200 to 220 days, or a more efficient use of the existing school day; and
- that higher standards for teacher-preparation programs, competitive and performance-based salaries, 11-month contracts for teachers allowing more time

for curriculum and professional development, career ladders that differentiate teachers based on experience and skill, more resources devoted to teacher-shortage areas, incentives for drawing highly qualified applicants into the profession, and mentoring programs for novice teachers all be put into practice (Education Week, 2004).

#### Goals 2000.

*A Nation at Risk* most notably led to Comprehensive School Reform efforts, standards-based education, and school accountability (Weiss, 2003). Most states and districts in the 1990s adopted Outcomes-Based Education (OBE) in some form or another. States created their own standards and chose an assessment to determine if students had mastered the skills and knowledge established by the standards. National Education Goals (Goals 2000) were set by the U.S. Congress in the 1990s, following the first National Education Summit held at the University of Virginia attended by President George H.W. Bush and the 50 state governors, including Arkansas Governor William J. Clinton (Holland, 1999).

These goals were based on the principles of outcomes-based education, with the idea that they would be attained by the year 2000: (1) All children will start school ready to learn; (2) The high school graduation rate will increase to at least 90 percent; (3) All students will be prepared for responsible citizenship, further learning, and productive employment in a global economy; (4) Teachers will acquire knowledge and skills necessary to prepare students for the next century; (5) U.S. students will be first in the world in math and science achievement; (6) Every adult will be literate and ready for lifelong learning; (7) Every school will be free of drugs, violence, and unauthorized

firearms and alcohol; (8) Every school will promote parental involvement in the social, economic, and academic growth of children (Holland, 1999).

The preamble to the Goals 2000: Educate America Act (H.R.1804, 1994) stated its purpose as follows:

To improve learning and teaching by providing a national framework for education reform; to promote the research, consensus building, and systemic changes needed to ensure equitable educational opportunities and high levels of educational achievement for all students; to provide a framework for reauthorization of all Federal education programs; to promote the development and adoption of a voluntary national system of skill standards and certifications; and for other purposes (1994, p. 1).

The Act provided funding to states based on the premise that students would reach higher levels of achievement when more is expected of them. Goals 2000 was supposed to be a voluntary educational reform plan. However, Congress appropriated \$105 million for fiscal year 1994, and if states chose not to participate, they would lose federal funding. The federal Government's increased involvement in education was highly debated at the time, and the results of Goals 2000 were questionable in terms of the desired outcome – student achievement. Schwartz and Robinson (2011) concluded in their Brookings Paper on Education Policy that the lesson that was learned from the Goals 2000 experience is that:

States and school districts are much better at redesigning organizations, or at least organizational charts, than they are at setting standards. And they are much, much better at setting standards than at holding anyone—students, teachers,

administrators—accountable for failing to meet those standards...Changing practice in the high-visibility, high-stakes world of education is a lot harder than rearranging the proverbial deck chairs.

#### No Child Left Behind.

The standards-based reform movement led to the reauthorization of the Elementary and Secondary Education Act, titled the No Child Left Behind (NCLB) Act of 2001 under President George W. Bush. To many, NCLB set in stone what Goals 2000 had proposed (Williams, 2008). At the core of NCLB were a number of measures designed to drive broad gains in student achievement and to hold states and schools more accountable for student progress. Beginning in the 2002-03 school year, states were required to publish annual report cards showing a range of information, including student achievement data broken down by subgroup and information on the performance of school districts. Districts also were required to provide similar report cards showing school-by-school data. Ultimately, all students (100%) were to score at the proficient level on state tests by 2014.

NCLB generated even more controversy than Goals 2000. Many in the education community considered the law to be politically driven and to set unfair expectations. Education Week (2011) reported that “traditionally high-performing schools made headlines as they failed to meet their set rates of improvement, and states saw increasingly high rates of failure to meet the rising benchmarks. By 2010, 38 percent of schools were failing to make adequate yearly progress, up from 29 percent in 2006.” While many education s applauded the law when first enacted, as the stakes grew higher and higher as 2014 approached, one-time supporters and critics began to see how

the law was leading to some unintended consequences. In July 2012, the New York Times reported:

While No Child Left Behind has been praised for forcing schools to become more accountable for the education of poor and minority children, it has been derided for what some regard as an obsessive focus on test results, which has led to some notorious cheating scandals. Critics have also faulted the law's system of rating schools, which they say labeled so many of them low performing that it rendered the judgment meaningless. (Rich, 2012)

#### Race to the Top.

In March 2010, President Barack Obama issued his administration's *Blueprint for Reform* (United States Department of Education, 2010a). The "Blueprint" challenges the nation to embrace education standards that put America on a path to global leadership. It describes how the Obama administration intends to overhaul the Elementary and Secondary Education Act (ESEA). The Blueprint outlines four priority areas including implementing college and career-ready standards (Common Core State Standards); enhancing data infrastructures to ensure that educators and families have the information that they need to improve student learning; turning around the lowest achieving schools; and improving teacher and principal effectiveness to ensure that every classroom has a great teacher and every school has a great principal.

Even prior to the release of the Blueprint for Reform, there were strong clues to the administration's intent for education reform. In July 2009, Obama announced the Race to the Top (United States Department of Education, 2010b), a competition for \$4.35 billion in grants as a part of the American Recovery and Reinvestment Act of 2009. The



Race to the Top (RTTT) program provides competitive grants as incentives to encourage and reward states that are creating the conditions for education innovation and reform by implementing ambitious plans in the four priority areas that would later be included in the Blueprint for Reform. States completed comprehensive applications around these four priority areas and were awarded points based upon current progress and plans for the future. While the Elementary and Secondary Education Act has yet to be reauthorized, many states are well on their way to implementing reform initiatives around these four areas. The push toward all students being college and career ready, the adoption of the Common Core State Standards, and the fact that evaluation models are being designed to assess teachers and principals on their ability to ensure such readiness, takes the level of accountability to new heights and adds to the growing complexity of the role of a school administrator.

### **Reform efforts and the school principal.**

In the decades that have passed, during this era of *A Nation at Risk*, Goals 2000, NCLB and Race to the Top, scholars have attempted to assess the impact of such reform efforts on the schools today. The Stanford University Koret Task Force found that *A Nation at Risk* did a good job of pointing out the problems in American schools, but was not able to identify the fundamental reasons for the problems or address the political influences in the public education system (Education Week, 2004). The impact of reform efforts was once again assessed by Secretary of Education, Margaret Spellings in a 2008 report titled, *A Nation Accountable Twenty-five Years After A Nation at Risk* (2008). This report concluded that, “in the last two decades, policymakers have worked to develop measurement systems that obviate the need for another such surprising report and that

keep the country aware of the challenges we face” (2008, p. 8). However, this document concluded that:

Of the 20 children born in 1983, only six would have been proficient readers in fourth grade and only four would have been proficient in math. A new class of 20 kids born in 1997, and tested in 2007, would have seven proficient readers in fourth grade and eight students who are proficient in math. So, while we are gaining ground in math, two-thirds of our fourth-graders are still not proficient readers (p. 9).

The review of literature suggests that while reform efforts continue with increased measures of accountability for school systems, schools, principals, and teachers; the results are inconclusive. Jal Mehta (2011), Assistant Professor of Education at Harvard University, contends that the current path toward education reform is not working. He states:

Expectations far outstrip performance. Teachers (on the whole) can't do what is asked of them, especially as expectations increase. Bureaucratic structures seek to address the problem but only compound it. Policymakers distrust teachers and schools; teachers and schools distrust policymakers. Efforts to rationalize schools through NCLB style accountability just double down on the existing structure, and are largely impotent to create the kind of significant improvement we say we seek. (p. 19)

The literature also reflects that while there appears to be little change in student performance as a result of education reform efforts, increased accountability measures have greatly affected the demands placed on school administrators. In fact, the

expectations for today's school principals are higher than ever before. In a School Leadership Study commissioned by the Wallace Foundation in 2007: *Preparing School Leaders for a Changing World* (Darling-Hammond, LaPoint, & Orr, 2007) , the primary investigators state:

Contemporary school administrators play a daunting array of roles. They must be educational visionaries and change agents, instructional leaders, curriculum and assessment experts, budget analysts, facility managers, special program administrators and community builders. Principals need a sophisticated understanding of organizations and organizational change (p.1).

Darling-Hammond adds, “the quality of school level leaders is second only to that of teachers in predicting student achievement...it is the leader's ability to use his or her dominant leadership traits to inspire teachers to teach more effectively” (2007, p. 17).

A report issued by The Council of Chief State School Officers (2010) stated, “Shrinking resources, coupled with increased demands on schools, states and districts, demand a new type of leadership.” The report suggests that schools principals today must “possess in-depth knowledge, problem solving skills, and the attendant authority to make decisions.”

As a result, fewer teacher leaders are choosing the role of principal. In their study designed to determine the factors teachers identified as being the most important in their choice not to become school administrators, Hewitt, Denny, and Pijanowski (2011) found that the number one reason teacher leaders chose to not become a principal was because of pressures of testing and accountability, with a

mean score of 3.73 out of a possible 5.00 for the 394 responding teachers. With demands increasing for this complex role, specifically in the leadership arena, the literature review now moves on to explore basic theories of leadership prior to examining leadership styles that are specific to educational leadership.

### Theories of Leadership

The review begins with an exploration of leadership theories in general that have been postulated over time. Research in the area of leadership is vast. Studies have categorized leadership theories in a number of ways; some referring to all types as theories or styles (with no difference between the two), some distinguishing between theories and styles (with theory referring to the broad category and style being more narrow in scope), and some separate leadership models (tool kits), philosophies (beliefs), and styles (specifically narrow). This terminology is used interchangeably by those who study leadership, and for that reason it can be confusing. For example, Müller & Turner (2005) describe six modern schools of leadership as follows: Trait Theory - leaders are born not made, Behavioural Theory - leadership skills can be developed, Contingency/Situational Theory - effective leadership depends on the situation, Visionary/Charismatic Leadership Theory - Transformation vs. Transaction, Emotional Intelligence - your (gut) feelings matter, Competency - all matters (traits, behaviours, styles, emotions, processes, intellect...).

For the purposes of this review, five major theories are reviewed. Those broad categories of leadership theory include: trait, situational, behavioral, transactional and transformational. According to Caruso, Mayer, and Salovey (2004) it is necessary to address the role emotional intelligence plays when discussing leadership. However, the

literature on theories of leadership makes little reference to emotional intelligence until the introduction of transformational leadership theory.

#### Trait theory.

The first theory of leadership was trait theory. Trait theory describes leadership in terms of personality characteristics; one in which leaders are born, not made. This theory can be traced back to the early nineteenth century. During this early period this approach was specifically known as “Great Man Theory”. Dambe and Moorad (2008) describe the Great Man theory of leadership as, “being concerned with describing the lives of military, political, and industrial leaders”. Thomas Carlyle is associated with early work on trait theory. In *On Heroes, Hero-Worship, and the Heroic History* (1888), he used this approach to identify the characteristics of men who arose to power including Muhammad, Shakespeare, Luther, Rousseau, and Napoleon.

Proponents of trait theory will typically espouse a list of leadership qualities that are believed to lead to effective leadership. Kirkpatrick and Locke (1991) argue that key leader traits include: drive (a broad term which includes achievement, motivation, ambition, energy, tenacity, and initiative); leadership motivation (the desire to lead but not to seek power as an end in itself); honesty, integrity, self-confidence (which are associated with emotional stability); cognitive ability; and knowledge of the business. They conclude their study by stating, “Leaders do not have to be great men or women by being intellectual geniuses or omniscient prophets to succeed, but they do need to have the right stuff and this stuff is not equally present in all people” (p. 59).

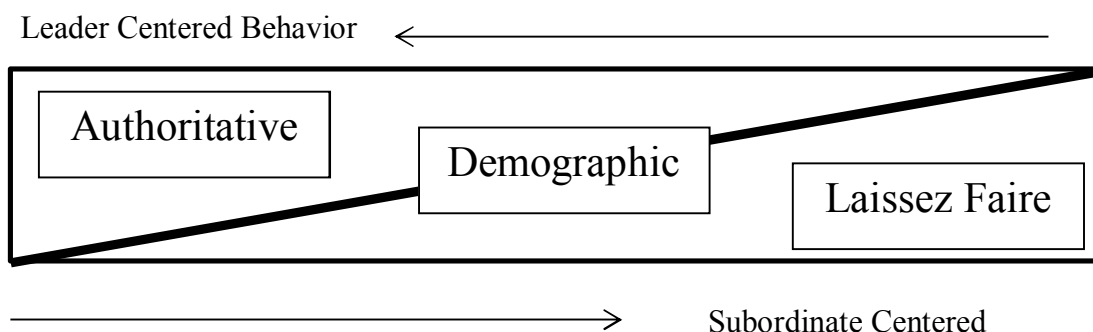
### Behavioral leadership theory.

In direct contrast to trait leadership models, behavioral leadership is based upon the belief that great leaders are made, not born. This leadership model is rooted in behaviorism and is focused on the behaviors or action of leaders, not mental abilities or emotions. Behaviorists believe that strong leadership can be learned.

Three styles fall under the behavioral umbrella - autocratic, democratic and laissez faire. These terms, defined by Kurt Lewin (1939), deal with how a leader makes decisions (see Figure 1). Autocratic styles do not take group input and rely on telling followers what to do. Democratic styles seek input from the group though the final decision rests with the leader. Leaders using a laissez faire approach are literally hands off. They provide little direction and prefer to let the group act on its own.

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#### Behavioral Model of Leadership



#### Behavior

Figure 1: Representation of how decisions are made in a behavioral model of leadership.

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### **Situational leadership theory.**

The Hersey-Blanchard Situational Leadership Theory, originally developed in 1969 (Learn-to-be-a-Leader.com, 2009), is based upon the premise that successful leaders can change their leadership styles based on the maturity of the people they're leading and the details of the task. They categorize leadership into four types ranging from the leader telling people exactly what to do, to the leader delegating the responsibility to others in the group.

- Telling/Directing – The leader knows that he must tell people exactly what to do, and how to do it.
- Selling/Coaching – The leader knows that he can and should provide information and direction, but there's more communication with followers.
- Participating – The leader knows that he can and should focus more on the relationship with followers and less on providing direction for the task; share decision-making.
- Delegating – The leader knows that he can and should pass most of the responsibility onto the follower(s); less involved in the decisions.

This model implies that once a leader learns to diagnose and implement the corresponding leadership style, they will be a more effective leader. An effective leader should be able to execute each of the four techniques. Different techniques may be used on the same follower depending on the situation, and the leader recognizes those circumstances (see Figure 2).

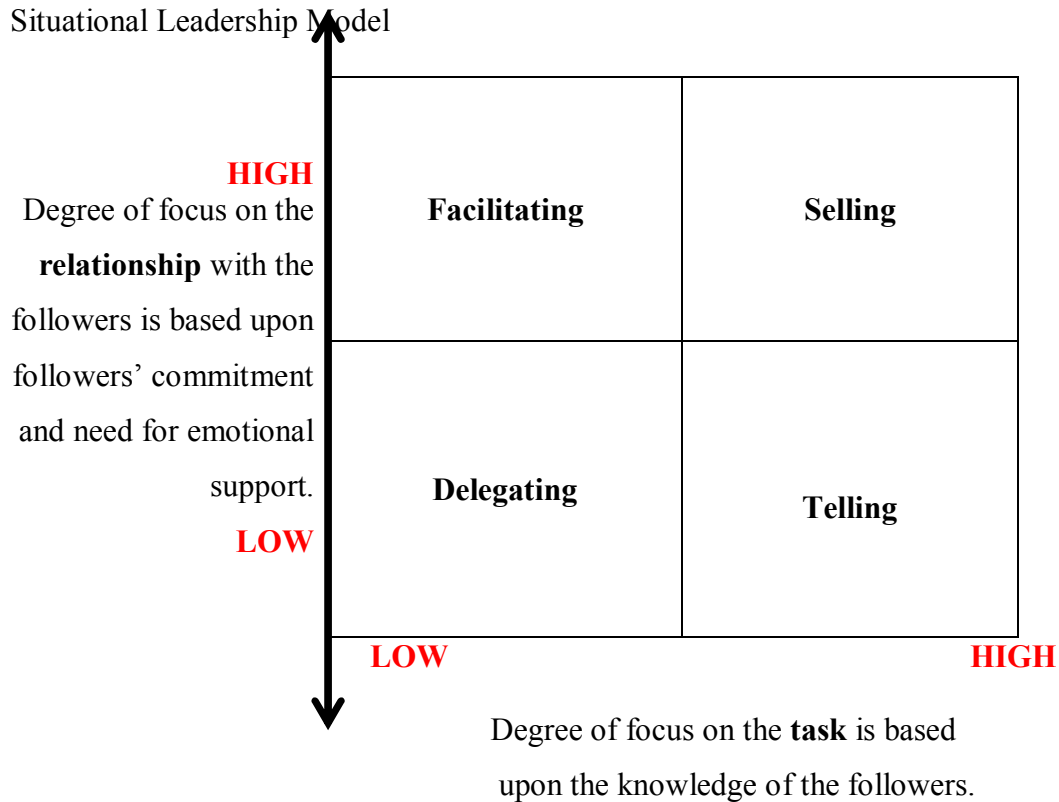


Figure 2: Representation of Situational Leadership Model where effective leaders are flexible with their approach depending on the knowledge level and commitment level of the follower(s)

Within the realm of situational leadership, Daniel Goleman suggests 6 leadership styles that the best leaders use flexibly depending on the situation. His *Leadership That Gets Results* (2000), a landmark Harvard Business Review study, was completed over a three-year period of time involving more than 3,000 middle-level managers. The goal of the study was to uncover specific leadership approaches and determine their effect on the corporate climate and on bottom-line profitability. The research discovered that a manager's leadership style was responsible for 30% of the company's bottom-line profitability. Goleman's six styles of leadership (see Table 2) include: (1) The *pacesetter* leader expects and models excellence and self-direction; "Do as I do, now."



(2) The *authoritative* leader mobilizes the team toward a common vision and focuses on end goals, leaving the means up to each individual; “Come with me.” (3) The *affiliative* leader works to create emotional bonds that bring a feeling of bonding and belonging to the organization; “People come first.” (4) The *coaching* leader develops people for the future; “Try this.” (5) The *coercive* leader demands immediate compliance; “Do what I tell you.” (6) The *democratic* leader builds consensus through participation; “What do you think?” Each of these styles, according to Goleman (2002), springs from the different components of emotional intelligence.

Table 2: Description, Appropriate Use, and Weaknesses of Goleman's Six Styles of Leadership

Style	Description	When to use it	Weaknesses
<b>Commanding / coercive</b>	Dictatorship - "Do what I say"	In urgency - when time is scarce, and in crisis.	Members can feel stifled as they are treated as workers and not asked for an opinion.
<b>Visionary / Authoritative</b>	Mobilises people towards a vision	When a new vision and direction is needed	Lacks the ability to help team members understand how they get to a vision or goal.
<b>Affiliative</b>	Focuses on emotional needs over work needs.	Best used for healing rifts and getting through stressful situations.	Confrontation and emotionally distressing positions can be avoided
<b>Democratic</b>	Uses participation, listening to both the bad and the good news	To gain valuable input from employees and to gain Buy-in, when there is time to do so.	Can be lots of listening but very little effective action.
<b>Pacesetting</b>	Builds challenging and exciting goals for people,	When the team is already highly motivated and competent	Can lack emotional intelligence
<b>Coaching</b>	connecting corporate goals whilst helping people find strengths and weaknesses, linking these to career aspirations and actions	Coach, mentor and develop individuals when they need to build longer term strengths	Can come across as micromanaging.

### Transactional and transformational leadership theories.

In 1978, James MacGregor Burns first brought the concepts of transactional and transformational leadership to prominence in his book *Leadership* (Mendez-Morse, 1993). Bernard Bass (2008) also studied these styles. He described transactional leadership as an exchange type of style that involves rewarding followers by meeting immediate needs or by punishing or withdrawing rewards for lack of results. For example, a paycheck is an example of a positive reward for an employee to come to work. The threat of failing a course is an example of a negative reward used to motivate a student to come to class.

Exchanging reward for action is a compelling type of leadership which is appropriate in many situations where tasks are clearly defined and individuals are not intrinsically motivated to perform (Bass, 2008).

Conversely, Bass defined the transformational leadership style as one of empowerment, vision, values, and inspiration. A transformational leader appeals to a follower's higher needs like fulfillment or justice. A transformational leader inspires through positive and encouraging behaviors, resulting in increased drive by both the leader and followers.

Jim Collins (2001), a well-known author and management researcher, also advocated for transformational leadership when he attempted to uncover what transformed a company from good to great. As a result of a five-year study conducted with 1,435 Fortune 500 companies, he and a group of 22 colleagues found that great companies had “Level 5” Leaders. They wanted to know if good companies could become great; and if so, how? They concluded that only 11 companies met the criteria of a “great company” and their leaders were unique people with specific characteristics. Level 5 Leaders are humble, unpretentious, and reserved. They don’t want public recognition for their accomplishments and instead will credit others. They have the drive to reach for excellence and lead others to do the same. Their focus is on the company; and they make decisions based upon what is best for the company, not for personal gain. During times of adversity, the Level 5 Leader blames himself, but continues to push through the adversity. Barling, Slater, and Kelloway (2000) assert that individuals are more likely to display transformational behaviors if they are emotionally intelligent. They suggest that if leaders understand their own and others’ emotions, they are more

likely to garner trust and respect and will have a much stronger chance of inspiring and motivating followers.

### Leadership in Education

With a basic understanding of these 5 broad theories of leadership, the literature review moves specifically into the exploration of leadership as it applies to school principals. As noted, starting around the mid-1980s the public became increasingly more demanding of school systems to improve students' academic performance. The link between leadership and student achievement came to the forefront. Adams and Kirst (1999) stated, "The 'excellence movement' was launched, and in its wake followed an evolution in the notion of educational accountability commensurate with the movement's challenge to obtain better student performance" (p. 463). Initiatives were implemented as a way of providing more accountability. They state, "Policy makers, educational leaders, practitioners, and parents also continued to seek better student performance and accountability through management practices, professional standards, teacher commitment, democratic processes, and parent choice" (p. 466). School reform and accountability movements pressure school principals to improve student achievement, yet there is little research on how to get there. Educational accountability policies and programs are fraught with both internal and external turbulence that must be negotiated and resolved by the school principal.

Therefore, as the demands of accountability continue to increase for principals, it is important to not only examine effective leadership styles in general, but to also explore and identify those leadership behaviors of principals. School systems and principals must pursue and identify research-based practices and qualities needed by principals today.

Defranco and Golden (Cook, 2006) identified nine (9) areas that must be considered in principals' leadership performance; some that are focused more on the instructional aspects of leadership and some that are centered around managerial characteristics of the leader. These areas include: leadership attributes, visionary leadership, community leadership, instructional leadership, data-driven improvement, organization to improve student learning, organization to improve staff efficacy, cultural competence, and educational management. Another example can be seen in the list of educational leadership qualities suggested by SEDL (1993), formerly Southwest Educational Development Laboratory. Those qualities include: being visionary, believing that schools are for learning, valuing human resources, communicating and listening effectively, being proactive, and taking risks. SEDL found that these traits are common in successful leaders of educational change. The Southern Regional Education Board (SREB) identified those individual traits and skills most desired in a high school principal expected to "turn a school around": They include: courage, intelligence and knowledge of curriculum and instruction, emotional intelligence, systems-thinking and ability to anticipate consequences of actions, a sense of hope, enthusiasm and confidence, ethics, communication and vision, commitment and missionary zeal, advocacy and empathy, and collaborator and relationship builder (Schmidt-Davis & Bottoms, 2012).

Carrier (2012) found that (1) instructional leaders engage in work that either directly or indirectly focuses on learning for students and adults; communicates high expectations for student achievement and instruction; uses data to inform the work of the school, and develops a community that is unified around one vision and one mission for the school; and (2) the actions of principals that demonstrate the leadership traits of being

carried by strong professional will and being personally humble and modest influence the level of effectiveness of the work of the principal in positively influencing student achievement.

#### Meta-analysis.

In 1998, the Mid-continent Research for Education and Learning (McREL) began to synthesize more than three decades of research on the effects of leadership on student achievement through a meta-analysis of the research on characteristics of students, practices of teachers, and school practices associated with school effectiveness. After analyzing more than 5000 studies, McREL researchers identified 66 practices grouped into 21 leadership responsibilities that were significantly associated with student achievement (Waters, Marzano, & McNulty, 2003). These 21 leadership responsibilities can be found in Table 3.

Table 3: Leadership Responsibilities Associated With Student Achievement Identified By McREL

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1. Culture	12. Input
2. Order	13. Affirmation
3. Discipline	14. Relationship
4. Resources	15. Change Agent
5. Curriculum, Instruction, Assessment	16. Optimizer
6. Focus	17. Ideals/Beliefs
7. Knowledge of Curriculum, Instruction, Assessment	18. Monitors/Evaluates
8. Visibility	19. Flexibility
9. Contingent Rewards	20. Situational Awareness
10. Communication	21. Intellectual Stimulation
11. Outreach	

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### The Wallace study.

Finally, the most current and most compelling study on the relationship between a principal's practice and student achievement was funded by the Wallace Foundation (Louis, Leithwood, Wahlstrom, & Anderson, 2010). This multi-year, comprehensive research study was conducted by the Center for Applied Research and Educational Improvement at the University of Minnesota. The study, *Investigating the Links to Improved Student Learning*, involved the collection of data from close to 9000 teachers, 471 principals, and 408 district and state administrators. Reading and Math state test scores provided achievement data. Results linked specific principal behaviors to increased student achievement as seen in Table 4 (Marzano, 2012)

Table 4: Core Leadership Practices Identified In The Wallace Study

Setting directions
1.1 Building shared vision -Focusing school on goals for student achievement (SA)
1.2 Fostering acceptance of group goals -Focusing teachers' attention on SA goals
1.3 Creating high expectations -Focusing teachers' attention on expectations for SA
1.4 Communicating the direction -Staying current
Developing people
2.1 Providing individualized support and consideration
2.2 Offering intellectual stimulation -Providing mentoring opportunities for new teachers
2.3 Modeling appropriate values and practices
Redesigning the organization
3.1 Building collaborative cultures
3.2 Modifying organizational structures to nurture collaboration

3.3 Building productive relations with families and communities

3.4 Connecting the school to the wider community

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Managing the instructional program

4.1 Staffing the instructional program

4.2 Monitoring progress of students, teachers and the school

4.3 Providing instructional support -Providing instructional resources

4.4 Aligning resources

4.5 Buffering staff from distractions to their work

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From the Meta - analysis of School Leadership and the Wallace Foundation study, Marzano, in consultation with Learning Sciences International, conducted further research to identify specific school leader actions and behaviors that have a relationship with student achievement and created the Marzano School Leadership Evaluation Model. Table 5 illustrates the five domains and 21 leadership responsibilities and associated practices found to be significantly associated with student achievement (Waters, Marzano, & McNulty, 2003).

Table 5: Research-Based Domains and Principal Practices That Have Been Proven To Lead To Student Achievement

DOMAIN	RESPONSIBILITY OR PRACTICE
A Data-Driven Focus on Student Achievement	The school leader ensures clear and measurable goals are established and focused on critical needs regarding improving overall student achievement at the school level.
	The school leader ensures clear and measurable goals are established and focused on critical needs regarding improving achievement of individual students within the school.
	The school leader ensures that data are analyzed, interpreted, and used to regularly monitor progress toward school achievement goals.
	The school leader ensures that data are analyzed, interpreted, and used to regularly monitor progress toward school achievement



	<p>goals for individual students.</p> <p>The school leader ensures that appropriate school-level and classroom-level programs and practices are in place to help all students meet individual achievement goals when data indicate interventions are needed.</p>
Continuous Improvement Of Instruction	<p>The school leader provides a clear vision as to how instruction should be addressed in the school.</p> <p>The school leader effectively supports and retains teachers who continually enhance their pedagogical skills through reflection and professional growth plans.</p> <p>The school leader is aware of predominant instructional practices throughout the school.</p> <p>The school leader ensures that teachers are provided with clear, ongoing evaluations of their pedagogical strengths and weaknesses that are based on multiple sources of data and are consistent with student achievement data.</p> <p>The school leader ensures that teachers are provided with job-embedded professional development that is directly related to their instructional growth goals.</p>
	<p>The school leader ensures that the school curriculum and accompanying assessments adhere to state and district standards.</p> <p>The school leader ensures that the school curriculum is focused enough that it can be adequately addressed in the time available to teachers.</p> <p>The school leader ensures that all students have the opportunity to learn the critical content of the curriculum.</p>
	<p>The school leader ensures that teachers have opportunities to observe and discuss effective teaching.</p> <p>The school leader ensures that teachers have formal roles in the decision-making process regarding school initiatives.</p> <p>The school leader ensures that teacher teams and collaborative groups regularly interact to address common issues regarding curriculum, assessment, instruction, and the achievement of all students.</p> <p>The school leader ensures that teachers and staff have formal ways to provide input regarding the optimal functioning of the school and delegates responsibilities appropriately.</p> <p>The school leader ensures that students, parents, and community have formal ways to provide input regarding the optimal functioning of the school.</p>
	<p>The school leader is recognized as the leader of the school who continually improves his or her professional practice.</p> <p>The school leader has the trust of the faculty and staff that his or her actions are guided by what is best for all student populations.</p> <p>The school leader ensures that faculty and staff perceive the school environment as safe and orderly.</p>

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The school leader ensures that students, parents, and community perceive the school environment as safe and orderly.

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The school leader manages the fiscal, operational, and technological resources of the school in a way that focuses on effective instruction and the achievement of all students.

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The school leader acknowledges the success of the whole school, as well as individuals within the school.

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As educators strive to identify those behaviors that lead to successful schools, it must be asked if with all the emphasis on accountability and data management, have scholars neglected to identify and focus on behaviors and qualities identified as having a strong relationship to success in other arenas. The review now moves to explore a leadership quality that has been linked to effective leadership in business but has not received as much attention in the field of education: emotional intelligence.

#### Emotional Intelligence

The literature review now arrives at the heart of the research study, emotional intelligence as a leadership approach. The review includes emotional intelligence as defined in the literature, emotional intelligence and its relationship to a business leader's success, and finally emotional intelligence as it relates to a school principal's research-based leadership practices.

#### Emotional intelligence defined.

The study of emotions dates back to Charles Darwin, who first recognized the value of emotions; to Thorndike, whose work was in social intelligence; and to Bar-On who was the first to coin the term emotional intelligence (Nazari, 2012). While the literature reflects numerous definitions of emotional intelligence (EI), three popular models have emerged as constructs of EI; EI as a model of cognitive ability, and EI as a

model based upon personality traits, and EI as an ability model. From these three models numerous measures of EI have been developed.

Goleman's mixed model defines emotional intelligence (EI) as "abilities such as being able to motivate oneself and persist in the face of frustrations; to control impulse and delay gratification; to regulate one's moods and keep distress from swamping the ability to think; to empathize and to hope". The Harvard Business Review (2004), in an introduction to an article written by Goleman, stated:

It was Daniel Goleman who first brought the term "emotional intelligence" to a wide audience ... and it was Goleman who first applied the concept to business... In his research at nearly 200 large, global companies, Goleman found that while the qualities traditionally associated with leadership—such as intelligence, toughness, determination, and vision—are required for success, they are insufficient. Truly effective leaders are also distinguished by a high degree of emotional intelligence, which includes self-awareness, self-regulation, motivation, empathy, and social skill.

Goleman (1998) found that emotional competencies are learned and can be taught and that the mastery of such competencies evolves over time. He said:

... The most effective leaders are alike in one crucial way: They all have a high degree of what has come to be known as emotional Intelligence. It's not that IQ and technical skills are irrelevant. They do matter, but mainly as "threshold capabilities"; that is, they are the entry-level requirements for executive positions. But my research, along with other recent studies, clearly shows that emotional intelligence is the sine qua non of leadership. Without it, a person can have the

best training in the world, an incisive, analytical mind, and an endless supply of smart ideas, but he still won't make a great leader. (p. 93)

Goleman (1998) describes five major components of EI. These include:

- *self-awareness* - The ability to recognize and understand personal moods and emotions and drives, as well as their effect on others;
- *self-regulation* - The ability to control or redirect disruptive impulses and moods, and the propensity to suspend judgment and to think before acting;
- *internal motivation* - A passion to work for internal reasons that go beyond money and status such as an inner vision of what is important in life, a joy in doing something, curiosity in learning, a flow that comes with being immersed in an activity;
- *Empathy* - The ability to understand the emotional makeup of other people; and
- *Social skills* - Proficiency in managing relationships and building networks, and an ability to find common ground and build rapport.

Later, Goleman (2002) narrowed the domains of emotional intelligence to only four which encompass 19 competencies as shown in Table 6.

Table 6: Goleman's Later Framework on Emotional Intelligence Including 4 Domains and 19 Competencies

Self	Others
Self-Awareness	Social Awareness
Emotional Self-Awareness	Empathy
Accurate Self-Assessment	Service Orientation
Self-Confidence	Organizational Awareness
Self-Monitoring	Managing Relationships
Self-Control	Developing Others
Trustworthiness	Influence
Conscientiousness	Communication
Adaptability	Conflict Management
Achievement Drive	Leadership
Initiative	Change Catalyst
	Building Bonds
	Teamwork and Collaboration

The second major conceptualization of Emotional Intelligence comes from Reuven Bar-On. Dr. Bar-On is considered one of the leading theorists in the field. His work with emotional intelligence began in 1980, and he coined the term emotional quotient (EQ) in 1985. He also created the Bar-On Emotional Quotient Inventory (EQi), one of the first measurements of emotional intelligence to be peer reviewed and published in the *Buros Mental Measurement Yearbook* (Emmerling, 2013). Bar-On describes emotional and social intelligence as, “an array of interrelated emotional and social competencies, skills and behaviors that determine how well we understand and express ourselves, understand others and relate with them, and cope with daily demands, challenges and pressures” (Bar-On, 2013). Bar-On’s research has led to a conceptual model that includes 15 competencies of social and emotional intelligence as described in Table 7 (Bar-On, 2013).

Table 7: Bar-On's 15 Competencies of Social Emotional Intelligence

Competency	Description
Self -Regard	The ability to look inward and accurately perceive, understand and accept ourselves.
Emotional Self-Awareness	The ability to be aware of, identify and understand our emotions.
Assertiveness / Emotional Self-Expression	The ability to effectively and constructively express our feelings and ourselves in general.
Independence	The ability to be self-reliant and free of emotional dependency on others.
Empathy	The ability to be aware of and understand how others feel.
Social Responsibility	The ability to identify with social groups, among friends, at work and in the community, and to cooperate with others in a constructive and contributing manner.
Interpersonal Relationship	The ability to establish and maintain mutually satisfying relationships and relate well with others.
Stress Tolerance	The ability to effectively and constructively manage emotions.
Impulse Control	The ability to effectively and constructively control emotions.
Reality-Testing	The ability to objectively validate our feelings and thinking with external reality.
Flexibility	The ability to adapt and adjust our feelings, thinking and behavior to new situations and conditions.
Problem-Solving	The ability to effectively solve problems of a personal and interpersonal nature.
Self-Actualization	The ability to set personal goals and the drive to achieve them in order to actualize our potential.
Optimism	The ability to maintain a positive and hopeful attitude toward life even in the face of adversity.
Happiness/Well-Being	The ability to feel content with ourselves, others and life in general.

Finally, the third conceptualization of emotional intelligence comes from Mayer and Salovey. Mayer and Salovey are most often referenced in the ability model of EI. They suggest that EI is the ability to perceive emotion, integrate emotion to facilitate thought, understand emotions, and to regulate emotions to promote personal growth (1997). Ability model proponents view EI as a combination of intelligence and emotion,

and consider EI as intelligence operating on emotional information. They see EI as another form of intelligence, distinct from cognitive intelligence (Mayer, Salovey, & Caruso, 2004).

In summary, emotional intelligence has most commonly been conceptualized in three models; competency-based, personality-based, and ability-based. Daniel Goleman defined emotional intelligence as the ability to recognize, understand, and manage one's own and others' feelings and emotions. Bar-On defined emotional intelligence as a connection of emotional and social knowledge to various skills and traits in order to help people adapt to the rigors of the social environment (Freeland, 2008). Salovey and Mayer defined emotional intelligence as a cognitive ability to monitor and manage feelings, and to discriminate among them in oneself and others. While these constructs do vary in their theoretical foundations; for the purposes of this study, these subtle distinctions are not of great consequence.

#### Emotional intelligence and success in business.

Goleman and his colleagues first established the relationship between EI and leadership in their book, *Primal Leadership* (2002). Goleman, Boyatzis, and McKee reported on two years of research that concluded that “of all the elements affecting bottom-line performance, the importance of the leader's mood and its attendant behaviors are most surprising” (2001, p. 44). They described mood and attendant behavior as a powerful pair that can set off a chain reaction. If the leader is inspirational and inclusive, those behaviors create the desire to take on any challenge. Their research showed that high levels of emotional intelligence create climates of risk taking, trust and excitement for learning. Low levels of EI create climates rife with fear and anxiety. The result is

positive and lasting in the former while negative or short lived in the latter (2001). The authors describe emotional intelligence as being “carried through an organization like electricity through wires” (2001, p. 44); therefore, they believe that a leader’s primal task is emotional leadership. They discuss resonance and dissonance referring to passionate and unpleasant leadership, respectively. They believe that if a leader lacks resonance, employees are simply going through the motions at work and may be doing just a satisfactory job. The resonant leader leads with the heart; and as a result, employees want to do their best (2002). They describe leadership that can lead to sustained change; where the leader knows when to listen and when to command, when to be visionary and when to be collaborative. They know what matters most to the organization and are able to stay attuned to the values of those that follow. The resonant leader does not lead by power, but rather, “by excelling in the art of relationship, the singular expertise that the changing business climate renders indispensable” (p. 248).

In a report prepared for the Consortium for Research on Emotional Intelligence in Organizations, Cary Cherniss (1999) provided 19 examples of how emotional intelligence contributes to an organization’s success. One example describes:

In a national insurance company, insurance sales agents who were weak in emotional competencies such as self-confidence, initiative, and empathy sold policies with an average premium of \$54,000. Those who were very strong in at least 5 of 8 key emotional competencies sold policies worth \$114,000. (Cherniss, 1999, p. 2)

Among these cases was also the finding that sales agents for L’Oreal who were hired based upon emotional competencies significantly outsold sales people who were hired



using the company's traditional interview process. L'Oreal saw a net sales increase of \$2,558,360 as a result of this change in hiring practices (Spencer & Spencer, 1993).

Other researchers are found in the literature who agree that EI is a key component of effective leadership. Cooper (1997), chairman of the board of Q-Metrics in San Francisco and coauthor of *Executive EQ: Emotional Intelligence in Leadership and Organizations*, reports that “emotions, properly managed, can drive trust, loyalty, and commitment – and many of the greatest productivity gains, innovations, and accomplishments of individuals, teams, and organizations” (p. 31). Barling, Slater, and Kelloway (2000), who conducted an exploratory study on the relationship between transformational leadership and emotional intelligence, found that EI is associated with the use of three aspects of transformational leadership – idealized influence, inspirational motivation, and individualized consideration. Harrison and Clough (2006) investigated “state of the art” leaders and found that they possess traits consistent with high EI. Rosette and Carrochi (2005) noted a link between EI and workplace measures of leadership because higher EI was associated with higher leadership effectiveness in their findings. EI explained variance that was not explained by either personality or IQ. Dries and Pepermans (2007) studied managers with high potential compared to “regular” managers. They concluded that EI traits of optimism, assertiveness, social responsibility, and independence were only present in those managers with high potential. Higgs and Aitken (2003) conducted an exploratory study of a leadership development center using a sample of 40 senior managers. Their results provide evidence to support the relationships between EI and leadership potential in spite of the limited sample size. Colfax, Rivera, and Perez (2010) studied global business leaders and found that superior leaders use their

emotional intelligence to maneuver the chasms of human interaction and that the ongoing development of emotional intelligence is the foundation to achieving global business success.

#### Emotional intelligence and the school principal.

As has been noted, school reform efforts have dramatically changed the culture of schools today. With ongoing pressure to ensure that every child succeeds, principals feel that they must constantly produce high levels of student success defined by current accountability measures. School systems and principals naturally pursue initiatives that will lead to such success. Therefore, the literature review not only covers the relationship between emotional intelligence and general organizational or business success, but also explores specifically the relationship between emotional intelligence and effective school leadership. While little attention has been devoted to the study of the emotional intelligence skills of school principals (Labby, Lunenburg, & Slate, 2012), a brief review is in order. Gaining a better understanding of this relationship could assist in the curriculum planning and design of educational leadership certification programs and school leadership professional development.

Bipath (2008) conducted a qualitative study of two neighboring high poverty schools in South Africa; one functional and one dysfunctional in terms of performance. Through observation, interviews and document analysis, the research found that the emotional intelligence of the principal was the determining factor in the functional school's success. The principal of the functional school was high in emotional intelligence, while the principal of the dysfunctional school was low in emotional intelligence. The functional principal was high in self-awareness, self-management,

relationship management, and social awareness. The functional school was neat and clean, educators were in classrooms teaching and students were highly engaged. The principal was visible and knew every student's name. He was described as having a presence. Educators spoke of him saying, "He is a leader that carries us with him in his success" (p. 60) . He believes that teamwork and collaboration are essential, and refuses to let high poverty be an obstacle to teaching and learning. The principal at the dysfunctional school is the mirror opposite. Bipath's findings are very limited because of the small scope of the study and the fact that the full study was qualitative.

Other research was reviewed that bears more credence. Elizabeth Hebert (2011) completed her doctoral studies with a quantitative dissertation study on the relationship between emotional intelligence and school leadership. Study participants completed a multi-factor leadership questionnaire and the Mayer-Salovey-Caruso Emotional Intelligence Test (MSCEIT). Correlations were analyzed to conclude that there is a positive relationship between effectiveness and emotional intelligence, Pearson's  $r(30) = .38, p < .05$ .

Stone, Parker, and Wood (2005) also conducted research to explore the relationship between emotional intelligence and school leadership. They wanted to identify specific emotional competencies required of school leaders that would help them meet the demands of their jobs. The sample of their study consisted of 464 principals and vice principals from nine school boards in Ontario, Canada. The leaders who were in the above average leadership group scored higher in the four broad emotional intelligence dimensions of intrapersonal and interpersonal relationships, adaptability, and stress management, and in overall emotional intelligence than did the leaders in the below

average leadership group. The two groups did not differ in the area of general mood.

Overall, total emotional intelligence was a significant predictor of the success of school administrators.

Maudling, Peters, Roberts, Leonard, and Sparkman conducted a mixed-method study (2012) of 48 school administrators across three southeastern states to investigate the impact of emotional intelligence on school administrators' success. They found that emotional intelligence is a significant predictor of leadership. As emotional intelligence increases, leadership capacity increases as well; specifically, "for every unit increase in EQ-i...leadership scores increase by 0.43" (p. 24). Nearly 38% of the variance in leadership scores was accounted for by factors related to emotional intelligence.

Lastly, very few studies could be found that attempt to link emotional intelligence directly to research-based practices that lead to student achievement. In a study of 29 urban school principals, some of whom served in high-poverty schools making adequate yearly progress (AYP), and some of whom served in high-poverty schools not making AYP, Buntrock (2008) found no statistically significant difference in the overall emotional intelligence of the principals in two sets of schools. However, looking specifically at subscales of the emotional intelligence test given to participants, there appeared to be a relationship to perceiving emotions and a relationship to managing emotions, domains explored by Goleman et al. (2002).

Wendorf-Heldt (2009) completed her Dissertation on this topic and found a strong relationship between emotional intelligence and research-based school leadership practices. Using a two-part validated survey to measure research-based leadership practices and emotional intelligence competencies of K-12 principals in Wisconsin, she

found that a strong positive correlation exists between emotional intelligence and research-based leadership practices ( $r=.73$ ) and that 53% of the variance in leadership practices is accounted for by the variance in emotional intelligence ( $r^2=.53$ ). Therefore, it would seem reasonable to suggest that school leaders who are emotionally intelligent may also be likely to engage in research-based school leadership practices that make them effective leaders. Wendorf-Heldt states, “Emotionally intelligent leadership matters, and it ultimately impacts student achievement” (p. 139). This study, while not a complete replication of Wendorf-Heldt’s study, does make use of her validated survey to determine if a similar strong positive correlation will be found in a population of Maryland high school principals.

#### Summary

Research suggests a relationship between emotional intelligence and success in business. However, limited research was found suggesting a relationship between emotional intelligence and school leadership. This gap in the current research is addressed through this study.

### **Chapter Three: Methodology**

Chapter Three describes the methodology used in this research study on the relationship between a principal's leadership practices and the principal's emotional intelligence. Specifically, the study population, sample size, conceptual framework, and study design are explained. Data collection and analysis processes are described and potential limitations delineated. A review of the purpose, problem and rationale introduce the study methodology.

#### **Problem and Purpose**

The complexity of the role of school principal in today's era of high accountability is often overwhelming. For decades, policy makers and business leaders have voiced concerns about the ability of the public school system in the United States to keep pace with other nations. A 2005 report, *Tapping America's Potential: The Education for Innovation Initiative*, by the Business Roundtable, comprised of 15 of the country's most prominent business organizations, conveys unease about the United States' ability to compete with other countries. The report suggests that the United States must respond to challenges facing the public school system with the same energy as when the Soviet Union launched Sputnik 50 years before (Zhao, 2009). Many continue to believe that our graduates cannot compete in today's global economy. Those who express such concerns have encouraged the adoption of accountability systems that put pressure on teachers and administrators to produce highly successful students. To do otherwise is to risk being labeled a failure in the public eye (Jacobsen, Saultz, & Snyder, 2013).

Educators are continuously grasping for the answer to how to best prepare and how to select the best principals in today's world of accountability. Looking to the

business arena for guidance, research shows that emotional intelligence is a critical quality in organizational leadership. Studies have found that business leaders with high levels of emotional intelligence outperform their counterparts with low emotional intelligence, and those leaders who improve their emotional intelligence outperform leaders who do not (Cherniss & Goleman, 2001; Goleman, Boyatzis, & McKee, 2002; Goleman D. , 1998; Zeidner, Matthews, & Roberts, 2009).

In education, while research has linked certain leadership practices and qualities of principals to increases in student achievement, there is very little mention of the emotional intelligence of principals. Surprisingly, there has been little research conducted to explore the impact of emotionally intelligent school leaders on student achievement (Labby, Lunenburg, & and Slate, 2012). It is not known if emotional intelligence in the principal can be linked to research-based leadership practices of school principals. The purpose of this research study was to conduct a correlation analysis using high school principals in Maryland to determine if a positive relationship exists between research-based leadership practices and emotional intelligence.

#### Rationale

As pressure increases, fewer principals are entering this stress-filled career; and those who do, are unprepared for the demands that lie ahead. Accountability in education is not going away; therefore, principal training programs must be designed around specific leadership practices of public school administrators that ultimately lead to student achievement. Additionally, superintendents and other system leaders must have the ability to select the very best candidates who aspire to the role. Finding that emotional intelligence is linked to school principals' research-based leadership practices,

as has been determined in business leaders, necessitates a focus on the components of emotional intelligence in training and hiring school principals. Consequently, this study has much significance for the field of education.

The importance of emotional intelligence in school principals, although not labeled as such, has been of interest to this investigator as a result of experiences throughout a 34-year career as a school and central office administrator. During that timeframe this researcher has observed that as accountability measures have increased, bottom line numerical assessment results have overshadowed any regard for the importance of emotional intelligence. Goleman and his colleagues (2001) suggests that as in the business world, the very mention of emotion brings about the connotation of “I’m okay, you’re okay” mushiness. Just the mention of empathy or relationships seems un-businesslike and out of place in the tough reality of the marketplace, where results are paramount. Often, this researcher felt like a fish swimming upstream when insisting on the importance of such skills.

The research design was influenced by Wendorf-Heldt’s (2009) dissertation study examining the relationship between emotional intelligence and leadership practices of a random sample of public school K-12 administrators in the state of Wisconsin. She designed a two-part survey to measure both the principals’ leadership practices determined to have a strong positive relationship with student achievement and the principals’ emotional intelligence. She used a ten-point Likert-like scale to assess both variables. The leadership practices portion of the survey was designed based upon the 66 leadership practices organized into 21 areas of leadership responsibility (Waters, Marzano, & McNulty, 2003). The emotional intelligence portion of the survey



instrument was designed based upon Goleman's four domains of emotional intelligence competencies. She found a strong positive correlation between the two variables.

This study was designed to determine if a relationship exists between emotional intelligence and effective school leadership practices; and if so, which proven leadership practices have the strongest correlation to the competencies of emotional intelligence? The investigator was looking for a linear relationship between two variables: emotional intelligence and research-based leadership practices. In other words, any given change to one variable produce a corresponding change in the other variable (McMillan, 2008).

While this study was not a replication of the Wendorf-Heldt study (2009), data were collected using Wendorf- Heldt's (2009) two part questionnaire that makes use of a Likert scale to determine to what extent participants practice specific leadership behaviors (part I) and also possess emotional intelligence competencies (part II). The questionnaire was designed and validated by Wendorf-Heldt's (2009), using the Marzano's 21 areas of leadership responsibility (Bar-On, The Bar-On Model of Emotional-Social Intelligence, 2006) (Waters, Marzano, & and McNulty, 2003) and Goleman's four domains of emotional intelligence (2002). A correlation analysis was employed to determine the relationship between the two variables. A coefficient of correlation, or an index of relationship was needed that ranges from -1.00 and + 1.00 to determine both the strength and the direction of the relationship (Phillips, 2000). In this study emotional intelligence and leadership practices are the two variables for which a relationship was explored (McMillan, 2008). Each participant's responses from the two parts of the questionnaire were used to calculate the correlation coefficient.

Conceptual Framework

This research was approached through quantitative, correlational analysis. Based upon the belief that to impact student achievement in a positive way, the identification of leadership practices of successful principals is essential; this study was designed to build upon earlier research that establishes a link between certain principal practices and improved student achievement (Marzano, 2013). The thinking was that there is more that must be considered in identifying the behaviors of the most highly effective principals, those who can thrive in this demanding arena of public education. If research has concluded that business leaders with emotional intelligence have a greater positive impact on bottom line success in their organizations, why has the potential of emotional intelligence not been more thoroughly researched as an essential principal quality? Therefore, the investigator designed this study to determine if a relationship exists between emotional intelligence and research-based school leadership practices; and if so, which proven leadership practices have the strongest correlation to the competencies of emotional intelligence?

A graphic representation of the theoretical and conceptual framework is found in figure 3.

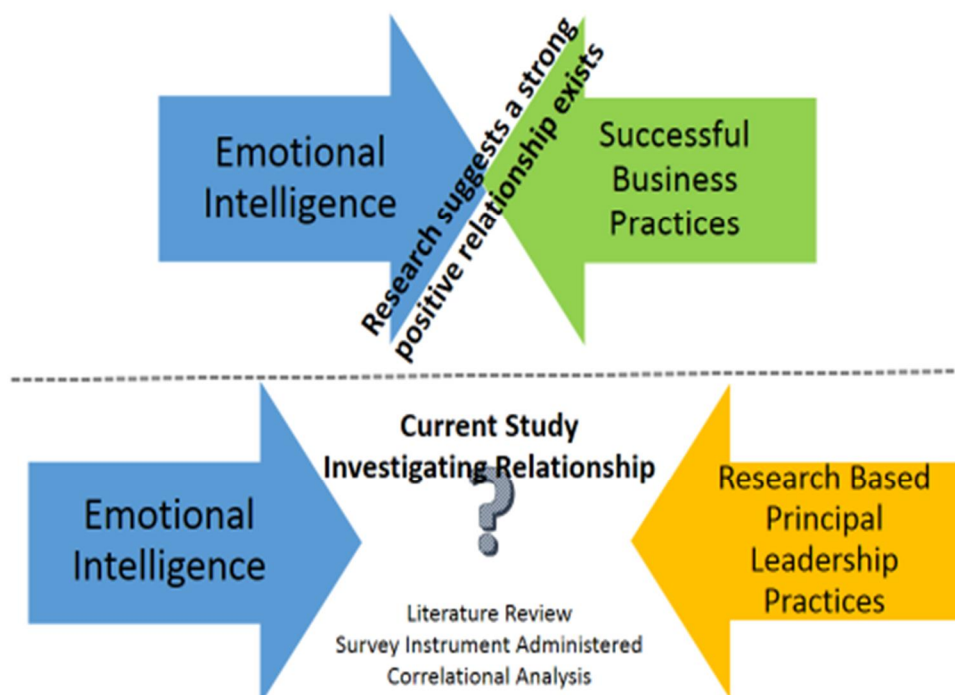


Figure 3: Conceptual Framework Of The Study Of The Relationship Between Leadership Practices And Emotional Intelligence

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### Research Questions and Hypothesis

This study sought to answer the following research questions:

1. Is there a relationship between the emotional intelligence and the research-based leadership practices of high school principals?
2. If so, which specific components of emotional intelligence have the strongest correlation to research-based practices of high school principals?

As stated, this research study was an inquiry into the degree of relationship between emotional intelligence and principal leadership behaviors. The hypothesis for this study was: A strong positive relationship exists between principals' self-assessment of

emotional intelligence and their self-assessment of leadership behaviors. The null hypothesis was: There is no relationship between principals' self-assessment of emotional intelligence and their self-assessment of leadership behaviors.

### Participants and Sample

According to the most recently published *Fact Book* (MSDE, 2011), there are approximately 1454 principals leading public schools in Maryland. In an effort to focus this research study on a manageable population, this researcher elected to focus specifically on the 201 high school principals in Maryland. While research comparing stress, burnout or dissatisfaction in the role of principals across school levels was not found, and was therefore not explored in the literature review, it is this researchers view, based upon experience, that it is the high school principalship where the responsibilities and demands of the job are greatest. Additionally, it is at the high school level where concerns about the very mention of emotion bringing about the connotation of "I'm okay, you're okay" mushiness; where the mention of empathy or relationships seems unbusinesslike and out of place in the tough reality of the school environment where requirements for graduation are looming, is often most prevalent.

Therefore, the population for this research study was public high school principals in Maryland. In order to be able to generalize to the target population, a sample size of at least 40 or 20% was sought (Gay, Mills, & Arisian, 2012). The full population of Maryland high school principals was invited to participate, and all responses received by January 31, 2014 were used in the analysis. By soliciting responses from all high school principals in Maryland, response variability was minimized (McMillan, 2008). The actual response rate is reported and demographics of the sample are clearly described and

analyzed to ensure that representative portions of the population are included. Such representative groups include gender, free and reduced meals percentage, experience, and population density of the counties across the state (McMillan, 2008).

#### Data Collection Procedures

The survey instrument used was that which was designed and validated by Wendorf-Heldt (2009). Part I of the survey was based upon Marzano's 21 areas of leadership responsibility and was designed to measure the dependent variable in the statistical analysis (2005). This model is based on an extensive review of the literature in school leadership. From the review of the research literature, specific school leader actions and behaviors were identified that, historically, have a relationship with student achievement. The model is composed of 21 areas of leadership responsibility shown in Table 8 and as detailed in Chapter Two. Each of the 21 categories was measured through one to three questions using a ten-point Likert scale where 1 represents 'strongly disagree' and 10 represents 'strongly agree'. These questions were grouped together to determine a subscore of each area of leadership. The survey questions corresponding to each of the leadership responsibility areas are also noted in Table 8.

Table 8: 21 Leadership Responsibilities Associated with Student Achievement Identified by McREL and associated survey questions

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1. Culture (Q-8,9)	12. Input (Q 18)
2. Order (Q 24)	13. Affirmation (Q 1,2)
3. Discipline (Q 10)	14. Relationship (Q 26)
4. Resources (Q 27,28)	15. Change Agent (Q 3,4)
5. Curriculum, Instruction, Assessment (Q 21)	16. Optimizer (Q 23)
6. Focus (Q 13,14)	17. Ideals/Beliefs (Q 16,17)
7. Knowledge of Curriculum, Instruction, Assessment (Q 19)	18. Monitors/Evaluates (Q 22)
8. Visibility (Q 30,31,32)	19. Flexibility (Q 11,12)
9. Contingent Rewards (Q 5)	20. Situational Awareness (Q 29)
10. Communication (Q 6,7)	21. Intellectual Stimulation (Q 9,20)
11. Outreach (Q 25)	

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The second part of the survey was designed by Wendorf-Heldt to measure principals' emotional intelligence, the independent variable in the study. This part of the measure was modeled after Goleman's construct of emotional intelligence, encompassing four domains: 1) self-awareness, 2) self-management, 3) social awareness, and 4) relationship management and the 19 components within these 4 domains. This section of the survey was also assessed using groups of question with the same 10-point Likert scale. Table 9 shows Goleman's construct used in the survey instrument design and the questions associated with each subgroup or domain.

Table 9: Goleman's Later Framework on Emotional Intelligence including 4 Domains and 19 Competencies and Corresponding Survey Questions

<b>Self</b>	<b>Others</b>
Self-Awareness (Q 33-37)	Social Awareness (Q 46-49)
Emotional Self-Awareness	Empathy
Accurate Self-Assessment	Service Orientation
Self-Confidence	Organizational Awareness
Self-Monitoring (Q 38-45)	Managing Relationships (Q 50-57)
Self-Control	Developing Others
Trustworthiness	Influence
Conscientiousness	Communication
Adaptability	Conflict Management
Achievement Drive	Leadership
Initiative	Change Catalyst
	Building Bonds
	Teamwork and Collaboration

The last section of the survey was designed to collect demographic data for purposes of detailed analysis including gender, experience, free and reduced meals percentage, and population density.

This survey instrument was selected for use in this research study based upon the ease of use as well as the thorough field testing and validation processes conducted and described by Wendorf-Heldt (2009) leading to revisions and a final survey instrument. She developed her survey instrument based upon a thorough review of the research, made use of a six member panel of experts to provide feedback on the content and construction of the instrument, field tested each part of the instrument with a small representative group of principals, and conducted a factor analysis on each part of the survey before revisions were made and the final version was created. The panel of expert and the field test participants formed a focus group that addressed measurement error and established content and construct validity as the survey was revised and field tested a second time. She

reported, “a Cronbach’s Alpha reliability coefficient of .86 was calculated illustrating the portion of the survey measuring engagement in research-based school leadership practices has high reliability for measuring leadership responsibilities”...and on part two measuring emotional intelligence she reported, “a Cronbach’s Alpha reliability coefficient of .91 was found, illustrating the survey has high reliability for measuring emotional intelligence” (Wendorf-Heldt, 2009). This validated survey, measuring the relationship between emotional intelligence and research-based leadership practices of principals, lent itself well to gathering data for analysis to address this investigator’s research questions. A copy of the measurement instrument used can be found in Appendix A.

An introductory letter explaining the benefits of this research study and the credibility of the researcher (McMillan, 2008) was sent to the population on November 11, 2013, via email created through Survey Monkey, with an attached link to the survey instrument (Appendix B). To add to the credibility of the study, the problem, purpose, research questions and the survey instrument were sent to Mr. Scott Pfeiffer, the Executive Director of the Maryland Association of Secondary Principals (MASSP). He responded indicating the support of MASSP with a letter of endorsement for the study (See Appendix C).

The researcher ensured the anonymity of participants by choosing the option, “do not save email addresses” in the data collection design section on Survey Monkey (McMillan, 2008). Individual principal completion status was tracked by Survey Monkey in order to verify who had responded and who had not; however, the email address was not visible on the response in the Analyze section (Survey Monkey, 2013), ensuring that responses were not associated with participants’ identifying information. From November 11, 2013 until January 31, 2014 data were collected via Survey Monkey.



Reminders were sent in mid-November, mid-December, and late-December to those who have not yet responded (See Appendix D).

### Data Analysis Procedures

Raw data were collected in the form of Excel spread sheets and were downloaded for analysis. Data were cleaned by visually inspecting and removing all incomplete entries. Internal consistency was verified through the use of the Cronbach's Alpha. While the survey instrument was previously validated, this estimate of reliability was again calculated to confirm the degree to which participants' answers to items that are supposed to be measuring the same thing, are consistent for this sample of participants (McMillan, 2008, p. 152).

Correlation is defined as the degree to which the values of two or more variables vary together (McMillan, 2008). To answer the first research question concerning the relationship between the two variables as a whole, the researcher was looking for an index of relationship, "a number that when low indicates a low degree, and when high a high degree of relationship between two variables" (Phillips, 2000, p. 61). Specifically, the researcher sought to determine the coefficient of correlation and performed a product moment coefficient using the two data sets. The product moment coefficient relates the total score for research-based school leadership practices on part one of the survey, the dependent variable, to the total score for emotional intelligence, the independent variable, on part two of the survey (Phillips, 2000).

To begin, a scatterplot was created using the values of the two variables (X and Y) for each respondent. Both the X and Y scores of each individual are represented by a single point plotted in a graph. These plotted pairs of variables visually represent both

the strength and the direction of the relationship of the variables (Bobco, 2001). A trend or regression line was added to the scatterplot to visually inspect the hypotheses. If, as hypothesized, the relationship between leadership practices and emotional intelligence is strong and positive, points will be tightly clustered along a regression line from lower left to upper right on the graph. The more scattered the points, the less strong the relationship between the two variables (Phillips, 2000). A strong relationship or correlation suggests a linear relationship and therefore lends itself well to determining a correlation coefficient using a product moment coefficient. The product moment coefficient “assumes a linear relationship between two interval or ordinal variables” (McMillan, 2008, p. 142), and results in the coefficient of correlation of the variables, a numerical value ranging anywhere between -1 and +1 that indicates the relationship and direction of the relationship. The correlation is reported as  $r=$ , and the closer to +1 or -1 the stronger the correlation (McMillan, 2008).

A regression analysis was used to examine *r square*, or the percentage of the change in research-based leadership practices that is explained by emotional intelligence. This computation is also called a coefficient of determination (Phillips, 2000).

To answer research question #2 concerning the specific relationship between competencies within each variable, correlations were also calculated between the domains of emotional intelligence (Goleman D. , 2002), and the areas of leadership responsibility (Marzano, Waters, & McNulty, 2005). A correlation matrix is used to represent the coefficient of correlation of all the possible combinations of scores from the data sets. This correlation matrix is a good way to examine all of the relationships across scales being studied (Phillips, 2000). As a result of the fact that the matrix was

comprised of 84 correlations; to guard against error rate bias, all correlations calculated were tested at a significance level  $p < .001$  (Lauer, 2004).

#### IRB, Human Subjects, and Confidentiality

The researcher has completed the Collaborative Institute Training Initiative (CITI) with a passing score on the Social and Behavioral required modules. The population for this research study is high school principals in Maryland. While human subjects were used, participants were adults and able to determine for themselves whether or not to participate. This population would not be considered vulnerable by the Institutional Review Board (IRB) as is the case with children or individuals with disabilities. Participation in this research study was truly voluntary and free from coercion or undue influence. Participants were informed in an introductory letter that they did not have to participate and that responses were anonymous. These safeguards, as designed in Survey Monkey, were explained in detail and participants' willingness to participate reflects informed consent. The IRB process was completed, with an expedited review.

#### Summary of Methodology

The population for this research study is high school principals in the state of Maryland. To ensure diverse representation, the entire population of 201 high school principals was invited to participate. Recognizing that all Maryland principals would not likely chose to participate; the desired sample for the study was at least 40 principals, which represents approximately 20% of high school principals in Maryland.

The population was invited to participate. Participants were asked to complete a dual part validated inventory via Survey Monkey that is an anonymous self-assessment of both research-based leadership practices and emotional intelligence competencies. A

statistical analysis of the correlation between leadership practices and emotional intelligence was then calculated to determine the relationship between research-based school leadership practices and emotional intelligence of high school principals in Maryland.

## **Chapter 4: Research Findings**

### **Purpose**

The purpose of this research study was to investigate the relationship between emotional intelligence and research-based practices of high school principals. The role of the high school principal has always been complex; but with increased measures of accountability in place today, this complexity has multiplied and the demands of the job are making these positions difficult to fill with qualified educators.

It was the basic premise of this study that if (a) emotional intelligence has been linked to success in business then (b) research-based practices of principals may be linked to emotional intelligence. Research studies have identified practices of effective principals; and as a result, research-based leadership practices have been adopted by states in the form of standards and are now being incorporated into new principal evaluation instruments. However, there has been little mention of the need for emotional intelligence in principals. The research cannot afford to ignore this potential linkage. Therefore, the overarching purpose of this study is to examine the relationship between principals' emotional intelligence and research-based practices of school principals, seeking implications for principal hiring as well as training and professional development for principals.

### **Research Questions**

This study sought to answer the following research questions:

1. Is there a relationship between the emotional intelligence and research-based practices of school principals?

2. If so, which specific components of emotional intelligence have the strongest correlation to research-based practices of school principals?

#### Study Population and Sample Demographics

A database of 201 Maryland high school principals was created using individual Maryland counties' websites linked to individual high schools websites. Principals' names and email addresses were documented after school websites were checked to ensure each had been updated for the 2013-2014 school year. When email addresses were not available, each school was called to secure the principal's name and email address. This population of 201 high school principals was invited to participate via electronic personalized invitation linked to the Survey Monkey online questionnaire.

Responses were collected over a two month period of time, with three reminders being sent during the collection period. Seventy-two Maryland high school principals responded resulting in a 36 percent response rate. Six questionnaires were not completed in full resulting in a total of 66 questionnaires being used for data analysis. A description of the sample follows.

Table 10 reflects respondents' gender. Of the 66 participating principals, 64 percent were male and 36 percent were female.

Table 10: Respondents' Gender by Frequency and Percentage

<b>Gender</b>	<b>N</b>	<b>Percentage</b>
Male	42	63.64%
Female	24	36.36%
Total	66	100%

Table 11 shows that principals with five years or less experience make up just over half the respondents in the study. Eighteen percent of principals who responded had six to ten years of experience, twelve percent had 11 to 15 years of experience, nine percent had between 16 and 20 years of experience and less than eight percent had twenty years of experience or more in the role of principal. ~~Six respondents skipped this question.~~

Table 11: Respondents' Years Of Experience By Frequency And Percentage

Years of Experience	N	Percentage
1-5	35	53.03%
6-10	12	18.18%
11-15	8	12.12%
16-20	6	9.09%
Greater than 20	5	7.58%
Total	66	100%

Table 12 indicates that nearly half of responders serve in large urban populations. One-third serve in mid-sized districts and 18 percent are principals in small rural school districts. ~~Six respondents skipped this question.~~

Table 12: Respondents' School District Size By Frequency And Percentage

Size of School District	N	Percentage
Small (less than 10,000 students)	12	18.18%
Mid-Sized (10,001-30,000 students)	22	33.33%
Large Urban (greater than 30,000 students)	32	48.48%
Total	66	100%

Table 13 reflects the demographics of the respondents' student population showing the percentage of the school's population who qualify for Free and Reduced Meals (FARMs). One quarter of respondents serve schools with between 26 and 50 percent FARMs populations. Thirty-two percent serve schools with less than 25 percent

FARMs populations, twenty-three percent lead schools with FARMs populations of 51 to 75 percent, and only 8 percent are in schools with greater than 75 percent FARMs.

Table 13: Respondents' Schools Free and Reduced Meals Population by Frequency and Percentage

FARMs Population in School	N	Percentage
Less than 25%	21	31.82%
25%-50%	25	37.88%
51% -75%	15	22.73%
Greater than 75%	5	7.58%
Total	66	100%

#### Findings from Research Question One

The first research question sought to answer: Is there a relationship between the emotional intelligence and research-based leadership practices of high school principals? To investigate this question, 72 high school principals responded to 32 questions on leadership practices followed by 33 questions on emotional intelligence. All 55 items were measured using a 10-point Likert scale. To confirm the internal consistency of the survey instrument with this specific sample, Cronbach's Alpha reliability coefficients were calculated on both the portion of the survey measuring leadership practices and the portion measuring principals' emotional intelligence. The Cronbach's Alpha reliability coefficient for the 32 questions on leadership was .90. The Cronbach's Alpha reliability coefficient for the 25 items on emotional intelligence was .91. These calculations confirm appropriate levels of internal consistency on the survey instrument with this sample of respondents.



Descriptive statistics were examined for responses to research question one.

Those leadership questions with the highest and lowest mean are highlighted in Table 14.

Table 14: Highest and Lowest Mean Responses on Questions Measuring Research-Based Leadership Practices

	Question #	Leadership Question	Mean
Highest Mean	31	In your role as a school leader, to what degree do you strive to build relationships with students?	9.06
	32	In your role as a school leader, to what degree are you highly visible to students, teachers, and parents?	9.00
	27	In your role as a school leader, to what degree do you ensure that teachers have materials and equipment necessary for instruction?	8.97
	4	In your role as a school leader, to what degree do you encourage and empower staff to take risks?	8.94
Lowest Mean	21	In your role as a school leader, to what degree are you directly involved in helping teachers design curriculum, instruction, and assessment?	5.52
	20	In your role as a school leader, to what degree do you foster systematic discussion about cutting-edge research and theory on effective schooling?	6.91
	22	In your role as a school leader, to what degree do you monitor your school's the impact of curricular, instructional, and assessment practices on student achievement?	6.95
	13	In your role as a school leader, to what degree do you establish clear achievable goals for curriculum, instruction, and assessment practices within your school?	7.17

Table 15 highlights those questions measuring emotional intelligence with the highest and lowest mean responses.

Table 15: Highest and Lowest Mean Responses to Questions Measuring Emotional Intelligence

	Question #	Emotional Intelligence Question	Mean
Highest Mean	39	As an individual, to what degree are you trustworthy?	9.65
	56	As an individual, to what degree do you strive to build and maintain positive relationships?	9.28
	42	As an individual, to what degree do you work to improve your performance?	9.25
Lowest Mean	36	As an individual, to what degree are you able to describe your emotions?	8.03
	45	As an individual, to what degree do you view unexpected situations as opportunities rather than threats?	8.17

The correlation between principals' research-based leadership practices and their emotional intelligence was examined by first calculating the sum of each participant's leadership practices responses and the sum for all emotional intelligence responses. These two variables for each respondent were used to create a scatterplot to visualize their relationship. This scatterplot and added trend line are shown in figure 6.

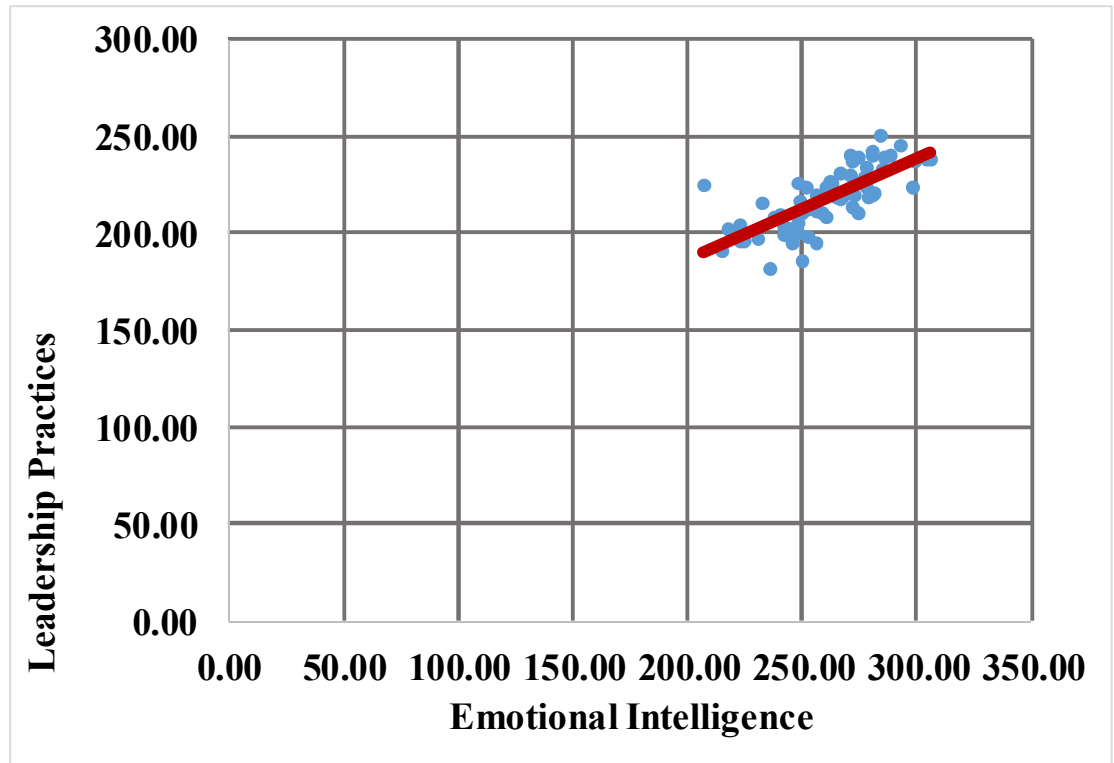


Figure 4: Scatterplot Representing the Linear Relationship between Emotional Intelligence and Research-Based Leadership Practices

Regression analysis was used to examine *r square* or the coefficient of determination. This calculation figures the percentage of the change in the dependent variable (research-based leadership practices) that is explained by the independent variable (research emotional intelligence). R square was determined to be 0.55.

The product moment coefficient “assumes a linear relationship between two interval or ordinal variables” (McMillan, 2008, p. 142), and results in the coefficient of correlation of the variables, a numerical value ranging anywhere between -1 and +1 that indicates the relationship and direction of the relationship. The correlation or *r* was determined to be 0.74.

Based upon the strong positive correlation between research-based leadership practices and emotional intelligence of high school principals, the null hypothesis which

stated that there is no relationship between principals' self-assessment of emotional intelligence and their self-assessment of leadership practices. The answer to research question one is, yes. There is a strong positive correlation between high school principals' research-based leadership practices and their emotional intelligence.

#### Findings from Research Question Two

The second research question sought to answer: If this is a relationship, which specific components of emotional intelligence have the strongest correlation to research-based practices of school principals? To confirm the internal consistency of the survey instrument specifically looking at the subgroups within leadership and emotional intelligence with this specific sample, Cronbach's Alpha reliability coefficients were again calculated. The Cronbach's Alpha reliability coefficients for the areas of leadership-based responsibilities with two or more questions were as follows: Affirmation, (.73), Change Agent (.63), Communication (.60), Culture (.54), Flexibility (.52), Focus (.42), Ideals and Beliefs (.59), Intellectual Stimulation (.70), Resources (.55), and Visibility (.83). The Cronbach's Alpha reliability coefficients for the items for each of the four domains of emotional intelligence were as follows: Self-Awareness (.79), Self- Management (.80), Social Awareness (.69), and Relationship Management (.85). While the calculation results for Culture (.54), Flexibility (.52), and Focus (.42) are relatively low; these calculations again confirm appropriate levels of internal consistency on the survey instrument with this sample of respondents, especially in light of the fact that the calculation is based upon only two questions within each area of leadership responsibility.

To examine the strength of relationships between the 21 areas of leadership responsibility and the four domains of emotional intelligence, a correlation matrix was to be created. Table 16 shows the 21 areas of leadership responsibilities, associated practices, and the survey questions which measured each responsibility area.

Table 16: 21 Areas of Leadership Responsibility, Associated Practices, and Corresponding Survey Questions

School Leadership Responsibilities	Question #	Associated Practices
Affirmation	1, 2	Systematically and fairly recognizes and celebrates accomplishments of teachers, of students, and Systematically acknowledges failures and celebrates accomplishments of the school
Change Agent	3, 4	Consciously challenges the status quo, Is comfortable with leading change initiatives with uncertain outcomes, Systematically considers new and better ways of doing things
Contingent Rewards	5	Recognizes individuals who excel, Uses performance versus seniority as the primary criterion for reward and advancement, Uses hard work and results as the basis for reward and recognition
Communication	6, 7	Is easily accessible to teachers, Develops effective means for teachers to communicate with one another, Maintains open and effective lines of communication with staff
Culture	8, 9	Promotes cooperation, a sense of well-being, cohesion among staff; Develops an understanding of purpose, a shared vision
Discipline	10	Protects instructional time from interruptions Protects/shelters teachers from distractions
Flexibility	11, 12	Is comfortable with change, Encourages people to express opinions contrary to those with authority, Adapts leadership style to needs of specific situations, Can be directive or non-directive as the situation warrants
Focus	13, 14	Establishes high, concrete goals and expectations that all students meet them, for all curriculum, instruction, and assessment, for the general functioning of the school,

Continually keeps attention on established goals		
Ideals and Beliefs	16, 17	Holds strong professional beliefs about schools, teaching, and learning Shares beliefs about schools, teaching, and learning with the staff, Demonstrates behaviors that are consistent with beliefs
Input	18	Provides opportunity for input on all important decisions, Provides opportunities for staff to be involved in developing school policies, Uses leadership team in decision making
Intellectual Stimulation	19, 20	Keeps informed about research and theory regarding schooling, Continually exposes staff to cutting-edge ideas, engages staff in discussions about research and theory, Continually involves the staff in reading articles and books about effective practices
Involvement in CIA*	21	Is involved in helping teachers design curricular activities, to address instructional issues in their classrooms, and assessment issues
Knowledge of CIA	19	Is knowledgeable about assessment practices, Provides guidance regarding effective classroom practice
Monitoring/Evaluating	22	Monitors and evaluates the effectiveness of curriculum, instruction, and assessment
Optimizer	23	Inspires teachers to accomplish things that might seem beyond their grasp, Portrays a positive attitude about the ability of staff to accomplish substantial things, Is a driving force behind major initiatives
Order	24	Provides and enforces clear structure, rules, and procedures for students, for staff, Establishes routines regarding the running of the school that staff understand and follow
Outreach	25	Assures the school is in compliance with district and state mandates, Advocates on behalf of the school in the community and with parents, Ensures the central office is aware of the school's accomplishments
Relationships	26	Remains aware of personal needs of teachers, Maintains personal relationships with teachers, Is informed about significant personal issues within the lives of staff members, Acknowledges significant events in the lives of staff members
Resources	27, 28	Ensures teachers have necessary materials, equipment, and staff development opportunities that directly enhance their teaching
Situational Awareness	29	Is aware of informal groups and relationships among staff of the school, issues in the school that have not surfaced but could create discord, Can predict what could go wrong from day to day

Visibility	30, 31, 32	Makes systematic frequent visits to classrooms, Maintains high visibility around the school, Has frequent contact with students
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Table 17 displays the 4 domains of emotional intelligence, the associated competencies, and the survey questions which measure each of the domains.

Table 17: Four Domains of Emotional Intelligence, 19 Competencies and Corresponding Survey Questions

Emotional Intelligence Domain-Competencies	Survey Questions
Self-Awareness	
Emotional Self-Awareness	34, 36
Accurate Self-Assessment	33, 35
Self-Confidence	37
Self-Management	
Emotional Self-Control	38
Transparency	39
Adaptability	40, 41
Achievement	42
Initiative	43
Optimism	44, 45
Social Awareness	
Empathy	46
Organizational Awareness	47, 49
Service	48
Relationship Management	
Inspirational Leadership	50, 51
Influence	52

Developing Others	53
Change Catalyst	54
Conflict Management	55
Building Bonds	56
Teamwork and Collaboration	57

Each respondent's average score was calculated for each of the 21 leadership responsibility areas and for each of the four domains of emotional intelligence. These sub-scores were used to create a 21 x 4 correlation matrix. Figure 7 displays the 84 correlations in bar graph format. The correlation of each of the 21 areas of leadership responsibility with each of the 4 domains of emotional intelligence is shown.

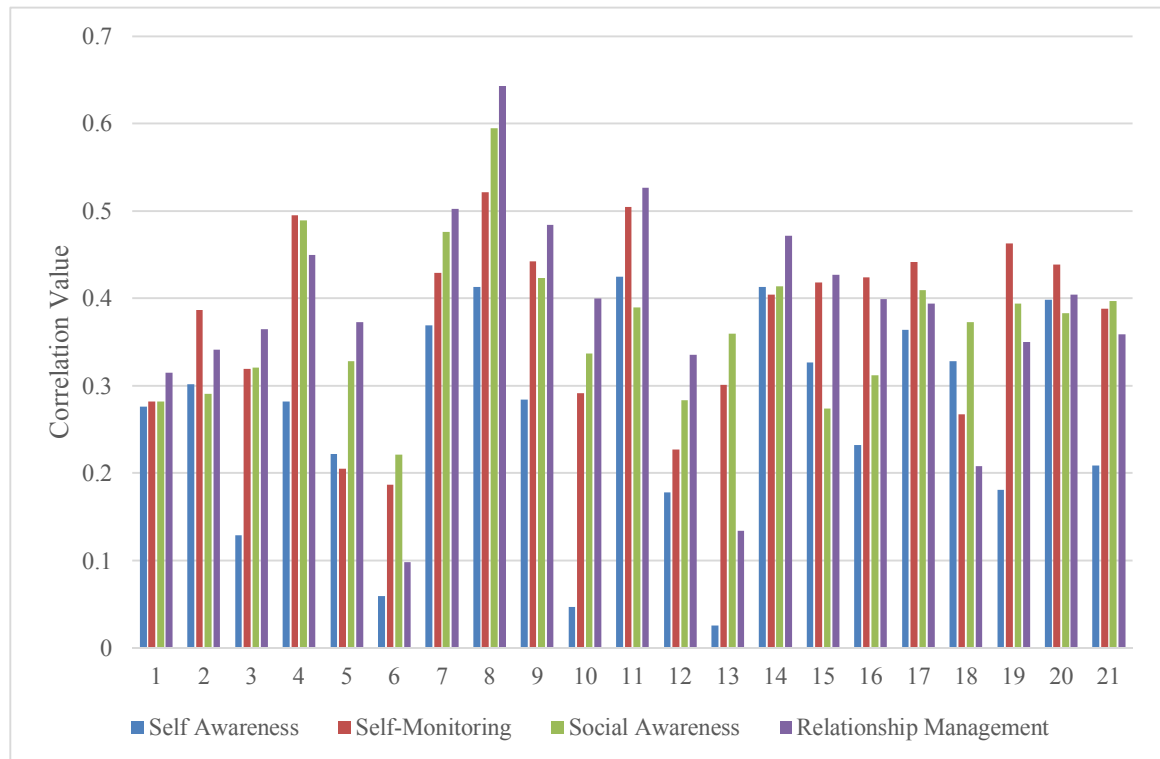


Figure 5: Bar Graph of the 21 Areas of Leadership Responsibility Correlated with each of the 4 Domains of Emotional Intelligence



The 84 correlations calculated are represented again in table 19. The highlighted areas indicate those relationships with strong correlation determined as a significance level of .001. This level of significance was used to guard against error-rate bias due to the large number of correlations.

Table 18: Correlations of Significance between Areas of Leadership Responsibilities and Domains of Emotional Intelligence at the .001 Level

	Self Awareness	Self Monitoring	Social Awareness	Relationship Management
Affirmation	0.28	0.28	0.28	0.32
Change Agent	0.30	0.39	0.29	0.34
Cont. Renewal	0.13	0.32	0.32	0.37
Communication	0.28	0.50	0.49	0.45
Culture	0.22	0.21	0.33	0.37
Discipline	0.06	0.19	0.22	0.10
Flexibility	0.37	.043	0.47	0.50
Focus	0.41	0.52	0.59	0.64
Ideals/Beliefs	0.28	0.44	0.42	0.48
Input	0.05	0.29	0.34	0.40
Intellectual Stimulation	0.43	0.50	0.39	0.53
Involvement in CIA	0.18	0.23	0.28	0.34
Knowledge of CIA	0.03	0.30	0.36	0.13
Monitoring/Evaluating	0.41	0.40	0.41	0.47
Optimizer	0.33	0.42	0.27	0.43
Order	0.23	0.42	0.31	0.40
Outreach	0.36	0.44	0.41	0.39
Relationships	0.33	0.27	0.37	0.21
Resources	0.18	0.46	0.39	0.35
Situational Awareness	0.40	0.44	0.38	0.40
Visibility	0.21	0.39	0.40	0.36

*Note.* Correlations shaded in blue are significant at the  $p < .001$  level.

These data provide the answer to research question two. There are four leadership responsibilities that have a significant relationship with self-awareness. They are, focus, intellectual stimulation, monitoring/evaluating, and situational awareness. There are 11

areas of leadership responsibility with a significant relationship to self-monitoring. These are: communication, flexibility, focus, ideals/beliefs, intellectual stimulation, monitoring/evaluating, optimizer, order, outreach, resources, and situational awareness. Seven areas of leadership responsibility were found to have a significant relationship with social awareness. These include: communication, flexibility, focus, ideals/beliefs, monitoring/evaluating, outreach, and visibility. Finally, there were 10 areas of leadership responsibility found to have a significant relationship with relationship management. They are communication, flexibility, focus, ideals/beliefs, input, intellectual stimulation, monitoring/evaluating, optimizer, order, and situational awareness. The strongest relationship within subcategories was found to be in the area of focus. All four domains of emotional intelligence significantly correlated with this leadership responsibility, with the strongest domain being relationship management. There were eight areas of leadership responsibility which indicated no significant relationship in either of the four domains of emotional intelligence. These areas include affirmation, change agent, continuous renewal, culture, discipline, knowledge of curriculum, instruction, and assessment; involvement in curriculum, instruction, and assessment; and relationships. Of these eight areas, those with the weakest correlation to domains within emotional intelligence were the leadership responsibilities of discipline and knowledge of curriculum, instruction, and assessment.

### Summary of Research Findings

Based upon the data generated within this study, the research findings are summarized as follows.

1. A strong positive correlation was found between high school principals' research-based leadership practices and their emotional intelligence. This strong linear relationship was determined to have a correlation coefficient of 0.74. R square was determined to be .55 meaning that 55% of the variance in principals' leadership practices could be explained by their emotional intelligence.
2. Based upon the 21 areas of leadership responsibilities and 4 domains of emotional intelligence, 84 correlations were calculated. Eighty-one percent of these correlations were found to be significant at the .05 level. However, with this number of correlations, it is best to raise the level of significance to avoid error. Using a .001 level of significance, 32 of the 84 correlations were found to be significant, or 38%. The most significant relationships were found in the domains of self-monitoring and relationship management. Of the 21 areas of leadership responsibility, eight areas showed significant relationships to domains of emotional intelligence. These include: communication, flexibility, focus, ideals/beliefs, intellectual stimulation, monitoring/evaluating, outreach, and situational awareness.

## **Chapter 5: Discussion, Conclusions and Recommendations**

### **Discussion**

#### **Problem and purpose.**

This study has examined the relationship between research-based leadership practices of school principals and their emotional intelligence based upon the growing need to identify qualified principals to lead our schools today. There is increasing pressure for those in the role of high school principal to perform as a Superman-like character does. As noted in the literature review, teacher leaders are no longer interested in joining the ranks of school leadership.

Put succinctly, the teacher leaders in this study did not believe the job demands and expectations were reasonable or that they could be effective given the current climate and circumstances in which they would have to work...Much of this stress is a result of the current testing and accountability mandates which did not exist 15 years ago (Hewitt, Denny, & Pijanowski, 2011, p. 20).

Successful principals are scarce and burn out quickly. Therefore it is critical that higher education leadership programs develop coursework that prepares educators for the role; that school systems hire the strongest candidates; and that those in the role of principal have numerous professional development opportunities that foster leadership growth.

The literature review has provided much evidence that emotional intelligence in business leaders has a direct relationship with success (Cherniss, 1999; Colfax, Rivera, & Perez, 2010; Cooper, 1997; Dries, 2007; Higgs, 2003; Rosete & Ciarrochi, 2005).

Research shows that emotional intelligence is the single biggest predictor of performance

in the workplace and the strongest driver of leadership and personal excellence (Bradberry & Greaves, 2009). That being the case, this study sought to determine if such a relationship exists in the arena of education, specifically in high school principals. It is important to note that the purpose of the study is to add to the body of exploratory research on emotional intelligence in school principals and to inform state and county-specific practices, rather than to conclude a definitive cause and effect relationship or to prove a predetermined hypothesis.

#### Research questions.

This study sought to answer the following research questions:

1. Is there a relationship between a principal's emotional intelligence and research-based practices of school principals?
2. If so, which specific components of emotional intelligence have the strongest correlation to research-based practices of school principals?

The null hypothesis stated that there is no relationship between the research-based leadership practices and their emotional intelligence.

#### **Limitations.**

The purpose of the study was to add to the body of exploratory research on emotional intelligence in school leaders and to inform state and county-specific practices, rather than to conclude a definitive cause and effect relationship or to prove a predetermined hypothesis (Bobco, 2001). Additionally, while anonymity was assured, principals' self-assessment of leadership qualities as well as emotional intelligence may contain bias, in that principals who may not perceive themselves as emotionally

intelligent and/or strong instructional leaders may have elected to not participate. Therefore the sample could contain a preponderance of those principals who already view themselves as successful in this area (McMillan, 2008). Using any self-assessment presents the possibility of “faking” by respondents. The use of the Wendorf-Heldt scale (2009) increases this possibility because it is shorter in length than some other measures (Grubb, 2007). However, the researcher felt it beneficial to use this relatively short measure to keep the length of the survey from deterring principals from participating. Additionally, while self-reports of emotional intelligence may have been subject to respondents giving what they perceive as socially desirable responses, the use of confidential responding minimized such tendencies.

The sample of the study represents approximately 36% of the population of Maryland high school principals. This response size was slightly greater than anticipated, adding to the generalizability of results to the population. The composition of the sample in terms of male and female principals is very representative of male and female principals in the state. The male/female representation in the sample was 64 percent to 34 percent. The male/female breakdown of high school principals in the state is 62 percent to 38 percent. The only notable demographic of the sample compared to the population was in the breakdown of respondents by school system size. The sample breakdown included 18 percent from small counties (less than 10,000 students), 33 percent from mid-sized counties (between 10,001 and 30,000 students), and 48 percent of respondents represented large school districts (greater than 30,000 students). The state breakdown of high school principals is slightly askew. Principals in small districts represent 10 percent of the high school principal population, principals in mid-sized

school districts represent 20 percent of high school principals, and principals from large school districts represent about 70% of the high school principal population. One large county in particular had barriers in place that were meant to protect principals from duties that were not aligned with their instructional responsibilities. Therefore only three of the 23 high school principals in this large school system participated in the study.

### Conclusions and Implications

This section of Chapter 5 describes generalizations that tie back to the conceptual and theoretical framework and the literature review of this study. These generalizations, or conclusions, suggest what is now known when results and the prior literature are considered together.

1. The conceptual and theoretical framework for this study described in Chapter 3 is strongly supported by these research findings. The framework proposed that if research has concluded that business leaders with emotional intelligence have a greater positive impact on bottom line success in their organizations, why has the potential of emotional intelligence not been more thoroughly researched as an essential principal quality? The investigator designed this study to examine the relationship between emotional intelligence and research-based school leadership practices and found that a strong positive relationship exists between high school principals' research-based leadership practices and their emotional intelligence. Specifically, principals who are strong in emotional intelligence are more likely to practice research-based leadership behaviors. Findings suggest that 55% of the variance in principals' leadership practices is accounted for by variance in the principal's emotional intelligence.

Therefore, as suggested by the conceptual and theoretical framework, there is merit in highlighting this strong relationship in terms of recommendations for future education policy and practice and further research. This need is supported throughout the literature. Moore (2009) reminds us that a common thread through the literature on school reform is the array of intense and sometimes debilitating emotions experienced during the change process and that principals who are aware of these emotions and moods during school reform initiatives can better support and coach teachers. They must address emotional as well as conceptual work. He goes on to emphasize that emotions are not just something that we feel; they are a source of information.

2. The findings from research question one are consistent with quantitative findings reported in the literature review. The question asks if there is a relationship between the emotional intelligence and the research-based practices of high school principals. The results conclude that a strong positive relationship exists ( $r=.74$ ). This finding adds support to the limited body of research (Labby, Lunenburg, & Slate, 2012) examining this relationship in principals. Herbert (2011) found a positive relationship between emotional intelligence and leadership practices ( $r=.38$ ), Maudling, Peters, Roberts, Leonard, and Sparkman (2012) found that close to 38% of the variance in leadership scores was accounted for by factors related to emotional intelligence ( $r^2 = .38$ ), and Wendorf-Heldt (2009) found that a strong positive correlation exists between emotional intelligence and research-based leadership practices ( $r=.73$ ) and that 53% of the variance in leadership practices is accounted for by the variance in emotional



intelligence ( $r^2=.53$ ). It is noteworthy that the variances accounted for in this study and in the Wendorf-Heldt study are not only consistent but are higher than in other reported studies. The fact that this study used the same instrument used in the Wendorf-Heldt study could help to explain this occurrence. Both of these studies used a self-assessment instrument while Hebert (2011) used the Mayer Salovey Caruso Emotional Intelligence Test (MSCEIT), which measures how well an individual performs tasks and solves emotional problems rather than having the individual provide his or her own subjective assessment of emotional skills. The Maudling et al. study did measure emotional intelligence using the 125-item Emotional Quotient Inventory (EQI), which is a self-report. However, this study differed in that the research was not simply focused upon emotional intelligence in general, but rather was examining the specific relationship between resilience and school leadership and therefore also made use of the Shores resilience instrument (Maudling, Peters, L., & Sparkman, 2012). These differences in instruments and/or specific research questions could explain this difference in variance. In spite of these differences, the findings from this research study powerfully support the relationship between research-based leadership practices and emotional intelligence of high school principals, and further imply that this strong relationship must be brought to the forefront in terms of recommendations for future education policy and practice and further research.

3. The findings from research question two provide more in-depth analysis of this relationship between research-based leadership practices and emotional

intelligence in principals. Wendorf-Heldt (2009) found that of the 21 research-based school leadership practices examined, nine were most highly correlated to emotional intelligence competencies. These include: contingent rewards, resources, visibility, flexibility, focus, communication, relationships, optimize, and situational awareness. This research study found eight to be most significantly correlated to emotional intelligence. These include: communication, flexibility, focus, ideals/beliefs, intellectual stimulation, monitoring/evaluating, outreach, and situational awareness. While these two studies used the same survey instrument, sample sizes are very different (285 K-12 principals vs. 66 high school principals) and should be considered in noting consistency between studies. Levels used to determine significance are also different. This research study used a significance level of .001 to avoid error-rate problems. Wendorf-Heldt used a significance level of .01. Table 20 provides a comparison of these findings.

Table 19: Comparison Of Significant Correlations Calculated Between Leadership Practices And Emotional Intelligence Domains In Hanlin And Wendorf-Heldt Studies

EI Domain	Hanlin		Wendorf-Heldt
Self-Awareness	Focus Intellectual Stimulation Monitoring/Evaluating Situational Awareness		Contingent Rewards Resources
Self-Monitoring	Communication Flexibility Focus Ideals/Beliefs Intellectual Stimulation Monitoring/Evaluation	Optimize Order Outreach Resources Situational Awareness	Resources Visibility Flexibility Focus Communication
Social Awareness	Communication Flexibility Focus Ideals/Beliefs Monitoring/Evaluating Outreach		Flexibility Relationships Resources
Relationship Management	Communication Input Flexibility Focus Ideals/Beliefs Input	Intellectual Stimulation Monitoring/Evaluating Optimize Situational Awareness	Focus Optimize Situational Awareness Relationships Visibility

While done with caution, comparing and contrasting findings of the relationships between the domains of emotional intelligence and research-based leadership practices illuminates noteworthy considerations.

- Both studies found relatively fewer correlations of significance in the domain of self-awareness. Of the few noted, the studies had no correlations of significance in common. This scarcity could suggest that self-awareness has little to no relationship with research-based leadership practices. Breaking this domain down into related competencies, it makes sense that just because a principal has self-confidence, is self-

aware, and can accurately self-assess, does not necessarily mean strong leadership capabilities.

- Both studies also found relatively fewer correlations of significance in the domain of social-awareness. Both studies did find flexibility to be strongly correlated to social-awareness. It rings true that a principal who is socially aware is more likely to be comfortable with change, to encourage people to express opinions contrary to those with authority, adapts his or her leadership style to the needs of specific situations, and can be directive or non-directive as the situation warrants (Waters, Marzano, & McNulty, 2003).
- Both of these considerations reflect fewer significant correlations with leadership practices than do the remaining domains of emotional intelligence, self-management and relationship managements. In these two domains there are a greater number of significant correlations as well as commonality in those correlations across studies, suggesting that principals who are simply aware of self and others do not have the same potential for practicing research-based leadership practices as principals who act on their awareness (monitor and manage).
- Looking specifically at the domain of self-monitoring; it is noted that leadership practices of focus, flexibility, communication, and resources are common significant correlations across studies. A principal who is strong in self-monitoring is more likely to practice leadership responsibilities such as maintaining open and effective lines of

communication, adapting leadership style to the specific situation, establishing and keeping attention on identified goals, and ensures that teachers have necessary resources to enhance teaching.

- Looking specifically at the domain of relationship management, it is noted that leadership practices of focus, optimize, and situation awareness are common significant correlations across studies. A principal who is strong in managing relationships would likely be a principal who has the ability to establish and maintain instructional goals, can inspire teachers to accomplish things that may seem beyond their grasp, and excels at predicting what can go wrong from day to day because of his or her professional relationships with staff.
- Differences between the findings from these two studies are found in the leadership areas of relationships and monitoring/evaluating. These distinct differences could be attributed to differences in the sample of participants and/or the specific areas of heavy emphasis from departments of education in the states of Wisconsin and Maryland.

This study focused specifically on 66 high school principals, while the Wendorf-Heldt study sample included 275 principals from K-12. In fact, only 18% of Wendorf-Heldt's sample were reported to be high school principals. Almost half (47%) were elementary principals. In terms of district size, only 14% of respondents in Wendorf-Heldt's sample represented large, urban schools. This study's sample included 48% of respondents representing large, urban areas.

These demographic differences in samples help to explain the fact that Wendorf-Held found a strong correlation with the leadership area of relationships within both domains of emotional intelligence, social awareness and relationship management. Upon closer examination, this leadership practice of relationships is depicted as being aware of personal needs of teachers, having personal relationships with teachers, knows of and acknowledges staff's personal issues. These specific practices may in fact conger an image of too close of a relationship with staff; one that is often considered a distraction from effective leadership, most especially at the high school level. Elementary educators are much more likely to focus on establishing strong relationships with both students and staff, and have relatively less reason to veer away from personal relationships with staff. This difference in responses to relationship building with staff could also be attributed to district size. Principals in large urban areas have a much broader spectrum of responsibilities in the management of students and staff than do principals from small, rural districts.

In addition to distinctions between samples, areas of leadership emphasis in the states of Maryland and Wisconsin may differ and therefore survey questions could bring about different meanings from respondents from these two states. For example, a marked difference is noted in the leadership practice of monitoring/evaluating. This research study found this leadership practice to be strongly correlated in all four

domains of emotional intelligence, while there were no areas of correlation to monitoring/evaluating and emotional intelligence in Wendorf-Heldt's study. The practice of monitoring and evaluating is very much a part of the culture of leadership in Maryland schools. Much of the pressure put on Maryland principals is related to the expectation of monitoring and evaluating the effectiveness of curriculum, instruction, and assessment to make Adequate Yearly Progress in today's school reform era. Wisconsin principals certainly would find the practice of monitoring and evaluating important; however, Wendorf-Heldt's findings do not reflect that emotional intelligence is a predictor of that leadership practice.

- Lastly, it is noteworthy to examine those leadership practices that had very low correlations to domains of emotional intelligence across these two studies. One common areas of low correlation is involvement in curriculum and instruction. Principals with emotional intelligence do not often practice being involved in helping teachers design curriculum, instructional or assessment activities; however they are involved in the monitoring and evaluating as noted above.
- The findings suggest that the domains of emotional intelligence involving action rather than simply awareness, can be related to many of the research-based leadership practices of principals and these two domains especially should not be discounted as contributing to the effectiveness of a successful principal. However, finding no correlation between a

research-based leadership practice and emotional intelligence does not imply its lack of importance in achieving success as a principal. On the contrary; it simply implies that emotional intelligence alone does not make a strong, effective leader. For example, the lack of correlation between emotional intelligence and involvement in curriculum, instruction, and assessment and emotional intelligence does not suggest that this leadership practice is not essential to effective leadership and ultimately student achievement.

## Recommendations

### Policy considerations.

Based upon the findings of this study, it would be prudent for higher education as well as state and local school systems to consider curriculum/ policy changes relative to emotional intelligence and research-based leadership practices. Suggestions include:

1. Institutions of higher education with school leadership programs should consider this critical component of emotional intelligence as it relates to leadership development. Curriculum and course offerings on leadership should be revised to include the relationship between emotional intelligence and research-based leadership practices. Areas of training should especially emphasize those competencies within the domains of self-monitoring and relationship management as they have been found to be significantly correlated to practices of school leadership.
2. School systems should consider the use of emotional intelligence measures in hiring and in determining professional development needs of current and



prospective school principals. Principals should be expected to include goals related to enhanced emotional intelligence in the administrator evaluation model.

#### Further study.

While this research study contributes to the small body of knowledge concerning the relationship between research-based leadership practices and the emotional intelligence of high school principals, further research is needed to bring this often neglected relationship to the forefront of research on education leadership. Further study should be explored as follows:

1. Expanding this study to include qualitative data could provide additional insight from individual high school principals' voices on their perceptions of the relationship between research-based leadership practices and emotional intelligence. Additionally, principal interviews could assist in understanding principals' impressions of how they grew (if at all) in the area of emotional intelligence.
2. Certainly finding a method to study the relationship between emotional intelligence and student achievement in schools would be ground-breaking. However, under the current system of accountability and the emphasis on testing that may or may not be a true indicator of student achievement, this work would be questionable, at best.
3. A multi-state analysis of this relationship could shed more light on the impact of State Department areas of leadership emphasis on principal practices.
4. Examining the extent to which emotional intelligence can be learned will add to this body of knowledge and the importance of its inclusion in professional learning. Goleman (2002) considered emotional intelligence competencies as a

central part of a principal's charisma in developing and maintaining an academic climate that fosters success. Perhaps more importantly, he states that these emotional intelligence competencies are not innate but can be learned. He states, "Not only can emotional intelligence be learned, but it also can be retained over the long term. Our research has shown that there are very specific steps for leaders to take..." (2002, p. 98). Further study in this area could bear significant implications for the focus of principal training

This study has shown that a strong positive relationship exists between principals' research-based leadership practices and their emotional intelligence. In other words, principals with emotional intelligence competencies are more likely to be engaged in research-based leadership practices. Prior research has identified the successful practices of school principals that lead to student achievement. In fact, such practices now inform states' standards for principal evaluation. This study suggests that such practices may be linked to or even dependent upon emotional intelligence competencies, and therefore this relationship cannot be ignored.

The business world has embraced this powerful relationship between successful leadership and emotional intelligence competencies; it is now time that educators recognize this same linkage and use it to the advantage of our schools and students. A focus on emotional intelligence should be encouraged as part of education reform; from university curriculum and coursework, to principal hiring practices to professional development for aspiring and practicing principals. School principals equipped with emotional intelligence competencies will be much more effective in successfully leading meaningful school reform. Educators have been reluctant to embrace this notion in the

midst of a standardized test-ridden and data-driven world; however, after decades of unsuccessful reform initiatives in the United States, isn't it time for a paradigm shift?

Aristotle reminds us, "Anyone can become angry - that is easy. But to be angry with the right person, to the right degree, at the right time, for the right purpose, and in the right way – that is not easy". - *Aristotle, The Nicomachean Ethics 350 B.C.E*

## Appendix A: Survey Instrument Used with Wendorf-Heldt's Permission

### School Leadership Survey

For each item **circle** the number on the continuum that most accurately describes the extent to which you engage in the behaviors indicated.

#### In your role as a school leader, to what degree...

1. ... do you recognize and celebrate the accomplishments of your school's students and staff (for example, announcing the names of students with perfect attendance at an all-school assembly, praising members of the science department at a faculty meeting for a recent article they published in a professional journal, etc.)?

Never Always

1      2      3      4      5      6      7      8      9      10

#### In your role as a school leader, to what degree...

2. ...do you admit your school's shortcomings including inferior performance by students/staff (for example, sharing an issue with truancy with the board, etc.)?

Never Always

1      2      3      4      5      6      7      8      9      10

#### In your role as a school leader, to what degree...

3. ...are you willing to lead change initiatives with uncertain outcomes (for example, piloting a new math program, etc.)?

Never Always

1      2      3      4      5      6      7      8      9      10

#### In your role as a school leader, to what degree...

4. ...do you encourage and empower staff to take risks (for example, trying a new daily schedule, integrating a new technology into instruction, etc.)?

Never Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**5.** ...do you recognize individuals for their performance results (for example, praising a teacher for extra effort put in to utilizing a new instructional strategy that has improved reading achievement of his special education students, etc.)?

Never

Always

1       2       3       4       5       6       7       8       9       10

**In your role as a school leader, to what degree...**

**6.** ...do you facilitate effective means of communication with and between staff (for example, establishing bi-weekly meetings to discuss staff concerns, sending regular emails to keep staff informed of district progress on initiatives, etc.)?

Never

Always

1       2       3       4       5       6       7       8       9       10

**In your role as a school leader, to what degree...**

**7.** ...do you facilitate effective means of communication with and among students (for example, attending student council meetings, visiting with students in the lunchroom, etc.)?

Never

Always

1       2       3       4       5       6       7       8       9       10

**In your role as a school leader, to what degree...**

**8.** ... do you promote cohesion, purpose, and well-being among staff (for example, facilitating a back-to-school retreat to revisit school mission, data, and improvement plans, etc.)?

Never

Always

1       2       3       4       5       6       7       8       9       10

**In your role as a school leader, to what degree...**

**9.** ...do you develop a shared vision of what your school could be like (for example, brainstorming with staff what your school will look like in five years, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**10.** ...do you protect instructional time from interruption (for example, not paging staff over the public address system while instruction is in progress, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**11.** ...do you adapt your leadership style to effectively meet the needs of specific situations (for example, intervening with science department when a decision they want to make will have a negative impact on another department, not giving your opinion during an early faculty discussion on report card development so the staff can have ownership of the process, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**12.** ...do you encourage people to express diverse opinions (for example, inviting feedback from staff that tends to be negative about change, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**13.** ...do you establish clear, achievable goals for curriculum, instruction and assessment practices within your school (for example, setting a building goal for number of minutes per week devoted to writing instruction, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**14.** ...do you hold high expectations that all students can learn at high levels (for example, setting measurable improvement goals for students with disabilities and from economically disadvantaged backgrounds, etc.)

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**15.** ...do you keep continued, focused attention on learning and performance goals (for example, regularly revisit end-of-year school achievement goals at monthly faculty meetings, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**16.** ...do you possess and share with staff well-defined beliefs about schools, teaching, and learning (for example, sharing a written memo with staff at the beginning of the year that clearly states your belief that students from economically disadvantaged situations must receive additional attention from staff to be successful in their learning, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

---

**In your role as a school leader, to what degree...**

**17.** ...do you demonstrate behaviors and practices that are consistent with your beliefs (for example, devoting faculty meeting time to a book study on student intervention because you believe professional development is key to effective teaching, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

---

**In your role as a school leader, to what degree...**

**18.** ...do you provide opportunities for your staff to be involved in decision making and the development of school policies (for example, scheduling opportunities for teachers to work with you on developing a school homework policy, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

---

**In your role as a school leader, to what degree...**

**19.** ...do you keep yourself well-informed about current research and theory on effective schooling (for example, reading professional journals, attending leadership conferences, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

---

**In your role as a school leader, to what degree...**

**20.** ...do you foster systematic discussion about cutting-edge research and theory on effective schooling (for example, leading a book study on the impact of poverty on learning, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

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**In your role as a school leader, to what degree...**

**21.** ...are you directly involved in helping teachers design curriculum, instruction, and assessment (for example, participating in work sessions to develop grade/course level benchmarks in math, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**22.** ...do you monitor the impact of your school's curricular, instructional, and assessment practices on student achievement (for example, graphing and posting in the lounge the results of quarterly literacy assessments used in your school, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**23.** ...do you portray a positive attitude about the ability of staff to accomplish substantial things (for example, stating to staff that you recognize the implementation issues involved in implementing a new science curriculum and that you will provide the support necessary to make the change, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**24.** ...do you ensure that your school complies with all school, district, and state policies and procedures (for example, annually reviewing board policies to make sure the school is abiding by them, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**25.** ...are you an advocate for your school with parents, community, and central office (for example, writing an article for the local newspaper about your school's after-school tutoring/enrichment program, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**26.** ...do you maintain personal relationships with teachers and acknowledge the significant personal issues in their lives (for example, hosting a back-to-school party for staff members and their families, visiting a sick staff member in the hospital, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**27.** ...do you ensure that teachers have the materials and equipment necessary for instruction (for example, reallocating budgeted funds to provide additional science lab equipment needed for and AP biology class, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**28.** ...do you ensure that teachers have the necessary staff development opportunities to enhance their teaching effectiveness (for example, budgeting for release time for reading teachers to attend state literacy conference, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**In your role as a school leader, to what degree...**

**29.** ...are you aware of informal groups and relationships among the staff (for example, meeting with a group of teachers you heard are upset with a recent decision you made, etc.)?

Never

Always

1       2       3       4       5       6       7       8       9       10

**In your role as a school leader, to what degree...**

**30.** ...do you make systematic and frequent visits to classrooms (for example, making daily visits to classrooms to ask students and teachers what they're learning, etc.)?

Never

Always

1       2       3       4       5       6       7       8       9       10

**In your role as a school leader, to what degree...**

**31.** ...do you strive to build relationships with students (for example, attending extracurricular events and interacting with students there, etc.)?

Never

Always

1       2       3       4       5       6       7       8       9       10

**In your role as a school leader, to what degree...**

**32.** ... are you highly visible to students, teachers, and parents (for example, roaming the halls during parent teacher conferences, etc.)?

Never

Always

1       2       3       4       5       6       7       8       9       10

**As an individual, to what degree...**

**33.** ... do you acknowledge your own strengths and limitations?

Never

Always

1       2       3       4       5       6       7       8       9       10

**As an individual, to what degree...**

**34.** ... do you recognize your own emotions?

Never

Always

1       2       3       4       5       6       7       8       9       10

**As an individual, to what degree...**

**35.** ... do you realize the impact of your emotions on what is happening around you?

Never

Always

1       2       3       4       5       6       7       8       9       10

**As an individual, to what degree...**

**36.** ... are you able to describe your emotions?

Never

Always

1       2       3       4       5       6       7       8       9       10

**As an individual, to what degree...**

**37.** ... are you confident in your abilities and self-worth?

Never

Always

1       2       3       4       5       6       7       8       9       10

**As an individual, to what degree...**

**38.** ... do you remain composed in stressful situations?

Never

Always

1      2      3      4      5      6      7      8      9      10

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**As an individual, to what degree...**

**39.** ... are you trustworthy?

Never

Always

1      2      3      4      5      6      7      8      9      10

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**As an individual, to what degree...**

**40.** ... are you able to adapt to uncertainty and changing conditions?

Never

Always

1      2      3      4      5      6      7      8      9      10

---

**As an individual, to what degree...**

**41.** ... are you flexible to overcome obstacles?

Never

Always

1      2      3      4      5      6      7      8      9      10

---

**As an individual, to what degree...**

**42.** ... do you work to improve your performance?

Never

Always

1      2      3      4      5      6      7      8      9      10

---

**As an individual, to what degree...**

**43.** ... do you act in ways to do things better?

Never

Always

1      2      3      4      5      6      7      8      9      10

---

**As an individual, to what degree...**

**44.** ... do you look for the positive side of difficult people, events, and situations?

Never

Always

1      2      3      4      5      6      7      8      9      10

**As an individual, to what degree...**

**45.** ... do you view unexpected situations as opportunities rather than threats?

Never

Always

1      2      3      4      5      6      7      8      9      10

**As an individual, to what degree...**

**46.** ... do you listen attentively to understand the feelings and perspectives of others even when they are different from your own?

Never

Always

1      2      3      4      5      6      7      8      9      10

**As an individual, to what degree...**

**47.** ... do you understand the informal structures, social networks, and politics at work within your organization?

Never

Always

1      2      3      4      5      6      7      8      9      10

**As an individual, to what degree...**

**48.** ... do you strive to recognize and meet the needs of all stakeholders (students, staff, parents, community, board of education, etc.)?

Never

Always

1      2      3      4      5      6      7      8      9      10

**As an individual, to what degree...**

**49.** ... do you accurately read the mood of others within the organization?

Never

Always

1      2      3      4      5      6      7      8      9      10

**As an individual, to what degree...**

**50.** ... do you work to set a positive emotional tone in your organization?

Never

Always

1       2       3       4       5       6       7       8       9       10

**As an individual, to what degree...**

**51.** ... do you inspire others to work toward a compelling vision?

Never

Always

1       2       3       4       5       6       7       8       9       10

**As an individual, to what degree...**

**52.** ... are you able to influence and persuade others by engaging them in dialogue?

Never

Always

1       2       3       4       5       6       7       8       9       10

**As an individual, to what degree...**

**53.** ... do you invest effort in developing other people's abilities?

Never

Always

1       2       3       4       5       6       7       8       9       10

**As an individual, to what degree...**

**54.** ... do you initiate and lead productive change?

Never

Always

1       2       3       4       5       6       7       8       9       10

**As an individual, to what degree...**

**55.** ... do you work to resolve conflict by facilitating open communication regarding the disagreement?

Never

Always

1      2      3      4      5      6      7      8      9      10

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**As an individual, to what degree...**

**56.** ... do you strive to build and maintain positive relationships?

Never

Always

1      2      3      4      5      6      7      8      9      10

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**As an individual, to what degree...**

**57.** ... do you model respect, cooperation, and team building?

Never

Always

1      2      3      4      5      6      7      8      9      10

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**For items 58-61, please check the responses that best describe you/your leadership situation.**

**58. Gender**

\_\_\_ Male

\_\_\_ Female

**59. Total number of years served as a principal**

\_\_\_ 1-5

\_\_\_ 6-10

\_\_\_ 11-15

\_\_\_ 16-20

\_\_\_ more than 20

**60. Student population of the DISTRICT in which you serve**

\_\_\_ Small/rural (less than 1,500 students)

\_\_\_ Mid-sized (1,500-10,000 students)

\_\_\_ Large/urban (more than 10,000 students)



61. Percent of students receiving Free and Reduced Meals in your school.

\_\_\_\_ 0-25%

\_\_\_\_ 26-50%

\_\_\_\_ 51-75%

\_\_\_\_ 76-100%

**THANK YOU FOR MAKING TIME TO COMPLETE THIS SURVEY!**

**YOUR RESPONSES WILL BE KEPT CONFIDENTIAL.**

### **Approval to Use Survey Tool**

Good morning, Donna,

First of all, congratulations on your studies! You are on an adventurous journey that is arduous at times, but definitely worth it!

Thank you for your kind words. I, too, found the area of study fascinating and there is so much more yet to learn!

You have my permission to use my survey instrument under the following conditions:

- \* You credit/cite me in your research proposal, eventual dissertation, and research communications
- \* You provide me a copy of the results once you have given the survey and collected the data (in Excel spreadsheet or some other common form)
- \* You provide me a copy of your completed proposal and eventual dissertation

Please let me know if these conditions are acceptable to you and if you plan to go ahead and use the survey.

Best wishes to you on your studies! Don't hesitate to contact me if I can be of further assistance.

Sincerely,

Karen

Karen Wendorf-Heldt, Ph.D.  
 Agency Administrator  
 Cooperative Educational Service Agency (CESA) #9  
 304 Kaphaem Road, PO Box 449  
 Tomahawk, WI 54487-0449

**Appendix B: Endorsement from the Maryland Association of Secondary Principals**

**From:** Scott Pfeifer

**Sent:** October 16, 2013 11:24 AM

**To:** hanlidon@yahoo.com

**Subject:** RE: Request from Donna Hanlin

Donna,

Thank you so much for providing me an opportunity to review the survey of principals in Maryland you will use as part of your dissertation. The Maryland Association of Secondary School principals is pleased to support your work. Our executive board believes that the results of this survey will assist all school leaders as we negotiate these challenging times. Best of luck in your work and I look forward to seeing your results.

Scott Pfeifer

Executive Director

Maryland Association of Secondary School Principals

### **Appendix C: Letter of Invitation to Maryland Principals**

Dear Maryland High School Principal,

During this challenging time as a public high school principal in Maryland, I am sure that you are constantly questioning what leadership practices will increase your success as a principal. In my doctoral research at the University of Maryland, College Park, I am studying effective school leadership practices—what school leaders do to achieve success. Please go to the link in this email and complete the brief survey on school leadership practices. The survey should only take you **10-15 minutes** to complete.

There are no foreseeable risks in this study. Your responses to the survey will be kept confidential and you will remain anonymous. There will be no personal identifiers linked to your survey responses. While there are no direct benefits to you, some potential benefits include an increased understanding of your leadership practices and emotional intelligence competencies. The study itself will benefit the field of leadership in education by potentially identifying leadership and emotional intelligence competencies that can be identified and developed in potential and current leaders to strengthen public schools in the United States. I would be happy to share the results of my research with you. You can make that request by sending me an email at [hanlidon@yahoo.com](mailto:hanlidon@yahoo.com). I anticipate that I will complete my research and have results ready to share by spring, 2014.

This leadership survey has been reviewed and endorsed by the Maryland Association of Secondary School Principals. As a former Associate Superintendent for Curriculum and Instruction and now an education consultant and university adjunct

professor, I truly appreciate how busy you are! However, this topic of leadership practices is significant to the field of education, especially in light of new models of principal evaluation.

By proceeding to the survey, you indicate that you are at least 18 years of age, you have read this letter, and you voluntarily agree to participate in this research study. You may print a copy of this consent form for your records. If you have questions about your rights as a research participant, please contact: [irb@umd.edu](mailto:irb@umd.edu) or 301-405-0678. Thank you, in advance, for your participation!

Sincerely,

Donna C. Hanlin

Click on this link to complete the leadership survey:

<https://www.surveymonkey.com/s/WNR33M6>

## **Appendix D: Reminder Notices to Principals**

**November 17, 2013**

Dear [FirstName],

A short time ago, you should have received an email request asking you to participate in a leadership study. In my doctoral research at the University of Maryland, and as a former Associate Superintendent, I am particularly interested in the relationship between leadership practices and emotional intelligence in high school principals.

Recognizing that this topic of leadership practices is significant to the field of education, especially in light of new models of principal evaluation, this study has been endorsed by the Maryland Association of Secondary School Principals (MASSP). I am still seeking responses in order to be able to consider my study sample valid for analysis. Please go to the link in this email and complete the brief anonymous survey on school leadership practices. The survey should only take you 10-15 minutes to complete.

Thank you for taking the time to participate in this study!

Sincerely,  
Donna C. Hanlin

**December 6, 2013**

Good morning [FirstName],

Your input is still needed. So far I have received a little more than half of the completed surveys that I must have to consider my sample valid for my dissertation. Please assist me in completing my research by taking just 10-15 minutes to complete the attached anonymous survey. Thank you so much for your help with this important study.

If you would like to review the original letter of introduction, I have copied it below the survey link.

Sincerely,  
Donna C. Hanlin

**December 13, 2013**

Dear [FirstName],

The holiday season is upon us, and I am sure that you are looking forward to a break from the very demanding responsibilities of your job! I am pleased to tell you that I am very close to my target number of completed surveys. One more blitz of responses will enable me to move forward with data analysis and completion of my dissertation. Please click on the link below to assist me in reaching my goal. Feedback I have received is that it is simple and quick to complete and provides high school principals with an opportunity to reflect upon all that you do in your leadership role.

Should you wish to review the details of this leadership study, the original email invitation is copied below for your reference. I truly appreciate your participation and wish you all a very wonderful holiday and Happy New Year!!

Donna C. Hanlin

**December 28, 2013**

Dear [FirstName],

I trust that you have taken some well-deserved time to relax and enjoy the holidays. I am seeking your assistance once again.

I have received 58 responses to date from the 201 email invitations to Maryland high school principals. I would really like to increase my response percentage; so much so, that I am adding an incentive for principals to participate. Those who complete the survey will have emails entered into a sweepstakes drawing for a \$100.00 gift card to Amazon.com; including those 58 who have already completed the survey. If you have already completed the survey, there is nothing more that you need to do, and I THANK YOU!! My reports indicate that there are 6 principals who have incomplete surveys. I am unable to use those results, however, by going to the link to finish your questionnaire, you will also be entered into the reward drawing, and I will be able to incorporate your responses.

I also want to assure you that this survey has nothing to do with your school system or your school system's student data. This is a personal survey about your leadership practices and therefore does not technically require your system's approval for participation.

I truly appreciate your help. I can now see "the light at the end of the tunnel" to my doctoral degree. I am so motivated that I am even willing to be a nuisance (sorry about that)!

Donna C. Hanlin

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