

THE EFFECT THAT CONFIDENCE HAS ON THE BEHAVIOR OF THE PRINCIPAL
AND SUPERINTENDENT AS THE SCHOOL'S EDUCATIONAL LEADER.

by

Barry Thompson

Liberty University

A Dissertation Presented in Partial Fulfillment

Of the Requirements for the Degree

Doctor of Education

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APPROVED BY:

JERRY WESTFALL, PhD., Committee Chair

JOHN ALDRIDGE, PhD., Committee Member

MURRAY WILLIAMS, Ed.D. Committee Member

SCOTT WATSON, Ph.D., Associate Dean, Advanced Programs

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ABSTRACT

The purpose of this qualitative bounded, multi-site case study was to explore the effect that confidence has on the behavior of the principal and superintendent as the school's educational leader. The participants of this study were principals and superintendents of eight K-12 institutions in Northern Colorado. While the data addressing this multi-level epistemological observation are revealed through the narrative process, the framework for observing and codifying the research was derived from a qualitative multi-site case methodology where participants engaged in interviews and surveys, and whereby the researcher synthesized three research fields into one. Data were collected from the participant leaders through a personal questionnaire, a survey, individual interviews, and observations of the principals and superintendents in meeting settings. The resultant data were collected, coded, and analyzed based on the collective, bounded, case study methodology. The findings seem to suggest a perceived link between behavior and confidence. While it may be difficult to quantify confidence, each participant acknowledged the important presence of confidence and the factors that had contributed to confidence in their behavior. While some participants suggested that confidence was one of many factors in their resultant actions, this study confirmed that confidence nevertheless played an important and significant role in their behavior.

Descriptors: confidence, leadership, leaders, educational leadership, principals and superintendents, educational leaders, self-confidence, self-efficacy, beliefs, values, educational leadership development.

DEDICATION

This research paper and exercise is dedicated to my wife, Avril, who has patiently supported me and has sacrificed precious time together for the sake of this goal. My children, Tarryn, Ryan, Lauryn and Jaclyn should also be acknowledged for enduring my musings and latest research nuggets...whether they meant anything or not. Finally, to my Lord and Savior Jesus Christ, who provides His Spirit of wisdom and strength to see me through this process.

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CHAPTER ONE: INTRODUCTION

There is little doubt that humanity has been interested in the general study of leaders and the practice of leadership in every social context. While Phillips (1992) noted that “the study of leadership theory itself is a relatively recent phenomenon” (p. 2), there is a great deal to learn about leadership through the earliest Jewish writings of the Bible, Greek scholars like Socrates, Plato, and Aristotle, Lao-Tzu in China, and even wartime leaders such as Lincoln and Winston Churchill. Briner and Pritchard (1997) noted in their study of Jesus as a leader that “the principles Jesus embodied are applicable to any area, whether office, a school, a small business, a multinational corporation” (p. 3). With history and key historical figures as the building blocks for the study of leadership in general, this research primarily focused on leadership in the current education system in the United States.

In a recent Gallup © poll (Figure 1) , it was noted that Americans' confidence in public schools is down five percentage points from last year, with 29% expressing "a great deal" or "quite a lot" of confidence in them. That establishes a new low in public school confidence from the 33% measured in Gallup's 2007 and 2008 Confidence in Institutions polls.

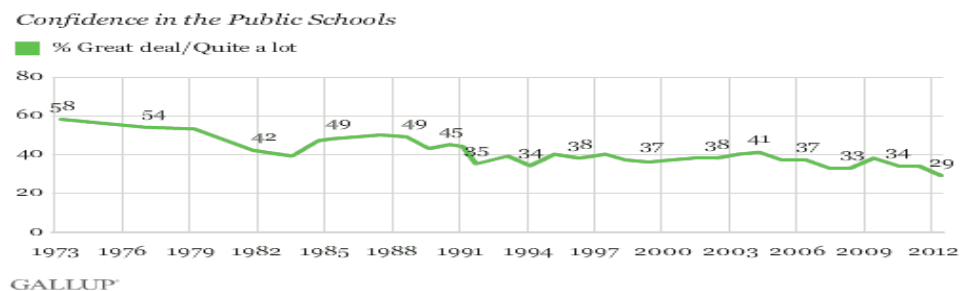


Figure 1. Copyright © (2007) Gallup, Inc. All rights reserved. The content is used with permission; however, Gallup retains all rights of republication.

One of the outcomes of this drop in confidence has been a call for a major overhaul of the American education system by citizen groups, politicians, and civic and social leaders (Corrales, 1999). From some quarters there have been calls for the dismantling of the current education system. In his article entitled *“The Failure of American Public Education”*, Hood (1993) noted,

By any reasonable measure, America’s monopolistic, bureaucratic, over-regulated system of public schools is woefully unprepared to meet the challenges of the twenty-first century. Political, business, and education leaders continue to talk about “reforming” the current public education system. They should, instead, be discussing how to replace it. (p. 1)

Others have called for retaining the educational system at all levels but reforming it to some degree. This has come primarily from political progressives who have stronger ties with the teachers’ unions, as suggested by Mehta (2012), who said “Teachers’ unions have been the Democratic Party's foot soldiers for more than half a century, providing not only generous financial backing but an army of volunteers in return for support of their entrenched power in the nation's public schools” (p. i). In the launch of a new program called “Educate to Innovate,” President Obama noted, “We have many great schools, excellent teachers, and successful students in America. But there are also troubling signs that, overall, our students should be doing better in math and science. We are not advancing as we must” (White House, July 2011, p. 1). The president supported his new initiative with some statistics:

American students ranked 21st out of 30 in science literacy among students from developed countries and 25th out of 30 in math literacy and

fourth graders showed no signs of progress for the first time in many years, and eighth graders tallied only modest evidence of progress. (p. 1)

Whether reforming or creating a new 21st century education system, at the heart of any successful change is the role of the principal as the educational leader. As Cawelti (1984) noted: “Continuing research on effective schools has verified the common sense observation that schools are rarely effective, in any sense of the word, unless the principal is a ‘good leader’” (p. 3). Baker (2012), the superintendent of the Hamilton City Schools in Illinois noted that “I feel strongly that the leadership of the principal is the single most important factor in the success of the school” (p. 1).

School principals and superintendents were the focus of this qualitative case study because they are one of the primary stakeholders in a local school system and have the power to influence their entire school ecosystem by their actions and daily behavior (Hunter-Boykin & Evans, 1995). In reviewing books, seminars, conferences, websites, and experts on the subject of educational leaders, the researcher found that there has been research on the education, classification, training, and development of educational leaders, but few studies have focused specifically on what role confidence has in the behavior and practices of the principal as the school’s primary educational leader.

Background

In the ever-changing and evolving world of education in the United States, the role of the local principal and superintendent has taken on new importance. The principal and superintendent’s role has dramatically changed over the last few decades. Not only does the principal manage the assets and resources of the school, but, as outlined by Gorton, Alston and Snowden (2007), “The key is for

principals and superintendents to view themselves as leaders of a community of learners and be aware of what such leadership requires of them” (p. 177). As noted by Sarason (1996), “The principal is the crucial implementer of change, that is to say, any proposal for change that intends to alter the quality of life in the school depends primarily on the principal” (p. 148).

The principal and superintendent are now engaged with multiple stakeholders, including students, the staff, teachers, parents, the superintendent, the school board, community leaders, and many more (Gorton, Alston, & Snowden, 2007). This demands a new type of principal and superintendent; one that is trained and equipped to address the growing expectations from the community to improve the performance of teachers and students. Researchers Leithwood and Riehl (2003) noted:

In these times of heightened concern for student learning, educational leaders are being held accountable not only for the structures and processes they establish, but also for the performance of those under their charge. This includes teachers as well as students. (p. 4)

Because of growing expectations from the community and the corresponding responsibility, the principal is at the epicenter of the school’s ecosystem, and his or her performance as a leader has a ripple effect on the entire community. One element of a leader’s performance is the level of belief they have in their own ability to lead towards acceptable outcomes, as noted by Kanter (2006), who said, “Confidence is the bridge connecting expectations and performance” (p. 3). Kanter (2006) noted the purpose for her study on confidence was that she “wanted to give more people the tools and confidence to avoid the destructive patterns of losing streaks and get onto winning paths – whether they

are executives, managers or employees, coaches and fans cheering their favorite teams” (p. xviii). While the role of confidence has been the subject of research in disciplines such as business, sports, and politics (Kanter, 2006), there does not appear to be any research conducted on the role that confidence plays specifically on the principal as the leader of his or her specific educational system. Therefore, the researcher used a case study approach in order to understand the role that confidence has on the behavior of the school principal as the leader of their school’s ecosystem.

The subject of confidence includes four concepts:

- a) Self-confidence: “an emotional climate of high expectations”
(Kanter, 2006, p. 29)
- b) Confidence in one another: “positive, supportive, team-oriented behavior” (p. 29)
- c) Confidence in the system: “organizational structures and routines reinforcing accountability, collaboration, and innovation” (p. 30)
- d) External confidence: “a network to provide resources” (p. 30)

Confidence therefore, in this research study, was defined as a high expectation of achieving a successful outcome in spite of obstacles.

Situation to Self

The topic of how confidence impacts the behavior of the principal and superintendent as the primary school leader is of interest to me because I am a father, a grandfather, a community leader, and an educator. Having been responsible for the education of my four children in both South Africa and in the United States, I am fully aware of the strengths and weaknesses of global educational systems and of the role of the principal in both the Anglo and the American system. Furthermore, I am an adjunct professor at Colorado Christian University and as such am partially responsible for the development and training of future educational leaders.

Finally, I was employed by Knowledge Factor, Incorporated, in Colorado, who based their Confidence-Based Learning on the research of Adams (2007), who linked confidence to learning. Adams' research suggested a strong link between confidence and outcomes in the development of leaders for such organizations as Comcast, Chrysler, Rogers Communication, and AT&T. At the core of Adam's research is the Learning Behavior Model (LBM). The four categories outlined in LBM are (a) Misinformed: High confidence and low knowledge, which leads to poor outcomes; (b) Uninformed: Low confidence and low knowledge which leads to inaction; (c) Doubt: Low confidence and high knowledge which leads to inaction; and (d) Mastery: High confidence and high knowledge which leads to positive outcomes. Figure 2 demonstrates the link between confidence, knowledge, and action/no action.

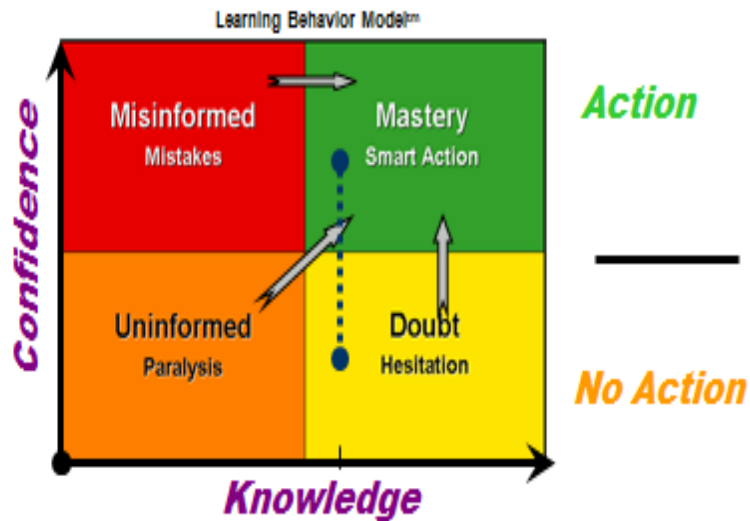


Figure 2. The Learning Behavior Model. Copyright © (2007) Knowledge Factor. This graph is used with permission from Tim Adams, Co-founder of Knowledge Factor, Inc.

Problem Statement

The problem addressed in this study was the lack of understanding regarding the effect that confidence has on the behavior of K-12 school principals and superintendents in Northern Colorado as the leaders of their local school ecosystem. This research sought to determine how confidence impacted the daily actions of the principal as he/she provided leadership to the stakeholders in their specific school system, including students, staff, parents, and the community. The primary objective of this study was to better understand how confidence influences the decision-making processes of principals and superintendents as leaders of their specific scholastic ecosystem. Research has been done on the role that confidence plays in the winning and losing experiences of sports figures, business leaders, and political figures (Kanter, 2006), but little research has been conducted with leaders, specifically in the educational field such as with

principals and superintendents. This study focused on those educational leaders and the role that confidence played in their behavior. It is anticipated that this study can add value to the development and training of new educational leaders so that key elements that lead to improved confidence will lead to improved performance of the entire educational ecosystem.

Purpose Statement

The purpose of this qualitative, multi-site case study was to explore the effect that confidence may have, if any, on school principals and superintendents at select school systems in Northern Colorado. This study can provide a deeper understanding of the elements of confidence and how or if these factors have an impact on the daily decision-making of the school leader. More specifically, the study addressed such questions as: How, if at all, does confidence impact the behavior of the leader? How important is that role and can it be defined and taught to future leaders? This study used various forms of qualitative data to determine the role of confidence and then suggested how these lessons may be applied to the future development and training of new leaders in the school systems identified.

Significance of the Study

This study is significant to the fields of leadership in general, school leadership specifically, and the impact of confidence on leaders. This study built on the available research in these three fields, but went further by combining all three research fields into one. There have been numerous studies on leaders and leadership (Byham, Smith, & Paese, 2002; Hackman & Johnson, 2009; Amerding, 1992; Covey, 1991). Furthermore, many studies have been conducted addressing school leadership (Gorton, Alston, & Snowden, 2007; Owen &

Valesky, 2007). Finally, researchers Hunt, Leclercq, and Bruno (as cited in Adams, 2007) concluded that retention of knowledge is significantly improved when knowledge is linked to confidence, and that this knowledge retention improvement leads to improved performance.

In addition to enhancing the body of knowledge in these three areas, the study may lead to an understanding of how to better prepare future principals and superintendents to be effective educational leaders. When the role of confidence is explored and understood, it could then be added to the developmental curriculum of those seeking to become future principals and superintendents. Through the study of confidence behaviors of the principals and superintendents of eight schools, it is hoped that this would lead to the development of a comprehensive approach to confidence-based educational leadership during the selection, development, and empowerment of future principals and superintendents as educational leaders.

Finally, in addition to the significance for these three fields described, the study provides important information to the schools that were part of the study. The study could lead to improvement in the performance of current principals and superintendents, assist in improving the principal-stakeholder relationships, and also assist in enhancing or developing training programs for new and existing school leaders. With the growing demand for new and effective school leadership, this study could add value to the curriculum of the next generation of school leaders. This could be accomplished by providing a better understanding of those factors that impact confidence and how those factors can improve and increase performance and productivity in the school's ecosystem. It could also address these factors in specific terms within the curriculum of new and existing

school leadership programs. With a greater emphasis on outcome-based funding at the federal and state levels, ways to improve the performance and outcomes of each school is now imperative.

Research Questions

The questions addressed in this case study were: What effect, if any does confidence have on the behavior of the principal? How does confidence impact this educational leader and how does this translate into their actions and reactions as leaders of their school ecosystem? This case study explored how confidence did or did not impact the practices and behaviors of the primary school leader, the principal.

The primary exploratory research questions addressed were:

Research Question One: What effect, if any, does confidence have on the behavior of the principal and superintendent as the primary educational leader of a school system?

Research Question Two: How do participants describe confidence in the context of their role as a principal and superintendent?

Research Question Three: What events or aspects of their role as principal and superintendent do participants describe as being significantly impacted by confidence?

Research Question Four: How do participants' responses compare and contrast?

In order to fully understand the questions of what role, if any does confidence have on the behavior of the principal and how does confidence impact this educational leader and how does this translate into their actions and reactions as leaders of their school ecosystem, it is necessary to consider the role and function of the principal and superintendent, the challenges they encounter in

leading an educational organization, and how confidence may impact their behavior.

Research Plan

Selecting a research plan is governed by the questions to be answered through the research. This also dictated the research design used (Creswell, 2005). As noted, “Qualitative researchers sought to understand a phenomenon by focusing on the total picture” (Ary, Jacobs, Razavieh, & Sorensen, 2006, p. 31). A qualitative case study was selected because of its ability to provide complex textual descriptions of how principals and superintendents behave based on their level of confidence. This method provided information about the human side of this issue – that is, the often conflicting and opposing behaviors, beliefs, opinions, emotions, and relationships of the principal as the school’s educational leader. This qualitative case study focused on the broad concept of confidence of the principal and superintendent, and addressed the questions what, why, or how (Creswell, 2005) confidence impacts the behavior of the principal. As with most qualitative research, this study was an “attempt to objectively study the subjective states of their subjects” (Bogdan, Knopp, & Biklen, 2007).

This approach also allowed me to conduct a detailed examination of the educational leader and the role that confidence had or did not have on their behavior as a leader. This bounded system, case study approach allowed me to gather, analyze, code, and interpret the gathered data collected from observations, interviews, and surveys of eight leaders. In this manner of study, I was able to answer the question of the role of confidence on the behavior of the principal, and was able to produce findings that were not pre-determined (Tellis, 1997).

Delimitations

This study was limited to participants who are currently principals and superintendents of school organizations and with whom I have had no prior relationship. This was to avoid possible conflict of interest, preconceptions, prejudice, and researcher bias. Since these principals and superintendents were unknown to me, any ethnic or socioeconomic influences were minimized. This sampling was taken from non-profit and for-profit educational institutions, or both.

Additionally, I used the following criteria to select participants for this study: (a) educational leaders for at least 60 months, (b) either gender, (c) various ethnic backgrounds, and (d) over 35 years of age. This was to ensure that each participant had a meaningful track record in their role, and had extensive experience and tenure from which to provide feedback and offer various perspectives and backgrounds.

Limitations

As stated previously, “case studies can be of an individual, group, site, class, program, or community” (Ary, Jacobs, Razavieh, & Sorensen, 2006, p. 456). This case study had some limitations due to geographical location, the sample, and the length of the study. This study was conducted at various schools in Colorado. Although the participants were encouraged to offer their lifelong experiences, the collection of data spanned a period of three months. Finally, as with most case studies, the sample used in this study was small, and focused on eight principals and superintendents. One of the primary advantages of this case study was the “possibility of depth” (p. 457). This study sought to “understand the whole individual in the totality of that individual’s environment” (p.457).

Finally, another limitation was the restriction to electronically record any of the interviews. While it was the original intent to record each interview and to transcribe these recordings, no participant agreed to these sessions being audio/videotaped. Of the eight participants, the four who were employed in the public school system, were restricted from recording the interviews by the Director of Legal Services from their school district. The only reason provided by the district was that the school district was forced to take such action because of recent legal actions taken by certain groups against the school district based on recorded interviews.

The other four participants that were employed by private schools also withheld permission due to legal action that was currently in progress based on a recording taken during a recess in a PTA session that was then posted on a popular social media site. The governing body of this school system felt that it was to record any interview at this point was unwise and inappropriate at this time.

To overcome this issue, participants were asked to review all notes taken during these interviews, confirm the integrity of the information and make additions or deletions based on their recall from the interviews. All participants accessed, reviewed and edited these transcripts and confirmed their integrity.

Definition of Terms

It is helpful to define some of the key terms used in this research.

Leadership. “Leadership is an interaction between two or more members of a group that often involves a structuring of the situation and the perceptions and expectations of the members” (Bass, 1990, p. 19).

Confidence. Confidence is defined as a high expectation of achieving a

successful outcome in spite of obstacles.

Efficacy. “The ability to perform in a certain activity” (Ursiny, 2005, p. 19).

Esteem. “Evaluating my character and performance against standards set by others” (Ursiny, 2005, p. 19).

CHAPTER TWO: REVIEW OF THE LITERATURE

Introduction

In spite of the historical focus on leadership, there are few generally accepted definitions of leadership (Hackman & Johnson, 2009). In defining leadership from current twentieth century scholars, two primary problems exist: the definitions are not clearly articulated, or they appear to be tailored to suit a specific argument or purpose (Gorton, Alston, & Snowden, 2007). Rost (1991) analyzed a substantial volume of leadership researchers from the last 100 years and found that less than 40% provided a clear definition of leadership or leaders. Rost (1991) noted that most had a tailored view of this subject or felt that these could only be defined within a narrow context. Rost defined leadership as “an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes” (p. 39).

While the study of leaders and their leadership practices is a broad and general activity, the current research will focus on a smaller, more specific subset of the larger leadership context, which is the principal as the primary educational leader in their school context, and how their confidence-driven behavior is expressed within an educational setting.

In a recent report from the Center for Public Education (2009), the perception of the principal “as everything from an ineffective, out-of-touch authoritarian to a hard-charging leader capable of single-handedly turning around a low-performing school” (p. 2) is pervasive. But few will disagree that the principal is a “pivotal figure in bringing about needed school reform and improvement” (Gorton, Alston, & Snowden, 2007, p. 7). These authors further note that “it is not the position that determines whether someone is a leader; it is

the nature of that individual's behavior while occupying that position" (p. 6).

Lipham (1964) drew an important distinction between a leader and an administrator and defined an administrator as "the individual who utilizes existing structures and procedures to achieve an organizational goal or objective" (p. 120). He defined a leader as one who "is concerned with initiating changes in established structures, procedures or goal; he [or she] is a disrupter of the existing state of affairs" (p. 119).

While we may not have arrived at a clear and universally accepted definition of leaders and leadership, there is general agreement that any definition of educational leader must incorporate the unique leadership challenges of the 21st century educator that include the global marketplace, the shrinking global community, the urgent shortage of competent and successful leaders (Byham, Smith, & Paese, 2002), and how these new leaders interact and lead the new, global knowledge student with their own idiosyncrasies. From the previous discussion, the definition of a principal and superintendent as an educational leader contains three key acknowledgements: (a) A principal and superintendent as an individual in some type of influential relationship with various stakeholders in a community; (b) The principal and superintendent are in a position of formal authority; and (c) The principal and superintendent are the primary leader of their school ecosystem and as such their behavior will influence the outcome of that system.

Theoretical Framework

The theoretical framework that underpins this study is based on significant research in two primary areas which are leadership theories and theories on confidence.

Leadership Theories

In the general study of leaders and leadership, various and multiple theories have been developed, starting with a biblical worldview. Early leaders were selected, appointed and equipped by God for a defined purpose. Jesus noted “You did not choose Me, but I chose you and appointed you that you should go and bear fruit, and that your fruit should remain” (John 15:16, NIV). Other examples included Adam, who was to lead the human race; Moses, who was selected against his wishes to lead God’s Chosen People; and Nehemiah, who was influenced by God to rebuild the walls and gates of the city of Jerusalem. Much later in ancient Greece, Aristotle believed that leaders were born, but that their latent talents had to be developed in order for them to serve well (Wren, 1995). While these theories address leaders and leadership in general, they equally apply to leaders and their behavior, specifically in the educational setting.

Whatever theory of leadership is studied, the theory cannot be divorced from the behaviors and outcomes of the leaders that fall into each theory. In fact, it can be argued that the credibility of a theory can and must be directly linked to the performance or outcomes of the objects of that theory. In the literature that is reviewed in the following section, the theory is offered and is then substantiated and supported by the performance, actions, behavior, and outcomes of the subjects of the study that is referenced. Therefore the review and analysis of

relevant literature on the matter of leadership, inextricably links leadership theories and research to the outcomes, performance, and behavior of those leaders being studied. Specifically, how has the behavior and performance of the leader been shaped and influenced by factors of confidence?

Theories on Confidence

Kanter (2006) has conducted research in the area of confidence as it applied to winning and losing across various social groups, including sports teams, business, politics, and education. Kanter's research offers a significant link between leaders' confidence and the results or outcomes of the organization as a result of their behavior. Successful leaders are confident leaders that lead successful teams, organizations, and causes. Kanter offers research that supports the link between educational leadership and confidence.

Further research has been conducted on the impact of confidence in learning by Hunt, Leclercq, and Bruno (as cited in Adams, 2007), and while this study did not address learning, examining confidence as it relates to learning provides helpful insight into the role that confidence plays in the outcomes and behavior of individuals, including educational leaders.

Review of the Literature

Paramount to any study of educational leadership is reviewing the research already done on the key theories of leadership. From the early leadership studies of key figures that held leadership positions, to the current appeal of servant leadership, these all offer insight into what makes a leader.

Great Man Theory

One of the most prominent and accepted leadership theories in the early

part of the 20th century was proposed by Scottish writer, Thomas Carlyle.

Carlyle (1907) noted that "The history of the world is but the biography of great men" (p. 3), and is credited with developing the Great Man Theory, which states that true leaders are born to lead those whom are predetermined to be followers.

However, over the past 100 years, six additional, general, and formal leadership theories have been developed based on observation and moralization. Each of these theories can be applied to leaders in an academic context.

Traits Approach Theory

One of the earliest theories was the Traits Approach, propounded by Stogdill (1948). Stogdill suggested that leaders possessed certain physical and psychological attributes that enabled them to be more successful leaders, and by isolating these characteristics, latent leaders could be uncovered and liberated to lead.

Situational Theory

Another important theory that was developed is known as the Situational Theory or approach (Hackman & Johnson, 2009). The situational approach, or sometimes called the contingency approach, suggests that leadership behavior is a result of variations in the current context of that leader. This model has three variations: Friedler's Contingency Model of Leadership (Friedler, 1967); the Path-Goal Theory (Hackman & Johnson, 2009); and Hersey and Blanchard's Situational Leadership Theory (Hersey & Blanchard, 1984).

Functional Approach to Leadership Theory

Yet another theory, the Functional Approach to Leadership (Hackman & Johnson, 2009), seeks to provide understanding into the communicative behavior

of the leader and how that behavior impacts the follower and the organizational outcomes. The Functional Approach theory found its roots in the earlier work of Barnard (1938), who noted that communication was the single most important factor in effective leaders.

Relational Approach

Another model to emerge is called the Relational Approach (Hackman and Johnson, 2009), which redirected the study of leadership away from the characteristics and traits of the leader, and focused more on the dynamics of the relationship between leader and follower. Graen and Uhl-Bien (1998) provided substance for this theory in their “Vertical Dyad Linkage model (VDL)” (p. 123). These researchers discovered that leaders react and interact with followers in differing ways, depending on the context and setting.

Transaction and Transformational Leadership Theory

This important leadership study emanated from the work of James Macgregor Burns (1978). Burns based his work on Maslow’s Hierarchy of Needs (1943), and proposed that traditional leadership was more focused on the occurrence of a transaction that satisfied basic human needs (self-actualization, esteem, love/belonging, safety and physiological), while transformational leadership appealed to followers’ high-level needs.

Servant Leadership Theory

The final important leadership theory to emerge in the early 21st century is known as Servant Leadership. This term was first coined by Greenleaf in his 1970 poem entitled “*The Servant as Leader.*” This model suggests that the best way for a leader to lead is to take on the mantle of servant and to view his/her followers as

worthy of service instead of an expectation of being served.

Leaders and Performance

Waldman and Yammarino (1999) studied the link between the leaders and the performance of the organization. Based on the behavior of the leader, their study demonstrated that the results and outcomes are directly linked to the action or inaction of the leader. Their research suggested that the performance of an organization is impacted by, among other things, the self-confidence the leader has, but also by the degree of confidence the leader has in their followers.

Confidence is a vital element of performance.

Confidence and Leadership

Kanter (2006) took a critical view of leadership and the role that confidence plays in the success and failure of the organization that leaders lead. Her study was based on the book *Confidence* (Kanter, 2006), and outlines the role that confidence plays in an organization. Kanter studied groups that had been part of a winning or losing streak and what the educational leader's role was in the end. She noted what the roles of accountability, communication, transparency, and accessibility played in allowing confidence and success to grow. Results suggested a strong link between the confidence of the leader and the results of the organization they lead, where the confident leader supported the development of other leaders and created an atmosphere where confidence could flourish and result in success. Kanter provided a strong link between educational leadership and confidence, and also linked these two elements with success and failure. Kanter offered insight into leadership in the educational context as she studied the

impact of Elsie Bailey, principal of Booker T. Washington High School in Memphis. Bailey, noted Kanter, set out to “create a culture that would foster self-confidence in the students and confidence in the school” (Kanter, 2006, p. 248).

Kanter (2006) offered insight into the difference between winning and losing organizations and the impact of confidence on the outcomes. She conducted hundreds of interviews with leaders in all sectors of society to try and uncover the role that confidence played in the outcomes of institutions and individuals. While Kanter’s study covered the broadest field of leadership with a primary focus on the impact of confidence on the final outcome, (i.e. losing and/or winning), it nevertheless provides limited advice for those leaders in the educational context.

School Leadership

Gorton, Alston, and Snowden (2007), offered a comprehensive review of leadership in the school context. In their two-part book entitled, *School Leadership and Administration* (2007), the authors provide a detailed review of “researched-based leadership theory” (p. xii) and then seek to apply these theories to the educational leader. A helpful addition to their seventh edition is the inclusion of case studies, exercises, and simulation scenarios.

Researchers Owen and Valesky (2007) provided a review of the role and behavior of the educational leader as an agent of reform in the school reform movement. The ninth edition of their book, *Organizational Behavior in Education* (2007), provides an overview of the effective educational leader and how they can improve the outcomes of their organization particularly in light of the No Child Left behind Act of 2001. The authors highlight the fact that as educational

organizations changes, so too must the leadership approach of the leaders. They noted that “in today’s fast-paced world dominated by change, the school and particularly the school leader, must be constantly sensitive to emerging changes in the external environment that call for nimble, deft, rapid responses by the organization” (p. 270).

Leadership Proficiencies or Competencies

Goleman, Boyatzis, and McKee (2002), in their work *Primal Leadership*, highlighted various leadership proficiencies or competencies. These include self- and social awareness, self-management, and the management of relationships. They noted that a leader who is “self-aware will know both their strengths and weaknesses” (p. 38), will have a positive self-concept, and is synchronized with their inner feelings. The “competency of self-management will result in the leader demonstrating self-control, emotional control, integrity, optimism, and an inner drive to succeed” (p. 39). Those leaders with a high degree of relational management will inspire, influence, change and produce a sense of belonging by those on their team (p. 39).

Goleman, Boyatzis, and McKee (2002) noted:

The fundamental task of leaders... is to prime good feelings in those they lead. This occur when a leader creates resonance; a reservoir of positivity that frees the best in people. At its root then, the primal job of leadership is emotional...as the leaders’ moods and actions have enormous impact on those they lead. (p. ix)

Kalmenan (1991) reviewed the current research at the time regarding leadership decision making, history, limitations, and accomplishments.

Kalmeman noted that most studies will likely look less upon cognitive factors and focus more on impulsive behaviors and tendencies for self-destruction.

Furthermore, Kalmeman noted that, up to that point, many researchers considered these areas (being how they made decisions, their past experiences and limitations as well as their achievements) to be separate, when they actually needed to be key factors in our greater understanding of how decisions are made. It is critical to understand how a leader makes decisions and the impact that confidence plays in the decision making process. Kalmeman addressed the more subtle psychological issues that are involved in decision making.

Leadership Characteristics: Vision and Emotion

In his research, Killian (2007), reviewed leadership theories, the critique of each, leadership traits, leadership styles, and two aspects of leadership characteristics: vision and emotion. While providing a comprehensive overview of theories, traits, characteristics, and habits of leaders, this article also linked the performance of followers to the performance of the leader. Two “styles” (p. 2) of outstanding leaders that Killian noted are the internal confidence of the leader and the confidence that the leader expresses in their followers. How the leader possesses and develops personal confidence and how this is communicated to his/her followers are of critical importance to the success of that leader.

Comparing a Worthy Leader to an Unworthy Leader

Thompson, Grahek, Phillips, and Fay (2008), sought to identify those factors that distinguish a worthy leader from an unworthy leader. Some of these are internal factors, while others are learned factors or are external in nature.

From their study, the “Worthy Leadership Model” (p. 12) was developed. The

worthy leader has both inherent strengths and external skills that differentiate them from an unworthy leader. Two of these aspects are leadership presence and openness. The worthy leader is defined by many aspects, of which openness and presence are directly linked to confidence in the leader.

Traits and Personalities of Leaders

In their landmark meta-analysis study, researchers Judge, Bono, Ilies, and Gerhardt (2002) reviewed 10 different studies conducted from 1948 to 1999 that addressed some aspect of the traits and personalities of leaders as they affected organizations. One of the challenges they faced was to identify a consistent and universally-accepted list of leadership traits. This resulted in the identification of five traits or factors that were most widely agreed upon as significant to leadership assessment. These five factors, also known as the “Big Five” (p. 766), show a strong and positive correlation between personality and leadership. Cherry (2012) noted that the Big Five is a compilation of generally agreed upon personality traits that began with work done by Fiske (1949), and later researchers such as Norman (1967), Smith (1967), and Goldberg (1981). The Big Five leadership traits identified by Judge et al. (2002) are (a) extraversion which includes excitability, sociability, assertiveness and expressiveness, (b) agreeableness which include traits such as trust, kindness, and affection, (c) conscientiousness which includes thoughtfulness, strong impulse control and performance-based behaviors, (d) neuroticism which includes “emotional instability, anxiety, moodiness, irritability, and sadness” (Cherry, 2012, p.1), and (e) openness which includes such traits as creativity, imagination and insight?

Some research has explored the effectiveness of various types of leaders.

Burpitt (2009) studied two specific types of leader: the transactional leader and the transformational leader. The results showed that transformational leaders produced greater success, second only to leaders who were able to demonstrate both leadership types at appropriate times in the growth of the organization.

Confidence and Leadership

Confidence-Based learning (CBL) is a theory developed through the research of Hunt, Leclercq, and Bruno (as cited in Adams, 2007). This study was a compilation of research performed by these three researchers, all of whom independently concluded that retention of knowledge is significantly improved when knowledge is linked to confidence, and that this knowledge retention improvement leads to improved performance of the matter learned. Such confidently-held knowledge leads to learning results that are significantly higher than what we would normally see if confidence were not a factor in the learning process.

LeClercq (as cited in Adams, 2007) focused on confidence markings in relation to an answer grid, using algebra students and confidence in their answers as the research base. Hunt (1982) addressed the issue of knowledge and the dimensions and states of knowledge. Through Hunt's research, the connection between confidence, or one's certainty in a subject area, and correctness of this knowledge, was directly correlated with retention of the information. Research on Information Reference Testing (IRT), undertaken by Bruno (1993), supported and built upon Hunt's (1982) findings. Bruno concluded that using the confidence factor in the self-assessment process helped to determine the knowledge quality of a learner. Bruno's self-assessment instrument, IRT, examined both confidence

and correctness simultaneously to objectively measure the knowledge quality of the learner. Hunt's approach examined correctness (objective measurement) and sureness (subjective measurement) simultaneously to determine how confident an individual was in his or her answer. While studies vary on retention and learning, there is a growing body of research that demonstrates studies on retention using a right/wrong assessment methodology may lend themselves to guesswork and false results, and therefore may increase the likelihood of inaccurate outcomes and more deviant behavior. The results of these studies addressed learning and how it impacts confidence. The CBL theory helps to measure confidence and establish a link between confidence and action.

Popular Approaches to Leadership

Northouse (2013) called on four experts to address three different leadership theories. These included popular approaches to "team leadership, women and leadership, and psychodynamic approach to leadership" (pp. 23-89). Northouse addressed the definitions and characteristics of leadership such as trait vs. process, assigned vs. emergent, leadership and power, coercion, management, and different theoretical approaches to leadership. He also addressed other elements such as the role of women in leadership, servant-leadership paradigm, stewardship, and the spiritual-ethical orientation of the leader and the empowerment of followers.

Moral Leadership

James Macgregor Burns (1978), a prominent leadership scholar, expanded the common view of leadership to encompass what he called "moral leadership" (p. 29). In his writings, Burns presented his theory of transactional and

transformational leaders, and suggested that most leadership was expressed in a transactional way, in which there was an exchange between leaders and followers. He further postulated that this exchange between the leader and the follower could in fact raise the outcome to “higher levels of motivation and morality” (p. 41). While Burns did not settle the problem of a singular definition of leadership, he did provide a new paradigm of thinking about leaders specifically, and about leadership in general.

Leadership Development

Cohn, Katzenbach, and Vlak (2008) offered insight into the most successful ways to uncover, develop, and empower new leaders in an organization. They noted from real-life cases, that organizations must have a well-developed plan to identify new talent, a process for developing them, and a plan to put them into action. The identification, remediation, and empowering of new, organic leaders is a critical process if we are to address the shortage of organizational leaders. In developing educational leaders it is critical to understand the process of identifying, remediating, assessing, and empowering educational leaders. But it is also critical to understand how to build confidence in the leader during the process of remediation.

Adair (2005) propounds a theory of leadership development based on first-hand experience in the military. He focused on the development of leaders from within an organization. He included the development of the whole person, identifying key character traits that are required to be a successful leader. It is these areas that were important to the current study, as confidence is linked to leaders' actions.

Leadership Communication

The research of Testa (2002) touched on the aspect of inter-organizational communication. Testa defined this communication as the “business ecosystem” (p. 6), and suggested that one of the primary roles of the leader is to ensure the effective and efficient intercommunication between all of the stakeholders. The effective communication between leaders, employees, staff, students, and other stakeholders in an organization’s economic chain are critical to the success of the organization. Effective assessment and response are critical to producing confidence among all stakeholders. Without this confidence, Testa found that success was more difficult to achieve. Part of any educational leadership study must include the assessment of the leader, as well as the perceptions of stakeholders about the leader and his/her organization. Confidence is partially based on these assessments, and will impact the success of an organization.

Service and Leadership

Kaplan, Sensoy, and Stromberg (2009) addressed the question of the importance of the leader and the service of the organization they lead. Their research seemed to indicate that the idea of service is more important than the leader. While the confidence of the leader is critical, it is not the only factor that determines the success of an organization. Confidence in the offering is as important as confidence in the leader. When evaluating confidence, the confidence level in the service or offering of the organization is an important element. How the educational leader uses this confidence is a critical factor in the success of an organization.

Productivity, Outcomes, and Leadership

Lui (2010), in his study conducted in China, addressed the role that leaders have on the general well-being of their followers, as well as the productivity of those followers. Liu found that two areas of importance are the trust that followers have in their leader(s) and the “self-efficacy” (p. 11) of that leader. The leader is a major element in the general well-being of the employee, as well as how well the employees perform. The positive leader will impact the performance of the follower through trust, vision, passion, and confidence. One of the key elements in the performance of followers is how well educational leaders inspire confidence in the organization. How this is communicated, expressed, and demonstrated will impact the success of the leader, followers, and the organization as a whole.

Wilson (2011) noted in her research:

Successful educational leadership has never been a random phenomenon, rather an executed success which leaves clues, whereby one can discover them. These clues lead to a desired destination—higher students’ achievement. High performing schools have historically had strong leadership, namely the site principal. (p. 393)

In her article entitled “Successful educational leadership at High Performing Schools” (2011), Wilson offers six necessary elements that are required to ensure successful student achievement. These include an agreed vision, instructional leadership, clear rules and procedures, student progress monitoring, professional learning communities, and school and family partnerships (p. 396).

Kanter (2006) has conducted a great deal of research on confidence.

Kanter studied the role of confidence in winning and losing, and outlines the role

that confidence plays in an organization. Kanter's research provided feedback from one in-depth educational institution, the Booker T. Washington High School in Memphis, Tennessee, led by Elsie Bailey (pg. 247). This specific study noted the role that accountability, communication, transparency, and accessibility play in allowing confidence and success to grow in the students, staff, and parents. Kanter noted a strong link between the confidence of the leader and the outcomes of the organization. Kanter offers insight into the role that confidence has on various leaders' multiple disciplines such as education, sports, and business. While her focus is on the impact of confidence on losing and winning, it nevertheless provides helpful information on the role that confidence plays on the behavior of the educational leader and their followers.

Furthermore, specific research has been done on leadership in the context of an educational system. Political and social leaders have made educational improvement a rallying cry in the last few years. New and creative approaches to this improvement are frequently made, including "accountability, teacher effectiveness, standards-based education and outcomes-based education" (Gorton, Alston, & Snowden, 2007, p. 174). All of these are genuine efforts to improve our educational system. However, Tirozzi (2000) noted that

Schools cannot be transformed, restructured, or reconstituted without leadership. The burden falls on the principal to provide the instructional acumen, curriculum support, professional development opportunities, data-driven decision making, and visionary perspective to mold a faculty of teachers into a unified force to advance academic achievement for all students. (p. 68)

Gorton, Alston, and Snowden (2007) suggested that the curriculum for

the successful professional development of educational leaders must include such topics as “community and parent involvement; human relations; instructional development and delivery; school safety; school management; change, restructuring and reform; foundations of principalship; evaluation, research and planning; and critical issues” (p. 177). However effective and comprehensive this developmental curriculum might be, it is imperative that good leaders act on what they have learned and that they do so with confidence. Conger (1989) suggested that “good leaders model empowerment through their own behavior....and thereby demonstrating what self-confidence can accomplish” (p. 109).

The Center for Public Education provided a comprehensive study entitled “Defining a 21st Century Education: At a glance” (2009), that addressed the changing face of 21st Century education. They offered five elements that impact the educational system, including “automation, globalization, corporate change, demographics and risk and responsibility” (p. 2). Furthermore, they offered “five major lessons on what kinds of knowledge and skills will most benefit students in the future” (p. 2). The report suggests the following lessons:

- Students who obtain more education are at a greater advantage;
- The need for traditional knowledge and skills in school subjects like math, language arts, and science is not being “displaced” by a new set of skills;
- Students must better learn how to apply what they learn;
- Students who develop an even broader set of in-demand competencies—the ability to think critically about information, solve novel problems, communicate and collaborate, create new products and processes, and adapt to change—are at an even greater advantage in work and life: and

- Applied skills and competencies can best be taught in the context of the academic curriculum, not as a replacement for it or “add on” to it. (p. 3)

All of these theories represent an honest attempt to identify and define those attributes that are common to leaders in general. It is hoped that in this time of educational leadership scarcity, we can identify those factors that can be included in an educational leadership development curriculum that will ensure a new wave of effectively-trained educational leaders in times of global economic crisis. This global crisis of confidence, the aging and imminent retirement of many senior educators, and the advent of the global marketplace are three critical factors that have created a perfect storm in the area of educational leadership development. For the last 50 years the study of educational leadership has been lukewarm, and has lacked the necessary intensity because the times did not demand any urgency.

Summary

While it is known and accepted that leadership traits, personality, characteristics, and styles will impact the outcome of the organizations of leaders, it is not clearly understood how confidence impacts the success or failure of the educational organization and its leader, the principal. Furthermore, it is unclear how to ensure that new educational leaders have all the tools and training needed to succeed. This research study addressed the role that confidence played in the behavior and actions of eight principals and superintendents, and sought to uncover how confidence impacted their daily behavior, and how confidence might be incorporated into future educational leadership training.

CHAPTER THREE: METHODOLOGY

Introduction

The purpose of this qualitative bounded, multi-site, collective case study was to explore how confidence impacts the behavior of select principals and superintendents as educational leaders. The researcher did not assume there was a direct connection between confidence and behavior. Using a bounded case study, I rather sought to explore the role of confidence in the behavior of more than a single principal, and to address the broadest range of behaviors affected by the confidence of the principal if there is any behavior connection to confidence at all.

Upon approval from the Institutional Review Board (IRB) (Appendix A), I first collected data from participants through four primary sources: (a) a personal questionnaire; (b) an Educational Leadership Confidence Survey (ELCS), developed by this researcher to better understand the views and opinions of the subjects towards confidence; (c) interviews with participants at their school facility; and (d) non-participative observations of the principals and superintendents in a normal setting with a larger group of their staff.

This chapter reviews the research design, the questions used to collect data, and the part I played in this study. Aspects of this research included the target audience, as well as how data were collected and analyzed as part of this case study. Finally, I addressed the integrity and ethical parameters of this study.

Research Design

Data were collected from participants through four primary sources. A personal questionnaire (Appendix B) provided basic demographic data that included name, gender, educational background, work experience, marital status, family history, and current role and function in their current position. This

provided important information about the participants and revealed common characteristics in their behavior, which was recorded, coded, analyzed, and used in the final interpretation. Secondly, I administered an Educational Leadership Confidence Survey (Appendix C). The purpose of this survey was to better explore the confidence each leader had in performing their everyday activities. There was no right or wrong answer. This survey was divided into two sections. Section I was made up of eight scenario-based questions. Each scenario was answered in one of seven ways through a standard response bar as shown in Figure 3.

<i>I am CERTAIN</i>	<i>I am UNCERTAIN</i>	<i>I do not know</i>
<input type="checkbox"/> A	<input type="checkbox"/> A	<input type="checkbox"/>
<input type="checkbox"/> B	<input type="checkbox"/> B	
<input type="checkbox"/> C	<input type="checkbox"/> C	

Figure 3. Answer response key

Section II was made up of 20 questions, each with three possible answers, Yes, No and Unsure/Don't know. All data collected were used for further descriptive analysis, triangulation of data (with the interviews), and interpretation of the results.

Next, interviews were conducted with each of the participants in order to expand on their responses to the personal questionnaire (Appendix B). The purpose of these interviews was to discuss what factors had impacted their own confidence levels and how these influenced their leadership behavior. Finally, non-participative observations were conducted for each of the eight principals and superintendents in a normal setting with a larger group of their staff. This was guided and directed by the observational protocol (Appendix D). This allowed me to observe the actions and interactions of each participant in a normal setting with their staff and employees. Verbal and non-verbal observations were noted.

As the “human instrument” (Ary, Jacobs, Razavieh, & Sorensen, 2006, p. 453) for gathering and analyzing the descriptive data collected, I began immediately to conduct inductive analysis of the data that had been collected. As far as possible, I sought to represent the findings of the target audience as precisely and accurately as possible. I sought to outline the exploratory findings of how, if at all, confidence impacted the behavior of the principals and superintendents.

Research Questions

The primary exploratory research questions used were:

Research Question One: What effect, if any, does confidence have on the behavior of the principal and superintendents as the primary educational leader of a school system?

Research Question Two: How do participants describe confidence in the context of their role as a principal and superintendent?

Research Question Three: What events or aspects of their role as principal and superintendent do participants describe as being significantly impacted by confidence?

Research Question Four: How do participants’ responses compare and contrast?

In order to fully understand these central questions, it is necessary to consider the role and function of the principal and superintendent, the challenges they encounter in leading an educational organization, and how confidence may impact their behavior.

Participants

A participant is a “group of persons that one wants to describe” (Ary, Jacobs, Razavieh, & Sorensen, 2006, p. 167). In this study, purposeful sampling

was employed, as the subjects of this study were leaders of growing educational organizations in the state of Colorado. Because this study addressed confidence in a principal's and superintendent's role as the leader of their school, the participants were selected based on broad criteria, including gender, ethnicity, age, and socioeconomic background. As such, a larger selection pool was required. These were public, for-profit, and not-for-profit educational institutions.

The common factor among all targeted participants was that they had been principals and superintendents or leaders of educational institutions for a minimum of five years in K-12 institutions. This was viewed as a subset of the larger population of educational leaders, but was more easily identified and studied than the larger, general population.

After Institutional Review Board (IRB) approval the participant selection process began. The participants were educational leaders of for-profit and not-for-profit K-12 educational organizations that had more than 200 students in the state of Colorado. Educational leaders, as participants, were both male and female, had been in an educational leadership position for at least five years in a K-12 educational institution, and had come from diverse ethnic backgrounds and language groups. The result of the research were enhanced by having participants from as many age, ethnic, socioeconomic, and gender groups as possible. This allowed for comparison and contrast in the data analysis phase of the study.

Setting

The site used in this case study were the offices of the principals and superintendents of schools that had a minimum of 200 K-12 students. These schools were all based in northern Colorado so that access to each participant was

convenient and in person. The data were collected at the schools of each of the leaders so as to observe firsthand the context of their behavior and activities. It was important to witness the interactions of the leaders in the context of their influence. The questionnaires were distributed using the postal service and email. Interviews were held in the corporate offices of the participants; observations were held in conference rooms and board rooms of their organizations as they interacted with their followers.

Procedures

Data for this research were gathered in a four-step process: (a) selection of the participant, (b) administration of the questionnaire, (c) conducting of individual interviews, and (d) the observation of each participant. During the first step, eight principals and superintendents were selected from a short-list of 30 possible candidates obtained from Colorado State's Department of Education. This list of eight candidates was selected from the list of 30 possible candidates based on their location (northern Colorado), experience (at least five years as principals and superintendents), as well as a broad spectrum of demographic factors such as gender, age, and ethnic status. These 30 candidates were contacted through a letter that requested their participation and outlined the purpose, extent, and intended outcome of the study (Appendix E). Of the 30 participants contacted, nine responded, and from those, eight met the criteria of the study while one did not due to the fact that they had not been in their position more than 5 years.

The eight participants were informed of their acceptance to the research project. Once these participants had been selected and had agreed to the conditions of the study, step two began, during which time each participant

received a Personal Questionnaire (Appendix B) and the Educational Leadership Confidence Survey (ELCS) (Appendix C). These were returned, recorded, coded and recoded for future analysis. It was important that all data offered and collected be kept in strict confidence, which encouraged the participants to be more forthright and open with their responses and input. Therefore, each participant was asked to review, accept, and sign a Non-disclosure Agreement (NDA) or informed consent form (Appendix F).

Following completion and recording of these two questionnaires, the third step of the process began, during which time interviews were confirmed to review the contents of the personal questionnaire, as well as to expand upon the questionnaires, through the use of the interview guide (Appendix G).

Finally, once step three had been completed and the results of the interviews were gathered, coded, recoded, and analyzed, the fourth and final step commenced. During this final step, one-hour sessions were confirmed to observe the interaction of each principal with their staff, teachers and/or students in a meeting session through use of the observation protocol (Appendix D).

The Researcher's Role

My role as the researcher in this study was as a human instrument collecting data through various tools and then analyzing the data to arrive at a conclusion about the role, if any, that confidence has on the behavior of the principal. Since it is difficult to eliminate all researcher bias from influencing the interpretation of a study, it was needful to know my beliefs and perceptions. My basic understanding is that the confidence of the leader plays a critical role in the behavior of that leader and as a result, this impacts the entire organization and its outcomes.

I have a direct interest in this study not only as a doctoral researcher but also as a current leader of Savoir Knowledge Group, Incorporated (SKG), a small learning business that designs and develops learning programs for organizations, including Oracle, Coca Cola, Cox Communication, McAfee, Front Range Community College, and the State of Colorado's Law Enforcement Training Center (POST).

Furthermore, I am an adjunct professor at a Christian liberal arts university where my role is to participate in the training of new teachers, principals and superintendents, and superintendents. In the process of interacting with various executives and students, it is apparent to me that educational leadership development is a significant area of need. As noted, "The demand for leadership talent far outstrips the supply" (Byham, Smith, & Paese, 2002, p. 21).

I have been challenged to understand educational leadership and the factors that make a successful leader. Having gathered these data, my goal is to build a continuum of educational leadership development program that includes identifying of latent educational leadership, assessing that talent, providing a remediation program that is measureable, and then providing a methodology for organizations to empower and release educational leaders to truly lead.

Data Collection

Data collection was conducted in a four-step process: selecting, questioning, interviewing, and observing participants. All data collected were preceded and governed by a signed non-disclosure agreement (NDA) or informed consent form (Appendix F) for each participant. Any and all participants who wished to remain anonymous were permitted to do so and a pseudonym was assigned to that individual.

Selection

The researcher compiled a list of prospective candidates obtained through the Department of Education for Colorado. During the selection process, eight principals and superintendents responded affirmatively from a short-list of 30 possible candidates. These eight candidates all satisfied the general criteria based on their location (northern Colorado), experience (more than five years as principals and superintendents), as well as a broad representation of demographic factors including gender, age, socioeconomic, language and ethnic status.

These candidates were contacted through a letter requesting their participation, which outlined the purpose, extent, and intended outcome of the study (Appendix E). Furthermore, candidates were current principals and superintendents in public, private, and charter elementary, middle, and high schools.

These eight participants were informed of their acceptance for the research study. This group received a registered and personalized letter (see sample in Appendix E) from the researcher that included an enclosed, stamped reply card. The letter detailed the purpose and process of the research, as well as the responsibilities and demands on the participant.

Sampling Method

For this research study, purposeful sampling was used. Creswell (2007) stated that purposeful sampling "means that the inquirer selects individuals and sites for study because they can purposefully inform an understanding of the research problem and central phenomenon in the study" (p.125). Having selected a group of principals and superintendents in their own school environment as participants, this research focused on homogeneous purposeful sampling of eight

principals and superintendents who could add further insight into the central theme of confidence and behavior. This group offered a sufficient representation of the larger body of principals and superintendents. The principals and superintendents selected for this research were a subset of the larger group of principals and superintendents that have similar attitudes, experience, and tenure.

Surveys/Questionnaires

The eight participants then received two written questionnaires: (a) a Personal Questionnaire (Appendix B) and (b) the Educational Leadership Confidence Survey (ELCS) (Appendix C). The Personal Questionnaire captured demographic details about each participant. This was returned, recorded, and stored in a secure and locked cabinet. These responses were distributed and returned either via mail or scan and email, whichever method was preferred by the participant. The data returned from the Personal Questionnaire were then entered into a Microsoft Access Database for coding, recoding, summarization, and interpretation.

The ELCS (Appendix C) was issued via email or postal mail based on the preference of the principals and superintendents, and then was returned, recorded, and secured in a locked cabinet. The data returned from the ELCS also were entered into a Microsoft Access Database for coding, recoding, summarization, and interpretation.

Interviews

After completing the Personal Questionnaire and the ELCS, the researcher scheduled an appointment with each participant for a personal interview. The Personal Questionnaire and ELCS that had already been completed were used to direct further discussion. These interactive interviews followed an interview guide

(Appendix G). While it was the original intent to record each interview and to transcribe these recordings, no participant agreed to these sessions being audio/videotaped.

Of the eight participants, the four who were employed in the public school system, were restricted from recording the interviews by the Director of Legal Services from their school district. The only reason provided by the district was that the school district was forced to take such action because of recent legal actions taken by certain groups against the school district based on recorded interviews.

The other four participants that were employed by private schools also withheld permission due to legal action that was currently in progress based on a recording taken during a recess in a PTA session that was then posted on a popular social media site. The governing body of this school system felt that it was to record any interview at this point was unwise and inappropriate at this time.

To overcome this issue, participants were asked to review all notes taken during these interviews, confirm the integrity of the information and make additions or deletions based on their recall from the interviews. All participants accessed, reviewed and edited these transcripts and confirmed their integrity.

One week prior to the interview, a packet of information was forwarded to the interviewee that included an information capture and release form (Appendix F) and an outline of the interview process (Appendix G). Interviews were subject to both face validity and content validity. Face validity was to ensure that the interview or questionnaire were “valid for its intended purpose” (Ary, et al., 2006, p. 439), while content validity was established by a third, independent party, who

evaluated and confirmed the content of the data (p. 440).

Observations

After the completion of the two questionnaires followed by the interview, the meeting request to observe the interaction of the participants with their employees and staff was confirmed. This was a normal group meeting and was to be at least one hour in duration. These consisted of weekly staff meetings, monthly review meetings held with the full school staff, or training sessions for the staff. Areas observed through use of the Observation Protocol (Appendix D) included body language, communication techniques, and general interaction between the participants, the faculty, and staff.

Data Analysis

The data analysis procedure was divided into three key tasks: (a) familiarization and organization, (b) coding and recoding, and (c) summarization and interpretation (Ary, et al., 2006, p. 490).

Familiarization and Organization

A complete list of all source documents was created. These included field notes, questionnaires, and written responses, and were recorded as text documents. When necessary, confidential data were removed or replaced with pseudonyms to protect confidentiality. All documents were scanned into a Microsoft Access Database, which was secured using password protection and was backed up on a weekly basis.

Coding and Recoding

In this task, I identified categories and themes that emerged from the data. The first step was open coding, when all the data were read and reread in order to identify common units of meaning in words, phrases, sentences and even behavior

patterns evident during observations of the participants. I then created a “word cloud” that was used to identify these common terms and words. Once the open coding was done, all data that had the same coding were placed together into unique files. This step was an iterative process, whereby smaller coded groups were placed into larger coded groups that were similar.

The final step in the coding process involved making connections across and between separate categories through axial coding (Ary, et al., 2006). This involved scanning across all gathered data.

Summarization and Interpretation

In this process, I reviewed all categories and sought to tie them together into larger, common themes. Once this was completed, I used the constant comparative method, which “combined inductive category coding with simultaneous comparison of all units of meaning obtained” (Glaser & Strauss, 1967, p. 45).

Once the data had been summarized, I engaged in the interpretation of the data. During this task, I reviewed the words and actions of the participants, and sought to extract important deductions from these sources. Trends and common threads were evident, and were tested or discarded as they were reviewed in light of the data captured. It was noted that “the quality of the interpretation depends on the background, perspective, knowledge, and theoretical orientation of the researcher” (Ary, et al., 2006, p. 500).

Trustworthiness

The results of this research had to be dependable for the conclusions to be credible. Credibility in qualitative research concerns the truthfulness of the inquiry’s findings, (Ary, et al., 2006). This was best addressed by ensuring the

consistency of the findings and the “extent to which the variation can be tracked or explained” (p. 509). Various methods were used to enhance the trustworthiness of the data and findings.

Triangulation

Triangulation was used to enhance the trustworthiness of the findings through the sharing of source documents. These findings were compared with the findings of the original researcher. Once the data had been captured, coded, analyzed, and interpreted, peer reviews were used to ensure credibility. In these peer reviews, colleagues were provided with all research notes, sources, interpretations, or explanations. A discussion was held to determine whether the conclusions were reasonable.

Furthermore, the researcher asked participants to review and critique the summarized notes from the personal interviews and observation sessions. This helped to clarify any inaccuracies, clear any misinformation or mischaracterizations, and ensure the validity of the data captures. This method of member checking lead to further insight, which was then recorded and analyzed.

Finally, data triangulation was used to investigate the data collected from the research instruments, including the Personal Questionnaires, the ELSC, the Personal Interviews, and the observations. The researcher sought support for his conclusions and findings from the various data collection methods used in this study.

Face and Content Validity

Face validity was supported by ensuring that all questionnaires, interviews, and observations used were accurate for their intended purpose of this study on confidence, and that each factor of the study was being consistently

applied to all forms of inter-personal data collection exercises. This ensured that data collection was valid for its intended purpose.

Furthermore, having the results and content of all data gathered reviewed by an independent, third party observer ensured that the content gathered was consistent. This content validity was ensured by providing an independent but credible substantiation of the data collected as well as the methods employed in collecting the data.

Rich Data

From the data collected and observations made, the researcher wrote a narrative about each participant interview and observation. This narrative highlighted methods of communication that did not include the spoken word, such as what was not said, how statements were made, the combination of multiple forms of interpersonal communication, and other rich data that was provided by the context of the interviews and observations.

Ethical Considerations

To ensure that all policies were in place to preserve the confidentiality and integrity of the participants and the data collected during this study, all data collected were only used for the purposes of this research, and on terms that the participants had agreed to before the data were collected. All data collected and material used in this study were either stored electronically using secure password protection, or in a locked filing cabinet.

CHAPTER FOUR: RESPONSE OF PARTICIPANTS

Introduction

The purpose of this qualitative bounded, multi-site case study was to explore the effect that confidence has on the behavior of the school principal and superintendent as the local educational leader. The objectives of this chapter are to

- a) Provide a profile of all the participants,
- b) Provide their responses to all data collection methods including surveys, interviews, questionnaires, and
- c) Provide an analysis of all data collected during the research.

Participants

The participants of this study were eight principals and superintendents of K-12 institutions in northern Colorado. Data were collected data from the participants through a personal questionnaire, an Educational Leadership Confidence Survey (ELCS), individual interviews, and also through one observation of each principal in a staff meeting setting. The resultant data have been collected, coded, and analyzed based on the collective, bounded, case study methodology.

Invitations

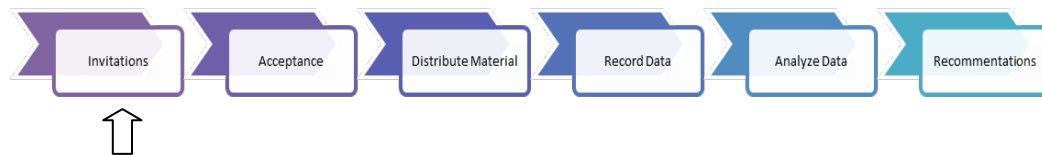


Figure 4. Research flow diagram

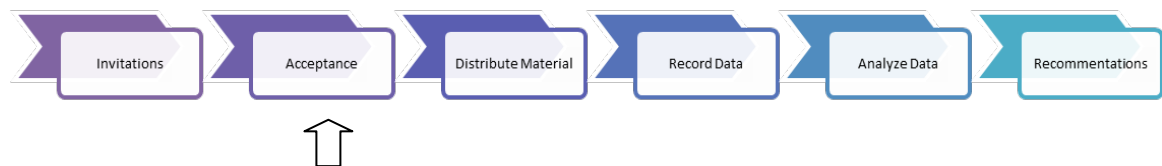
More forty-nine invitations were mailed out to participate in this study July 2013. Twenty-one names and contact information were provided by the Colorado Department of Education, and the rest (27) were provided by two separate school districts in northern

Colorado. Invitations were offered through employees' email addresses where possible (28), and through direct telephone calls to the participants' offices (20). From the 48 invitations distributed, the following responses were received, as shown in Figure 5:

Participant Invitations					
<i>Title</i>	<i>Distribution Method</i>	<i>Yes</i>	<i>No</i>	<i>No Response</i>	<i>Total</i>
Principal	Email & Phone	6	8	10	24
Superintendent	Email & Phone	2	2	7	11
Department Head	Email & Phone	0	5	8	13
Total		8	15	25	48

Figure 5. Participant Invitations

Acceptance



There were eight participants accepted for this study, including six principals and two superintendents. Following are the profiles for each participant.

Participant's Profiles

The participants in this study are from various backgrounds and lead schools with differing profiles. Below are the details profiles of each participant in this study.

Name	Gender	Marital Status	Age	Qualification	Years in Current Role	Public/Private School
Participant 1	Male	Married	50-59	Master's	8	Public
Participant 2	Female	Married	30-39	Master's	3	Public
Participant 3	Female	Married	50-59	Master's	3	Private
Participant 4	Male	Married	40-49	Bachelor	5	Private
Participant 5	Female	Single	40-49	Bachelor	6	Private

Participant 6	Female	Married	30-39	Doctorate	5	Private
Participant 7	Male	Married	60-69	Doctorate	4	Public
Participant 8	Male	Married	40-49	Master's	7	Public

Figure 6: Participant profiles

Participant 1:

Participant 1 is a 32-year veteran of the educational system, with eight years as the current principal of a Common Core elementary school. The school is K-6th grade and has over 410 students. The school serves an urban suburb and is part of a school system that operates over 129 K-12 schools. Participant 1 has a Master's degree in education, has taught in both the private and public educational systems and was brought into this school to address some challenges the school was facing.

One of those challenges has been the adoption of common core standards. He has recently been addressing the debate over Common Core standards. The Common Core goals are

“to ensure all students are ready for success after high school, the Common Core State Standards establish clear, consistent guidelines for what every student should know and be able to do in math and English language arts from kindergarten through 12th grade” (Common Core Standards Initiative, 2014)

Common Core was developed by a broad sweep of educational experts and was primarily designed to ensure that each student is ready for college or entry-level jobs. It focuses on teaching the student to think critically, and to improve problem-solving so that they are better prepared for their future careers.

Participant 1 has addressed some of the criticism of this program. The criticism has been focused on the perceived lowering of learning standards as well as the lack of international credibility. He has noted that during these types of debates, he has called on

his past experience to provide him with the confidence to address these tough issues. He noted that

Confidence is: eternal optimism, repeated grace for others and you, assuming best intentions, trusting in others, a willingness to be vulnerable even if it is unpopular, must be based on principles not popularity, willing to take on low tasks and having a strong self-worth not based on others.

Participant 2:

This participant is a newer principal in a more rural K-6 elementary school. Her school is part of a 39-school district and provides education for a large rural area in Northern Colorado. She has just over five years' experience as a principal and over eight years as a teacher. She has a master's degree in education from a Christian university. She is recently married with no children.

During her second year as a principal, she was tasked with oversight of a new school construction. This was an 18-month project with a budget of over \$7m. She was balancing her role as a principal with those of a construction point person. During the construction, the project was seriously compromised by poor workmanship by the contractor which led to a lawsuit against the builder. Furthermore, this led to delays in relocating to the new facility, and accusations by parents and community leaders that the school's oversight of the project was lacking and had impacted the safety of the students. The superintendent of the school district, to whom participant 2 reported, tried to shift the blame to his direct reports, including the participant.

The effects of this experience were severe on participant 2 and resulted in health issues and emotional strain. Her confidence was "seriously affected" as was her desire to continue in this role. Her relationship with her superior was compromised and became strained. She noted that "confidence is the ability to handle your job in a responsible and

productive way”

Participant 3:

Participant 3 is a more senior principal with over three decades of experience primarily in the public school system. She is married and has children of her own. She has spent over 20 years as a principal and recently moved from being an elementary school principal in a public school to a private elementary school. She moved from a school of over 600 students which a student/teacher ratio of 31/1 to a school of 280 students with a ratio of 21:1. Previously she was part of a 98-school district with a 41% ESL student population to a Christian K-12 school campus of 1200 students of which only 2% are ESL students.

She sees her role as primarily one of mentoring younger teachers. She noted that this was how she developed as a competent leader and feels this should be passed on. Her confidence is based on strong mentors in her formative career as well as making decisions that were both successful and not as successful. She notes that she is in the latter years of her career and does not seek further promotion but rather would like to impact the educational leaders of tomorrow under her direct care.

Challenges she faces are

1. Development of first-time teachers. For over 80% of her teaching staff, this is their first teaching position. Many are overwhelmed and find it hard to maintain a balanced life. Many have nowhere to turn in times of difficulty and do not have experience to fall back on. Participant 3 spends time in training, coaching, mentoring, encouraging and challenging her teachers' perspective. She offers both formal and informal mentoring sessions that help to develop her staff;
2. Recruitment of mature teachers. As a private school, funds are limited and teacher's earnings are not as competitive as in the public sector. This creates a

problem in seeking to recruit more experienced teachers. In general, more mature teachers require less management and have already developed a strong and effective work ethic which may not be as developed in less experienced teachers.

Younger teachers may also require more support and management.

Participant 3 noted “that Confidence is clearly understanding one's purpose and being content in who you are and where you are going”.

Participant 4:

Participant 4 is the superintendent of a private Christian K-12 school. The school has three levels: elementary, middle and high school with a total of over 1200 students and 80 teachers. He has been in this role for five years and was a vice principal at a state school for 12 years prior to his current role. He is mid-career, married with three children. In his current role, he has focused on developing leaders in his three schools. He has replaced two of his principals in the last three years as they did not provide the level of leadership required at their level.

Much of his time is spent mentoring his three school principals. This includes regular one-on-one discussions and Bible studies, attendance at seminars and conference, exchange of relevant books and material and the sharing of the school vision and objectives. In his selection of leaders he looks for the “right raw material” rather than written qualifications. He models his leadership after that of Jesus and endeavors to demonstrate and promote servant leadership to all stakeholders including students, parents, colleagues and the community at large.

Some of the articulated challenges he faces are:

1. Replacing good managers with good leaders. At the commencement of his tenure, he noted that there were good people in the wrong positions. Some were good managers but not good leaders. He demanded that his principals seek to promote

the overall vision of the entire school system with their own relevant means and methods. They in turn needed to own these and ensure that their staff followed the vision.

2. A focus on excellence. He noted that often Christian schools “settle for second best and mediocrity”. The excuse offered was usually funding and lower expectations. He began to demand excellence in everything the school did including from students, staff, teachers and anyone associated with the school. His motto for 2013 was “In everything, excellence.”

When discussing confidence, he noted that “confidence is an acquired skill gained through both successful and unsuccessful experiences. This is impacted significantly by learning from those with more knowledge and wisdom”. He was quick to point out that he had superior mentors and he was committed to mentoring others.

Participant 5:

Participant 5 is a single, teaching professional who is the principal of a 250-student middle school which is part of a K-12 Christian school campus. She has been in her role for eight years and reports to the school’s superintendent. Her school is part of the largest Christian K-12 school in Northern Colorado and has a total student population of 1200 students. Participant 3 has a master’s degree from the local state university and taught for five years in the local public school system. She has taught in both elementary and high school grades but has happily settled into the middle school.

Challenges she faces are

1. Discipline issues associated with the middle school population. She has to regularly meet with parents, many of which are dysfunctional homes, and often plays the part of mediator between parents over behavioral issues;
2. Recruitment and retention of key teachers: Participant 3 indicated that one of her

major challenges is to recruit and retain teachers in the area of math and science.

These are in short supply and there is a constant burden to address this need.

This participant noted that her boss has been an informal mentor to her since her first day on the job. He offers insight, counsel, encouragement and support on a regular basis. In her view, this has been the single biggest factor in her confidence level and in her subsequent ability to deal with difficult challenges. She noted that “confidence is the balance between wisdom, decision-making, collaboration and grace”.

Participant 6:

Participant 6 is a married, professional school principal. She has a master’s degree in instructional design and a doctorate in school administration. She has been a principal for five years and in the teaching profession for 10 years. Her entire career has been in the private, Christian education system in Northern Colorado.

She is a married professional with no children. Her school is a small, private Christian school with 410 students from K-12. The emphasis of the school is on academic excellence, loyalty and respect. Extracurricular activities are focused on service although some sporting endeavors are included. Service for the students and staff includes local, national and international ministries as part of their curriculum.

In terms of leadership, participant 6 insists on formal mentoring by more senior staff members. This includes joint activities and ministries, Bible studies of Christian and Biblical leaders, exercises of leadership in the school and community and presentations to all stakeholders to help develop leadership competencies. Staff is also exposed to all aspect of school life on a rotational basis including fund raising, counselling, tutoring, administrations, marketing, vision development and academic development.

Some of the primary challenges she has faced are

1. Time management. With such a small school, staff is expected to manage multiple

aspects of school life on top of their academic requirements. This places greater time pressure on staff. Young staff are often not willing to sacrifice their own personal time at a much lower income level for the sake of the school;

2. Ministry versus career. The school staff is called to treat the work of the school as a ministry and must be willing to make certain sacrifices to make the school a success. However, the staff also wishes to enhance their educational career but is limited by the sacrifices being made.

In defining confidence, participant 6 noted that “confidence is a sense of boldness that is dependent on a realization of one's acceptance by God, and a conviction that one's destiny is secure in God”.

Participant 7:

Participant 7 has been in the K-12 school sector for over 45 years. He has held positions as a teacher, administrator, principal and superintendent. His current role is as the superintendent of the second largest public school district in Colorado. He has been in this role for three years and reports to the district's School Board, a group of three elected officials. Prior to his arrival, the position had been vacated due to serious legal issues with his predecessor. The Board had terminated the previous superintendent and had been without this role for over 9 months. The position was not appealing to any up-and-coming leader and was fraught with conflict and dissent. What was needed was an “experienced diplomat, with thick skin and no eye on their career”. Only five years from possible retirement, participant 7 thought this was an ideal fit and accepted the appointment.

In research on his district, he found an enormous gap between many of the schools. Some were the top performers in the state while others were lingering at the bottom. He found that there were silos of power in many schools, most were demotivated

and many lacked a clear vision. There also was a lack of accountability to the key constituents.

In order to address these disparities, participant 7 evaluated the current leadership and management in the district, made some needed changes, added some more experienced leaders in key positions, met and built a strong working relationship with the School Board and developed a five-part strategy starting with developing and promoting a district vision and ending in accountability forums for each school leader. He noted that he was “leveraging the crisis” to push through much-needed reforms.

The results of implementing this new strategy have paid dividends. Staff and teacher turnover is down by 45%, graduation levels have increased by 35%, all the schools in his district are performing above the State average and the relationship between all stakeholders has improved dramatically.

While he has faced many challenges over the past three years, the current challenges he faces are

1. A new incoming School Board who has strong ideas about school vouchers. This option would allow parents to place their children in the school of their choice. While this may be appealing on the surface, it could cause some schools to be overcrowded and may also lead to some schools failing due to lack of numbers.
2. Pending retirement of many senior staff and faculty. This follows a national trend based on the imminent retirement of senior educational leaders and resources who have reached the baby-boomer stage.
3. Succession management for the school district’s senior executives. Many key members of the school district’s management team will also be eligible for retirement and no formal succession planning or processes have taken place. This

includes participant 7, who is well over his retirement age.

He noted that confidence is “confidence is knowing that the activities you support and lead in the organization are making a positive difference”.

Participant 8:

Participant 8 is the principal of a middle school in the district lead by Participant 7 (above). He has been in the teaching profession for over 25 years and has been a principal for over 12 years. He is married with two older children. Born and educated in Michigan, he enjoys his work and activities in Colorado.

His educational and leadership philosophy is to engage the whole person. Whether it is his staff or students, they are encouraged to be involved in a broad base of activities and interests. As a result, he encourages various forms of art, music, sport, community activities, travel, academics and other aspects of life that will enable his followers to be “whole people”.

Participant 8 has noted that there have been key individuals in his career that have formally and informally mentored him. Their influence has provided a platform of confidence as he deals with issues and challenges. While the problems faced by participant 8 may be new to those that previously mentored him, he acknowledges that many of the principles handed down from his mentors are still valid and fruitful today. He noted of confidence that “confidence is the ability to lead from the front and to engender trust in those that are following”.

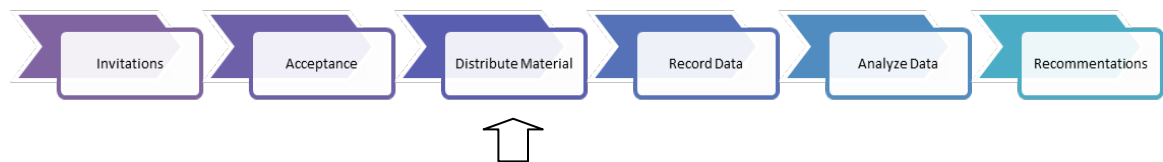
Some of challenges faced by this participation are:

1. Socioeconomic disparity in his student population. His school is fed by numerous communities that are both high and low income. This causes tension and disparity due to the contexts of each student. Participation in events, sports, and extra mural activities are often directly tied to the income of the student.

2. Funding for school facilities and events. School funding has been cut dramatically to lower-than-expected State revenues. This means that much needed and previously planned for facilities have had to be curtailed. Many extra curriculum activities have been affected by this.

3. Loss of senior staff and faculty due to retirements and relocation. The retirement of the baby boomers has hit his school as has the loss of numerous key staff and resources due to relocation. Recruitment of their replacements is challenging and much of the experience and knowledge lost cannot easily be replaced.

Distribute Material.



A packet of information was provided to each participant. This packet was delivered in person after making an appointment to discuss this research study and their participation in the research. The packet of information included

- a) A Personal Questionnaire (one page) (See Appendix B)
- b) The Educational Leadership Confidence Survey (ELCS) (five pages in two sections) (See Appendix C) and
- c) The Informed Consent Form (See Appendix F).

Each participant was asked to carefully complete each form and return it in the pre-paid envelope, or simply scan each document and return it to the researcher within 30 days. Any and all questions or issues were invited and welcomed.

When all forms were received, catalogued, and filed, a one-hour appointment to

review each participant's responses was made. At each of these meetings, each detail of every submission was reviewed and expanded while being recorded. Clarification and explanation on any and all responses was invited and offered.

Finally, each participant was asked to provide a suitable meeting or forum they would be leading so that the researcher could observe them in a leadership capacity. The researcher attended a meeting or forum for each participant, where notes were taken and observations were made without any interaction by the researcher. The data gathered from these observations were entered into the secure database.

Responses to Personal Questionnaires

In an effort to broaden the research, the characteristics of the eight participants were as diverse as possible in terms of their gender, age, qualification, type of institution they serve in (public or private), and number of years they have served in current role.

Further information was gathered relevant to this study. This included the number of staff they lead, the number of students in their institution, the budget and growth information of their school, and the current life cycle stage of their school system. Figure 7 provides these details.

Name	# of Staff Managed	# of Students	Growth in Student Attendance in last 3 Years	Growth In Budget in last 3 Years	School's Lifecycle Stage (Mature = > 10 yrs Mid-life = 3-10 yrs. Early = 1-3 yrs.)
Participant 1	58	478	0%	8%	Mature
Participant 2	35	325	18%	6%	Early
Participant 3	28	410	9%	9%	Mid-life
Participant 4	101	1100	12%	10%	Mid-life

Participant 5	16	227	9%	Not Available	Mid-life
Participant 6	20	240	5%	6%	Mid-life
Participant 7	2100	16,500	12%	2%	Mature
Participant 8	32	566	5%	2%	Mature

Figure 7. Participant School Statistics

Responses to Surveys

The ELCS survey (Appendix C) consisted of two sections: the first section was made up of eight scenarios that asked for one of seven responses:

- I am Certain (answer A, B or C)
- I am Uncertain (answer A, B or C) and
- I do not know.

These scenarios offer an insight into the confidence levels of each participant as they respond to various, common situations experiences by a typical educational leader. These scenarios illustrate how each participant would react and behave the in situations including: decision-making, conflict resolution, competition (internal and external), self-perceptions, crisis, criticism, self-efficacy, non-conformance, resource management, and processes.

The second section was made up of 21 questions with answers for each of “Yes”, “No” or “Unsure”. The primary purpose of this section was to provide some measure of how confident each respondent was in each scenario. If the response was “I am certain”, this would indicate that the respondent had a high level of confidence in making this decision. If, however, the response was “I am Uncertain” or “I do not know” this would indicate that the respondent had little or no confidence in response to the scenario offered.

ELCS Section One

The responses of the participants for Section One of the ELCS (Appendix C) as well as

the interpretation of their responses are outlined below.

Scenario One:

You have a difficult task to be completed within a tight timeline and budget.

There are three possible staff members to lead this task: Alan who has the time but lacks some skills; Julie, who has the necessary skills but does not work well with a team; and finally, Joey, who is a new hire with the available time but unknown skills.

Who would you select for this task?

Answers:

A. Alan

B. Joey

C. Julie

Name	I am Certain	I am Uncertain	I do not know
Participant 1	A		
Participant 2	C		
Participant 3			X
Participant 4	B		
Participant 5	A		
Participant 6	C		
Participant 7	C		
Participant 8	C		

Figure 8: Response to Scenario 1

Scenario One interpretations: This scenario is a typical situation when dealing with resource management, decision-making, and self-perception. The criteria for this response were based on time, skills and team work. The following is a summary of the responses:

- Respondents who were confident in their selection: 87%
- Respondents who were not confident at all in their selection: 1
- Respondents who were confident in selecting the person with the most time: 25%
- Respondents who were confident in selecting the person with the best skills: 50%
- Respondents who were confident in selecting the new hire: 1

The results appear to indicate that the large majority of respondents were confident in their decision but differed on which response was the optimal. The single respondent who was not confident in their decision, was one of the youngest participants and may also lack the experience of others.

Scenario Two:

The Director of HR, who you hired some 6 months ago, would like authorization to hire a new teacher's aide. This is an open and approved requisition; however the candidate is requesting a salary 10% higher than has been advertised.

What would you do?

Answers:

- A. Accept the final decision of your Director of HR;
- B. Delay the decision until you can get the input of other executives; or
- C. Instruct the Director of HR to tell the new candidate to take the current offer or leave it.

Name	I am Certain	I am Uncertain	I do not know
Participant 1	C		
Participant 2	C		
Participant 3	C		
Participant 4	A		
Participant 5	B		
Participant 6	B		

Participant 7	C
Participant 8	C

Figure 9: Response to Scenario 2

Scenario Two interpretations: This scenario is a typical situation when dealing with process of recruiting new employees. The issues raised in this scenario are the leaders willingness to delegate, build consensus or be prescriptive to direct reports. The following is a summary of the responses:

- Respondents who were confident in their selection: 100%
- Respondents who were not confident at all in their selection: 0
- Respondents who were confident in delegating the decision: 1
- Respondents who were confident in building a consensus decision: 25%
- Respondents who were confident in being prescriptive: 62%

The results appear to indicate that the large majority of respondents were confident in their decision but differed on which response was the optimal as one was willing to delegate the decision, two were willing to build a consensus decision and five were more prescriptive in the decision.

Scenario Three:

A new and more aggressive for-profit competitor has moved into your market.

What would your reaction be?

Answers:

- A. Immediately move to reduce the price of your services/product;
- B. Delay any response until you can get the input of your other senior staff members;
- C. Just wait to see what happens.

Name	I am Certain	I am Uncertain	I do not know
Participant 1	B		
Participant 2		B	
Participant 3	C		
Participant 4	C		
Participant 5	C		
Participant 6	B		
Participant 7	C		
Participant 8	C		

Figure 10: Response to Scenario 3

Scenario Three interpretations: This scenario is a typical situation when dealing with new for-profit charter schools that entered the market place and provide an alternative to state-funded schools. The confidence factors are decision-making, competition, and crisis management. The criteria for this response were either to initiate immediate action or delay any decision until a consensus for action is built. The following is a summary of the responses:

- Respondents who were confident in their selection: 87%
- Respondents who were uncertain with their selection: 1
- Respondents who were confident in initiative immediate action: 0
- Respondents who were confident in delaying any action until a consensus is built: 25%
- Respondents who were confident in delaying any action indefinitely: 62%

The results appear to indicate that the large majority (7 out of 8) of respondents were confident in their decision while one was not confident. A majority of respondents were content to not take any immediate decision.

Scenario Four:

As a successful, young education leader, you have been asked to speak to a group of 300 MBA students at the local State University. You have been asked to specifically address the topic “What are the keys to my success?”

What would you do?

Answers:

- A. Immediately accept the offer knowing what key points you would cover;
- B. Delay the decision until you have more time to bounce the idea of other people who know you;
- C. Call the hosts and ensure they invited the right person.

Name	I am Certain	I am Uncertain	I do not know
Participant 1	C		
Participant 2	C		
Participant 3	C		
Participant 4	A		
Participant 5	B		
Participant 6	C		
Participant 7	C		
Participant 8	C		

Figure 11: Response to Scenario 4

Scenario Four interpretations: This scenario provides insight into how confident the participants are in addressing the scenario but also how confident they are in their own knowledge and skills. The criteria for this response are not only how confident they are in responding to the scenario but also how comfortable the respondent is in their own knowledge. The following is a summary of the responses:

- Respondents who were confident in their selection: 100%
- Respondents who were uncertain with their selection: 0

- Respondents who were confident in accepting invitation: 1
- Respondents who were confident in delaying any action: 1
- Respondents who were not confident in their own skills and knowledge: 75%

The results appear to indicate that all respondents were confident in their decision while a large majority (75%) was not confident about sharing their own ability, knowledge and skills with others. This scenario demonstrates a paradox in that the respondents are confident in making a decision but less confident in and with themselves.

Scenario Five:

The local newspaper reporter has appeared in your office lobby demanding to speak to you about a rumor that your institution may be violating certain Department of Education rules.

What would you do?

Answers:

- A. Tell your personal assistant to make an appointment for the reporter to come back and speak with you and your attorney;
- B. Delay the decision until you have time to ask the advice of your attorney;
- C. Tell your personal assistant to tell the reporter that you are not in and do not have time for reporters.

Name	I am Certain	I am Uncertain	I do not know
Participant 1	B		
Participant 2	B		
Participant 3	B		
Participant 4		B	
Participant 5	A		
Participant 6	B		
Participant 7	A		

Figure 12: Response to Scenario 5

Scenario Five interpretations: This scenario is directed at understanding how a respondent will react in a time of crisis and uncertainty. Leaders will often face crises and it is critical to know how confidently they will respond. The response criteria are to address the crisis with a thoughtful approach or try to skirt the issue. The following is a summary of the responses:

- Respondents who were confident in their selection: 87%
- Respondents who were uncertain with their selection: 1
- Respondents would address the concern with an immediate considered response 38%
- Respondents would delay a response in order to consider action: 75%
- Respondents who would seek to skirt the issue: 0%

The results appear to indicate that the large majority of respondents were confident in their decision while one was not confident. All respondents directly addressed the issue and none made an attempt to skirt the crisis. All respondents were open outside input and made an effort gather further helpful information.

Scenario Six:

As the Principal of your school, you feel it is time to hire a senior English teacher. After reviewing numerous candidates, two finalists are selected. Jill, the first candidate, has the qualifications, attitude and experience to do this job and in fact appears to know more than you do, suggesting that she would be a great partner to you in your educational leadership role. Peter is also qualified, experienced and as good as Jill. He summarizes his interview by stating that he is looking forward to working for and learning from you.

What would you do?

Answers:

- A. Hire Jill immediately because she might even be better than you;
- B. Hire Peter because you look for someone who is willing to learn;
- C. Excuse yourself from the hiring process and let the other Board members make the decision.

Name	I am Certain	I am Uncertain	I do not know
Participant 1	A		
Participant 2	A		
Participant 3	B		
Participant 4	A		
Participant 5	B		
Participant 6	A		
Participant 7	A		
Participant 8	C		

Figure 13: Response to Scenario 6

Scenario Six interpretations: This scenario is directed at understanding who a respondent would select as a new teacher and how that new member of the staff would interface with the principal. The respondent can either select a new employee who offers potentially better skills than the leader and would interact more on a peer level or the principal could select the candidate who may have less experience but would learn from the leader. The following is a summary of the responses:

- Respondents who were confident in their selection: 100%
- Respondents who were uncertain with their selection: 0
- Respondents who would select the more experience candidate 62%
- Respondents who would select the less experienced candidate 25%

- Respondents who would seek to reclude themselves from this process 1%

The results appear to indicate that all of respondents were confident in their decision however majority preferred the candidate who would have stronger leadership skills indicating most respondents are comfortable working with resources that are equal in many ways. A smaller percentage (25%) of respondents were more comfortable with a typical hierarchical relationship with employees while one respondent excused themselves indicated their desire to recuse themselves from such a decision.

Scenario Seven:

The local newspaper does an article on you and your leadership. It is rather scathing of you, offering some legitimate and also some false examples to justify their claims.

How would you react?

Answers:

- A. Seek a meeting with people who know you to see if the claims are true or not;
- B. Immediately contact your attorney and instruct him to sue the newspaper;
- C. Ignore the article, knowing who you are and what your strengths and weaknesses are.

Name	I am Certain	I am Uncertain	I do not know
Participant 1	A		
Participant 2	C		
Participant 3	C		
Participant 4	A		
Participant 5	A		
Participant 6	A		
Participant 7	C		
Participant 8	C		

Figure 14: Response to Scenario 7

Scenario Seven interpretations: This scenario is directed at understanding how the leader will react under the stress of conflict and personal attack. The options for the respondents are to investigate the claims of the attack, aggressively respond to the attack or do nothing. The following is a summary of the responses:

- Respondents who were confident in their selection: 100%
- Respondents who were uncertain with their selection: 0
- Respondents who would seek objective insight on the attack 50%
- Respondents who would take legal action in response 50%
- Respondents who would do nothing 0%

The results appear to indicate that all of respondents were confident in their decision however an equal number would seek to understand the details of the attack while the other 50% would respond with an aggressive counter-attack. The more important result was that half of the respondents would seek to better understand the issues when under stress and crisis while the other half would strongly defend while in a crisis. None of respondents excused themselves indicated their desire to ignore the crisis.

Scenario Eight:

An educational consultant has suggested some radical and new changes to your institution and its organizational structure. Even though your institution has been successful, she notes that this will take you to an even higher level of success. She concludes her argument with the statement that other of your competitors is accepting her new ideas and so should you.

What would be your response?

Answers:

- A. Welcome her ideas and agree to carefully review them;
- B. Reject her ideas as they come from someone who is rather arrogant and really doesn't know your business;
- C. Thank her for her time and effort but remind yourself that it was your ideas that made your company what it is today.

Name	I am Certain	I am Uncertain	I do not know
Participant 1	A		
Participant 2	A		
Participant 3	A		
Participant 4	A		
Participant 5	A		
Participant 6	A		
Participant 7	A		
Participant 8	A		

Figure 15: Response to Scenario 8

Scenario Eight interpretations: This scenario is directed at understanding how the leader responds and reacts to external suggestions. The options for the respondents are to accept, reject or ignore the suggestions. The following is a summary of the responses:

- Respondents who were confident in their selection: 100%
- Respondents who were uncertain with their selection: 0
- Respondents who would accept the external suggestions 100%
- Respondents who would reject the advice 0%
- Respondents who would ignore the advice 0%

The results indicate that all of respondents were confident in their decision and all would welcome and review external input so as to improve the outcomes. None would ignore or

reject input from external sources. This indicates that all leaders in this study are open and welcoming of advice on how to improve their outcomes.

ELCS Section Two:

The second section of the ELCS survey (Appendix B) consists of 21 questions that require one of three answers: “Yes”, “No” or “Unsure”. Figure 16 provides the sum total for each question’s response provided by all participants.

#	Question	Yes	No	Unsure
1.	As the leader goes, so goes the organization. Do you agree?	8		
2.	Kanter said, “The fundamental task of a leader is to develop confidence in advance of victory”. Do you agree with Kanter?	5	1	2
3.	There are few people that can impact the outcome and performance of your organization as much as you can. Would you agree with this statement?	5	3	
4.	In selecting new and future educational leaders, their confidence level is more important than their skills. Would you agree with this view?	4	3	1
5.	Do you believe that confidence can be taught?	6		2
6.	Confidence is often the difference between success and failure. Do you agree with this statement?	7	1	
7.	Do you feel confidence is the opposite of failure?		8	
8.	Are you generally confident about the decisions you make as the leader of your organization?	8		
9.	Do you feel that one of your most important tasks is to instill confidence in your employees?	5	3	
10.	Do you feel there are tangible signs of confidence in organization?	7	1	
11.	When faced with a critical decision as a leader, I tend to quickly weigh all options and select the required course of action.	5	3	
12.	Once I have delegated a task, I fully expect it was carried out.	8		
13.	It most day-to-day decisions, it is more important to make a decision and move on rather than take more time in order to gain consensus.		7	1
14.	I have little patience for educational leaders who vacillate on decisions.	2	5	1
16.	Experience and knowledge are the primary influencers of confidence in a leader.	3	5	
17.	Do you feel you are the primary barometer of confidence in your organization?	5	2	
18.	Do you feel that confidence is one of the most important intangibles in an organization?	5	3	
19.	Do you feel that confidence <i>significantly</i> impacts the success of an organization?	8		
20.	Do you feel that an organization can enjoy long-term success		8	

	without confident educational leadership?			
21.	How would you define “confidence”? (See Word Cloud Figure 18)			

Figure 16: Response to ELCS

The responses to question 21 are free flow answers. Below are the key words that were used by the participants.

Key Words

Confidence; Trust; Believable; Reliable; Faith; Servant Leadership; Leadership; Holistic; Experience; Intelligence; Personality; Traits; Guidance; Boldness; Conviction; Acceptance; Impact; Acquired Skills; Knowledge; Optimism; Grace; Best Intentions; Vulnerable; Transparent; Principles; Charisma; Convincing; Self-worth; Self-respect; Efficacy; Wisdom; Decision-making; Collaboration; Qualification; Determination; Vision; Mission; Self-worth; Self-respect; Efficacy; Wisdom; Decision-making; Collaboration; Qualification; Determination; Vision/Mission; Efficient; Effective; Leader; Success; Accountability; Change; Character; Profession; Cohesive; Restoration; Victory; Innovation; Transformation; Attitude; Results; Goals; Pride; Strategy; Hope; Despair; Momentum; Culture; Identity; Pressure; Problem-solving; Loyalty; Execute; Experience; Intelligence; Personality; Traits; Mentoring; Apprenticeship; Guidance; Boldness; Conviction; Acceptance; Impact; Acquired Skills; Efficient; Effective; Leader; Success; Accountability; Aspirations; Change; Character; Dialogue; Energize; Expectations; Focus; Hope; Inclusion; Initiative; Relationship; Learners; Losers/Winners; Superior; Performance; Appraisal; Power; Priority; Respect; Role Models; Self-Determination; Self-Belief; Talent; Target; Teams: Teamwork; Synchronization; Truth; Values; Behavior; Tasks; Traditions; Processes; Manager; Growth; Accountability; Aspirations; Change; Character; Expectations; Focus; Hope; Inclusion; Initiative; Relationship; Learners; Performance; Priority; Respect; Role Models; Self-Determination; Talent; Target; Teams: Teamwork; Synchronization; Truth; Values;

Behavior; Tasks; Traditions; Processes; Manager; Growth; Thought-leader; Visionary;
 Failure; Strength & Weakness; Motivation; Information; Communication; Engagement;
 Development; Training; Investment; Empowerment; Relevant; Intrinsic; Passion;
 Community; Respect; Humility; Forgiveness; Insight; Positive Expectations; Influence;
 Energy; Arrogance; Direction; Pathways; Ideas; Discipline; Confidence; Trust;
 Believable; Reliable; Faith; Servant Leadership; Leadership; Holistic; Experience;
 Intelligence; Personality; Traits; Guidance; Boldness; Conviction; Acceptance; Impact;
 Acquired Skills; Knowledge; Optimism; Grace; Best Intentions; Vulnerable; Transparent;
 Principles; Charisma; Convincing; Self-worth; Self-respect; Efficacy; Wisdom; Decision-
 making; Collaboration; Qualification; Investing; Empowerment; Entrepreneur; Relevant;
 Intrinsic; Passion; Community; Results; Respect; Humility; Forgiveness; Insight; Positive
 Expectations; Influence; Energy; Arrogance; Direction; Pathways; Ideas; Discipline;
 Demeanor; Context; Novice; Spirit; Profession; Confident; resilient; acquired skills,
 Restore; Innovate; Transform; Attitude; Results; Goals; Strategy; Hope; Culture; Identity;
 leadership, peer Pressure; Problem-solving; Loyalty, execution.

Key Phrases

Success breeds Confidence; Crew Chief; Initiator of vision; Common confidence; Eternal
 optimist; assume best intentions; trust for others; willingness to be vulnerable; willing to
 be unpopular; ability to convince; Found to be reliable; Being responsible; Avoiding
 politics; Exuding faith and trust; Willing to coach and be coached; Purpose-driven
 teaching; We do it; plan to succeed; Ask good questions; coaching to succeed; confident
 engagement; willing to be transparent; Growth from past experiences; learning from
 others; Acceptance and security; having standards; communicate wisdom and
 affirmation; active communication; the whole person; Acquired skills; moral compass;
 spiritual confidence; healthy knowledge of self; Learn and practice; Welcome mentors;

Be a mentor; Careful observation; See the potential not the flaws; have core values; know your role and that of others; build trust; Belief in self, others and God; Seek knowledge; Strive for values alignment; Be heard, be prepared and be informed; Bi-directional communication; lead to learn; partner with others; active listening; understand strengths and weaknesses; follow up on promises; think, work, learn; know yourself, others and goals; partner with stakeholders; Sense of boldness; confidence in God; Acceptance and significance; Destiny is secure in God; Making a positive difference; impact for good; Inner knowledge; Knowledge transfer; the role of mentoring; learning from others; experience that pass the test of time; learning as you go; growing as you learn; Good coming from bad; learning from mistakes; integrated communication; understanding strengths and weaknesses; complimenting weak areas; willingness to fail; Inner gut feeling; Critical thinking; weighing the pros and cons; Knowledge based on experience and skills; never looking back except to learn; Willing to try; Strength in teams; effective communication.

Figure 17 employs a “word cloud” to highlight the key words used by participants to

define “confidence”.



Figure 17: Response Word Cloud

Response to Observations

After the completion of the two questionnaires, followed by the interview, a meeting was requested to observe the interactions of the participants with their employees and staff. These were normal group monthly or weekly staff meetings and were at least one hour in duration. Areas observed through use of the Observation Protocol (Appendix D) included body language, communication techniques, and general interactions between the participants and the employees and staff. Figure 18 provides the results of these observations.

<i>Participant</i>	<i>Title/Position</i>	<i>Date of Observation</i>	<i>Forum of Observation</i>	<i>Key Phrases</i>
Participant 1	Principal	9/25/2013	Monthly PTA Meeting	Success breeds Confidence; Crew Chief; Initiator of vision; Common confidence; Eternal optimist; assume best intentions; trust for others; willingness to be vulnerable; willing to be unpopular; ability to convince;
Participant 2	Principal	8/22/2013	Monthly Teacher's Training	Found to be reliable; Being responsible; Avoiding politics; Exuding faith and trust; Willing to coach and be coached;
Participant 3	Principal	9/11/2013	Monthly Teacher's Training	Purpose-driven teaching; We do it; plan to succeed; Ask good questions; coaching to succeed; confident engagement; willing to be transparent; Growth from past experiences; learning from others; Acceptance and security; having standards; communicate wisdom and affirmation; active communication; the whole person.
Participant 4	Superintendent	9/3/2013	Quarterly Staff Meeting	Acquired skills; moral compass; spiritual confidence; healthy knowledge of self; Learn and practice; Welcome mentors; Be a mentor; Careful observation; See the potential not the flaws; have core values; know your role and that of others; build trust; Belief in self, others and God; Seek knowledge; Strive for values alignment.
Participant 5	Principal	10/8/2013	Monthly Teacher's Training	Be heard, be prepared and be informed; Bi-directional communication; lead to learn; partner with others; active listening; understand strengths and weaknesses; follow up on promises; think, work, learn; know yourself, others and goals; partner with stakeholders.
Participant 6	Principal	10/7/2013	Monthly Staff Meeting	Sense of boldness; confidence in God; Acceptance and significance; Destiny is secure in God
Participant 7	Superintendent	9/26/2013	Monthly Staff Meeting	Making a positive difference; impact for good; Inner knowledge; Knowledge transfer; the role of mentoring; learning from others; experience that pass the test of time; learning as you go; growing as you learn; Good coming from bad; learning from mistakes; integrated communication; understanding strengths and weaknesses; complimenting weak areas; willingness to fail; Inner gut feeling; Critical thinking; weighing the pros and cons;
Participant 8	Principal	9/26/2013	Monthly Staff Meeting	Knowledge based on experience and skills; never looking back except to learn; Willing to try; Strength in teams; effective communication.

Figure 18: Response from Observations

Summary of Responses

The premise of this research study was founded on four critical research questions.

These were:

Research Question One

What effect, if any, does confidence have on the behavior of the principal and superintendent as the primary educational leader of a school system?

This study was directed at determining the extent to which the participant recognized the role of confidence in their role and behavior. To determine the relationship between their confidence and behavior, various approaches and tools were used. These included responses to the surveys, responses to this direct research question, observations of behavior, and analysis of responses to the scenario-based questions.

Figure 19 shows the responses to Research Question One by all participants.

Responses to Research Question 1							
					What role, if any, does confidence have on the behavior of the principal as the primary educational leader of a school system?		
<i>Participant</i>	<i>Title/Position</i>	<i>Age</i>	<i>Gender</i>	<i>Years Experience in current Role</i>	<i>Little or no role</i>	<i>Some role</i>	<i>A very significant role</i>
Participant 1	Principal	59	Male	32			X
Participant 2	Principal	38	Female	5		X	
Participant 3	Principal	58	Female	30			X
Participant 4	Superintendent	47	Male	12			X
Participant 5	Principal	42	Female	8		X	
Participant 6	Principal	34	Female	5		X	
Participant 7	Superintendent	69	Male	40			X
Participant 8	Principal	49	Male	22			X

Figure 19: Response to research question 1

These results indicate the following:

- All participants indicated that confidence played some role in their behavior;
- Those participants who had less years of experience in their current role, indicated that confidence played a role in their behavior, but not a very significant one;

- The male participants seemed to place more significance on confidence than did the females;
- The chronologically older participants indicated that confidence played a very significant role in their behavior, while younger participants noted that confidence played a less significant role in their behavior;
- Both participants who were superintendents felt that confidence played a very significant role in their behavior.

Research Question Two

How do participants describe confidence in the context of their role as a principal? Not surprisingly, each participant had a different angle on describing confidence in the context of their current role.

Figure 20 shows the responses to Research Question 2.

Research Question 2					
Participant	Title/Position	Age	Gender	Years Experience in current Role	How do participants describe confidence in the context of their role as a principal?
Participant 1	Principal	59	Male	32	Confidence is: eternal optimism, repeated grace for others and yourself, assuming best intentions, trusting in others, a willingness to be vulnerable even if it is unpopular, must be based on principles not popularity, willing to take on low tasks and having a strong self-worth not based on others.
Participant 2	Principal	38	Female	5	Confidence is the ability to handle your job in a responsible and productive way.
Participant 3	Principal	58	Female	30	Confidence is clearly understanding one's purpose and being content in who you are and where you are going.
Participant 4	Superintendent	47	Male	12	Confidence is an acquired skill gained through both successful and unsuccessful experiences. This is impacted significantly by learning from those with more knowledge and wisdom.
Participant 5	Principal	42	Female	8	Confidence is the balance between wisdom, decision-making, collaboration and grace.
Participant 6	Principal	34	Female	5	Confidence is a sense of boldness that is dependent on a realization of one's acceptance by God, and a conviction that one's destiny is secure in God.
Participant 7	Superintendent	69	Male	40	Confidence is knowing that the activities you support and lead in the organization are making a positive difference.
Participant 8	Principal	49	Male	22	Confidence is the ability to lead from the front and to engender trust in those that are following.

Figure 20: Response to Research Question 2

The general feedback from the data regarding Research Question 2 is that

confidence can be defined as an attitude, a firm deliverable, and a goal to be followed, which is based on a deeper principle. Factors of confidence can be categorized into three areas: inherent, granted by faith and acquired through experiences and mentoring.

Research Question Three.

What events or aspects of their role as principal and superintendents do participants describe as being significantly impacted by confidence?

A model of leadership called the Relational Approach (Hackman & Johnson, 2009), redirected the study of leadership away from the characteristics and traits of the leader and focused more on the dynamics of the relationship between leader and follower. The data from the current study suggest that most of the leaders' actions and behaviors were significantly impacted by confidence and that this confidence in turn impacted the actions of the followers. These actions and behaviors included serving others, training, developing new skills, mentoring, decision-making, coordinating team activities, and developing new goals and strategies. Any and all interactions with peers, subordinates, and even superiors were influenced significantly by the participants' level of confidence.

Numerous examples were offered where confidence had played a role. These included leading and directing teachers' training sessions, providing teacher evaluations and feedback, managing interactions with parents, fund-raising meetings, staff meetings, planning meetings, PTA meetings and managing conflict between stakeholders were all examples of events that required some degree of confidence.

One noteworthy and tragic example provided by Participant A is highlighted: As superintendent of a school district in the Midwest part of the USA, I was confronted with a crisis situation in a high school. A troubled male student who had transferred to my school only one day earlier had entered the ladies restrooms occupied by a single, 15 year-old girl. He attacked her, raped her and then drowned her by putting her head in the

toilet. As the principal I had to consider how best to deal with all the stakeholders in this situation but most importantly the student body, the perpetrator and the victim's family.

Events like this do not allow for long periods of thought, prayer or planning. Actions need to be prompted immediately. Questions quickly went through my head: Should I close the school? Should I evacuate the school? How will the police presence dramatize our students and staff? What do I say to the victim's family? Who and how much detail should we provide to the stakeholders?"

"I had never experienced anything like this before but I felt very confident that the right thing to do was close the school immediately, send the students and staff home, work with the police and authorities and call a school-wide meeting that evening for all concerned stakeholders. I would lead this meeting but would be supported by the police chief, a leading school grief counsellor as well as school, city and state officials that managed this crisis. Looking back, it was the right thing to do even though some disagreed. (Participant 1)

Research Question Four.

How do participants' responses compare and contrast?

This research was based on a broad segment of participants. Participants varied in age, gender, qualification, background, current and past roles and whether employed in private or public schools. In comparing the responses to one another, some common threads were revealed which were

- Confidence was a significant factor in the behavior of school leaders,
- Mentoring played an important role in developing confidence, and
- The important influence the leaders' confidence has on their followers.

Themes

In evaluating the responses, a number of responses revealed contrasting views of

confidence.

The origin or source of confidence (God, born, faith, acquired). Some participants felt that confidence was acquired, while others felt it was part of one's personality gained at birth. Some participants suggested that whether acquired at birth or during one's lifetime, it was enhanced throughout one's lifetime through events, people, and education. A few participants acknowledged the role that their faith in God had played in their confidence, noting that the knowledge of their confidence in their standing with God had strengthened their confidence in their secular job. This confidence derived from God was seen as "a gift of grace" and was not earned or worked for, but rather was bestowed without merit.

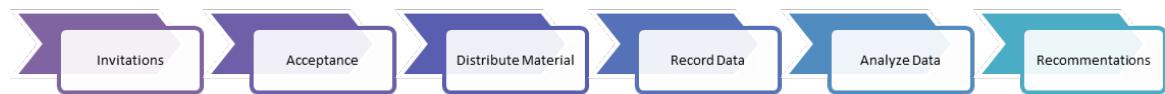
The development of confidence. Some participants noted that confidence was a process that was enhanced and nurtured by experiences and life events. These were noted to be both successes and failures. Some were unexpected and others were planned. In other words, confidence could not be fully realized but was rather a process of growth. It was noted by two participants that "their failures had in fact provided the greatest confidence boost" and that these failures were more important than successes.

Evidences of confidence. Some of the participants used various terms to express the tangible results of confidence or lack thereof. These were more strongly associated with personal *characteristics* such as "the trust of others," "optimism," being "vulnerable," "collaboration," "boldness," "conviction," and taking on "low tasks." By contrast, others felt that confidence could best be judged by personal *outcomes* such as "acceptable productivity," "good decision-making that leads to success," and "leading from the front."

The goal and results of confidence. All participants agreed that confidence could be recognized and acknowledged. Some however felt that confidence could be positive in

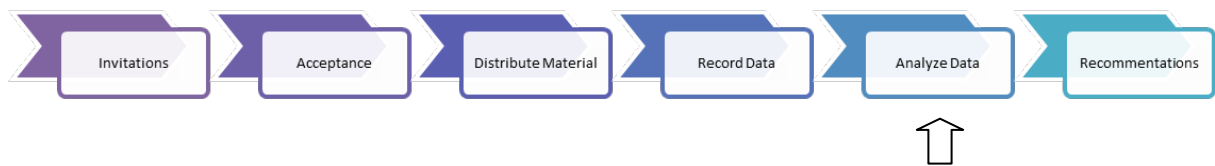
spite of the outcome, while others felt that the outcome of behavior defined confidence. In other words, confidence needed to be expressed and was not simply a state of being. Most agreed that confidence in the leader translated into action that was worthy of following, and would have a successful and productive outcome.

Record Data



All the data collected from all methods during these four steps was recorded, coded, and validated. The final results were analyzed with recommendations drawn. This was published in chapter five of this dissertation.

CHAPTER FIVE: DISCUSSION ON FINDINGS



Introduction

The purpose of this qualitative bounded, multi-site case study was to explore the role that confidence has on the behavior of the school principal as the local educational leader. This chapter will restate the problem as well as provide the purpose of this study. Furthermore, it will, review the research methodology employed, summarize the results, and finally discuss of the results.

The problem to be addressed in this research study was to address the lack of understanding regarding the effect that confidence has on the behavior of K-12 school principals and superintendents in Northern Colorado as the leaders of their local school ecosystem. This study determined how confidence impacts the daily actions of the principal and superintendent who provide leadership to the stakeholders in their specific school system, including students, staff, parents, and the community.

The primary objective of this study was to better understand how confidence influences the decision-making processes of principals and superintendents as leaders of their specific scholastic ecosystem. Research had been done on the role that confidence plays in the winning and losing experiences of sports figures, business leaders, and political figures (Kanter, 2006), but little research has been conducted with leaders specifically in the educational field, such as principals and superintendents. This study focused on those educational leaders and the role that confidence plays in their behavior. The goal of this study is to add value to the development and training of new educational leaders so that key elements that lead to improved confidence will lead to improved

performance of the entire educational ecosystem.

This study sought to better understand the elements of confidence and how or if these factors had an impact on the daily decision-making of the school leader. More specifically, the study sought to address such questions as: Does confidence have an impact on the leader? How important is that role and can it be defined and taught to future leaders? This study used various forms of qualitative data to determine the role of confidence and then sought to understand how these lessons can be applied to the future development and training of new leaders in the school systems.

The research methodology employed was designed to maximize the input of all the participants. The data were collected from participants through four primary sources: a personal questionnaire (Appendix B), which provided basic demographic data including name, gender, educational background, work experience, marital status, family history, and current role and function in their current position. This provided important information about the participants and revealed common characteristics in their behavior, which was then recorded, coded, and analyzed.

Secondly, I administered an Educational Leadership Confidence Survey (Appendix C). The purpose of this survey was to better explore the confidence each leader has in performing their everyday activities. There was no right or wrong answer. This ELCS survey was divided into two sections: Section I was made up of eight scenario-based questions. Each scenario was answered in one of seven ways through a standard response bar.

Section II was made up of 20 questions, each with three possible answers, Yes, No and Unsure/Don't know. All data collected were used for further descriptive analysis, triangulation of data (along with the interview data), and interpretation of the results.

Next, interviews were conducted with each participant based on the responses to

the personal questionnaire (Appendix B). The purpose of these interviews was to discuss what factors have impacted their own confidence levels and how these influence their leadership behavior. Finally, I was a non-participative observer of each participant in a normal setting with a larger group of their staff or stakeholders. I was guided and directed by the observational protocol (Appendix D), which allowed me to observe the actions and interactions of each participant in these settings. Verbal and non-verbal observations were noted.

Following data collection, I began to conduct inductive analysis of the data. As far as possible, I sought to represent the findings of the target audience as precisely and accurately as possible. I then sought to outline the exploratory findings of how, if at all, confidence impacts the behavior of the principal.

Summary of the Findings

The premise of this research study was founded on the responses to the two surveys as well as the responses to the four critical research questions.

Summary of Response to Educational Leadership Confidence Survey

The primary purpose of each of these scenarios in the ELCS surveys was to understand the behavior and level of confidence the leader has in various and common situations. Each scenario provides a situation that offers an insight into how confident the leader and what is the resultant behavior.

ELCS Scenario Summary					
Scenario	Description	Confidence Element(s)	Confidence level (%)		
			Certain (High Confidence)	Uncertain (Somewhat Confident)	Not Certain (Low/No confidence)
1	Resource management under crisis	Decision-making, self-perception, resource management	87%	13%	0%
2	Recruitment of new staff	Decision-making; crisis management; non-comformance	100%	0%	0%
3	Entry of new competing school	Decision-making, competition, self-perception	87%	13%	0%
4	Presentation of their own success	Self-perception, self-confidence, self-efficacy	25%	75%	0%
5	Reaction to external criticism	Crisis, self-efficacy, self-confidence	87%	13%	0%
6	Leadership sharing	Self-perceptions, Self-efficacy, decision-making			
7	Personal, external attack	Crisis, self-efficacy, self-confidence, self-perception	100%	0%	0%
8	Reaction to constructive criticism	Self-perception, self-confidence, self-efficacy	100%	0%	0%

Figure 21: Summary of scenario results

In addition to the ELCS surveys, the outcomes that align with the four research questions also offer strong insight into the confidence demonstrated by the participants.

Research Question One

What effect, if any, does confidence have on the behavior of the principal and superintendent as the primary educational leader of a school system?

These results indicate the following:

- All participants indicated that confidence played some role in their behavior;
- Those participants who had less years of experience in their current role, indicated that confidence played a role in their behavior, but not a very significant one;
- The male participants seemed to place more significance on confidence than did the females;

- The chronologically older participants indicated that confidence played a very significant role in their behavior, while younger participants noted that confidence played a less significant role in their behavior;
- Both participants who were superintendents felt that confidence played a very significant role in their behavior.

Mentoring.

In the case of the two superintendent participants, each indicated the vital role that more mature superiors had played in giving them confidence to face challenges. In both cases, mentoring was highlighted as the singularly most significant factor in developing confidence for the role of educational leader. This mentoring relationship was not formal, nor was it organized. The more mature mentor appeared to naturally provide guidance and mentoring to those willing to be mentored. Even though no formal mentoring program was followed, mentoring certainly occurred. Mentoring activities included



several aspects.

Shadowing. As stated in the literature review, one of the most prominent and accepted leadership theorists was Scottish writer, Thomas Carlyle. Carlyle (1907) noted that "The history of the world is but the biography of great men" (p. 3). The suggestion was that by noting the characteristics of great leaders, the up-and-coming leader should emulate those before him or her. Shadowing is one way to emulate leaders. In this situation, the mentor would allow the mentee to observe how the he or she conducted

themselves in many and various situations. It was not to be a discussion about what was observed and there was no interaction until and shadowing was complete. After a shadowing session was complete, the mentor would often interact with the mentored to share insight and knowledge about what was observed.

Participating. In this scenario, the mentor would instruct the mentored to conduct some activity while being observed by the mentor. Often these activities would be outside the comfort level of the mentored. This could be leading a meeting, drawing up the minutes to a meeting, interviewing new and potential recruits, or setting up an event. After the activity, the mentor would provide feedback and helpful insight into how the mentored had performed.

Crisis management: In this situation, the mentor would purposely include the mentored in a crisis situation. While dealing with the crisis, exchange of ideas and resolution options would be discussed and debated.

Sharing. In this situation, the mentor would react to situations and events that were raised by the mentored. This included active listening, debating alternative approaches, understanding actions and consequences and offering insight into coping mechanisms.

Personal assessments. This was offered as one of the most valuable confidence-builders provided by a mentor. In this activity, the mentor would informally provide an independent insight into the strengths and weaknesses of those being mentored. Constructive criticism was offered as a means to see growth and development of those being mentored. This required the credibility and trust for both the mentor and the mentored.

Interaction through electronic media. In all mentoring activities, various forms of electronic media were used to communicate and exchange ideas. This included telephone communication, email, Facebook, MySpace, and other forms of electronic interaction.

These forms of communication allowed for the informal exchange and debating of ideas, concepts, issues and concerns that had been raised.

It appears the data strongly support the role that confidence plays in the behavior of the school leader. From the research, more senior and experienced educational leaders appreciate the contribution to their confidence offered by mentoring relationships. The value and benefit associated with mentoring in the growth and development of confidence is a critical element in their own behavior.

The research also provides practical tools that can be used to enhance confidence in the development of new school leaders.

Research Question Two

How do participants describe confidence in the context of their role as a principal? Not surprisingly, each participant had a different angle on describing confidence in the context of their current role.

The general feedback from the data regarding Research Question 2 is that confidence can be defined as an attitude, a firm deliverable, and a goal to be followed, which is based on a deeper principle. Factors of confidence can be categorized into three areas: inherent, granted by faith and acquired through experiences and mentoring.

Inherent. Confidence can and is impacted by our genetic disposition and personality. As outlined in the Literature Review, researchers Judge, Bono, Ilies, and Gerhardt (2002) reviewed 10 different studies that addressed some aspects of the traits and personalities of leaders as they affected organizations. This resulted in five traits or factors that were the most widely agreed upon as significant to leadership assessment.

These five factors, also known as the “Big Five” (p. 766), are:

- a) Extraversion: This includes excitability, sociability, assertiveness and expressiveness;

- b) Agreeableness: This includes traits such as trust, kindness, and affection;
- c) Conscientiousness: This includes thoughtfulness, strong impulse control and performance- based behaviors;
- d) Neuroticism: This includes “emotional instability, anxiety, moodiness, irritability, and sadness” (Cherry, 2012, p.1);
- e) Openness: This includes such traits as creativity, imagination and insight.

While strong and successful leaders display various personality types, one factor in confidence comes from our DNA. Factors such as natural optimism, trust, transparency, and boldness can be derived from our personality as well as from experiences throughout our life. The Bible says “For You are my hope; O Lord God, You are my confidence from my youth [childhood].” (Psalm 71:5)

Faith. The data collected during this research study suggest that confidence is significantly impacted by our faith and is expressed in our grace to others while leading, our servant-attitude while serving others, and even in our boldness to make unpopular choices founded on strong wisdom from God. King Solomon noted “For the Lord was your confidence. And will keep your foot from being caught” (Proverbs 3:26). Attributes of confidence such as grace and mercy are divinely granted gifts to those who honor and follow the Lord. Paul wrote, “For our proud confidence is this: the testimony of our conscience, that in holiness and godly sincerity, not in fleshly wisdom but in the grace of God, we have conducted ourselves in the world, and especially toward you” (2 Corinthians 1:12, NASB). The writer of Hebrews seems to capture some of the essential qualities of confidence that have influenced our faith in Hebrews 4:16 “Therefore let us draw near with confidence to the throne of grace, so that we may receive mercy and find grace to help in time of need.”

Acquired through experience. All participants in this research study noted that

their confidence levels had been influenced by various experiences throughout their life. These experiences spanned their childhood through their adult years and encompassed experiences with parents, siblings, friends and other influential people. These were both *direct* and *indirect* experiences.

Direct experiences most often revolved around family and friends, and included the loss of family members, the relocation to another state or city, the lack of a father or mother, broken or dysfunctional homes, awards and honors received, achievements made, and failures experienced. However, the most influential and common direct experience came through informal mentoring by a more seasoned and experienced person. Often these individuals had no formal mentoring role or skills, but simply recruited individuals who were willing to listen and learn. A key ingredient in this mentoring process was an observable willingness to apply knowledge shared.

Indirect experiences varied, from a song from a recording artist (“Leaving on a Jet Plane”), the death of influential leaders (President Kennedy), to events or tragedies read or witnessed on television or the news (9/11).

Research Question Three.

What events or aspects of their role as principal and superintendents do participants describe as being significantly impacted by confidence?

A model of leadership called the Relational Approach (Hackman and Johnson, 2009), redirected the study of leadership away from the characteristics and traits of the leader and focused more on the dynamics of the relationship between leader and follower. The data from the current study suggest that most of the leaders’ actions and behaviors were significantly impacted by confidence and that this confidence in turn impacted the actions of the followers. These actions and behaviors included serving others, training, developing new skills, mentoring, decision-making, coordinating team activities, and

developing new goals and strategies. Any and all interactions with peers, subordinates, and even superiors were influenced significantly by the participants' level of confidence.

Numerous examples were offered where confidence had played a role. These included leading and directing teachers' training sessions, providing teacher evaluations and feedback, managing interactions with parents, fund-raising meetings, staff meetings, planning meetings, PTA meetings and managing conflict between stakeholders were all examples of events that required some degree of confidence.

Research Question Four.

How do participants' responses compare and contrast?

This research was based on a broad segment of participants. Participants varied in age, gender, qualification, background, current and past roles and whether employed in private or public schools. In comparing the responses to one another, some common threads were revealed which were

- Confidence was a significant factor in the behavior of school leaders,
- Mentoring played an important role in developing confidence, and
- The important influence the leaders' confidence has on their followers.

Limitation of Study

At the commencement of this study, the effect of confidence on behavior had not been studied in a significant way in the literature, and yet it appeared that confidence was one of the most critical factors in the success or failure of a leader. Confidence appeared to be the "X" factor in the behavior of leaders. Little research had been done on how confidence impacted the action and reaction of educational leaders, and therefore little was known about how to incorporate confidence into the development of future educational leaders. The purpose of this study was to show a correlation between confidence and behavior in leaders in general, but in educational leaders specifically.

Having attempted to show this correlation, I further attempted to determine how confidence was gained, and how it could then be incorporated into the training and development of future leaders.

To adequately discuss the findings in this study, this section is divided into four key areas: the interpretation of the findings, the relationship of the current study findings to previous research, recommendations for educational leaders, and suggestions for additional research.

On the basis of this study alone, it is difficult to be dogmatic about the role of confidence on the behavior of the educational leader; however, findings from this research seem to support the link between behavior and confidence. While it may be difficult to quantify confidence, each participant acknowledged the presence of confidence and the factors that had contributed to confidence in their behavior. This conclusion is supported by Kanter (2006) who said, “I am an expert in leadership...in *confidence* [emphasis added] I have set out to explain the culture of success and failureand how to shift the dynamics of decline to a cycle of success” (p. 20). While some participants in this study suggested that confidence was one of many factors in their resultant actions, this study confirmed that confidence nevertheless played an important and significant role in their behavior. Having confirmed the link between confidence and behavior, this study further attempted to highlight those factors that might impact confidence.

While this study has been limited to educational leaders, it is safe to assume that it can be applied to leaders in any other sector of society, as educational leaders represent a subset of the larger population of leaders. Therefore the findings of this research could be appropriately assigned to all sectors of leadership development.

Recommendations and suggestions for additional research

Previous studies have focused on confidence, as witnessed in “boardrooms, conference rooms, locker rooms, stadiums, fields, factories, emergency rooms, and back offices” (Kanter, 2006, p. 20). Studies have focused on the teacher or leader and their behavior, but with little or no regard for the role that confidence played in that behavior.

The current study however, focused on the classroom and staff room where educational leaders live and breathe. It focused less on the outcomes of confidence: success or failure, and more on the correlation between confidence and behavior and what the key ingredients were that contributed to confidence.

This research is critical in completing the development and training of new educational leaders. It is important that the educational leaders’ curriculum include academic subjects, administrative issues such as decision-making, conflict resolution, communication, organizational management, stakeholder management, social justice issues, etc., but it is equally important that new educational leaders understand and learn how to build their confidence in such a complex and ever-changing environment. Some practical suggestions are listed as follows:

Mentoring program. Formal and informal mentoring programs should be developed and implemented at all stages in the training of educational leaders. This should commence during the college years, during the onsite training practical, and even while the teacher is employed in a school.

Scenario-based training: Better use of scenario-based examples should be employed to simulate the type of crisis that may be encountered by future educational leaders, and the correct and incorrect outcomes should be studied.

Personality analysis: Because personality traits play an important role in confidence, it is imperative that each future educational leader know their strengths and

weaknesses. This will enable them to shore up those areas that are weak and build on those strengths that they inherently enjoy.

Leadership training: It is hoped that this research will lead to the development of a confidence-based leadership training curriculum. This would not be an attempt to replace the current scholastic curriculum of current leaders-in-training, but would rather supplement the academic training so that the factors contributing to confidence would become an integrated part of the overall training of the next generation of new educational leaders.

This research study is by no means the last word on how confidence impacts the behavior of the educational leader, but it is a solid start. Additional research is needed on how specific leadership training programs could be better aligned to produce greater confidence. Further studies on what factors negatively impact the behavior and growth of the educational leader would also be warranted. Further research could be conducted on how to enhance confidence throughout the various stages of the development of the future leader, as well as examining some quantifiable measures of confidence as compared to a lack of confidence.

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Appendix A: IRB Approval Letter



The Graduate School at Liberty University

June 17, 2013

Barry Thompson

IRB Approval 1614.061713: The Role Confidence Has on the Behavior of the Principal as the School's Educational Leader

Dear Barry,

We are pleased to inform you that your above study has been approved by the Liberty IRB. This approval is extended to you for one year. If data collection proceeds past one year, or if you make changes in the methodology as it pertains to human subjects, you must submit an appropriate update form to the IRB. The forms for these cases were attached to your approval email.

Please retain this letter for your records. Also, if you are conducting research as part of the requirements for a master's thesis or doctoral dissertation, this approval letter should be included as an appendix to your completed thesis or dissertation.

Thank you for your cooperation with the IRB, and we wish you well with your research project.

Sincerely,

Fernando Garzon, Psy.D.
Professor, IRB Chair
Counseling

(434) 592-4054



Liberty University | Training Champions for Christ since 1971

Appendix B: Sample of Personal Questionnaire to Participants

Name:

Title:

Date of Birth:

Sex: M ☐ F ☐

Institution:

Address:

Office Phone:

Cell Phone:

Email:

Marital status:

Number of children:

Education: Degrees held

How many years have you been with [title] of [institution]?

How long have you been employed by [institution]?

What other positions have you held at [institution], if any?

What other institutions have you worked for and what was your position(s)?

How people do you manage? How many of these are direct reports?

How many students do you have?

If public, what was your annual budget/revenue in the last three years?

- 2010
- 2011
- 2012

What is the annual % growth in students of your institution over the last three years?

How many other locations do you operate in?

In your opinion, where would you place [institution] in its life cycle?

Early ☐ Middle ☐ Mature ☐

Other helpful information:

Appendix C: Educational Leadership Confidence Survey (ELCS)

The purpose of this survey is to better measure the level of confidence each leader has in performing their everyday activities. There is no right or wrong answer. This survey is divided into two sections. Section I is made up of eight scenario-based questions. Each scenario was answered in one of seven ways through a standard response bar (below).

Section II is made up of 20 questions each with three possible answers, Yes, No and Unsure/Don't know.

<i>I am CERTAIN</i>	<i>I am UNCERTAIN</i>	<i>I do not know</i>
<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	<input type="checkbox"/>

SECTION I:

Please carefully read each scenario and answer each scenario with one of the seven answers above.

Scenario One:

You have a difficult task to be completed within a tight timeline and budget. There are three possible staff members to lead this task: Alan who has the time but lacks some skills; Julie, who has the necessary skills but does not work well with a team; and finally, Joey, who is a new hire with the available time but unknown skills.

Who would you select for this task?

Answers:

- A. Alan
- B. Joey
- C. Julie

<i>I am CERTAIN</i>	<i>I am UNCERTAIN</i>	<i>I do not know</i>
<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	<input type="checkbox"/>

Scenario Two:

The Director of HR, who you hired some 6 months ago, would like authorization to hire a new teacher's aide. This is an open and approved requisition; however the candidate is requesting a salary 10% higher than has been advertised. What would you do?

Answers:

- A. Accept the final decision of your Director of HR;
- B. Delay the decision until you can get the input of other executives; or
- C. Instruct the Director of HR to tell the new candidate to take the current offer or leave it.

<i>I am CERTAIN</i>	<i>I am UNCERTAIN</i>	<i>I do not know</i>
<input type="checkbox"/> A	<input type="checkbox"/> A	<input type="checkbox"/>
<input type="checkbox"/> B	<input type="checkbox"/> B	
<input type="checkbox"/> C	<input type="checkbox"/> C	

Scenario Three:

A new and more aggressive for-profit competitor has moved into your market. What would your reaction be?

Answers:

- A. Immediately move to reduce the price of your services/product;
- B. Delay any response until you can get the input of your other senior staff members;
- C. Just wait to see what happens.

<i>I am CERTAIN</i>	<i>I am UNCERTAIN</i>	<i>I do not know</i>
<input type="checkbox"/> A	<input type="checkbox"/> A	<input type="checkbox"/>
<input type="checkbox"/> B	<input type="checkbox"/> B	
<input type="checkbox"/> C	<input type="checkbox"/> C	

Scenario Four:

As a successful, young education leader, you have been asked to speak to a group of 300 MBA students at the local State University. You have been asked to specifically address the topic “What are the keys to my success?”

What would you do?

Answers:

- A. Immediately accept the offer knowing what key points you would cover;
- B. Delay the decision until you have more time to bounce the idea of other people who know you;
- C. Call the hosts and ensure they invited the right person.

<i>I am CERTAIN</i>	<i>I am UNCERTAIN</i>	<i>I do not know</i>
<input type="checkbox"/> A	<input type="checkbox"/> A	<input type="checkbox"/>
<input type="checkbox"/> B	<input type="checkbox"/> B	
<input type="checkbox"/> C	<input type="checkbox"/> C	

Scenario Five:

The local newspaper reporter has appeared in your office lobby demanding to speak to you about a rumor that your institution may be violating certain Department of Education rules.
What would you do?

Answers:

- A. Tell your personal assistant to make an appointment for the reporter to come back and speak with you and your attorney;
- B. Delay the decision until you have time to ask the advice of your attorney;
- C. Tell your personal assistant to tell the reporter that you are not in and do not have time for reporters.

<i>I am CERTAIN</i>	<i>I am UNCERTAIN</i>	<i>I do not know</i>
<input type="checkbox"/> A	<input type="checkbox"/> A	<input type="checkbox"/>
<input type="checkbox"/> B	<input type="checkbox"/> B	
<input type="checkbox"/> C	<input type="checkbox"/> C	

Scenario Six:

As the Principal of your school, you feel it is time to hire a senior English teacher. After reviewing numerous candidates, two finalists are selected. Jill, the first candidate, has the qualifications, attitude and experience to do this job and in fact appears to know more than you do, suggesting that she would be a great partner to you in your educational leadership role. Peter is also qualified, experienced and as good as Jill. He summarizes his interview by stating that he is looking forward to working for and learning from you.

What would you do?

Answers:

- A. Hire Jill immediately because she might even be better than you;
- B. Hire Peter because you look for someone who is willing to learn;
- C. Excuse yourself from the hiring process and let the other Board members make the decision.

<i>I am CERTAIN</i>	<i>I am UNCERTAIN</i>	<i>I do not know</i>
<input type="checkbox"/> A	<input type="checkbox"/> A	<input type="checkbox"/>
<input type="checkbox"/> B	<input type="checkbox"/> B	
<input type="checkbox"/> C	<input type="checkbox"/> C	

Scenario Seven:

The local newspaper does an article on you and your leadership. It is rather scathing of you, offering some legitimate and also some false examples to justify their claims.

How would you react?

Answers:

- A. Sought a meeting with people who know you to see if the claims are true or not;
- B. Immediately contact your attorney and instruct him to sue the newspaper;
- C. Ignore the article, knowing who you are and what your strengths and weaknesses are.

<i>I am CERTAIN</i>	<i>I am UNCERTAIN</i>	<i>I do not know</i>
<input type="checkbox"/> A	<input type="checkbox"/> A	<input type="checkbox"/>
<input type="checkbox"/> B	<input type="checkbox"/> B	
<input type="checkbox"/> C	<input type="checkbox"/> C	

Scenario Eight:

An educational consultant has suggested some radical and new changes to your institution and its organizational structure. Even though your institution has been successful, she notes that this will take you to an even higher level of success. She concludes her argument with the statement that other of your competitors is accepting her new ideas and so should you.

What would be your response?

Answers:

- A. Welcome her ideas and agree to carefully review them;
- B. Reject her ideas as they come from someone who is rather arrogant and really doesn't know your business;
- C. Thank her for her time and effort but remind yourself that it was your ideas that made your company what it is today.

<i>I am CERTAIN</i>	<i>I am UNCERTAIN</i>	<i>I do not know</i>
<input type="checkbox"/> A	<input type="checkbox"/> A	<input type="checkbox"/>
<input type="checkbox"/> B	<input type="checkbox"/> B	
<input type="checkbox"/> C	<input type="checkbox"/> C	

SECTION II

Read the following questions and place an X in one of the three possible answers:

#	Question	Yes	No	Unsure
1.	As the leader goes, so goes the organization. Do you agree?			
2.	Kanter said, "The fundamental task of a leader is to develop confidence in advance of victory". Do you agree with Kanter?			
3.	There are few people that can impact the outcome and performance of your organization as much as you can. Would you agree with this statement?			
4.	In selecting new and future educational leaders, their confidence level is more important than their skills. Would you agree with this view?			
5.	Do you believe that confidence can be taught?			
6.	Confidence is often the difference between success and failure. Do you agree with this statement?			
7.	Do you feel confidence is the opposite of failure?			
8.	Are you generally confident about the decisions you make as the leader of your organization?			
9.	Do you feel that one of your most important tasks is to instill confidence in your employees?			
10.	Do you feel there are tangible signs of confidence in organization?			
11.	When faced with a critical decision as a leader, I tend to quickly weigh all options and select the required course of action.			
12.	Once I have delegated a task, I fully expect it was carried out.			
13.	It most day-to-day decisions, it is more important to make a decision and move on rather than take more time in order to gain consensus.			
14.	I have little patience for educational leaders who vacillate on decisions.			
16.	Experience and knowledge are the primary influencers of confidence in a leader.			
17.	Do you feel you are the primary barometer of confidence in your organization?			
18.	Do you feel that confidence is one of the most important intangibles in an organization?			
19.	Do you feel that confidence significantly impacts the success of an organization?			
20.	Do you feel that an organization can enjoy long-term success without confident educational leadership?			
21.	How would you define "confidence"?			

Appendix D: Observation Protocol

The purpose of observing the participant in their capacity as the leader of organizations is to better understand the dynamics between the leader and their followers. Specific attention was given to communication (verbal and non-verbal), interaction, engagement, body language, time management, active listening and understanding, climate, atmosphere, setting and placement, multi-level engagement, and outcomes. The researcher will not participate in the group session and all proceedings were captured on video camera for face and content validity by a third independent party.

The primary task is to observe how the employees, staff, students and parents respond to the leader, how the educational leaders responds to the employees, staff, students and parents and to make some conclusions about the general interaction of the leader with the group. A special notation should be made of the behavior of the employees and the leader in this group setting. The leader will explain to the group that the researcher is present to observe only but the subject of the research (the role of confidence in the leader's behavior) will not be announced.

I was observing one leader with a group of between 6-12 employees, staff, students and parents in at least one session of 1 hour. This was the normal organizational meeting and will not be special session.

I will take notes on the leader and the group's behavior. Careful consideration was noted on

- How the group interacted with their leader.
- Did they appear to be an integral part of the group?
- Were they validated and encouraged by the leader?
- What was their response to input from the leader?
- Did the leader elicit engagement and team camaraderie?
- Based on their interaction, evaluate their confidence in the leader, their organization, their colleagues and themselves.
- Any evidence that the employees were not engaging with their leader?

Others?

- How did the leader interact with other individuals?
- Any signs of lack of confidence in the leader or group?

- How did the leader handle any problems in the group dynamics (dominating members, quiet members, etc.)?

Appendix E: Sample Letter of Request to Participants

[Date]

[Name]

[Address]

[Address]

Dear [Name of Participant]

This letter serves to introduce myself to you and to request your input as the leader of [Name of institution].

My name is Barry Thompson and I am the dissertation stage of my doctoral program at Liberty University, Lynchburg, Virginia. The topic of my research is to explore the role of confidence on the behavior of educational leaders. You have been selected because you are the [title] of [institution] and as such offer a personal insight into the behavior of the primary leader in an educational organization. This research is a qualitative case study which offers the researcher the opportunity to listen to your perspective on this subject.

If you agree to assist in this study, there was three activities that will require your time and input. These are:

1. Completion of personal and educational leadership confidence questionnaires;
2. Host a personal, one-to-two hour, one-on-one interview with the researcher at your offices and
3. Provide an acceptable forum for the researcher to observe your interaction with employees, staff, teachers, students and parents of your organization.

In total, this research will require no more than 4 hours of your time spread over a period of two weeks. It should be noted that this research has been authorized and approved by Liberty University. All data collected was used in the dissertation but will remain anonymous and confidential. The resultant dissertation was available to you, at no cost, if requested. No payment was offered for this information. Your input into this vital area of educational leadership can have an important impact on educational leadership development and it is vital that your experiences, skills and expertise be heard and used to assist others who sought to be successful educational leaders.

Enclosed is a postage-paid response. Please complete and sign this response card and return it. If you agree to assist in this research, we will call you and set up a time to discuss the process.

I look forward to meeting you and working with you over the next few weeks.

Please feel free to call me if you have further questions on _____.

Regards

Barry Thompson

Appendix F: Informed Consent Form

THE EFFECT CONFIDENCE HAS ON THE BEHAVIOR OF THE PRINCIPAL AND SUPERINTENDENT AS THE SCHOOL'S EDUCATIONAL LEADER

Principal investigator: Barry Thompson
Liberty University
Academic Department: Education

You are invited to be in a research study of the effect that confidence has on the behavior of the school principal as the local educational leader. You were selected as a possible participant because of your role as a current or past principal of an eligible school. We ask that you read this form and ask any questions you may have before agreeing to be in the study.

This study is being conducted by Barry Thompson from Liberty University's Educational Department.

Background Information:

The purpose of this study qualitative, multi-site case study is to explore the role confidence may have, if any, on school principals and superintendents at select school systems in Northern Colorado. This study sought to better understand the elements of confidence and how or if these factors have an impact on the daily decision-making of the school leader. More specifically, the study sought to address such questions as: Does confidence have an impact on the leader? How important is that role and can it be defined and taught to future leaders? This study will use various forms of qualitative data to determine the role of confidence and then sought how these lessons may be applied to the future development and training of new leaders in the school systems identified.

Procedures:

If you agree to be in this study, we would ask you to complete some or all of the following activities:

1. Complete and return the attached self-stamped response card;
2. Read, complete and return Personal Questionnaire;
3. Accept and participate in a one-on-one interview with researcher to review Personal Questionnaire;
4. Read, complete and return Educational Leadership Confidence Survey (ELCS);
5. Accept and participate in an Observation session where the researcher will observe you interacting in a meeting of you and your team. It should take less than three hours in total for you to complete the procedures listed.

Risks and Benefits of being in the Study:

The study has minimal risks which are no more than the participant would encounter in everyday life. The benefits to participation are that it will *enhance the body of knowledge in school leadership and will lead to an understanding of how to better prepare future principals and superintendents to be effective educational leaders. It is hoped that this could lead to the development of a comprehensive approach to confidence-based educational leadership during the selection, development and empowerment of future principals and superintendents as educational leaders.*

Compensation:

You will not receive payment for your participation however the researcher is willing to provide the final dissertation to you upon request.

Confidentiality:

The records of this study were kept private. In any sort of report we might publish, we will not include any information that will make it possible to identify a subject. Research records were stored securely and only researchers will have access to the records. To ensure that all policies are in place to preserve the confidentiality and integrity of the participants and the data collected during this study, all data collected will only be used for the purposes of this research, and on terms that the participants will have agreed to before the data is collected. All data collected and material used in this project was either stored electronically using secure password protection, or in a locked filing cabinet.

Voluntary Nature of the Study:

Participation in this study is voluntary. Your decision whether or not to participate will not affect your current or future relations with Liberty University or the employer. If you decide to participate, you are free to not answer any question or withdraw at any time without affecting those relationships.

Contacts and Questions:

The researcher conducting this study is Barry Thompson. You may ask any questions you have now. If you have questions later, **you are encouraged** to contact him through one of the following contact mediums:

Postal Address: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

Email: [XXXXXXXXXXXXXXXXXXXX](#)

Phone: XXXXXXXXXXXX

You may also contact my Dissertation Chairperson at the following:

Dr. Jerry Westfall

Associate Professor of Computational Sciences

Chair, Department of Computational Sciences

Phone: (434) 592-4681

If you have any questions or concerns regarding this study and would like to talk to someone other than the researcher(s), **you are encouraged** to contact the Institutional Review Board, Dr. Fernando Garzon, Chair, 1971 University Blvd, Suite 1582, Lynchburg, VA 24515 or email at fgarzon@liberty.edu.

You was given a copy of this information to keep for your records. Statement of Consent:

I have read and understood the above information. I have asked questions and have received answers. I consent to participate in the study.

I agree that some parts of this research may be audio video recorded ☐ Yes

Signature: _____ Date: _____

Signature of Investigator: _____ Date:

IRB Code Numbers: 1614.061713

IRB Expiration Date: 6/13/2014

Appendix G: Interactive Interviews

Some sample questions addressed during the participants' interviews were:

1. Describe for me the journey of becoming a principal?
2. Tell me what a "day in their life" is like of your job?
3. Describe your relationship with your parents and siblings?
4. How has your educational journey impacted you?
5. Who is your favorite leader and why?
6. Describe how you think your staff, employees and students perceive you?
7. Describe three primary reasons you have been successful?
8. Describe in detail your process when making a critical decision.
9. What are the main elements you rely on to make important decisions?
10. What are those factors that are the difference between success and failure as an educational leader?
11. What characteristics do you feel are critical in a successful educational leader?
12. What are your greatest strengths? And your greatest challenges?
13. What do you feel hinders you from being even more successful?
14. What factors do you think determine confidence in a leader?
15. What role do you feel confidence plays in your behavior as an educational leader?
16. How important is this to your employees and/or staff?
17. How can confidence be created or rebuilt, if at all?
18. Is there anything else you would like to add?