

EDUCATIONAL VISION IN FLORIDA SCHOOL DISTRICTS:  
VISION ALIGNMENT AND LEADERSHIP STYLE

by

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## ABSTRACT

The purpose of this study was to address a gap in the organizational leadership research related to the sharing, or alignment, of leadership vision across organizational levels, with a focus on educational vision alignment in Florida K-12 public school districts. The study also sought to determine to what extent, if any, there were differences among Florida school districts exhibiting different levels of educational vision alignment. The broad question addressed by the current research was this: To what degree are the educational visions of superintendents and principals aligned within Florida K-12 public school districts? The following research questions further guided the study:

1. What common themes can be found in the published vision statements of the 67 Florida K-12 public school districts?
2. To what extent, if any, do Florida K-12 public school district superintendents and their respective principals agree with one another on the importance of the common themes found in Florida school districts' published vision statements?
3. What is the relationship, if any, between educational vision alignment levels in Florida K-12 public school districts and principals' perceptions of their superintendents' leadership styles?
4. To what extent, if any, are there differences among Florida K-12 public school districts exhibiting different levels of educational vision alignment?

The Florida Educational Vision Questionnaire Superintendent Form (FEVQ-S), a researcher developed questionnaire, was administered to all 67 Florida K-12 public school district superintendents. With superintendent approval, two additional questionnaires were

administered to a sample of 242 principals in 23 school districts. The Florida Educational Vision Questionnaire Principal Form (FEVQ-P) and the Multifactor Leadership Questionnaire Form 5X Rater (MLQ-5X) (Avolio, Bass, & Jung, 1999) were returned fully completed by 105 principals in 21 districts. A total of 81 principal responses in 20 districts were usable, yielding overall usable response rates of 29.9% (superintendents) and 33.5% (principals). Comparisons of FEVQ responses of superintendents and principals in each school district were made using a researcher developed measure, the Educational Vision Alignment Index (EVAI).

Within each district, the EVAI was compared with the superintendent's leadership style as measured by the principals' responses to the MLQ-5X. School districts were then compared using data obtained from the FEVQ demographic items, the Florida School Indicators Report (FSIR) (FLDOE, 2003a), the 2004 School Grades by District Report (FLDOE, n.d.), and the online Florida Public School Superintendents report (FLDOE, 2005c). The FSIR contains data on district characteristics such as operating costs, per pupil expenditures, school staff composition, student membership, student mobility rates, student stability rates, and teacher descriptors. The 2004 School Grades by District report contains both the school grades for each district and the total number of schools per district. The Florida Public School Superintendents report contains general school district information and superintendent status (i.e., elected or appointed) information.

Detailed data analyses related to each of the four research questions indicated that:

1. Several common themes can be found in the published vision statements of the 67 Florida K-12 public school districts,

2. Florida K-12 public school district superintendents and their respective principals agree with one another on the importance of some of these common themes,
3. Several relationships exist between the educational vision alignment levels in Florida K-12 public school districts and principals' perceptions of their superintendents' leadership styles, and
4. There are differences among Florida K-12 public school districts exhibiting different levels of educational vision alignment.

The current study illustrated that in Florida K-12 public school districts whose superintendents were perceived to be transformational leaders, a strong alignment of educational vision between the superintendents and their principals was also apparent, particularly in those districts having elected superintendents. Using the two researcher developed tools, the Florida Educational Vision Questionnaire (FEVQ) and the Educational Vision Alignment Index (EVAI), it was shown that this alignment pertained to specific content items, or themes, derived from an analysis of the educational vision statements of the 67 Florida school districts. These results indicate that the current emphasis in Florida on the development of transformational leaders who are knowledgeable in techniques for developing and communicating shared visions is therefore warranted.

This dissertation is dedicated with love to my family:

Dad & Mom, Jackie & Rich, Debbie & Jay, Paul, Ben & Raima, and Rachel & Gabriel.

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## CHAPTER 1: INTRODUCTION

### Purpose of the Study

Following the enactment of the No Child Left Behind Act of 2001 (NCLB), educational leaders across the United States faced increased accountability at the federal level (No Child Left Behind [NCLB], n.d.). The impact of NCLB was somewhat lessened in the state of Florida by the pre-existence of the Florida A+ Plan, which already contained many of the same accountability measures mandated by NCLB (Florida Department of Education [FLDOE], 2000-2001). However, despite the similarities, the primary emphasis of the Florida A+ Plan was on school, district, and state composite measures of accountability, whereas NCLB included not only those composite measures, but also more specific measures such as the average standardized test scores of individual subgroups of traditionally at-risk students (FLDOE, 2000-2001; NCLB). Complying with the dual mandates of the Florida A+ Plan and NCLB will require Florida's educational leaders to achieve an even stronger unity of purpose than has been needed in the past. One approach for achieving this unity may lie within the realm of transformational, charismatic, and visionary leadership theories.

In the latter part of the 20<sup>th</sup> century, the theories of transformational, charismatic, and visionary leadership have identified means of creating organizational unity, most notably through a strong leadership vision that permeates and is shared throughout all levels of an organization and serves as a mobilizing factor to enable an organization to reach its long-term goals (Bass, 1985; Baum, Locke, & Kirkpatrick, 1998; Bennis & Nanus, 1985; House, 1977; Larwood, Falbe, Kriger, & Miesing, 1995). In the United States, several programs have been developed to formalize this process, among them the Baldrige National Quality

Program in the United States and the Florida Sterling Award program in the state of Florida (Baldrige National Quality Program, 2004; Florida Sterling Council, 2002; Florida Sterling Council, 2004).

However, while transformational, charismatic, and visionary leadership theories stress the importance of shared leadership vision, and while programs such as Baldrige and Sterling offer a vehicle for the dissemination of that shared vision, there is still a gap in the research related to the consistency of the leadership vision content throughout the various levels of organizations in general and educational organizations in particular. A landmark study by Berson, Shamir, Avolio, and Popper (2001) demonstrated that different characteristics of the content of a leader's vision statement were indeed related to that leader's style, as measured by the Multifactor Leadership Questionnaire. Berson et al. found that "leaders who were rated as more transformational [as opposed to either transactional or passive] were more likely to emphasize optimistic and future-oriented vision themes" (p. 61).

While the Berson et al. (2001) study was unique in its focus on the importance of the content of the leader's vision, their study did not determine if that content remained consistent throughout the various levels of an organization. Using suggestions made at the conclusion of their research report, the Berson et al. study has served as a launching point for the current study. Instead of focusing on the characteristics of the leader's vision statement and the relationship of those features to that leader's style, the current study sought to determine whether or not there is a correlation between the alignment of vision content across organizational levels and subordinates' perception of their leader's style. In addition, although "[a]bout 55%" of Berson et al.'s sample of 141 leaders "came from educational institutions" (p. 58), their final research results were not aggregated by type of organization.

To provide a more specific focus on educational leaders, the current study examined only Florida K-12 public school superintendents and their subordinate principals.

Berson et al. (2001) also found that the strength of a leader's vision statement was inversely related to the size of his or her organization. Berson et al. encouraged future researchers to continue exploring the dynamics of this and other possible relationships between the vision's content and organizational characteristics. The current study therefore included an examination of the relationship between Florida K-12 public school district characteristics and the measure of vision alignment within those districts.

### Theoretical Framework

Leadership vision is a central concept in many general theories of leadership. For example, Hunt and Osborn's (1980, 1982) Multiple-Influence Model (MIML) focused on the means for leaders to bridge gaps between what they expect to happen (i.e., the vision) and what actually does happen. Hollander's (1958, 1964) idiosyncrasy credit model offered a specific mechanism through which leaders could articulate and achieve their creative visions. Many popular writings have also stressed the necessity of proper goal articulation, follower inspiration, and behavior modeling to communicate the leader's vision (Bennis & Nanus, 1985; Kouzes & Posner, 1995).

The leadership vision construct has been most thoroughly defined in the charismatic and transformational leadership theories. House's (1977) theory of charismatic leadership focused on the articulation of goals, expectations for goal accomplishment, and communication of confidence in goal attainment by followers. Conger and Kanungo (1987), in their definition of charisma as an attribute conferred upon leaders by their followers,

detailed the importance of vision articulation and its subsequent attainment through unconventional means. Bass (1985) stressed the importance of charisma and inspirational appeals to followers' emotions in working towards vision attainment. House and Shamir (1993) elaborated upon the process of vision sharing through the leader's active linking of his or her vision with the followers' self-concepts.

Numerous studies have been conducted to investigate the impact of transformational, charismatic, and visionary leadership in various contexts, including government, business, and education (Bird & Brush, 2000; Boehnke, Bontis, DiStefano, & DiStefano, 2003; Chui, Sharpe, & McCormick, 1996; Collins & Porras, 1991; Den Hartog, Van Muijen, & Koopman, 1997; Geijsel, Sleegers, Leithwood, & Jantzi, 2002; Javidan & Waldman, 2003; Kirby, Paradise, & King, 1992; Larwood, Falbe, Kriger, & Miesing, 1995; Leithwood & Jantzi, 1999; Pielstick, 1998; Testa, 1999). Central to many of these studies has been the importance of a clear articulation of the vision by the leader to others in the organization. The perception of a shared vision has been shown to be crucial (Huffman, 2003). Berson, Shamir, Avolio, and Popper (2001) concluded that there is a relationship between transformational leadership style and the *inspirational strength* of leaders' vision statements (p. 53).

### Definitions

The following definitions of *vision* were obtained from the literature on transformational and charismatic leadership and were used to construct the definition of *educational vision* that guided the current research study.

1. A vision “articulates a view of a realistic, credible, attractive future for the organization, a condition that is better in some important ways than from what



now exists.” The vision “may be as vague as a dream or as precise as a goal or mission statement” (Bennis & Nanus, 1985, p. 89).

2. A vision consists of “idealized future goals that the leader wishes the organization to achieve” (Conger, 1989, p. 29).
3. A vision is a “persuasive and hopeful image of the future (Bolman & Deal, 1997, p. 315) that also serves as a form of organizational “glue” when shared by all members of an organization (Bolman & Deal, p. 338).
4. A vision is the organization’s “magnetic north” (Kouzes & Posner, 1995, p. 24).
5. A “vision is not a mission. To state that an organization has a mission is to state its purpose, not its direction” (Nanus, 1992, p. 21).

Note that several of these definitions appear to conflict with one another. For example, Conger (1989) considered vision and goals to be equivalent, as did Bennis and Nanus (1985), who also included mission as an equivalent term. But Nanus (1992) later vehemently opposed the idea of the equivalence of vision and mission. These conflicting definitions are mirrored in organizational practice. Organizations, including educational institutions such as public school districts, can and often do use the terms vision, mission, purpose, strategy, and goal interchangeably.

To aid in distinguishing these concepts as they apply to Florida K-12 public school districts, the researcher developed the following precise definitions:

1. An *educational vision* describes a desirable, hopeful, and realistic future for the school district or for its stakeholders, including, but not necessarily limited to, students and their family members, district administrative staff, school administrative and educational staff, and members of the general community.

Ideally, this educational vision helps to mobilize and focus the efforts of all district personnel towards the district's desired future state.

2. *Educational vision alignment* describes the condition in which the major components of the educational vision are shared throughout all levels of school district personnel (e.g., administrative, managerial, educational). For the purposes of this research, educational vision alignment will refer specifically to the degree to which the content of the educational vision is shared by district superintendents and their subordinate principals.
3. An *educational mission* describes the purpose of the school district and is presumed to lead to the eventual accomplishment of its educational vision.
4. An *educational strategy* describes the means for both the current fulfillment of the educational mission and the future accomplishment of the educational vision.
5. An *educational goal* describes a precise, measurable target that the school district will attempt to achieve and that is often included as a component in the district's plan for executing its educational strategy.

### Statement of the Problem

Despite the scope of previous studies on transformational and charismatic leadership, there is a general lack of organizational leadership research on the content of the leadership vision to determine whether or not that content is shared, or aligned, across different levels in any organization, including educational organizations such as school districts. In addition, there is a gap in the research on the importance of such an alignment of vision in organizations. In the specific case of school districts, the belief in the importance of an

educational vision shared by district superintendents and their subordinate principals has been noted, but the determination of an actual alignment of the contents of the two sets of educational visions had not yet been explored prior to the current study.

### Research Questions

The broad question addressed by the current research is this: To what degree are the educational visions of superintendents and principals aligned within Florida K-12 public school districts? The following research questions further guided the study:

1. What common themes can be found in the published vision statements of the 67 Florida K-12 public school districts?
2. To what extent, if any, do Florida K-12 public school district superintendents and their respective principals agree with one another on the importance of the common themes found in Florida school districts' published vision statements?
3. What is the relationship, if any, between educational vision alignment levels in Florida K-12 public school districts and principals' perceptions of their superintendents' leadership styles?
4. To what extent, if any, are there differences among Florida K-12 public school districts exhibiting different levels of educational vision alignment?

### Methods

As a first step toward answering these questions, a study was undertaken to determine the degree of alignment, or lack thereof, of the educational visions of Florida K-12 public school district superintendents and their subordinate principals. To develop a measure of

vision alignment, the contents of the published vision statements and other published statements of the 67 Florida school districts were collected and examined. A condensed list of common themes was derived from these statements, using methodology suggested by Miles and Huberman (1994) and Ryan (2004). A questionnaire for rating the relative importance of these common themes was developed, pre-tested, and then administered to Florida superintendents and a selected sample of their principals (see Appendixes C and D for the Florida Educational Vision Questionnaire Superintendent and Principal Forms). The number of common themes uncovered determined the exact length of this questionnaire. Based on these ratings, an index of educational vision alignment was calculated and compared on the following subsets of these respondents:

1. All Florida superintendents and the combined sample of all principals, and
2. Individual district superintendents and the sample of principals within their districts.

Districts were ranked by the strength of the vision alignment indexes and compared to determine if they differed from one another in significant ways, such as operating costs, per pupil expenditures, school staff composition, student membership, student turnover rates, teacher descriptors (FLDOE, 2003a), and school district grades (FLDOE, n.d., 2005a).

In addition to the newly developed Florida Educational Vision Questionnaire (FEVQ), which was administered to both the superintendents and their principals, a second questionnaire, the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) (Avolio, Bass, & Jung, 1999), was administered to the principals to obtain ratings of the leadership styles of their superintendents. The MLQ-5X is widely used to classify leadership style as transformational, transactional, or laissez-faire (Avolio et al.). It was expected that vision

alignment would be stronger in those districts having superintendents who, on the average, were rated as transformational by their principals. Table 1 on the following page summarizes the data sources and analytical tools that were used for each research question in the current study. These sources and tools are further described in subsequent sections.

Table 1

Research Questions, Data Sources, and Analytical Tools

Research Questions	Data Sources	Analytical Tools
1. What common themes can be found in the published vision statements of the 67 Florida K-12 public school districts?	Florida K-12 school district web sites	MS Word table: coding of vision statement themes
2. To what extent, if any, do Florida K-12 public school district superintendents and their respective principals agree with one another on the importance of the common themes found in Florida school districts' published vision statements?	Florida Educational Vision Questionnaire: vision section Florida Department of Education mailing lists: Florida K-12 public school districts and schools	MS Excel: calculation of vision alignment indexes SPSS
3. What is the relationship, if any, between educational vision alignment levels in Florida K-12 public school districts and principals' perceptions of their superintendents' leadership styles?	Florida Educational Vision Questionnaire MLQ-5X: rater	SPSS
4. To what extent, if any, are there differences among Florida K-12 public school districts exhibiting different levels of educational vision alignment?	Florida Educational Vision Questionnaire Florida School Indicators Report Florida School Grades Report: district grades	SPSS

## Data Sources

The following statement types were extracted, when available, from each Florida K-12 public school district's web site: vision, mission, values, beliefs, goals, strategy, slogan, and motto (FLDOE, 2003b). If a district web site contained a published vision statement, then that vision statement was used during the development of the survey instrument for the current research. However, in the absence of an explicit vision statement, the other published statements were examined for evidence of an implicit district educational vision. To identify the educational vision themes in these latter cases, the district's educational vision was defined by the researcher as a desirable, hopeful, and realistic future for the school district or for its stakeholders, including, but not necessarily limited to, students and their family members, district administrative staff, school administrative and educational staff, and members of the general community. Common educational vision themes identified in the final collection of all Florida K-12 public school districts' vision or other published statements served as the basis for the development of the Florida Educational Vision Questionnaire (FEVQ).

Superintendent and principal demographic information were obtained as part of the FEVQ, which was also used to collect the educational vision theme ratings (see Appendixes C and D). The superintendents' leadership styles were determined using the MLQ-5X (Avolio et al., 1999) instruments completed by their subordinate principals.

School district characteristics were obtained from the online Florida School Indicators Report (FSIR) (FLDOE, 2003a) and the 2004 School Grades by District report (FLDOE, n.d.). The FSIR contains data on district characteristics such as operating costs, per pupil expenditures (exceptional students, regular students, at-risk students, and vocational

students), school staff composition (administrative, instructional, and support personnel), student membership, student mobility rates, student stability rates, and teacher descriptors (advanced degrees and average years of experience). The 2004 School Grades by District report contains both the school grades for each district and the total number of schools per district.

### Populations and Samples

Previous research on superintendents and principals in Florida K-12 public school districts was used as a guide in determining sample sizes for the current research. In their studies of school district strategic planning and of district principals' organizational commitment, respectively, both Moxley (2003) and Skeese (2003) surveyed Florida K-12 public school district superintendents using procedures similar to those used in the current study (i.e., original mailings and follow-up mailings). Moxley attained a 75% response rate in her survey of a sample of 16 of Florida's 67 superintendents (p. 80). Skeese achieved a 67.2% return rate in his survey of the entire population of 67 Florida superintendents (p. 45). Moxley purposefully omitted from her sample of superintendents those whose districts had student populations of 1,000 or less or student populations of 100,000 or more, resulting in the omission of seven Florida school districts from consideration for her superintendent sample (p. 76). Moxley then selected a random sample of 25% of the remaining 60 school districts, primarily to limit the sample size, as her research also included school districts in 5 other southeastern states (p. 75). To examine vision alignment measures in Florida districts of all sizes and to achieve an ample number of responses for the subsequent principal



mailings, the current research surveyed the entire population of 67 Florida K-12 public school district superintendents

Skeese (2003) surveyed samples of the subordinate principals of responding superintendents, achieving a 51.8% response rate in a mailing to a sample of 230 high school principals. Although Skeese only surveyed a random sample of 5 subordinate high school principals per responding superintendent, the current research attempted to achieve a more representative sample of principals by including, wherever possible, at least 5 principals at each school level (elementary, middle, and high). This yielded a total sample size of 15 principals in most cases. Despite the possible introduction of systematic biases toward specific school levels within each district, all principals at a particular level were surveyed whenever that level contained 5 or less schools, and samples of 5 principals were still be selected from the remaining school levels in that district. An exception to the sampling rule of 5 principals per educational level was also made for any district with a combined total of 15 or less schools, in which case the entire population of that district's elementary, middle, and high school principals were surveyed, regardless of the total number of district schools in each educational level.

Assuming response rates of 70% for superintendents, based on the response rates achieved by Moxley (2003) and Skeese (2003), and response rates of 50% for principals, based on the response rates achieved by Skeese, the expected numbers of respondents were 47 superintendents and 350 principals.

#### Data Collection Procedures and Statistical Analyses

The data collection and statistical analyses were conducted in four phases:

1. Phase I - Initial Preparations:
  - a. Vision, mission, values, beliefs, goals, strategy, slogan, and motto statements were collected from each school district's public web site (FLDOE, 2003b).
  - b. All published statements were entered into a Microsoft Word table.
  - c. All published educational vision statements were included in the search for common educational vision themes. For each district without an explicit published vision statement, that district's other collected statements were examined for elements of educational vision, using as a guide the definition of educational vision previously described.
  - d. Common educational vision themes were identified in the collection of selected statements, using coding methods recommended by Miles and Huberman (1994) in conjunction with Ryan's (2004) methodology for tagging and retrieving blocks of text in Microsoft Word.
  - e. The common themes identified in Step 1d were used to develop the Florida Educational Vision Questionnaire (FEVQ), which also included requests for standard demographic information and, in the case of the superintendents, a request for authorization to mail additional questionnaires to their subordinate principals.
  - f. The FEVQ was pretested, using an adaptation of the stages suggested by Dillman (2000) and detailed below:
    - i. Stage 1: Review by two knowledgeable colleagues and five university professors.

- ii. Stage 2: Cognitive interviews with two recently appointed district principals, one district guidance counselor, and one school district administrator. The two principals were excluded from their respective districts' population of principals for the final study.
- iii. Stage 3: Revision of the FEVQ and final review with a knowledgeable colleague and a university professor.

2. Phase II – Superintendent Surveys:

- a. The superintendent cover letter (see Appendix A) and the FEVQ Superintendent Form (FEVQ-S) (see Appendix C) were mailed to all 67 Florida public school district superintendents. District mailing addresses were obtained from the FLDOE's *School District Data* public web site (FLDOE, 2003b).
- b. Three districts required the completion of additional permission requests. Permission to conduct the study was received by two of those districts, and those superintendent cover letters and FEVQ-S questionnaires were mailed approximately four weeks after the initial superintendent mailings.
- c. Four weeks after the second set of superintendent mailings, reminder letters (see Appendix J) were sent to superintendent nonrespondents, and thank you letters (see Appendix H) were sent to all superintendent respondents.
- d. Upon request, additional copies of the FEVQ-S were mailed to superintendents who had not responded during the original mailings. Although three superintendents requested the additional copies, none of them subsequently responded.

3. Phase III – Principal Surveys:
  - a. The principal cover letter (see Appendix B), the Florida Educational Vision Questionnaire Principal Form (FEVQ-P) (see Appendix D), and the MLQ-5X (Avolio et al., 1999) were mailed to at least 15 principals, including at least 5 per school level (elementary, middle, and high), in those districts whose superintendents returned usable responses to the FEVQ-S and also authorized the subsequent questionnaire mailings to their subordinate principals. The following guidelines were used to select the school principals to be surveyed in each district:
    - i. If a district contained a combined total of 15 or less schools at all 3 educational levels (FLDOE, n.d.), questionnaires were mailed to the total population of district principals, using the school mailing addresses listed at the FLDOE's *Florida Districts & Schools* web site (FLDOE, 2004).
    - ii. If a district contained more than 15 schools (FLDOE, n.d.), a random sample of at least 5 principals was selected from each level (elementary, middle, and high), using the school addresses listed at the FLDOE's *Florida Districts & Schools* web site (FLDOE, 2004). However, if any individual level (elementary, middle, or high) contained 5 or less schools, the total population of principals at that level was surveyed.
    - iii. The following multistage algorithm was used for selecting the principals to survey at each educational level (elementary, middle, and high):

1. The list of each district's schools by level (elementary, middle, or high), available at the FLDOE's *Florida Districts & Schools* web site (FLDOE, 2004), was used as a starting point.
  2. If any individual level (elementary, middle, or high) contained 5 or less schools, all district principals at that level were surveyed.
  3. If the district contained a combined total of 15 or less schools at all 3 levels, all principals in that district were surveyed.
  4. If any individual level (elementary, middle, or high) marked for sampling contained more than 5 schools, a random sample of 5 district principals at that level was selected, using a random seed number less than 5 generated in Microsoft Excel as a starting point on the alphabetical list of schools (FLDOE, 2004) and then selecting every  $n$ th principal, where  $n$  equaled the total number of schools at that level divided by 5, until a sample of at least 5 schools was obtained. This may have required several iterations across the alphabetized list of schools at each level (Mertens, 1998, pp. 259-261).
- b. After four weeks, reminder letters (see Appendix K) were sent to principal nonrespondents, and thank you letters (see Appendix I) were sent to all principal respondents.
  - c. Upon request, additional copies of the FEVQ-P and MLQ-5X to principals who had not responded during the original mailings.
4. Phase IV – Analysis:

- a. All usable FEVQ-S, FEVQ-P, and MLQ-5X responses were entered into a Microsoft Excel spreadsheet, allotting one row per respondent.
- b. Using Microsoft Excel functions, educational vision alignment indexes were computed, using the model of goal congruence defined by Jauch, Osborn, and Terpening (1980). Separate educational alignment indexes were computed for each district by principal, by educational level (elementary, middle, and high), and by district.
- c. Using Microsoft Excel functions and scoring guidelines from Avolio et al. (1999), each district superintendent's leadership style was computed from the responses given by each district subordinate principal to the MLQ-5X.
- d. Using Microsoft Excel functions and the scores computed in Step 4c, average superintendent's leadership style scores were computed from the subordinate principal scores both for each educational level and for the district as a whole.
- e. Using the Microsoft Excel spreadsheet described above as a source, a second spreadsheet containing one row per school district was extracted, with the following fields in each row:
  - i. Superintendent demographic data from the FEVQ-S;
  - ii. Principal demographic data from the FEVQ-P;
  - iii. Educational vision alignment indexes computed for each individual principal-superintendent pair, for each district educational level, and for the district as a whole; and

- iv. Superintendent leadership style scores computed for each individual principal-superintendent pair, for each district educational level, and for the district as a whole.
- f. Additional district characteristics were exported from the online Florida School Indicators Report (FLDOE, 2003a) in Microsoft Excel format and appended to the extracted spreadsheet described in Step 4e.
- g. The final Microsoft Excel spreadsheet from Step 4f was imported into an SPSS data file for further analysis.
- h. Using SPSS functions, statistical correlational analyses were performed on the SPSS data file.

#### Delimitations

1. Only school district vision statements or other statements, where applicable, that were published on school district public web sites were used to identify the common themes included on the Florida Educational Vision Questionnaire.
2. Questionnaires were administered only to Florida K-12 public school district superintendents and to a sample of the subordinate principals of those superintendents who returned usable responses and who also provided authorization to distribute questionnaires to their subordinate principals, thereby possibly reducing the generalizability of the results.

### Limitations

1. It has been assumed that the ratings assigned to the common themes listed on the Florida Educational Vision Questionnaire were given truthfully and with a common understanding of the meaning of those themes. If either or both of those assumptions were violated, the study results could be of limited usefulness.
2. The low response rates often inherent in mail questionnaires could produce non-representative results. Attempts were made to increase response rates by using methodology suggested by Dillman (2000) for conducting mail surveys.
3. The desired sample of principals at each educational level (elementary, middle, or high) were set at 5 or less per district, possibly resulting in different sample sizes at each educational level in some districts. In addition, for those districts with a combined total of 15 or less schools, the entire population of that district's school principals were surveyed, regardless of educational level. This combination of sampling techniques may have resulted in systematic biases against certain educational levels, but the researcher was willing to assume this risk to obtain the benefit of a more comprehensive set of data for subsequent analyses. Smaller subsets of these data may later be extracted and studied separately.

### Significance of the Study

This study is expected to produce several theoretical and practical benefits. First, it will add to the current knowledge base of transformational leadership theory. It has been noted that transformational leadership skills can be learned (Berson et al., 2001). Since leadership vision is at the heart of transformational leadership theory, it is important to



determine if a strict alignment of the content of that vision across various organizational levels is necessary. If so, then effective transformational leaders should learn to focus their efforts not only on improving the strength of their vision statements, as suggested by Berson et al., but also on ensuring that the precise contents of their vision statements are clearly communicated to and shared by other members of the organization.

It is hoped that the newly created educational vision alignment index will also serve as a useful tool to future researchers interested in exploring the leadership vision construct in both educational and other organizational settings. While the current study focused on a comparison of one level of educational leadership (superintendents) to a subordinate level of educational leadership (principals), similar comparative studies could be done with teachers, support staff, and other education stakeholders such as parents and community members. The concept of the vision alignment index could also, with minor modifications, be applied to other organizations outside of the realm of education.

### Chapter 1 Summary

Chapter 1 has presented the background for the study that will be further described in subsequent chapters. The theory of transformational leadership and the concept of leadership vision have been introduced, and current national and state educational contexts have been described to provide the readers with the purpose for and perspective of the study. This chapter has also outlined the experimental design and the significance of the study.

Chapter 2 contains a review of the literature related to the study. It begins with a general discussion of leadership theories and proceeds to a more detailed description of transformational, charismatic, and visionary leadership theories. The concept of leadership

vision, which is found in all three theories, is examined and further defined. Prior research pertaining to these theories is also reported. Since the educational vision alignment index computed in this study has been developed by the researcher, prior literature and research using similar alignment indexes is also included in Chapter 2.

Chapter 3 gives a detailed account of the methods used in this study. In addition to the review of the research questions, this chapter provides descriptions of the populations and samples, the two primary survey instruments, the research procedures, the data collection methods, and the analytical tools used. Since the Florida Educational Vision Questionnaire used in this study is new, its development and pre-testing are described in detail.

Chapter 4 includes a discussion of the results of the study. In particular, an analysis is presented to link the study results with the original research questions.

Chapter 5 presents an interpretation of the theoretical and practical relevance of the findings, including recommendations for future research. Possible implications for educational policy and leadership practice are also discussed.

## CHAPTER 2: REVIEW OF THE LITERATURE

### Introduction

As outlined in Chapter 1, the purpose of this study was to address a gap in the organizational leadership research related to the sharing, or alignment, of leadership vision across organizational levels, with a focus on educational vision alignment in Florida K-12 public school districts. The study also sought to determine to what extent, if any, there were differences among Florida school districts exhibiting different levels of educational vision alignment.

Chapter 2 contains a review of the literature related to this study. The chapter begins with a general discussion of organizational leadership theories and proceeds to a more detailed description of transformational, charismatic, and visionary leadership theories and of the concept of leadership vision as addressed in all three theories. Prior research pertaining to these theories and to the vision construct is also reported, including research conducted in educational settings. A rationale is presented for the selection of transformational leadership theory as a framework to guide the study and for the use of the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) to measure principals' perceptions of their superintendents' leadership styles.

### Leadership Theories and the Evolution of the Leadership Vision Construct

The orientation of leadership theories has varied considerably over the years. The discussion below, summarized in Table 2, follows a primarily historical path, with special emphasis on the evolution of the construct of leadership vision. It must be noted that

leadership theories have often coexisted or at least overlapped, rather than completely supplanting one another over time; however, overall historical trends are still evident.

As seen in Table 2, leadership trait theories were predominant until the 1940s and the 1950s, when the leadership behavior and style approaches gained in popularity. In the late 1960s, the emphasis shifted to situational and contingency approaches, and by the late 1970s, transactional and transforming leadership theories had been developed. In the late 1970s and early 1980s, theories of transformational, charismatic, and visionary leadership first began to be formulated, with further refinement continuing into subsequent years. Because the theory of transformational leadership has been selected to provide the theoretical framework for this study, it will be described in greater detail.

### Leadership Trait Theories

Until just after World War II, leadership theories focused primarily on identifying specific physical, mental, emotional, and spiritual traits and abilities exhibited by leaders. This line of thought had its roots in Thomas Carlyle's Great Man Theory, which portrayed the leader as a man possessing certain personal characteristics that led to an almost inevitable rise to a position of leadership (Carlyle, 1893). Carlyle, in a series of six weekly lectures conducted in the year 1840, focused on a portrayal of the Great Man as *Divinity, Prophet, Poet, Priest, Man of Letters, and King*. Even in this early line of thought, hints of the constructs of both leadership vision and charisma were apparent. According to Carlyle, the Great Man as Divinity could be thought of as "...the great Thinker...the *original* man, the seer; whose shaped spoken Thought awakes the slumbering capability of all into thought" (p. 33, italics in original). This Divinity's "view of the Universe, once promulgated...starts into

being in all minds; grows, keeps evergrowing, while it continues credible there” (p. 34). Of the Prophet, Carlyle claimed that he “was always as lightning out of Heaven; the rest of men waited for him like fuel, and then they too would flame” (p. 108). And in comparing the Prophet to the Poet, Carlyle noted, “The one [Prophet] we may call a revealer of what we are to do, the other [Poet] of what we are to love” (p. 113).

Carlyle’s (1893) focus on leadership traits drove much of the leadership research during the early 1900s. Among the wide selection of traits studied, most often with mixed results, were chronological age, height, weight, physique, energy, health, appearance, fluency of speech, intelligence, scholarship, knowledge, judgment and decision, insight, originality, adaptability, introversion-extroversion, dominance, initiative, persistence, ambition, responsibility, integrity, conviction, self confidence, mood control, optimism, emotional control, socioeconomic status, social skills, popularity, and prestige (Bass, 1981).

Although trait theories were popular and had intuitive appeal, their popularity diminished in 1948, when Stogdill’s meta-analysis of 124 leadership studies revealed that there was little empirical support for these theories (Chemers, 1997, p. 20). While not totally discounting the existence of specific leadership traits, Stogdill observed that “the pattern of personal characteristics of the leader must bear some relevant relationship to the characteristics, activities, and goals of the followers,” along with other constantly changing situational variables (Bass, 1990, p. 76). Stogdill also noted deficiencies in trait theories in terms of consistency of measurement tools, thus confounding the ability to find commonalities across leadership trait research studies.

Table 2

## Leadership Theories and the Evolution of the Leadership Vision Construct

Leadership Theory/Model/Construct	Researcher(s)/Author(s)	Year(s)
Leadership Trait Theories:		
Great Man Theory	Carlyle	1840
Leadership Behavior and Style Theories:		
Democratic, Autocratic, Laissez-Faire Styles	Lewin, Lippitt, White	1939
Task-Oriented/People-Oriented Approaches:		
Initiation of Structure and Consideration	Hemphill (OSU)	1950
Production-Oriented and Employee-Oriented	Katz, Kahn (UM)	1951
Task Specialists and Socio-Economic Specialists	Bales, Slater (Harvard)	1955
Transactional and Exchange Theories:		
Idiosyncrasy Credit Model	Hollander	1958,1964
Social Exchange Theory	Homans	1958
Theory of Interdependence	Thibaut, Kelley	1959
Situational and Contingency Theories:		
Contingency Theory of Leadership Effectiveness	Fiedler	1967
Situational Leadership Theory	Hersey, Blanchard	1969,1977
Path-Goal Theory of Leadership	House	1971
Multiple Influence Model of Leadership	Hunt, Osborn, Martin	1983
Multiple Linkage Model	Yukl	1989
Transactional and Transforming Leadership Theory	Burns	1978
Transformational Leadership Theories:		
Bass	Bass	1985
Hater & Bass	Hater, Bass	1988
Tichy & Devanna	Tichy, Devanna	1990
House & Shamir	House, Shamir	
Bennis & Nanus	Bennis, Nanus	1985
Chui, Sharpe, & McCormick	Chui, Sharp, McCormick	1994
Charisma and Charismatic Leadership Theories:		
Charisma	Weber	1924
1976 Theory of Charismatic Leadership	House	1977
Charisma and Transformational Leadership Theory	Bass	1985
Charismatic vs Transformational Leadership Theory	Barbuto	1997
Behavioral Theory of Charismatic Leadership	Conger, Kanungo	1987
Charisma and Charismatic Leadership Theory	Conger	1989
Mathematical Leadership Vision	Hamburger	2000
Visionary Leadership and Organizational Vision:		
Visionary Leadership as Drama	Westley, Mintzberg	1989
Visionary Organizations	Collins, Porras	1991

## Leadership Behavior and Style Theories

Although Stogdill had suggested in 1948 that situational variables, such as consideration of followers' goals, might be important in determining leadership effectiveness, many leadership theorists ignored his observation, at least in the short term (Chemers, 1997, p. 20). Instead, the emphasis began to shift toward identifying behavioral characteristics, not only of leaders, but also of their followers. While similar to the trait theories, behavioral and style theories conceded that leadership effectiveness might be determined by qualities other than inborn characteristics, thus opening up the possibility of being able to nurture and train people to be good leaders.

### Democratic, Autocratic, and Laissez-Faire Leadership Styles

In 1939, Lewin, Lippitt, and White had already begun research that would herald the shift from trait orientation to behavior and style orientation by investigating the effects of democratic, autocratic, and laissez-faire leadership styles on the functioning of small groups (Lewin, 1951, pp.293-296). A 1941 follow-up study by Lippitt and White focused on the followers' goal-directed behaviors under these same three leadership conditions (Lewin). In both studies, followers exhibited high levels of goal-directed behavior in the presence of autocratic leaders, but functioned most productively under the guidance of democratic leaders, regardless of the physical presence of the leader.

### Task-Oriented and People-Oriented Behavior Approaches

After World War II, a series of leadership behavior studies conducted at several U S universities uncovered two broad patterns of leader behavior orientation: task-oriented

behavior and people-oriented behavior. In research performed at Ohio State University from 1949 through 1957, Hemphill was instrumental in the development of the Leadership Behavior Description Questionnaire (LBDQ), which defined two broad clusters of behavior, termed *initiating structure in interaction* and *consideration* (Hemphill, 1949; Stogdill, 1969, p. 153). At the University of Michigan, Katz and Kahn (1951) identified similar clusters, which they labeled *production-oriented* and *employee-oriented* (p. 159). Then in 1955, Bales and Slater at Harvard University divided leaders into two general categories, *task-specialists* and *socio-emotional specialists* (Parsons & Bales, 1955, p. 297; Slater, 1955, p. 309). Similar to Lewin, Lippitt, and White's studies in 1939 and 1941, the three sets of university studies examined leadership effectiveness in terms of follower productivity and/or satisfaction, also with mixed results that appeared to be dependent upon certain situational variables (Chemers, 1997). The concept of leadership vision continued to maintain the short-term goal-oriented focus that had also been evident in the leadership trait studies. But even as theorists and researchers turned their attentions to broader contexts surrounding leaders, they also acknowledged that a blend of both task- and people-oriented leadership behaviors was necessary for effective leadership to occur.

### Transactional and Exchange Theories

#### Idiosyncrasy Credits

From 1958 through 1964, Hollander advanced his notion of *idiosyncrasy credits* to explain a mechanism for leadership effectiveness within organizations (Lewis, Langan, & Hollander, 1972, p. 440). According to Hollander's model, as leaders experience success within organizations, their followers reward them with idiosyncrasy credits which the leaders



may then *cash in* when it becomes necessary or desirable to depart from group norms (Hollander, 1964; Hollander & Offerman, 1990). While this could be perceived as a simple transactional process, with leaders exchanging favors with their followers, it also described a method by which leaders could lay the groundwork for future transformational behavior in the form of innovation.

### Social Exchange Theory

Although Homans (1958) has been noted as one of the early developers of social exchange theory, he felt that “[t]his is one of the oldest theories of social behavior” (p. 597). Instead, he credited French social scientist Marcel Mauss with the earliest theoretical work in 1925 on the social exchange view of interaction between people as an exchange of both material and non-material goods (p. 598).

Homans (1958) called for all social science researchers to join forces with researchers in the fields of behavioral psychology, economics, influence dynamics, and small group dynamics. Homans defined his social exchange constructs by way of analogy to Skinner’s operant conditioning concepts of 1953, equating *values* (i.e., *social rewards*) to positive reinforcements and *social costs* to aversive stimuli (p.598), thus resurrecting an idea put forth six years earlier by Fiedler (1952). Homans (1958) also linked social exchange theory to the influence dynamics studies published in 1950 by Festinger, Schacter, Back, Kelley, and Thibaut by defining their concepts of the influences of group *cohesiveness* and *communication*, or *interaction*, as social value variables (p. 599). He then related all of these constructs to the economic concept of profit by defining the *social profit* for any individual in a social exchange as being equal to the social rewards offered by that exchange minus any

social costs involved. People would thus be motivated under Homans' *law of distributive justice* to ensure that, while other people's social rewards and costs might vary, the social profits of each individual in an exchange situation should be equal, ultimately resulting in a state of *practical equilibrium* (pp. 603-604).

While Homans' theory of social exchange did not explicitly address the concept of leadership vision, it further paved the way for increasingly structured studies of the array of complex interactions between leaders and their followers. This, in turn, continued the trend away from the focus on leaders' traits, styles, and behaviors.

### Theory of Interdependence

Thibaut and Kelley (1959) sought "to show the interrelatedness of phenotypically diverse research findings...to highlight interconnections and to point out important research areas" (p. vii). They wished to accomplish "a rather new approach to the old problems of interdependence, attraction to the group, power and control, status evaluations, social norms, etc." (p. v). To that end, they published a review of social psychology research, but also included research from the fields of economics, learning theory, and sociology. In a discussion of dyadic relationships, they wrote, "It is our conviction that these concepts have general applicability beyond the dyad" (p. 6). Their matrices of interactions between two people included a delineation of both positive consequences (*rewards*) and negative consequences (*costs*) (p. 10). They noted that the "consequences or *outcomes* for an individual participant of any interaction or series of interactions can be stated, then, in terms of the rewards received and the costs incurred" (p. 13). Of interest to the current study were Thibaut and Kelley's statements that "group goals represent an operating consensus about a

desirable state of a given task” and that “[a]s with norms, it is probably necessary that this consensus rest largely on *acceptance* of these goals by a relatively large number, possibly a majority, of the group members” (p. 257, italics in original). Norms, as defined by Thibaut and Kelley, existed when there are “(1) agreements, or consensuses, about the behaviors group members should or should not enact and (2) social processes to produce adherence to these agreements” (p. 239).

### Situational and Contingency Leadership Theories

By the late 1960s, leadership theorists had begun to note problems with the concept of set patterns of leadership behavior and style (Bryman, 1989). Following Stogdill’s 1948 suggestion to include situational variables in the study of leader effectiveness, several situational and contingency approaches were developed to address observations that different contexts appeared to call for different leadership styles (Chemers, 1997).

#### Contingency Theory of Leadership Effectiveness

Fiedler’s (1967) Contingency Theory of Leadership Effectiveness was the acknowledged turning point from the view of leadership as a fixed trait or behavior to the view of leadership as a variable, or discretionary, concept whose manifestation depended upon situational and other factors (Chemers, 1997). Fiedler’s theory took into consideration a combination of situational factors (leader-member relations, task structure, and leader position power) to determine which leadership style (as measured by the Least Preferred Coworker, or LPC, scale) would be most effective in terms of worker productivity. Although the LPC scale measured the same dichotomous leadership styles as did the Ohio State,

Harvard, and Michigan State studies (i.e., task-oriented versus relationship-oriented), Fiedler's theory was richer than the behavioral theories due to its consideration of the conditions under which each style would be most effective. While the construct of leadership vision was not addressed explicitly in Fiedler's theory, it was addressed tangentially in terms of follower accomplishment of leader-set goals. However, the emphasis was still on managerial, short-term goal behavior.

### Situational Leadership Theory

The shift to a broader view of leadership vision began with Hersey and Blanchard's (1969, 1977) Situational Leadership Theory, which included the psychological and job maturity and readiness of followers in the determination of the most effective leadership style for a given situation. It reiterated the task-oriented/people-oriented leader behaviors uncovered by the three university studies (Chemers, 1997), but also provided the conditions, or situations, under which each set of behaviors would be most effective. According to this theory, a leader wishing to communicate a vision would first need to reflect upon his or her followers' willingness and ability both to understand and to put forth the effort necessary for implementing that vision.

### Path-Goal Theory of Leadership

An even richer approach was offered in House's (1971) Path-Goal Theory of Leadership, which factored in the effects of the motivation, performance, and satisfaction of the followers as they worked toward goal attainment. The path-goal theory of leadership identified four primary leadership styles: (a) directive (focusing on specific and clear task

assignments), (b) supportive (showing concern for workers' welfare and creating good working environments), (c) achievement-oriented (setting high expectations for workers), and (d) participative (encouraging worker participation in decision-making processes). The effectiveness of each style depended in turn upon situational variables, such as worker and task characteristics. In addition, the leader's active role in facilitating goal attainment was specifically addressed, thus providing a precise operational definition of the mechanisms for the communication and realization of leadership vision.

#### Multiple Influence Model of Leadership

Hunt, Osborn, and Martin's (1983) Multiple Influence Model of Leadership (MIML), which was loosely based on Fiedler's (1967) model of contingent and discretionary leader behavior, provided additional guidance for understanding the mechanisms of vision communication. Of primary importance was its notion of bridging the gap between what is expected to happen (i.e., the leadership vision) and what actually happens (Chemers, 1997). Hunt et al. noted that the mechanisms for such vision communication could vary, depending upon the leader's position within the organizational hierarchy.

#### Multiple Linkage Model

Likewise, Yukl's (1989) Multiple Linkage Model (MLM) provided additional considerations for the accomplishment of the leadership vision. Both the MIML and the MLM provided more comprehensive descriptions of the situational factors that must be contended with when attempting to communicate and implement a vision. Yukl's MLM model took into consideration such factors as subordinate effort, role clarity and task skills,

work organization, cohesiveness and cooperation, resources and support services, and external coordination.

### Transactional and Transforming Leadership Theories

By the early 1980s, questions began to arise concerning the predominant focus of the leadership style theories. The emphasis on style seemed to center on management techniques instead of actual leadership qualities (Bryman, 1989). Writers such as Peters and Waterman (1982) noted that leadership involved more than just management for organizational efficiency. Instead, true leaders were seen as those who stirred their followers' emotions and encouraged them to think of higher possibilities and purposes that may not have otherwise occurred to them (Bryman). To accomplish these ends, leaders needed to create and maintain strong organizational cultures (Peters & Waterman).

### Transactional and Transforming Leadership Theory

The shift towards transformational leadership models and theories began with the ideas of James MacGregor Burns in 1978. Burns delineated two broad categories of leadership, which he labeled *transactional* and *transforming* and described as two distinct and independent styles of leadership. According to Burns, transactional leadership involved an exchange of resources between leaders and followers, whereas transforming leadership involved the infusion of a leader's vision into the minds of the followers. Followers would then be elevated to a higher level of thinking, driven by internal motivators in lieu of the external motivators espoused by the transactional approach. Burns felt that transforming leadership "occurs when one or more persons engage with others in such a way that leaders

and followers raise one another to higher levels of motivation and morality” (p. 20). As originally conceived by Burns, transforming leadership and transactional leadership were polar opposites – a leader exhibited either one set of traits or the other, but not both. Subsequent theories of transformational leadership would blur this distinction.

### Transformational Leadership Theories

#### Bass: Transformational Leadership Theory

Bass (1985) agreed with Burns’ (1978) delineations of leadership styles, renaming *transforming* to *transformational*, the term used most frequently by others thereafter. However, Bass felt that the transactional and transformational styles were not mutually exclusive, but could instead be exhibited in varying degrees by the same leader, depending upon the situation. Bass referred to this phenomenon as the *augmentation* relationship between transformational and transactional leadership. In further defining the transformational leader, Hater and Bass (1988) noted that the “dynamics of transformational leadership involve strong personal identification with the leader, joining in a shared vision of the future, or going beyond the self-interest exchange of rewards for compliance” (p. 695). They pointed out that transformational leadership might actually be a form of transactional leadership, differing primarily in the types of goals sought and the methods or process by which the leader motivated the followers.

Bolman and Deal (1997) viewed the discovery and articulation of a strong, shared vision as a characteristic of a good symbolic leader. In the realm of vision development, the symbolic leader’s primary functions included the distillation of the vision to a manageable form and the subsequent dissemination of that vision to the followers as “a persuasive and

hopeful image of the future” (p. 315). Assuming that the original process of vision discovery had been properly carried out by the leader, there would be a minimal amount of persuasion involved, as the vision would be viewed by the followers as being shared with the leader instead of as being imposed from above.

#### Tichy and Devanna: Transformational Leadership Theory

Other researchers and theorists quickly adopted the idea of transformational leadership. Tichy and Devanna (1990) viewed transactional leadership as acceptable “for the earlier era of expanding markets and nonexistent competition” (p. xii). In contrast, they viewed transformational leadership as involving an inspirational vision as a necessary prerequisite to the metamorphosis of an organization into one driven by higher goals and employee commitment. Tichy and Devanna developed their views as a result of in-depth interviews with 12 CEOs who had all achieved success by espousing a strong vision. Bennis and Nanus (1985) had already come to similar conclusions after their interviews of 90 CEOs, many of whom expressed the conviction that strong visions were at the heart of their success as transformational leaders.

#### House and Shamir: Transformational Leadership Theory

House and Shamir (1993) also elaborated upon the process of vision sharing through linking that vision with the followers’ self concepts. They argued that followers inspired in this manner could become self-regulating, a possibility suggested earlier in Kerr and Jermier’s (1978) concept of substitutes for leadership.



## Charisma and Charismatic Leadership Theories

A discussion of transformational leadership theory would be incomplete without the inclusion of the parallel theories of charismatic and visionary leadership. The concept of leadership vision originally found its true expression in the charismatic leadership theories, which fall into two broad classifications. Some charismatic theories may be thought of as subsets of transformational theories, whereas others are stand-alone theories (Bryman, 1989). Regardless of typology, charismatic theories have their origins in ancient Greek and Roman philosophical writings; however, the modern-day expression came with Max Weber's notion of charisma, presented in 1924 as "a certain quality of an individual personality by virtue of which he is set apart from ordinary men and treated as endowed with supernatural, superhuman, or at least specifically exceptional powers or qualities (Weber, 1964, p. 358). Central to this idea was the concept of the leader having a goal or vision of external, possibly even supernatural, origin. While subsequent charismatic leadership theories have tempered this view somewhat, the idea of a higher purpose, transcending the individual leader, has remained.

### 1976 Theory of Charismatic Leadership

House (1977), in the 1976 Theory of Charismatic Leadership, defined several empirically verifiable constructs, including vision-centered behaviors such as *role modeling*, *image building*, *goal articulation*, *high expectations*, *confidence*, and *motive arousal* (pp. 194-201). But while House's theory focused on the articulation of goals, expectations for goal accomplishment, and communication of confidence in goal attainment by followers, its

primary emphasis was on spiritual as opposed to pragmatic goals, thus separating the initially expressed visions from the ideas that actually become implemented.

House's (1977) theory and the subsequent charismatic and visionary leadership theories marked the partial return to a definition of leadership traits and behaviors as concomitants of leadership effectiveness. However, the theories of the 1980s and beyond were more purpose-oriented and included consideration of complex psychological and social interaction variables comprising a system whose purpose was the accomplishment of the leader's vision.

### Charisma and Transformational Leadership Theory

Bass (1985) incorporated the concept of *charisma* into his theory of transformational leadership by identifying it as one of three characteristics of transformational leaders, the other two being *intellectual stimulation* and *individualized consideration*. He later added a fourth characteristic called *inspirational motivation* (Bass & Avolio, 1990), stressing the importance of charisma and the concept of vision sharing as an inspirational appeal to the emotions of followers.

### Charismatic Leadership versus Transformational Leadership

It was later argued, however, that the terms *transformational leadership* and *charismatic leadership* should not be used interchangeably. Barbuto (1997) believed that a transformational leader motivates followers to pursue higher organizational goals, whereas a charismatic leader motivates followers to pursue the leader's own vision, which may or may not coincide with the organization's goals or vision. This sentiment echoed one expressed

seven years earlier by Conger (1990) in his descriptions of the *dark side* of charismatic leadership (p. 44). In a review of their study of 20 visionary companies, Collins and Porras (1995) had also already observed that ideas brought forth by charismatic leaders might even be negatively correlated with building visionary organizations.

### Charisma and Charismatic Leadership Theory

Conger and Kanungo's (1987) Behavioral Theory of Charismatic Leadership, later referred to as the Conger-Kanungo Model of Charismatic Leadership (Conger, Kanungo, Menon, and Mathur, 1997; Conger, Kanungo, and Menon, 2000), defined charisma as an attribute conferred upon leaders by their followers and detailed the importance of vision articulation and its subsequent attainment through unconventional means. In his 1989 book on charismatic leadership, Conger defined the charismatic leader as one with "a passion for an idea – a vision of the way the future could be" (p. xi). He further described the vision as "an idealized future goal that the leader wishes the organization to achieve" (p. 29). After sensing an opportunity and formulating the vision, the charismatic leader will ensure the vision's success by articulating it clearly to followers and building trust in the vision through modeling behavior and personal risk-taking (Conger).

Conger (1989, 1990) also delineated several problems that could beset charismatic and/or visionary leaders, thus anticipating the cautionary notes of both Collins and Porras (1995) and Barbuto (1997):

1. Emphasis on leader's needs instead of employee's, organization's, or customer's needs,
2. Refusal to accept the failure of a vision, often abetted by followers,

3. Premature vision,
4. Manipulation through impression management and communication,
5. Failed management practices, and
6. Succession problems.

### Mathematical Leadership Vision: Charismatic and Transformational Leaders

An even dimmer view of charismatic leadership was taken by Hamburger (2000). His Theory of Mathematical Leadership Vision stated that charismatic and transformational leaders might purposefully choose simply to espouse visions that their followers or potential followers already believe in. While this notion was not new, Hamburger proposed that many leaders actually survey and interview their followers and then perform precise statistical analyses to determine exactly what vision these followers will concur with. For those followers divided into subgroups with differing goals, leaders could conceivably develop different visions tailored to each subgroup. Although Hamburger's ideas were conceptual and not based on research, he did note that the leader utilizing mathematical leadership vision "has no personal agenda beyond the achievement of power," similar to Conger's (1990) and Barbuto's (1997) earlier observations.

### Visionary Leadership and Visionary Organization Theories

Those leadership theories whose central focus is on leadership vision are sometimes referred to as visionary leadership theories. Such theories may be viewed either as subsets of charismatic and transformational theories or as stand-alone theories. House and Shamir (1993) reviewed eight studies on transformational, charismatic, and visionary leaders, with

particular focus on the leadership behaviors of the three types of leaders. Visionary behavior was the only common leadership behavior across the eight studies.

### Visionary Leadership in Popular Literature

Much conceptualizing about visionary leadership as a distinct concept separate from either transformational or charismatic leadership was communicated in popular writings whose roots were in previously conducted case studies or other research. In 1992, Nanus published a popular book on visionary leadership, based partially on research that he and his colleague Bennis had conducted in 1985. During that study, Bennis and Nanus had interviewed and observed 90 transformational CEOs to determine whether or not there were any similarities among the CEOs' leadership styles. One of the many commonalities Bennis and Nanus uncovered was the existence of a well articulated leadership vision.

Nanus (1992) voiced strong beliefs about leadership vision, stating, "There is no more powerful engine driving an organization toward excellence and long-range success than an attractive, worthwhile and achievable vision of the future, widely shared" (p. 3). He further clarified his concept of vision by defining it as "a realistic, credible, attractive future for your organization" (p. 8). Nanus made sharp distinctions between leadership vision and the related concepts of mission and values:

1. A vision is not a mission. To state that an organization has a mission is to state its purpose, not its direction (p. 31).
2. Values are the principles or standards that help people decide what is worthwhile or valuable (p. 34).

## Visionary Leadership as Drama

Westley and Mintzberg (1989) formulated an intensely symbolic model of visionary leadership as drama. Instead of the linear pattern of earlier models, in which the vision was communicated to followers who were thereby empowered, they viewed the process as a dynamic one, with the leader forming an idea and subsequently representing it as a vision in a performance, which required the full assistance of the followers in the form of emotional and action-oriented engagement. In this model, the process of communication of the vision was as important as the vision itself and consisted of “evocative imagery” designed to engage the full emotional response of the followers (p. 20). Thus, by “wedding perception with symbols, the visionary leader creates a vision, and the vision, by evoking emotional response, forms a bridge between leader and follower as well as between idea [the vision] and action” (p. 20).

Westley and Mintzberg defined visionary leaders as “the product of their times, of their followers, and of their opportunities” (1989, p. 30). Through detailed case studies of visionary leaders, they defined five visionary leadership styles that were dependent on the following six factors:

1. Leader’s salient capacities (inspiration, imagination, foresight, sagacity, insight),
2. Vision focus (product, market, ideals, organization, service),
3. Process of vision formulation (sudden and holistic, introspective, deliberate, emergent, interactive, deductive, incremental),
4. Organizational content (start-up, entrepreneurial, turnaround, bureaucracy),
5. Product/market context (invention and innovation, tangible products, niche markets, mass markets, political framework, service), and

6. Target group for the vision (consumer, scientific community, general population, government, union, customers, employees) (p. 23).

### Visionary Organizations

An interesting extension of the visionary leadership construct is the concept of the visionary organization (Collins & Porras, 1991). Reflecting later on their 1991 study, Collins and Porras (1995) explained the difference between visionary leadership and visionary organizations by using a vivid metaphor: “Having a great idea or being a charismatic visionary leader is ‘time telling’; building a company that can prosper far beyond the presence of any single leader and through multiple product life cycles is ‘clock building’” (p. 80). Carrying the analogy further, they stated, “And that brings us to the second pillar of our findings: It’s not just building any random clock; it’s building a particular type of clock” (p. 97). The critical difference, in their view, was the leader’s orientation toward the good of the organization instead of a strict adherence to the original organizational vision. Thus, they believed that vision does matter, but that it must be flexible and able to change with the times.

### Visionary, Charismatic, and Transformational Leadership Research Studies

Numerous studies have been conducted to investigate the impact of transformational, charismatic, and visionary leadership in various contexts, including government, business, and education (Abbot, Stroh, & Baker, 2005; Abolghasemi, McCormick, & Conners, 1999; Avolio, Zhu, Koh, & Bhatia, 2004; Bass, 1998; Bass, Avolio, Jung, & Berson, 2003; Bennis & Nanus, 1985; Berson, Shamir, Avolio, & Popper, 2001; Bird & Brush, 2000; Boehnke,

Bontis, DiStefano, & DiStefano, 2003; Chui, Sharpe, & McCormick, 1996; Clark, 2004; Collins & Porras, 1991; Conger, Kanungo, & Menon, 2000; Den Hartog, Van Muijen, & Koopman, 1997; Dumdum, Lowe, & Avolio, 2002; Fouts, Stuen, Anderson, & Parnell, 2000; Frese, Beigel, & Schoenborn, 2003; Geijssel, Slegers, Leithwood, & Jantzi, 2002; Hallinger, 2003; Henderson, Huffman, Caram, & Kennedy, 2000; Huffman, 2003; Javidan & Waldman, 2003; Jung, 2001; Kirby, Paradise, & King, 1992; Kouzes & Posner, 1995; Larwood, Falbe, Kriger, & Miesing, 1995; Leithwood, 1994; Leithwood & Jantzi, 1999; Leithwood, Tomlinson, & Genge, 1996; Lowe, Kroeck, & Sivasubramaniam, 1996; Marks & Printy, 2003; McGivern & Tvorik, 1998; Murphy & Hallinger, 1988; Oswald, Mossholder, & Harris, 1994); Pielstick, 1998; Roueche, Baker, & Rose, 1989; Testa, 1999; Van Engen, Van Der Leeden, & Willemsen, 2001).

Central to many of these studies has been the importance of a clear articulation of the vision by the leader to others in the organization (Abbot et al., 2005; Berson et al., 2001; Boehnke et al., 2003; Chui et al., 1996; Clark, 2004; Fouts et al., 2000; Geijssel et al., 2002; Leithwood, 1994; Leithwood & Jantzi, 1999; Leithwood et al., 1996; Lowe et al., 1996; Pielstick, 1998; Roueche et al., 1989). The perception of a shared vision has been shown to be crucial (Abbot et al., 2005; Bass, 1985; Bennis & Nanus, 1985; Clark, 2004; Collins & Porras, 1991; Conger et al., 2000; Fouts et al., 2000; Hallinger, 2003; Huffman, 2003; Kouzes & Posner, 1995; Leithwood, 1994; Leithwood, Tomlinson, & Genge, 1996; Pielstick, 1998; Roueche, Baker, & Rose, 1989). Several of these studies have indicated that vision articulation and communication skills can be learned (Bennis & Nanus, 1985; Chui et al., 1996; Conger et al., 2000; Frese et al., 2003; Jung, 2001; Testa, 1999).



The next three sections contain a detailed description of the research studies that have informed the current study. Some of the studies influenced the current research directly in such areas as research design and selection of variables to measure. Other studies had a more indirect influence, either by providing ideas to build upon or by being links between other research studies that had a more direct effect on the current study. The research studies reviewed here and summarized in Table 3 will be discussed in roughly chronological order within these three main categories:

1. Studies of vision, visionary leadership, and visionary organizations,
2. Studies of charisma and charismatic leadership, and
3. Studies of transformational leadership.

Several of the studies used a variety of conceptual and theoretical frameworks and could have been placed into more than one of the three categories listed above. For example, many of the studies were based on both charismatic leadership theory and transformational leadership theory. In these cases, the studies will be listed under the category that seemed to be most influential in framing that research. In addition, some studies were meta-analytic in nature and may therefore be referenced under more than one category.

Table 3

## Visionary, Charismatic, and Transformational Leadership Studies

Research Topics	Researcher(s)	Year(s)
Vision, Visionary Leadership, and Visionary Organizations		
Visionary Leadership	Bennis, Nanus	1985
Instructionally Effective School Districts	Murphy, Hallinger	1988
Organizational Vision and Visionary Organizations	Collins, Porras	1991
Vision Salience	Oswald, Mossholder, Harris	1994
Exemplary Leadership	Kouzes, Posner	1995
Self Ratings of Vision Statements	Larwood, Falbe, Kriger, Miesing	1995
Predicting Visionary Organization Classifications with Financial Indicators	McGivern, Tvorik	1998
Vision and Department Subcultures	Abolghasemi, McCormick, Conners	1999
Organizational Vision and Job Satisfaction	Testa	1999
Vision Content of Women Entrepreneurs and Executives	Bird, Brush	2000
Shared Values, Vision, and Professional Learning Communities	Huffman	2003
Perspectives and Practices of Successful Superintendents	Clark	2004
Vision and Effective Schools	Washington School Research Center	2000/05
Charisma and Charismatic Leadership		
Charismatic Leadership and Follower Effects	Conger, Kanungo, Menon	2000
Charismatic Leadership Training and the Communication of Leadership Vision	Frese, Beimeel, Schoenborn	2003
Charismatic Leadership in the Public Sector	Javidan, Waldman	2003
Transformational Leadership		
Transformational Leadership in American Community Colleges	Roueche, Baker, Rose	1989
Transformational Leadership in Education	Kirby, Paradise, King	1992
Transformational School Leadership	Leithwood, Tomlinson, Genge	1996
Transformational Leadership Research	Chui, Sharpe, McCormick	1996
Transformational and Transactional Leadership and the MLQ	Lowe, Kroeck, Sivasubramaniam	1996
Transformational Leadership in Industry, the Military, and Education	Bass	1998

Table 3

Research Topic	Researcher(s)	Year(s)
Transformational Leadership (continued)		
Meta-Ethnographic Review of Transformational Leadership Research	Pielstick	1998
Transformational School Leadership Effects on School Conditions, Classroom Conditions, and Student Engagement	Leithwood, Jantzi	1999
Transformational School Leadership Effects on Organizational Health and School Improvement	Henderson, Huffman, Caram, Kennedy	2000
Transformational and Transactional Leadership Effects: Group Creativity	Jung	2001
Vision Strength, Leadership Style, Context	Berson, Shamir, Avolio, Popper	2001
Gender, Context, and Leadership Styles	Van Engen, Van Der Leeden, Willemsen	2001
Transformational Leadership, Teacher Commitment, and School Reform Efforts	Dumdum, Lowe, Avolio	2002
Transformational School Leadership, Teacher Commitment, School Reform	Geijsel, Slegers, Leithwood, Jantzi	2002
Transactional and Transformational Leadership and Military Platoon Performance	Bass, Avolio, Jung, Berson	2003
Transformational Leadership and Culture	Boehnke, Bontis, DiStefano, DiStefano	2003
Transformational and Instructional Leadership	Hallinger	2003
Transformational and Instructional Leadership: Principal Leadership and School Performance	Marks, Printy	2003
Transformational Leadership, Organizational Commitment, Psychological Empowerment, and Structural Distance	Avolio, Zhu, Koh, Bhatia	2004

## Studies of Vision, Visionary Leadership, and Visionary Organizations

### Bennis and Nanus (1985): Visionary Leadership Research

Because it has been used as a conceptual framework for many studies on leadership vision and visionary leadership, and because the qualitative research described in it has theoretical underpinnings in the work of Burns (1978), a popular book published by Bennis and Nanus in 1985 will be discussed at length here. In this book, *Leaders: The Strategies for Taking Charge*, Bennis and Nanus described the results of interviews and observations they conducted of 90 visionary organizational leaders, including 60 “successful CEOs, all corporate presidents or chairmen of boards,” and 30 “outstanding leaders from the public sector” (p. 20). While Bennis and Nanus are often remembered for their signature statement, “Managers are people who do things right, and leaders are people who do the right thing,” (p. 21), theirs was also a qualitative study driven by the prior theoretical and empirical work of Burns (1978). Quoting Burns, they undertook a study of *transformative leadership*, defining the *new leader* as “one who commits people to action, who converts followers into leaders, and who may convert leaders into agents of change” (p. 3).

During their interviews, Bennis and Nanus (1985) asked three pointed questions:

1. What are your strengths and weaknesses?
2. Was there any particular experience...in your life that influenced your management philosophy or style?
3. What were the major decision points in your career and how do you feel about your choices now? (p. 24)

After the course of the two-year project, whose methodology included both the delivery of the above interview questions to each of the 90 leaders and direct observations of

those same leaders in action, Bennis and Nanus identified four common areas, or strategies, of leadership competency among them:

1. Attention through vision,
2. Meaning through communication,
3. Trust through positioning, and
4. Deployment of self (pp. 26-27).

In a further elaboration of the leadership competency, *attention through vision*, Bennis and Nanus (1985) observed that such attention was often achieved by the leader's creation of a focus through the leader's agenda for activity. Bennis and Nanus noted that "[v]ision animates, inspires, transforms purpose into action" (p. 30). Speaking particularly to the usefulness of a shared vision, they observed that it "makes it possible to distribute decision making widely" and that "individual behavior can be shaped, directed, and coordinated by a shared and empowering vision of the future" (p. 92).

The second leadership competency identified by Bennis and Nanus (1985) was the communication of the meaning of the vision. Effective use of this strategy was necessary for the vision to "become part of a new social architecture [i.e., culture] in the organization" (pp. 109-110). A new social architecture could be achieved by (a) "creat[ing] a new and compelling vision," (b) "develop[ing] a commitment for the vision" through the use of symbols, and (c) "institutionaliz[ing] the new vision" (pp. 141-144). The institutionalization of the vision could be achieved through the mission, structure, human resource system, and political and cultural forces in the organization.

Bennis and Nanus' (1985) third leadership competency dealt with positioning the organization in relation to its external environment. One notable leadership activity to

accomplish this positioning was to build trust by showing a commitment to organizational change and by increasing employees' commitment to the organization's shared values. But more pertinent to the current study was the description of the fourth leadership competency, *deployment of self*. Specifically, Bennis and Nanus noted that the leaders they interviewed did not consider charisma to be a necessary personal quality for success. Instead, these leaders felt that activities and orientations such as persistence, consistency, risk-taking, commitment, and *perpetual learning* were the keys to their success in building visionary organizations (p. 188). Borrowing again from Burns (1978), Bennis and Nanus observed that visionary leaders served primarily as role models in terms of their "capacity to be taught" (p. 205). They thus equated the visionary organization with the concept of a learning organization at whose helm was a visionary leader serving as a role model of openness to learning and to new ideas. Such visionary leaders were observed to empower their followers through Burns' concept of "transformative leadership" (p. 217). Bennis and Nanus concluded from their studies that (a) leadership is not a rare skill, (b) people can be trained to be leaders and do not have to be born that way, (c) leaders do not have to be charismatic to be effective, and (d) leadership can exist throughout an organization (pp. 221-224).

#### Murphy and Hallinger (1988): Instructionally Effective School Districts

Although not directly studying educational leadership vision, findings from an exploratory study by Murphy and Hallinger (1988) were pertinent to the current study. Murphy and Hallinger studied 12 instructionally effective school districts (IESDs) in California to determine whether or not these IESDs shared any common characteristics, after controlling for socioeconomic status, previous achievement, and language proficiency (p.

175). The 12 IESDs included 5 elementary, 3 high school, and 4 unified (K-12) districts (p. 176). Murphy and Hallinger's particular focus was on the roles of district superintendents, district coordination activities, and district control mechanisms in promoting IESDs. Although Murphy and Hallinger noted that the study was limited in scope, several commonalities were uncovered. Of particular interest to the current study were the findings related to the permeation of district goals to the school level, as facilitated by superintendent activities and district office policies and procedures.

One of Murphy and Hallinger's (1988) findings was that improvement in student learning was a top priority in the IESDs studied. However, "these districts did not limit their efforts to promoting student achievement. Superintendents expected excellence in all undertakings" (p. 176). Specifically, in response to one question asking about superintendents' informal goals for their districts, three expressed a desire to have the best district in the region or state, while two other superintendents listed as their informal goals the improvement of test scores and the achievement of the 99<sup>th</sup> percentile on state standardized tests (p. 176). In addition, the IESDs studied tended to be improvement focused, with district improvement efforts closely linked to formal district goals. District goals were also described as being of longer range than the usual yearly academic cyclical goals. According to Murphy and Hallinger, "[s]chool objectives and district goals were tightly coordinated," with "approximately two thirds of the goals in these school systems focused on curricular and instructional issues" and "a significant degree of coordination between district and school goals" (p. 177). In addition, they made the following observation:

Finally, superintendents in elementary [K-5] districts believed that district goals exerted more influence over principal/school activities than did superintendents in

unified [K-12] districts, This latter group in turn rated district goal influence over school-level activities higher than did superintendents in the other places [e.g., high school (9-12) districts]” (p. 180).

In recommendations to future researchers, Murphy and Hallinger (1988) concluded that “much greater exploration is needed on the question of whether the beliefs and perceptions characteristic of the superintendent’s office actually permeate and influence other parts of the district structure and the school and classroom levels of the organization” (p. 176). While cautious of the lack of generalizability of their study results due to the small sample size, they noted a wide variation in leadership styles in the 12 district superintendents studied. However, each of the 12 superintendents appeared to play an active role in attempting to ensure the permeation of district goals to the school level.

#### Collins and Porras (1991): Organizational Vision and Visionary Organizations

Collins and Porras (1991) studied 20 of the world’s most visionary organizations, identified by asking the CEOs of 700 leading companies (i.e., on Fortune 500, Inc. 500, and Inc. 100 lists) to name the 5 companies they perceived as the most visionary, and then selecting the 20 that were named most frequently (p. 33). From case studies of these 20 companies, Collins and Porras created a framework illustrating the necessary components of a shared organizational vision, which they viewed as crucial for coordinating the activities of any organization, but particularly a decentralized one.

Collins and Porras (1991) concerned themselves primarily with defining and operationalizing the concept of vision. Their Organizational Vision Framework, based on their observations of over 75 organizations, with a focus on the 20 visionary organizations in



their research study, included a five-part definition that consisted of both the content of the vision and the process of its formulation (p. 32):

1. The core beliefs and values of the organization's founders must be identified.
2. The purpose of the organization, a natural outgrowth of the core beliefs and values, must be defined next. Together, the core beliefs and values and the purpose combined to form the organization's guiding philosophy underlying the vision.
3. Using the abstract concept of the guiding philosophy, the environment (both present and expected future) must be considered.
4. A concrete mission must be defined next. While the guiding philosophy is considered to be abstract and relatively constant, the mission is measurable and timebound.
5. A vivid description of what the future will look like once the mission has been achieved must be created. Together, the concrete mission and the vivid description constitute the tangible image of the company's vision (p. 34).

The framework thus described a vision that consisted of both the underlying (covert) philosophy and the overt mission statement of the organization. In this framework, the mission could change over time, but the underlying philosophy remained constant. The visionary leader was responsible for ensuring that the overt mission was always in alignment with the covert philosophy and also served as a viable mission, given the environmental conditions. With this framework, a charismatic leader was viewed as neither necessary nor even desirable. Instead, to Collins and Porras, the "function of a leader – the one universal

requirement of effective leadership – is to catalyze a clear and shared vision of the organization and to secure commitment to and vigorous pursuit of that vision” (1991, p. 51).

Oswald, Mossholder, and Harris (1994): Vision Saliience

Oswald, Mossholder, and Harris (1994) distributed a researcher designed questionnaire to 245 top managers in 24 Fortune 100 companies and later conducted semi-structured interviews with 72 of the 226 respondents (pp. 480-481). All 72 interviewed employees belonged to the same firm. Among other things, the researchers were interested in discovering the importance of vision saliience to successful organizational change, with vision saliience defined as being characterized by employee perceptions of: (a) clear articulation of the vision, (b) sharing of the vision, and (c) appropriateness of the vision (p. 479). Three items were used to gauge the respondents’ degree of vision saliience:

1. To what extent is there a clear vision guiding strategic change in [the organization]?
2. To what extent does the leadership of the company share a common vision of [the organization’s] future?
3. To what extent is the vision guiding change in [the organization] appropriate (p. 481)?

According to Oswald et al. (1994), “[t]he major contribution of this study is its empirical support for the concept of compelling strategic vision” (p. 486). However, they viewed their study as being of somewhat limited generalizability due to its qualitative focus on only one firm and made the following suggestion:

Because of the intuitive appeal of vision to the strategic management process and the dearth of empirical studies, vision salience would seem to be an important area for future research. In addition, it would seem important to investigate other relationships that may be affected by the presence of vision salience (p. 487).

### Kouzes and Posner (1995): Exemplary Leadership

Kouzes and Posner (1995) published a popular leadership book reporting the results of a qualitative research study, which consisted of a compilation of data from several different sources:

1. Questionnaires administered in 1987 and 1995 to 20,000 business and government executives in the America, Asia, Europe, and Australia,
2. Over 400 case studies,
3. Focus group interviews, and
4. Over 40 in-depth interviews with admired leaders (pp. 20-21).

From these data, Kouzes and Posner (1995) extracted what they labeled the *Five Fundamental Practices of Exemplary Leadership*, which were each further subdivided into two of the *Ten Commitments of Leadership* as follows:

1. Challenging the Process
  - a. Searching out challenging opportunities
  - b. Experimenting, taking risks, and learning
2. Inspiring a Shared Vision
  - a. Envisioning an uplifting and noble future
  - b. Enlisting others by appealing to their values, interests, hopes, and dreams

3. Enabling Others to Act
  - a. Fostering collaboration with cooperative goals and trust
  - b. Strengthening with power, choice, competence, critical tasks, and visible support
4. Modeling the Way
  - a. Setting an example by behaving in a manner that is consistent with the vision
  - b. Achieving small wins
5. Encouraging the Heart
  - a. Recognizing individual contributions to success
  - b. Celebrating team accomplishments regularly (pp. 8-18)

Kouzes and Posner used this framework in conjunction with their overall research results to enhance their questionnaire, the Leadership Practices Inventory (LPI), which will be discussed in more detail in Chapter 3.

#### Larwood, Falbe, Kriger, and Miesing (1995): Self Ratings of Vision Statements

Larwood, Falbe, Kriger, and Miesing (1995) offered a unique perspective of leadership in their study of top executives in the United States. A questionnaire developed by these researchers as part of the Vision Research Group studies in 1993 (p. 742) was administered to the top executives of several regional and national firms, and responses were received from executives at 98 Northeastern firms, 90 Western firms, 87 Southeastern firms, and 56 national firms (p. 747). Of the 331 total respondents, all but 3 provided one-sentence statements of their personal visions for their organizations, as requested on the survey's initial open-ended question (p. 749). The remaining 26 survey items prompted respondents to

rate their own vision statements based on descriptive characteristics that had been extracted from popular, theoretical, and empirical literature related to leadership vision (p. 749). These self-assessments were used to determine whether or not relationships existed between the variables measured in the study (e.g., executive's tenure with the firm, executive's tenure in the position, the firm's total annual sales, and the firm's size as indicated by the number of employees).

Before conducting further statistical analyses, Larwood et al. (1995) first conducted a factor analysis of the 26 vision descriptors to identify any significant factor groupings. Seven factors with eigenvalues greater than 1.0 explained 58% of the total item variance (p. 750). The three factors with the largest eigenvalues were described as follows: "vision formulation (factor 1) included items indicating a strategic emphasis; implementation (factor 2) indicated successful communication of a vision; and innovative realism (factor 3) showed tactical responsiveness to both internal and external events" (p. 750). Further cluster analysis revealed that the respondents could be grouped by perceived level of conservatism of their visions, with the 22 cluster 1 executives rating their vision statements as conservative and not formalized, the 97 cluster 2 executives rating their vision statements as formalized, and the remaining 210 cluster 3 executives' ratings being midway between these two extremes (p. 754). A correlational analysis of the 3 clusters and the previously identified clusters led Larwood et al. to the following interpretations:

1. The visions of the members of cluster 1 were less systematic than others', representing closely held, cautious, individual thinking, and
2. The visions of the members of cluster 2 were more dynamic, systematic, and widely accepted, and

3. The visions of the members of cluster 3 appeared to be less widely accepted, despite being otherwise unremarkable. (p. 757)

Thus, Larwood et al. concluded that groups of executives could be distinguished from one another based on their self-ratings of their vision statements. However, subsequent statistical analyses showed that when the executives were grouped based on either firm or position tenure, there were no significant differences in average group perception ratings. There were also no differences based on type of industry or firm size.

Although by their own admission, Larwood et al. (1995) “did not place the present work in the context of leadership theory” (p. 766), they nevertheless offered a further description of the construct of leadership vision by including leaders’ evaluations of their own vision statements. The inclusion of such perceptions in models of visionary leadership could be used in the development of a strong, research-based theory of visionary leadership.

#### McGivern and Tvorik (1998): Predicting Visionary Organization Classifications Using Financial Indicators

McGivern and Tvorik (1998) conducted a study to determine whether or not the classification of a business firm into one of Collins and Porras’ (1994) visionary organization categories could be predicted by examining a selection of that firm’s quantitative financial indicators. McGivern and Tvorik began their study by selecting 31 visionary companies falling into these classifications:

1. Type 1 (Collins and Porras’ Olympic Gold Companies): Visionary Organizations
2. Type 2 (Collins and Porras’ Olympic Silver Companies): Average Visionary Organizations (McGivern and Tvorik, p. 250)

They then examined an assortment of quantitative financial indicators spanning a 15-year period (1980-1995) to determine whether or not a predictive formula could be construed to categorize these two types of companies into the Collins and Porras typology (McGivern and Tvorik, p. 250). A combination of five financial indicators proved to be satisfactory elements of such a formula:

1. Return on Investment (ROI), a measure of a firm's resource utilization and efficiency,
2. Firm Specific Return on Assets (ROA), a measure of the firm's capacity for converting its resources into profits,
3. Return on Sales (ROS), a measure of the money received by a firm versus what it spends to operate the business,
4. Return on Invested Capital (ROIC), a measure of the creation of stockholder wealth, and
5. ALTMAN Z Score, a multivariate bankruptcy prediction model utilized to identify the financial health of a firm with respect to a firm's profitability, productivity, market value, and management's capability in transacting with competitive markets (pp. 250-251).

McGivern and Tvorik (1998) then selected a third set of 26 companies that had been named in an independent qualitative research study by Jones and Kahaner (1995) as possessing the requisite characteristics of visionary organizations, and applied the following three-step analysis:

1. Classified these 26 companies into Collins and Porras' typology as either Type 1 visionary organizations or Type 2 average visionary organizations,

2. Applied their derived predictive formula to these 26 companies to categorize them as either Type 1 or Type 2 organizations, and
3. Compared the typologies derived in steps 1 and 2 above (p. 250).

McGivern and Tvorik found that the categorizations derived using either their own predictive formula or Collins and Porras' typology matched 84.21% of the time (p. 256). The results of McGivern and Tvorik's study suggest that other studies of visionary organizations should include a consideration of financial factors.

#### Abolghasemi, McCormick, and Conners (1999): Vision and Department Subcultures

Abolghasemi, McCormick, and Conners (1999) noted a lack of research related to the role of the middle manager in the development and implementation of school vision. In an attempt to bridge that gap, Abolghasemi et al. distributed researcher designed questionnaires to the principals of 28 Australian regional high schools, requesting that the principals, in turn, distribute those questionnaires to their math, science, and social sciences department heads and teachers. Responses were received from 59 math, science, and social science department heads and 214 of their teachers in the 28 high schools. These questionnaires, adopted from Kouzes and Posner's (1995) Leadership Practices Inventory (LPI) questionnaire, consisted of two main parts: 13 items related to the principals' visionary behavior and 19 items related to the departments' subcultures (Abolghasemi, et al., p. 82).

Principal components analysis with varimax rotation was used to analyze each of the "principal's visionary behavior" and "school department" sets of items (p. 82). The principals' visionary behavior set emerged as a single factor, accounting for 72.6% of the variance in the responses (reliability  $\alpha = .97$ ) (Abolghasemi et al., 1999, p. 82). The school



department set resulted in four factors: (a) head teacher-principal congruence, (b) department subculture, (c) teacher-principal congruence, and (d) structural coupling, which together accounted for 69% of the variance in responses (reliability  $\alpha = .73$  to  $.94$ ) (p. 82). Further regression analyses of the four identified primary factors indicated that “the best predictor of teachers’ support for the principal’s vision is the extent to which the head teacher [department head] supports, shares, and communicates the school’s vision and that it accounts for nearly half the variance” ( $R^2 = .48$ ,  $\beta = .69$ ) (p. 84).

Abolghasemi et al.(1999) concluded that Australian regional high school department heads played a mediating role in the alignment of the principals’ and the teachers’ school visions. Their results also supported “the more predictable view that principals who demonstrate strong visionary behaviors, receive more support from teachers toward their vision for the school” (p. 85).

#### Testa (1999): Organizational Vision and Job Satisfaction

In his study, Testa (1999) examined whether or not a correlation existed between employees’ satisfaction with the organizational vision and satisfaction with their jobs. He sampled 740 shipboard and shoreside management and supervisory personnel from 30 departments of a large United cruise line (p. 156). Questionnaires were distributed to these managers and supervisors on the final day of a five-day training program to improve management effectiveness, and 678 usable responses were returned. To measure satisfaction with the organization’s vision, different item responses from an industry-specific questionnaire, the Cruise Line Job Satisfaction Questionnaire (CLJSQ), were averaged and compared using structural equation modeling techniques (p. 156-157). Testa found that

attitudes toward organizational visions were correlated with job satisfaction levels ( $p < .01$ ) (p. 158).

Although generalization of these results to other organization types may be limited, Testa's (1999) study indicated that satisfaction with organizational visions could be an important consideration. In his recommendations, Testa also suggested that the vision construct needed to be measured and defined more thoroughly.

#### Bird and Brush (2000): Vision Content of Women Entrepreneurs and Executives

A study by Bird and Brush (2000) was unique in its consideration of the content of leadership vision and its sole focus on the vision of female leaders. As they noted,

Although the term 'vision' is widely used and studied, it is a hypothetical construct, not directly observable. Distinctions are made between the process and content of vision, where processes include...formulating, articulating, and implementing the vision, and content [is] generally composed of [an organization's] values, purpose, and a pattern for an organization's future. (p. 2)

While lauding Larwood, Falbe, Kriger, and Miesing's (1995) research and praising the reliability of their instrument designed to measure dimensions of leadership vision, Bird and Brush (2000) were dissatisfied with Larwood et al.'s exclusion of the content of vision in their studies. In addition, echoing a similar observation made by Murphy and Hallinger in 1988, Bird and Brush noted that "there have been no studies in how vision is disseminated through other people and into policies and practices" (pp. 2-3). Tying these two concerns together, they then designed a study intended to extend Larwood et al.'s research by including "multidimensional qualitative vision content" as the link between the initial

formulation of the vision by the leader and the articulation of that vision to followers (Bird & Brush, p. 3).

Bird and Brush (2000) restricted their study to successful female business entrepreneurs and executives to ensure the inclusion of viewpoints that they felt were lacking in previous vision research and simultaneously to study possible differences between the vision content of entrepreneurs and executives. The respondents were identified as successful based on their inclusion in published lists of top businesswomen in America. After receiving responses from 107 women business leaders (61 entrepreneurs and 46 executives) to a researcher designed questionnaire administered by mail, Bird and Brush interviewed and administered their questionnaire to 12 additional women business leaders (7 entrepreneurs and 5 executives) (p. 4). Each respondent was asked to write a personal vision statement for her organization and also completed the 26-item scale previously used in Larwood et al.'s (1995) research (p. 4). Ninety-eight respondents provided personal vision statements, and a content analysis revealed seven major themes, or general vision orientations: (a) quality orientation, (b) firm [organization] as leader orientation, (c) competitive orientation, (d) growth orientation, (e) profit orientation, (f) change orientation, and (g) maintenance orientation (p. 7).

Bird and Brush (2000) found that the content of the entrepreneurs' vision statements revealed more frequent references to the firm as leader ( $\alpha = .05$ ) and were also more frequently oriented towards the themes of competition ( $\alpha = .03$ ) and maintenance ( $\alpha = .04$ ) than the vision statement contents of their executive counterparts (p. 8). They recommended additional research to examine the relationship between vision content and organizational strategies, in addition to further testing of their expanded version of the Larwood et al. (1995)

model of visionary leadership. And “[b]ecause vision formulation can follow from personal values,” Bird and Brush also suggested the addition to the model of the relationship to vision content (p. 13)

### Huffman (2003): Shared Values, Vision, and Professional Learning Communities

Huffman (2003) reviewed the results of a national study on the creation of professional learning communities in schools. Her premise was that “leaders must guide their schools by establishing a clear vision” (p. 21), defining vision as “a concept in a learning community that leads to norms of behavior that have a primary focus on student learning and are supported by staff members” (p. 22). Huffman further elaborated that “[t]he task of the [educational] leader is to share and combine the personal visions of faculty members into a collective vision molded and embraced by all” (p. 22). To study these concepts, Huffman first reviewed a five-year national study of professional learning communities within schools that had been sponsored by Southwest Educational Development Laboratory (SEDL) in Austin, Texas (p. 25). Huffman then described follow-up interviews with principals and teachers in 18 of the schools one year after implementation. Huffman’s qualitative, thematic analysis of the interview results led to the formulation of a four-component organizational framework for understanding the evolution of shared values and vision. The four components identified the answers to the following questions:

1. Why do schools develop a vision?
2. What is the purpose of the vision?
3. Who is responsible for developing the vision?
4. How does the school develop the vision (pp. 26-27)?

Of particular interest to the present study was Huffman's (2003) linking of the two constructs, *shared values* and *vision*, which constituted the heart of her model and served as driving forces for all four of the derived components. According to Huffman. "There must be an organized or structured mechanism to identify and inculcate desired values. Developing a vision statement is one way to achieve the inclusion of values in the school culture" (p. 24). She concluded, "Strong focused leadership by the principal provides faculty members the direction needed to develop the why, what, who, and how related to shared values and vision for their school" (p. 32).

Clark (2004): Perspectives and Practices of Successful Superintendents (Dissertation)

Clark (2004) conducted in-depth interviews of five superintendents of successful school districts in the Commonwealth of Virginia. Noting the increasing shift of accountability for school and school district success from students, teachers, and principals to superintendents and school boards, Clark "explored the programs, practices, and administrative decisions of successful superintendents of school districts whose student populations would suggest otherwise (large minority population)" (p. 8). After transcribing and coding the in-depth interviews into categories and themes through the use of qualitative analyses, Clark identified vision and goals as being among the primary themes. Clark also reported that the superintendents had overwhelmingly mentioned a consideration of what is best for students as a guiding philosophy for their superintendents' decisions and practices.

Washington School Research Center Studies (2000, 2005): Vision and Effective Schools

In a study whose results were originally released in 1999, researchers at the Washington School Research Center at Seattle Pacific University undertook an examination of elementary schools in the state of Washington to identify those factors perceived as preventing successful school change efforts (Fouts, Stuen, Anderson, & Parnell, 2000). During extended interviews with 40 Washington elementary school principals, they identified five primary factors inhibiting school reform, the first of which was a lack of skilled leadership. In a summary of those research findings, Fouts et al. stated, “The results of both the open-ended question and the factor rankings indicate that principals believe lack of leadership and vision is the most significant barrier to the implementation of school reform in Washington State” (Executive Summary, ¶ 8). Specifically, 93% of the principals surveyed cited “lack of leadership/vision” as a very important factor in preventing school reform (p. 19).

A follow-up study in 2001 of Washington elementary schools uncovered four primary factors that were apparent in effective schools, defined as high poverty urban and rural schools that had successfully attained or exceeded Washington State academic standards (Abbot, Stroh, & Baker, 2005, p. 1). In January of 2003, Abbot et al. undertook a follow-up study of 10 of the 16 schools identified in the 2001 study. Both sets of primarily qualitative studies revealed that one factor, strong school leadership, consistently emerged as a critical theme in effective schools. In their study, Abbot et al. defined strong leadership as “visionary, student-centered leadership focused on improvement of student learning and state reform efforts” (p. 15). One of the crucial elements they defined within that theme was the existence of “visionary and clear goals,” including “clear and attainable goals,” a route for

attaining those goals, and a recognition and celebration of success when such goals were achieved (p. 16). In particular, Abbot et al. stated, “In high achieving schools the strong leader has a clear vision that is communicated throughout the school with all staff, from teacher to custodian” (p. 16).

### Studies of Charisma and Charismatic Leadership

#### Conger, Kanungo, and Menon (2000): Charismatic Leadership and Follower Effects

Conger, Kanungo, and Menon (2000) sought to bridge several gaps they had noted in the research on charismatic leadership and follower effects, specifically in terms of the *leader focus* follower effects of “heightened reverence, trust, and satisfaction with the leaders” and the *follower focus* follower effects of a “sense of collective identity, perceived group performance, and feelings of empowerment” (p. 749). The conceptual basis for this study was the Conger-Kanungo Model of Charismatic Leadership (Conger, Menon, & Mathur, 1997), which delineated three distinct stages of the charismatic leadership process:

1. Stage One (Environmental Assessment): Followers perceive their leaders as being willing to challenge the status quo as a result of scanning the environment for opportunities, while also taking into account environmental constraints and the needs of the followers.
2. Stage Two (Vision Formulation): Followers perceive that their leaders have formulated and effectively articulated in an inspirational manner a shared and idealized future vision.
3. Stage Three (Implementation): Followers perceive their managers as engaging in exemplary acts, often through unconventional means, that involve personal risk

and self-sacrifice, thereby generating feelings of trust and empowerment (Conger, Kanungo, & Menon, pp. 752-753).

Conger, Kanungo, and Menon (2000) surveyed 252 managers participating in training sessions at a large Northeastern United States manufacturing conglomerate (p. 753). A two-part questionnaire was administered, with the second part delivered and completed 24 hours after the first part to minimize same-source bias:

1. Part I, which consisted of measures to assess five charismatic leadership behaviors and additional demographic items:
  - a. The five charismatic factors of strategic vision and articulation, personal risk, sensitivity to the environment, sensitivity to member needs, and unconventional behavior, measured using all 20 items from the Conger-Kanungo Charismatic Leadership Scale (C-K Scale), and
  - b. Demographic characteristics such as gender, marital status, educational level, organizational tenure, and job tenure.
2. Part II, which consisted of measures to assess the six follower effect variables:
  - a. The leader focus variables of reverence, trust, and satisfaction with the leader, measured using items created specifically for this study,
  - b. The follower focus variables of collective identity and perceived group performance, measured using items created specifically for this study, and
  - c. The follower focus variable of empowerment, measured using Menon and Borg's (1995) 15-item subjective empowerment scale (Conger, Kanungo, and Menon, pp. 753-754 & 759).



Using structural equation modeling, Conger, Kanungo, and Menon (2000) discovered the following relationships:

1. Three of the follower effect variables had strong direct relationships with charismatic leadership behaviors: (a) leader reverence, (b) follower collective identity, and (c) follower perceptions of group performance.
2. Leader reverence was associated most strongly with perceptions of leaders' sensitivity to the environment ( $r = .49, p < .001$ ) and somewhat less strongly with perceptions of leaders' abilities to formulate and articulate inspiring vision ( $r = .39, p < .001$ ), and their sensitivity to follower needs ( $r = .36, p < .001$ ). In addition, leader reverence was mediated by perceptions of trust and satisfaction with leaders.
3. Collective identity was associated somewhat with leaders' sensitivity to the environment ( $r = .32, p < .001$ ), their sensitivity to their followers' needs ( $r = .32, p < .001$ ), and their vision articulation ( $r = .31, p < .001$ ).
4. Perceived group task performance was associated with leaders' sensitivity to the environment ( $r = .38, p < .001$ ) and associated somewhat with leaders' abilities to formulate and articulate inspiring visions ( $r = .31, p < .001$ ).
5. Empowerment was mediated through collective identity and perceived group task performance (pp. 758-762).

Conger, Kanungo, and Menon (2000) noted several limitations to their study. First, the 252 managers surveyed worked in close proximity to the leaders whose behavior they were evaluating, which could have inflated their perceptions of reverence for leaders rated as charismatic. Second, the respondents were all managers, and Conger et al. recommended that

future researchers study followers at all levels of the organization. Third, they noted that if they had chosen different variables or variable groupings for analysis, they might have uncovered different correlations. They recommended that future research include not only a study of additional organizational levels, but also a consideration of other follower effects, such as the two competing ideas of follower dependency and follower empowerment.

Frese, Beigel, and Schoenborn (2003): Charismatic Leadership Training and the Communication of Leadership Vision

Frese, Beigel, and Schoenborn (2003) conducted two quasi-experimental studies to determine the effects of charismatic leadership training on the ability to communicate leadership vision in an inspirational manner. They concluded that the charismatic leadership training had specific positive effects on the trained behavior of inspirational vision communication and no effects on behaviors that were not taught during the training.

Frese, Beigel, and Schoenborn's (2003) first study used nonequivalent dependent variable design to study the effects of a charismatic leadership training program designed specifically to teach 25 managers of a German mobile phone company how to communicate their visions charismatically (p. 681). Prior to receiving the training, these managers were tasked first with developing a group vision and then with writing an inspirational speech to communicate that vision. They each delivered their speeches to the rest of the training group, who rated them on how inspiring the speech was. No direct feedback was given, and the speeches were videotaped for later analysis. Training was then delivered in the qualities of inspirational visions and effective methods of communicating visions. The process of vision creation, speech preparation, role playing, and group evaluation was repeated, with the

exception that limited feedback about the speeches was discussed in class. A third speech was then prepared and delivered, again with ratings and limited feedback.

To analyze the data gathered through this three-step process, Frese et al. (2003) devised 12 experimental variables related to the concepts of inspirational vision communication that had been taught and 8 additional control variables related to public speaking principles that had not been taught during training (p. 683). Two raters independently coded the taped speeches based on these variables, with interrater agreement levels ranging between .83 and .96 (p. 684). Statistical analyses showed that with training, participants improved in the 12 experimental variables more than they did in the 8 control variables ( $F = 40.345$ ,  $df = 1,24$ ,  $p < .0001$ , partial  $\eta^2 = .649$ , effect size  $d = 1.14$ ).

Despite this conclusion, Frese et al. (2003) expressed concerns about possible flaws in the research methods and decided to conduct a second study to address these concerns. The second study was performed to determine whether or not the findings of the first study could be replicated, to explore whether or not results would be generalizable to another industry, and to perform a more sophisticated selection of control variables. The second study, like the first, was conducted in a managerial training setting, this time with 22 midlevel managers who worked for an international construction company based in Germany (p. 687). For this study, only two inspirational speeches were delivered by the managers – one at the beginning of the training and one at the end. The subjective questionnaire responses were not collected for the second study, but the two video recordings were content analyzed as before. More experimental variables and less control variables, 14 and 7, respectively, were chosen for this analysis, resulting in interrater reliability levels between .71 and .90 (p. 688). As before, participants improved more in the experimental variables

than they did in the control variables ( $F = 35.150$ ,  $df = 1,21$ ,  $p < .0001$ , partial  $\eta^2 = .626$ , effect size  $d = 6.28$ ).

Based on the results of their two studies, Frese, Beigel, and Schoenborn (2003) concluded that skills in vision articulation and communication could be taught. They also recommended further use of their experimental design as a less invasive form of measuring the effectiveness of training, while still utilizing control variables. They noted, however, that their study did not examine long term (i.e., after training) effects and did not control for effects often present in quasi-experimental designs (e.g., history, maturation, and regression effects). Despite that, their study had merit as a method of studying training effects using measures other than self-report data.

#### Javidan and Waldman (2003): Charismatic Leadership in the Public Sector

To address a lack of rigorous empirical examination of charismatic leadership in public sector organizations, Javidan and Waldman (2003) conducted a test of the theoretical profile of the charismatic leader in the Canadian public sector, also examining some of the motivational and performance effects of charismatic leadership there. Initially, though, they sought to determine the extent of perceived charismatic leadership in the public sector.

Javidan and Waldman's (2003) study was conducted in the context of a four-week residential executive development program that took place from 1994 through 1996 (p. 234). While surveys were administered to all of the upper-middle and senior managers participating in the program, Javidan and Waldman analyzed only the data obtained from the government participants. As a requirement to participate in the program, managers were given questionnaire packets for distribution to up to five of their subordinates, who were then

to complete the questionnaires and mail them to the researchers. Demographic data (e.g., organization tenure, length of service with superior, number of employees in the superior's unit, age, and position) were collected from both the program participants and their subordinates. In all, 51 program participants were rated by 203 subordinates (p. 235). Of these, 24 program participants were rated by 5 of their subordinates, 13 by 4 subordinates, 7 by 3 subordinates, 3 by 2 subordinates, and 4 by only 1 subordinate (p. 235).

To measure leadership style, Javidan and Waldman (2003) created a variation of the Multifactor Leadership Questionnaire (MLQ) originally designed by Bass (1985) and updated by Bass and Avolio (1990). Javidan and Waldman's altered questionnaire contained 29 items that were reduced to four common factors seen as descriptors of the charismatic leadership profile: (a) *energy and determination* ( $\alpha = .94$ ), (b) *vision* ( $\alpha = .93$ ), (c) *challenge and encouragement* ( $\alpha = .87$ ), and (d) *risk taking* ( $\alpha = .96$ ) (pp. 236-237). The public sector managers were rated lower on the risk taking factor ( $M = 4.18$ ) than on any of the other three factors by comparison, with energy and determination being the strongest factor: (a) energy and determination ( $M = 5.86, t = 9.6, p < .001$ ), (b) challenge and encouragement ( $M = 5.56, t = 9.1, p < .001$ ), and (c) vision ( $M = 5.41, t = 7.8, p < .001$ ) (pp. 236-237). Javidan and Waldman noted that visioning behaviors could have been obtainable from the MLQ, but the energy and risk taking behaviors could not. Likewise, the risk taking behaviors could have been measured using the Conger-Kanungo (C-K) Charismatic Leadership Scale (Conger & Kanungo, 1994). However, Javidan and Waldman noted that their own study showed relatively weak effects that could have been the result of public sector contextual variables.

## Studies of Transformational Leadership

### Roueche, Baker, and Rose (1989) Transformational Leadership in American Community Colleges

Roueche, Baker, and Rose (1989) studied community college presidents (referred to in the study as CEOs, or Chief Executive Officers) and their leadership team members to determine whether or not transformational leadership was evident in American junior and community colleges. In addition to in-depth interviews of 50 CEOs, Roueche et al. administered a researcher designed survey, the Multifactor College Leadership Questionnaire (MCLQ) both to the 50 CEOs (using the *self* form) and to 290 of their subordinates (using the *other* form) (p. 85). The MCLQ was derived from Bass' (1985) Multifactor Leadership Questionnaire (MLQ), with adaptations for use in community college settings. It included only transformational leadership behaviors and had been developed during an earlier phase of the study from a compilation of the philosophical statements of 256 CEOs (pp. vi, 82-85). Of the five themes measured by the 34-item, 5-point Likert scale MCLQ (*vision* (7 attributes), *influence orientation* (9 attributes), *people orientation* (6 attributes), *motivational orientation* (5 attributes), and *values orientation* (7 attributes)), vision was found to be the most significant (pp. 82-84).

For their analysis, Roueche et al. (1989) divided the 50 CEOs into two groups, upper and lower, based on a median split of their composite interview scores, measured by computing the average number of times the CEOs mentioned a particular theme during the structured interviews. In both groups, the vision theme score was the highest of the five scores ( $M = 5.30$  times for the upper group) (pp. 88 & 92). The highest sub-score in the vision theme was the attribute, "perceives a shared vision," with the upper group scoring an

average sub-score of 7.44 (p. 93). The means for the vision theme measurement on the MCLQ produced similar results, with all CEOs scoring an average of 4.52 ( $\alpha = .79, p = .01$ ) (pp. 98-99). Noting that “writers on transformational leadership...identify one central theme that recurs in descriptions of transformational leaders – the role of vision,” Roueche et al. concluded that “transformational leaders clearly articulate that it is the responsibility of the CEO to create the vision of what the college has a chance to become and to establish the vehicle that facilitates the concrete plans to accomplish such a task” (p. 117).

#### Kirby, Paradise, and King (1992): Transformational Leadership in Education

Kirby, Paradise, and King (1992), citing a lack of educational leadership research using quantitative measurements such as those found in Bass’ (1985) Multifactor Leadership Questionnaire (MLQ), sought to close that gap in their study of extraordinary educational leaders. Kirby et al.’s research was conducted in two phases:

1. Quantitative Phase: The MLQ Form 5F-Revised was administered to 103 graduate student educators to obtain measures of (a) their immediate supervisors’ leadership styles and behaviors and (b) perceptions of their leaders’ effectiveness and of satisfaction with their leaders and of the effectiveness of their leaders (p. 304).
2. Qualitative Phase: Fifty-eight beginning graduate students (a different sample) representing 15 different school districts were each asked to write a narrative describing an extraordinary educational leader. These narratives were then content analyzed to search for themes and commonalities (pp. 306-307).

Kirby et al. (1992) administered the MLQ Form 5F-Revised to a group of 103 university graduate students who were also practicing educators: 88 K-12 teachers, 7 principals, and 8 assistant school administrators (p. 304). In all, 88 principals, 3 superintendents, and 12 other central office educational administrators were rated by the group (p. 305). From forward regression analyses of the MLQ Form 5F-Revised responses, Kirby et al. determined that both the charisma ( $p < .001$ ,  $R^2 = .59$ ) and intellectual stimulation ( $p < .005$ ,  $R^2 = .62$ ) subscales were significant predictors of perceived leader effectiveness (p. 306). They also found that the subscale of contingent reward was significantly related to all four transformational leadership subscales, with Pearson Product-Moment Correlations ranging from .51 to .59 ( $p < .001$ ) (p. 306).

Noting possible difficulties with the interpretation of the MLQ Form 5F-Revised results due to an overlap of measured characteristics, Kirby et al. (1992) conducted a second study of 58 graduate students who had not participated in the first study. In this follow-up study, 35 teachers and 23 administrators representing 15 different school districts in one Southern state were asked to think of an extraordinary educational leader and then describe an event in which they had participated that exemplified that person's leadership style (p. 306). Respondents were asked to include in their narratives the following: (a) a detailed description of the event, (b) how the event was initiated, (c) who was involved, (d) what the objectives were, (e) what the leader's actions were, and (f) what the outcomes were. Respondents were also asked to complete a Likert-style assessment to measure (a) how difficult it was for them to identify the extraordinary educational leader, (b) how effective they perceived that leader to be overall, (c) how satisfied they were to work with this leader, and (d) how extraordinary and special they perceived this leader to be.



Of the 58 narratives collected, Kirby et al. (1992) selected nine for additional analysis, based on the respondents' rating that they had no difficulty in identifying an extraordinary educational leader to describe (p. 307). Using a grounded theory technique known as *constant comparative analysis* (Glaser, 1978), Kirby et al. analyzed the nine narratives in terms of "five themes: setting/event, goals, leader behaviors, leader characteristics, and outcomes," with sub-categories being created on an ad hoc basis as these themes were being analyzed (p. 307). Five principals, one assistant principal, one teacher, one assistant superintendent, and one university professor were described in the nine narratives (p. 307). The results may be summarized as follows:

1. Five of the nine leaders initiated the events described in the narratives.
2. Most of the leaders were described as people-oriented, knowledgeable through experience, and positive in their outlooks.
3. All but one of the leaders were described as being committed both to the organization and to the task at hand.
4. Eight of the leaders were described as being good role models for the attitudes and behaviors they expected of their subordinates, which in turn resulted in extra efforts from those subordinates.
5. Seven of the leaders were described as challenging their subordinates to grow and improve, including encouraging training and staff development.
6. Six of the leaders, in their perceived attempts to gain support for their change efforts, enlisted the help of influential people in the organization from the outset of these change efforts.

7. All nine leaders were described as involving others in the setting and achieving of objectives, also ensuring that appropriate structures were in place to facilitate this process (pp. 307-308).

Combining the results of their two studies, Kirby et al. (1992) concluded that while the findings of prior studies in visionary leadership were supported in their study, the task of initiation of structure was also important as a prerequisite to the effectiveness of transformational leaders' change efforts, including the communication of a strong leadership vision. However, while the use of contingent reward emerged as an important factor in the quantitative study, it was not supported by the qualitative study, which instead emphasized the importance of intrinsic reward, consistent with Burns' (1978) notion of transforming leadership. In agreement with Bass (1985), Kirby et al. observed that contingent reward did play a role in the effectiveness of the transformational leader, although it was a minor role in comparison to intrinsic reward. They did, however, caution that their results were based on small samples and were subject to single source biases. Despite that, they noted that the strongest transformational leadership factor uncovered by their study, that of intellectual stimulation, was a skill that could be taught and should therefore be studied further.

#### Leithwood, Tomlinson, and Genge (1996): Transformational School Leadership

Leithwood, Tomlinson, and Genge (1992), performed an "exhaustive review of both published and unpublished research on transformational leadership in elementary and secondary school organizations, up to approximately August 1993," including as background "two dozen empirical studies" conducted in a non-school setting (p. 789). Their final set of 34 empirical and formal case studies included 12 qualitative studies, 17 quantitative studies,

and 5 mixed method studies (p. 789). The 34 studies were also broken down according to the type of leader studies, with 22 studies being of school principals, 5 of superintendents and other central office staff, 4 of a combination of district and school leaders, and 2 of both school leaders and leaders of non-educational organizations (p. 789). Homing in on a subset of 21 studies (6 qualitative and 15 quantitative) that focused specifically on dimensions of transformational leadership, Leithwood et al. reported that “an overwhelming proportion of significant positive relationships have been reported in school settings,” including a composite transformational score (10 studies), charisma/inspiration/vision score (14 studies), an intellectual stimulation score (14 studies), and an individual consideration score (14 studies) (pp. 798-799).

Of particular interest to the current study were the eight studies (three qualitative, four quantitative, and one mixed method) conducted between 1985 and 1992 that specifically measured the leadership styles of school district superintendents, either exclusively or in combination with other educational leaders (pp. 791-797). Of these eight, six were dissertations reported between 1987 and 1989 (pp. 836-84). Of the remaining two studies, one was the Kirby, Paradise, and King (1992) study reviewed above, and the other was a qualitative, longitudinal study of one superintendent and 45 staff members (Roberts, 1985, as cited in Leithwood, et al., p. 796). Summarizing these studies, Leithwood et al. reported vision building as a skill primarily associated with superintendents that included the task of “creating a shared vision for the district in which most district members share” (p. 803).

### Chui, Sharpe, and McCormick (1996): Transformational Leadership Research

Chui, Sharpe, and McCormick conducted a study in 1994 of the transformational leadership behaviors of 48 Hong Kong secondary school principals, including crosschecks with 548 of their teachers (Chui, Sharpe, & McCormick, 1996, p. 35). Their primary research objective was to determine if there were overall differences between the leadership styles of principals at schools participating in a School Management Initiative (SMI, equivalent to site-based management in the U.S.) and principals at non-SMI schools, with the expectation that there would be more evidence of transformational leadership styles, particularly in terms of visionary leadership behavior, at the SMI schools than at the non-SMI schools. Chui et al. found, however, that transformational leadership was evident at both types of schools, and that the strength of principals' leadership visions was critical to the success of transformational leaders at either type of school.

Chui et al. (1996) developed their own questionnaire for this study, as they felt that existing leadership surveys were oriented more toward typically Western leadership styles than toward Oriental leadership styles. Their 34-item questionnaire was designed to measure five behavioral dimensions of leadership defined specifically for their study, using a review of the transformational leadership literature (Leithwood, Tomlinson, & Genge, 1996) modified for application in Hong Kong: "communication of values, professional development of teachers, empowerment of teachers, people orientation, and structural leadership" (Chui et al., p. 33). The 34 questionnaire items were classified as follows:

1. Seventeen behavioral items for measuring leadership purposes, people, structure, and culture were adapted from literature on transformational and visionary

leadership (Bass, 1985; Bennis & Nanus, 1985; House & Shamir, 1993; Leithwood, 1994; Roueche, Baker, & Rose, 1989; Tichy & Devanna, 1990).

2. Eight items for measuring leadership vision (Bennis & Nanus) were adapted from a questionnaire previously developed in Roueche et al.'s study of community college presidents.
3. Nine behavioral items were developed by Chui et al. for this study (p. 35).

Chui et al. (1996) found that leadership vision was significantly correlated with all five of their behavioral dimensions of leadership, regardless of SMI or non-SMI status ( $r = .31$  to  $.68$ ,  $p < .001$ ) (pp. 36-38). Upon further examination, however, they uncovered strong interaction effects between leadership vision and SMI when analyzed in terms of their relationships with each of the five behavioral dimensions. Multiple regression analyses yielded the following correlations between these dimensions and the interactions between vision and SMI:

1. Communication of values:  $R^2 = .46$ ,  $F = 132$ ,  $p < .001$
2. Professional development:  $R^2 = .12$ ,  $F = 20$ ,  $p < .001$
3. Empowerment:  $R^2 = .21$ ,  $F = 41$ ,  $p < .001$
4. People orientation:  $R^2 = .11$ ,  $F = 18$ ,  $p < .001$
5. Structural leadership:  $R^2 = .23$ ,  $F = 46$ ,  $p < .001$  (pp. 38-39).

Chui et al. (1996) concluded, "The key appears to be the alignment of the SMI status of the school with principals whose high sense of vision, and hence their leadership behaviors, are in tune with the principles of SMI" (p. 46). They therefore suggested that training in vision formation, communication, and attainment techniques could be a crucial determinant of the success of principals, particularly at the SMI schools.

Lowe, Kroeck, and Sivasubramaniam (1996): Transformational and Transactional Leadership and the MLQ: A Meta-Analysis

Lowe, Kroeck, and Sivasubramaniam (1996) conducted a meta-analysis of 22 published and 17 unpublished research studies conducted between 1985 and 1993 that satisfied the following criteria for inclusion: (a) used the Multifactor Leadership Questionnaire (MLQ) to measure leadership style from the perspective of the subordinate, (b) reported a measure of leadership effectiveness, (c) reported the sample size studied, (d) included a correlation statistic, preferably a Pearson correlation coefficient, and (e) reported leader ratings for direct leaders of subordinates in lieu of idealized or hypothesized leaders (pp. 389-393, 399). This meta-analysis had three primary objectives:

1. To integrate the findings of these studies,
2. To compute average effect sizes for the different MLQ leadership subscales, and
3. To probe for moderators in the relationship between leadership style and leadership effectiveness (p. 385).

Lowe et al. (1996) expected to find differences based on the type of organization (public versus private), the organizational level of the leader (high level versus low level), and the type of effectiveness criterion measured (subordinate perceptions versus organizational measures). Specifically, they expected to find more transformational leadership behaviors reported for private organizations and high level leaders, and they also expected to find a higher correlation between transformational leadership and leader effectiveness as measured by subordinate perceptions than by organizational measures. While the latter expectation was borne out by the meta-analysis ( $p < .001$ , p. 409), the first two expectations were not. Across the 39 studies analyzed, Lowe et al. found statistically higher mean transformational leadership scores and management-by-exception transactional

scores for public organizations (primarily military and educational) than for private organizations ( $p < .01$ ) and for low level leaders than for high level leaders ( $p < .001$ ) (pp. 405-407). A comparison of mean effect sizes yielded similar results, with significant differences between public and private organizations for the charisma subscale ( $z = 2.22, p < .05$ ), the intellectual stimulation subscale ( $z = 2.94, p < .01$ ), and the management-by-exception subscale ( $z = 2.98, p < .01$ ) (p. 407). Significant differences were also found between low level and high level leaders on the individualized consideration subscale ( $z = 10.85, p < .001$ ) and the management-by-exception subscale ( $z = 17.81, p < .01$ ) (p. 407).

One conclusion that Lowe et al. (1996) reached as a result of their meta-analysis was that “transformational behavior appears to have a real impact on performance throughout the organization” (p. 415). They added further, “Those who have asserted that the transformational construct has been embraced because of the affective allure of its implications – rather than on empirical, practical, or rational grounds – are impeached by the consistency of this result across studies” (p. 415). Also, while offering several possible explanations for the counterintuitive findings of high transformational leadership scores in the public sector and at low levels of the organization, they noted that “it is possible, and we believe more plausible, that low level leaders and public sector managers may indeed be more transformational in their leadership styles” (p. 418). In addition, their finding of high levels of both transformational leadership and certain transactional leadership characteristics in effective organizations led them to confirm Bass’ (1985) assertion that these two leadership styles were indeed complementary, rather than bipolar opposites, as Burns (1978) had originally suggested.

Bass (1998): Transformational Leadership in Industry, the Military, and Education

Bass (1998), in a summary of the results of three meta-analyses, emphasized their common findings on the relative importance of the subscales of transformational and transactional leadership as measured by the Multifactor Leadership Questionnaire (MLQ):

1. Lowe et al. (1996) had reported that in 39 research studies, the mean corrected correlations with effectiveness for public and private sectors were, respectively, charisma (.74, .69), intellectual stimulation (.65, .56), individualized consideration (.63, .62), contingent reward (.41, .41) and management-by-exception (.10, -.02).
2. Gaspar (1992) had reported that, in 20 studies, the mean corrected composite transformational leadership scores correlated .76 with effectiveness, .71 with satisfaction, and .88 with extra effort as perceived by followers, whereas the corresponding correlations for transactional leadership were .27, .22, and .32.
3. Patterson et al. (1995) had corroborated the findings of both Lowe et al. and Gaspar for the effects of transformational and transactional leadership on selected follower compliance outcomes (as cited in Bass, 1998, pp. 9-10).

Noting empirical support for his original (1985) conceptualization of the augmentation relationship between transformational and transactional leadership, Bass (1998) concluded, “Transactional leadership, particularly contingent reward, provides a broad basis for effective leadership, but a greater amount of effort, effectiveness, and satisfaction is possible from transactional leadership if augmented by transformational leadership” (p. 10). This supported his assertion of the superiority of transformational leadership:



...transformational leadership is more effective and satisfying than constructive transactions, and constructive transactions are more effective and satisfying than corrective ones. Passive leadership is least effective and satisfying. Leaders use all these approaches, but some do more than others in how they lead. Better leaders are transformational more frequently; less adequate leaders concentrate on correction and passivity. (p. ix)

#### Pielstick (1998): A Meta-Ethnographic Review of Transformational Leadership Research

Pielstick's (1998) meta-ethnographic review of 20 years of qualitative research on transformational leadership, focusing particularly on community colleges, uncovered vision as a central concept (p. 15). Seven major vision-related leadership behaviors were apparent across these studies: (a) creating a shared vision, (b) communicating the vision, (c) building relationships, (d) developing a supporting organizational culture, (e) guiding implementation, (f) exhibiting character, and (g) achieving results. Pielstick's review confirmed a differentiation of charismatic leadership and transformational leadership in terms of follower focus. He noted that throughout the studies he reviewed, the followers of charismatic leaders tended to focus their attentions on the leaders themselves, whereas the followers of transformational leaders tended instead to focus on the shared visions that the leaders had helped to develop, communicate, support, and guide to successful implementation.

#### Leithwood and Jantzi (1999): Transformational School Leadership Effects on School Conditions, Classroom Conditions, and Student Engagement With School

Leithwood and Jantzi (1999) replicated an earlier study of theirs in an attempt to determine whether or not relationships existed between the transformational leadership

practices of teachers and both selected organizational conditions and student engagement with school. Data were collected through two surveys conducted in a central Canadian school district serving 57,000 students (p. 461). These surveys were administered to 2,424 teachers and 7,251 students in the highest grade of each of the district's 98 elementary schools (p. 461). The Organizational Conditions and School Leadership Survey, a 5-point Likert-type teacher questionnaire, consisted of "270 items measuring five sets of school conditions, two sets of classroom conditions, and the perceived extent to which transformational leadership practices were evident in the school" (p. 462). The Student Engagement and Family Culture Survey, a 5-point Likert-type student questionnaire, consisted of 61 items designed to measure students' school activity participation levels, students' identification with their schools, and students' perception of their families' educational culture (p. 462). Both instruments had been developed by Leithwood and Jantzi in their earlier research study. A total of 1,818 teachers from 94 schools and 6,490 of their students returned usable questionnaire responses (p. 463).

After aggregating survey responses by school and calculating means, standard deviations, and Cronbach's alpha reliability coefficients, Leithwood and Jantzi (1999) performed a path analytic technique to assess the effects of the teachers' perceived transformational leadership evident at their schools on their students' engagement with school (p. 463). Of the 10 transformational leadership dimensions measured, "building school visions and goals" emerged as the most significant factor in the teachers' perceptions, with a factor loading of .94 (p. 465). Transformational leadership had the highest correlation with ( $r = .81, p < .01$ ) and direct effect on (.80) school conditions, which in turn were determined to have a direct effect of .62 on classroom conditions (pp. 465-466). Together,

transformational leadership and school conditions accounted for 17% of the variation in classroom conditions (p. 466). As might be expected, family educational culture and student engagement with school were highly correlated ( $r = .70$  for participation,  $r = .71$  for identification,  $p < .01$ ) (p. 466). Transformational leadership had only a weak but still statistically significant effect of .17 on student identification with school (pp. 466-467). The combined effects of family educational culture and transformational leadership accounted for 77% of the variation in school conditions (p. 467).

Leithwood and Jantzi (1999) concluded by noting that “even the most sophisticated quantitative designs used in current leadership effects research...treat leadership as an exogenous variable influencing students, sometimes directly, but mostly indirectly, through school conditions, moderated by student background characteristics” (p. 471). They cautioned that this model of a single directional flow of leadership effects throughout an organization may not be totally accurate, and that future educational research design needed to include the conception of leadership in general, and transformational leadership in particular, as a multidirectional, multi-faceted process.

Henderson, Huffman, Caram, and Kennedy (2000): Transformational School Leadership Effects on Organizational Health and School Improvement

Henderson, Huffman, Caram, and Kennedy (2000) surveyed principals and teachers at 23 elementary schools and 7 secondary schools in a medium-sized school district in the mid-South to determine whether or not a relationship existed between principal’s transformational leadership styles and organizational health (pp. 6-7). Usable responses to the Multifactor Leadership Questionnaire Short Form (MLQ-S) were received from 16 principals, and usable responses from the Organizational Health Inventory (OHI) were

received from 601 of their teachers (p. 9). Unexpectedly, Henderson et al. found no relationship between transformational leadership styles and organizational health ( $r = -.10$ ,  $p = .70$ ) (p. 9). However, when they correlated the individual factors of the MLQ-S (idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration) with the OHI responses, they discovered a significant and positive relationship between the factor of inspirational motivation and overall organizational health ( $p = .0086$ ) (p. 11). They concluded that future researchers using the MLQ-S should analyze their results not only on the basis of the total leadership style score, but also on the basis of each individual sub-score.

#### Jung (2001): Transformational and Transactional Leadership Effects: Group Creativity

Reasoning that both transformational leadership and group creativity in organizations had been shown to be associated with organizational effectiveness and that transformational leadership by definition involved high expectations for follower achievements, Jung (2001) conducted a study to determine whether or not there was a relationship between the leadership style and group creativity. Using a 2 (transformational leadership vs. transactional leadership) x 2 (real vs. nominal group) factorial design, Jung randomly assigned a group of 194 upper level business graduate students to 58 mixed gender groups, in turn randomly assigning the 58 groups across the 4 experimental conditions (p. 188-189). Each group participated in a brainstorming activity led by a confederate leader. Transformational and transactional leadership styles of the confederates were manipulated by using scripts adapted from a leader training program developed by Bass and Avolio (1997, as cited in Jung, p. 189). The primary difference between the two styles was in the transformational confederate leader's continual emphasis on the importance of the task and its broader contribution to the

business school to which the participants belonged. At the end of the experimental sessions, group members rated their confederate leader's style using Bass and Avolio's (1990) 5-point Likert-type instrument, the Multifactor Leadership Questionnaire Form 5X (MLQ-5X).

Creativity was measured using standards of fluency and flexibility developed by creativity researchers (Diehl & Stroebe, 1991; Torrance, 1965, as cited in Jung, p. 189).

Jung's (2001) hypothesis that creativity would be associated with transformational leadership styles was supported. Analyses of variance (ANOVAs) confirmed that participants in the transformational groups, regardless of creativity level, rated their confederate leaders as more transformational ( $M = 3.71$ ) than transactional ( $M = 3.35$ ,  $F(1,89) = 13.82$ ,  $p < .001$ ) (p. 190). Likewise, participants in the transactional groups, regardless of creativity level, rated their confederate leaders as more transactional ( $M = 3.96$ ) than transformational ( $M = 3.53$ ,  $F(1,92) = 17.27$ ,  $p < .001$ ) (p. 190). Subsequent analyses of covariance (ANCOVAs) strongly confirmed Jung's hypothesis. Compared with participants in the transactional groups ( $M = 50.98$ ), participants in the transformational groups generated a significantly larger number of creative ideas ( $M = 57.26$ ,  $F = 14.78$ ,  $p < .001$ ), and those creative ideas were significantly more flexible ( $M = 2.77$ ,  $F = 4.78$ ,  $p < .05$ ) than those of the transactional group ( $M = 2.61$ ) (p. 191). Of particular interest to the current research study was Jung's dual observation that "this study demonstrated that transformational and transactional leadership can be successfully manipulated," and that it therefore "provides additional evidence...that transformational leadership behaviors can be acquired through training, and such behaviors indeed increased followers' creative and divergent thinking in groups" (p. 193).

Berson, Shamir, Avolio, and Popper (2001): Vision Strength, Leadership Style, and Context

Berson, Shamir, Avolio, and Popper (2001) conducted a study to determine whether or not there was a relationship between the strength of leaders' vision statements, leadership style, and organizational context. A sample consisting of 141 middle to senior level managers and administrators in a Northeastern community (73 men and 68 women) was chosen from a population of 500 leaders attending two 3-day leadership workshops that focused on the creation and communication of a strong leadership vision (p. 58). Four to six months prior to the workshop, Bass and Avolio's (1990) Multifactor Leadership Questionnaire Form 5R (MLQ-5R) was administered to each leader's followers, peers, or both to determine their perceptions of that leader's style (p. 59). Additional questions included items about the organization's size and type. Of the 141 leaders rated, 55% came from educational institutions, with the remainder coming from government agencies, social service agencies, and for-profit institutions (p. 58). Each leader in the sample supervised from 4 to 90 people, with a median of 10, and between 4 and 5 MLQ-5R questionnaires were completed for each leader (pp. 58-59).

At the end of each workshop, Berson et al. (2001) asked the participants to create and present new organizational vision statements representing their ideas of an ideal future five years in the future. The presentations were practiced and then videotaped during the final half-day session. Each videotape was later coded independently by two pairs of raters using a 12-category coding scheme developed for the study and derived from the existing literature on transformational and visionary leadership (p. 59). After achieving interrater agreements averaging .69, Berson et al. performed a principal components factor analysis using varimax rotation to derive four primary factors that together accounted for 53.7% of the total item

variance, with Factor 1 (optimism and confidence) accounting for 23% of the total variance (p. 60). The other factors identified included Factor 2 (values and intrinsic rewards), Factor 3 (challenges and opportunities), and Factor 4 (specificity and direction) (p. 62).

Berson et al. (2001) also correlated each of the seven MLQ-5R leadership scales (idealized influence, inspirational motivation, intellectual stimulation, individualized consideration, contingent reward, management by exception, and laissez faire) and the three organizational context variables (management experience, tenure with the organization, and number of employees in the organization) with the four derived vision factors (pp. 61-62). They found significant and positive relationships between idealized influence ( $r = .28, p < .01$ ), inspirational motivation ( $r = .20, p < .01$ ), intellectual stimulation ( $r = .21, p < .01$ ), and Factor 1 (optimism and confidence) (pp. 61-62). Of the contextual variables, organizational size as measured by the total number of employees was found to have a strong negative correlations with vision Factor 1 ( $r = -.25, p < .01$ ), Factor 3 ( $r = -.25, p < .25$ ), and Factor 4 ( $r = -.21, p < .05$ ) (pp. 61-62).

Based on the correlation analysis results, the relatively small size of the sample ( $n = 141$ ), and fact that many of the measurement methods and scales for assessing vision content in their study were new, Berson et al. (2001, p. 63) continued their analysis of the data using a structural modeling technique known as a Partial Least Squares (PLS) analysis (Barclay, Higgins, & Thompson, 1995, as cited in Berson et al., p. 61; Wold, 1985, as cited in Berson et al., p. 61). For this analysis, leadership styles were aggregated into transformational, transactional, and passive leadership styles, as suggested by House (1985). Berson et al.'s PLS analysis, which compared these three leadership styles and their effects on the four vision factors while controlling for organizational size, uncovered several statistically

significant effects for Factors 1 (optimism and confidence) and 4 (specificity and direction), which together had the most significant path coefficients compared to the other two factors (Factor 1  $R^2$  range = .132-.140; Factor 2  $R^2$  range = .06-.07 (pp. 64-65).

Overall, strong effects were apparent across all organizations, regardless of size. In particular, the effect of transformational leadership on the two vision factors was strong and positive (Factor 1 effect = .210, Factor 2 effect = .137,  $p < .05$ ), while the effect of passive leadership on the two factors was strong and negative (Factor 1 effect = -.258, Factor 4 effect = -.209,  $p < .05$ ) (Berson et al., 2001, p. 64). However, these effects were even stronger for smaller organizations, determined by a median split of the 141 total organizations based on total number of employees (p. 65). In the 71 smaller organizations, the effect of transformational leadership on the two vision factors was stronger and more positive (Factor 1 effect = .234, Factor 4 effect = .201,  $p < .05$ ), while the effect of passive leadership on the two vision factors was stronger and more negative (Factor 1 effect = -.392, Factor 4 effect = -.408,  $p < .05$ ) than the corresponding effects for the larger organizations and for all organizations combined (p. 65).

Berson et al. (2001) concluded that the transformational style of leadership was related to the inspirational strength of the vision and that this relationship was, in turn, moderated by the size of the organization. However, they noted that there were important elements of transactional leadership (as indicated by Factor 4, specificity and direction) in these inspirational leadership visions. In their interpretation of their study results, they noted that “[s]imply articulating an audacious vision may not energize followers to higher levels of effort and performance. If a vision is not grounded in some level of practicality, followers may view it as unrealistic or wishful thinking” (p. 67). In addition, they suggested that, given



the strong correlations between transformational leadership and vision in smaller organizations, larger organizations should be broken into smaller, more manageable functional units to facilitate transformational leadership practices, including the communication of leadership vision. Berson et al. concluded, “More generally, our results highlight the importance of taking into consideration a broader array of contextual variables when studying vision content” (p. 69).

Van Engen, Van Der Leeden, and Willemsen (2001): Gender, Context, and Leadership Styles

Van Engen, Van Der Leeden, and Willemsen (2001) conducted a study of organizational context influences on the leadership behavior of males and females. Four large department stores within a single Dutch retail organization were selected for the study, and within each of approximately 20 departments per store, salespersons were administered questionnaires designed to measure leadership styles and behaviors of their department managers (pp. 585-586). In all, 327 salespersons in 70 departments rated their department managers’ leadership styles by completing a Multifactor Leadership Questionnaire (MLQ) and their department managers’ behavior patterns by completing a 33-item Supervisory Behavior Description Questionnaire (SBDQ) (p. 586). Both the MLQ and the SBDQ had been modified for use in the Netherlands.

While Van Engen et al. (2001) had hypothesized some differences in leadership styles and behaviors in terms of department gender stereotypes (e.g., sporting goods and electronics departments were rated in a pilot study as being more masculine than women’s lingerie and fashion departments), they found no evidence to support that hypothesis. Instead, the unexpected result was that the prominent leadership styles of department managers varied

significantly from one store location to the next, with some stores having more transformational and people-oriented department managers than other stores. Since Van Engen et al. had failed to include additional organizational variables in their study, they were unable to investigate this unexpected relationship any further. However, in their informal store site visits, they noted differences in the leadership behavior and styles of the four male store managers (e.g., having “an open door policy” versus being “outspokenly bossy and feared by their personnel”) (p. 504). Van Engen et al. concluded with the suggestion that future researchers include in their studies multiple organizational variables and an explicit consideration of the leader’s organizational level.

Dumdum, Lowe, and Avolio (2002): Transformational Leadership, Teacher Commitment, and School Reform Efforts

Extending the meta-analysis conducted by Lowe, Kroeck, and Sivasubramaniam (1996), Dumdum, Lowe, and Avolio (2002) reviewed transformational leadership studies conducted from 1995 to 2002 (p. 36). The choice of the Lowe et al. study as a starting point was based in part on the fact that “the Lowe et al. (1996) paper is by far the most widely used quantitative review of the transformational leadership literature, accumulating over 100 citations in the 6 years since publication” (Dumdum et al., 2002, p. 37). In addition to mimicking the criteria used in the Lowe et al. study (e.g., use of Multifactor Leadership Questionnaire and measures of performance effectiveness), Dumdum et al. included an additional focus on the relationship between leadership style and measures of satisfaction. In their search of over 100 studies, they found 49 studies meeting their criteria for inclusion, of which 24 were published, 13 were unpublished dissertations, and 12 were unpublished *file-drawer* studies (p. 41). Overall, Dumdum et al.’s results showed support both for Lowe et

al.'s results and for Bass' (1998) reported relationships between leadership style (transformational, transactional, and non-leadership) and both effectiveness and satisfaction. From highest to lowest, the corrected correlations of leadership style with performance effectiveness were (a) charisma .68 (compared to Lowe et al.'s .73), (b) individualized consideration .59 (.62), (c) intellectual stimulation .57 (.60), (d) contingent reward .56 (.41) (Dumdum et al., 1992), p. 59).

Geijsel, Sleegers, Leithwood, and Jantzi (2002): Transformational School Leadership, Teacher Commitment, and School Reform

Geijsel, Sleegers, Leithwood, and Jantzi (2002) conducted a study of the effects of transformational school leadership on teacher commitment to and extra efforts expended towards the accomplishment of school reform initiatives. Summarizing a 10-year research study of 1,246 teachers in 45 Dutch secondary schools and 853 teachers in 13 Canadian junior high and high schools, Geijsel et al. concluded that transformational leadership in each context had significant and positive correlations to school reform initiative commitment and effort (pp. 237-238). In particular, the transformational school leadership dimensions of vision building and intellectual stimulation had the highest correlations to the two dependent variables in the study.

For both the Dutch and the Canadian studies, Geijsel et al. (2002) measured several constructs using Likert-style questionnaire responses:

1. Independent variables (dimensions of transformational leadership):
  - a. Vision building: the extent to which teachers feel involved in the development of a vision and goals set for the school,

- b. Individualized consideration: the extent to which teachers experience the appreciation and respect of school leaders for themselves as individuals, and
  - c. Intellectual stimulation: the extent to which teachers perceive school leaders to support and facilitate their professional growth.
2. Dependent variables:
- a. Teacher commitment to change:
    - i. Capacity beliefs: the extent to which teachers feel uncertainty and doubt about their own capabilities and behavioral competence in response to the day-to-day pressures brought about by the need to reform and implement innovation, and
    - ii. Context beliefs: the extent of collaboration and support of their colleagues.
  - b. Extra effort:
    - i. Participation in decision making: teachers' attitudes toward involvement and taking responsibility in decisions with regard to the introduction and conduct of educational innovations (p. 239).

In the Dutch study, all three dimensions of transformational leadership correlated strongly with participation in decision making, which was the researchers' operationalization of the extra efforts construct (Geijsel et al., 2002, pp. 241-242). The highest correlations for vision building were with intellectual stimulation ( $r = .61, p = .000$ ), participation in decision making ( $r = .52, p = .000$ ), and individualized consideration ( $r = .43, p = .000$ ) (p. 255). Individualized consideration was highly correlated with participation in decision making ( $r = .57, p = .000$ ), intellectual stimulation ( $r = .50, p = .000$ ), and professional development

activities ( $r = .31, p = .000$ ) (p. 255). Intellectual stimulation was highly correlated with participation in decision making ( $r = .52, p = .000$ ) and professional development activities ( $r = .42, p = .000$ ) (p. 255). Using the LISREL structural equation modeling, Geijsel et al. then calculated the effect sizes, as measured by standardized regression coefficients (betas), concluding that all three transformational leadership dimensions had moderate direct effects on participation in decision making (.27 for vision building, .35 for individualized consideration, and .23 for intellectual stimulation,  $p = .000$ ) (p. 242).

In the Canadian study, Geijsel et al. (2002) found that vision building was most highly correlated with intellectual stimulation ( $r = .83, p = .000$ ), individualized consideration ( $r = .72, p = .000$ ), and participation in decision making ( $r = .69, p = .000$ ) (p. 255). Individualized consideration was highly correlated with intellectual stimulation ( $r = .74, p = .000$ ), participation in decision making ( $r = .59, p = .000$ ), and context beliefs ( $r = .53, p = .000$ ) (p. 255). Intellectual stimulation was most highly correlated with context beliefs ( $r = .64, p = .000$ ), participation in decision making ( $r = .61, p = .000$ ) and personal goals ( $r = .39, p = .000$ ) (p. 255). Using the LISREL structural equation modeling, Geijsel et al. then calculated the effect sizes, as measured by standardized regression coefficients (betas), concluding that vision building had the largest effect on participation in decision making (.52), personal goals (.38), and capacity beliefs (.29), in addition to a moderate effect on context beliefs (.26) ( $p = .34$ ) (p. 247).

Geijsel et al. (2002) concluded that “leaders’ individualized consideration has the weakest impact on teachers’ commitment and extra effort, compared with the impact of vision building and intellectual stimulation” (p. 249). They recommended both additional

studies of the differential impacts of individual transformational leadership dimensions and continued refinements to the operational definitions of those dimensions.

Bass, Avolio, Jung, and Berson (2003): Transactional and Transformational Leadership and Military Platoon Performance

Bass, Avolio, Jung, and Berson (2003) conducted a study of the effects of transactional and transformational military leadership on the performance of 72 light infantry rifle platoons, each consisting of up to three rifle squads and a heavy weapons squad, using Bass' (1985) theory of transformational leadership as a guiding framework (Bass et al., pp. 207 & 209). Study results indicated that both transformational and transactional leadership (in particular, the contingent reward component) positively predicted unit performance.

To measure leadership styles, Bass et al. (2003) administered the Multifactor Leadership Questionnaire Form 5X (MLQ-5X), altered slightly for military use, to a random sample of soldiers from 72 platoons, asking them to rate their platoon leaders and their platoon sergeants (the subordinates of the platoon leaders), with valid responses received for 1,340 platoon leaders and 1,335 platoon sergeants (pp. 209-210). The same sample of soldiers was administered a second questionnaire during the same time period to rate the perceived cohesion of their platoons (an assessment of how “[m]embers of the platoon pull together to get the job done”) and the perceived potency of their platoons (“an assessment of how platoon members felt about taking on difficult and unexpected problems and being successful in addressing those challenges”), with a total of 1,594 cohesion and potency surveys returned (p. 210).

In addition to the leadership style, platoon cohesion, and platoon potency surveys, two independent observers rated the performance of each of the 72 platoons during the two-

week training period, during which a total of 11 tactical mission exercises per platoon were conducted at Fort Polk (interrater agreement = .75) (Bass et al., 2003, p. 211). Two overall scales of each platoon's performance were measured: (a) platoon performance, or how well each platoon had accomplished its missions, and (b) a comparison of each platoon's performance with the performance of all other platoons the rater had observed (p. 211). Since both scales were highly correlated ( $r = .68$ ), they were combined into a third overall rating for subsequent analyses (p. 211). A total of 415 rating measurements were collected across the 11 missions (1-2 raters x 3 overall ratings x 72 platoons) (p. 211).

For both the platoon leaders and the platoon sergeants, Bass et al. (2003) found high positive correlations between transformational leadership and transactional contingent reward leadership (platoon leaders:  $r = .85, p < .01$ ; platoon sergeants:  $r = .84, p < .01$ ) (p. 211). Each of these were in turn positively correlated to ratings of platoon cohesion (transformational platoon leaders:  $r = .48, p < .01$ ; transactional platoon leaders:  $r = .46, p < .01$ ; transformational and transactional platoon sergeants:  $r = .55, p < .01$ ) and platoon potency (transformational platoon leaders:  $r = .41, p < .01$ ; transactional platoon leaders:  $r = .37, p < .01$ ; transformational and transactional platoon sergeants:  $r = .47, p < .01$ ) (p. 211). In both types of leaders, passive-avoidant leadership was found to be negatively correlated to the cohesion (platoon leaders and platoon sergeants:  $r = -.43, p < .01$ ) and potency ratings (platoon leaders:  $r = -.37, p < .01$ ; platoon sergeants:  $r = -.40, p < .01$ ) (p. 211). In addition, moderate intercorrelations were evident between the leadership styles of the platoon leaders and their respective platoon sergeants. For example, platoon leaders who were rated as transformational often worked with platoon sergeants who were rated as transactional ( $r = .26, p < .05$ ), and platoon leaders who were rated as more transactional tended to work with

platoon sergeants who were rated as more transactional ( $r = .24, p < .05$ ) and less passive-avoidant ( $r = -.23, p < .05$ ) (p. 211). For the platoon leaders, both transformational and transactional contingent reward leadership styles were significantly and positively correlated with platoon performance (transformational:  $r = .30, p < .01$ ; transactional:  $r = .31, p < .01$ ), while passive-avoidant leadership styles were negatively related to platoon performance ( $r = -.30, p < .01$ ) (pp. 211-212). For the platoon sergeants' leadership styles, however, no such correlations to platoon performance were found.

Bass et al. (2003) then conducted a structural equation modeling procedure called partial least squares (PLS) to further analyze the correlations and possible causal relationships among their study variables. They found that transformational leadership for both the platoon leaders (path coefficient =  $.11, p < .001$ ) and the platoon sergeants (path coefficient =  $.16, p < .001$ ) could be used to predict platoon performance directly (pp. 213-214). Transformational leadership also correlated positively with ratings of unit cohesion and potency (platoon leaders: path coefficient =  $.33, p < .001$ ; platoon sergeants: path coefficient =  $.35, p < .001$ ), which in turn correlated positively with platoon performance (path coefficients =  $.17, p < .001$ ). However, contrary to Bass et al.'s expectations, both transformational and transactional leadership of platoon leaders similarly predicted platoon performance (path coefficients =  $.11, p < .001$ ) (p. 213). Overall, leadership style alone accounted for 57% of the variance in platoon cohesion ratings and 36% of the variance in platoon potency ratings, while leadership style and platoon cohesion and potency ratings together accounted for 14% to 15% of the variance in platoon performance (p. 214).

Several interesting observations were noted by Bass et al. (2003) in their analyses of the limitations of their study. In their tests for possible respondent turnover effects, they



found no significant differences in their overall results when they eliminated all respondents who had been in their platoons for less than three months. However, they noted that the mean transformational leadership ratings for the platoon leaders was 2.63 for the subset, which was slightly higher than the comparable mean of 2.61 for the total sample (p. 216). Bass et al. interpreted this to indicate the possibility that a more transactional leadership style may be required for groups containing a higher proportion of relatively new employees. They also examined the qualitative comments made by the independent observers during their performance ratings and found that judgments of mission failures were often accompanied by notations related to platoon members' inexperience. Another observation resulting from their review of the qualitative comments was that platoons given successful performance ratings were often accompanied by descriptions of good working relationships between those platoons' leaders and sergeants. Bass et al. concluded that "it would have been worthwhile to measure the collective leadership of the platoon leader and sergeant and to use this measure as an additional predictor of the platoon's overall performance" (p. 217).

Boehnke, Bontis, DiStefano, and DiStefano (2003): Transformational Leadership and Culture

Boehnke, Bontis, DiStefano, and DiStefano (2003) were interested in examining the possibility of the universality of exceptional leadership behavior, both across national boundaries and across different corporate cultures. Using Bass' (1985) theory of transformational leadership as a framework for their qualitative study, Boehnke et al. asked senior managers of a global petroleum company to write narratives describing a work experience that they felt resulted in exceptional organizational performance, together with the leadership and management principles that they felt were influential in generating that

performance. In all, 145 reports were content analyzed to determine themes common to the narratives (p. 8). To study differences across national boundaries, Boehnke et al. divided the reports into six broad clusters of countries:

1. America (USA)
2. Northern Europe (Norway, the Netherlands, Hungary, Sweden)
3. Southern Europe (France, Italy, Spain, Belgium)
4. Latin America (Argentina, Puerto Rico, Panama, Chile, Brazil, Cuba)
5. Far East (Hong Kong, Thailand, Malaysia, Japan, Singapore)
6. The Commonwealth (Canada, Great Britain, Australia)

In addition, to examine cultural differences within the global corporation, Boehnke et al. created a separate grouping of the reports by division: the Petroleum Division and the Chemical Division. For each of the groupings (country and division), they then conducted *t*-tests to explore significant differences in thematic content of each group's report (p. 8).

Based on their study of prior literature, Boehnke et al. (2003) expected to find more references to transformational leadership themes (visioning, inspiring, stimulating, coaching, and team-building) than to either transactional leadership themes (rewarding/recognizing, correcting) or laissez-faire themes (avoiding) in the descriptions of exceptional organizational performance across all clusters (p. 6). Their content analyses bore out these predictions, with the following percentages representing the proportion of reports including the transformational theme listed: (a) *visioning*: 89%, (b) *intellectual stimulation*: 80%, (c) *team-building and coaching*: 73%, and (d) *inspiring*: 68% (p. 8). The only transactional theme mentioned in more than half of the reports was *recognizing/rewarding* at 62% (p. 8). The transactional theme of *correcting* was mentioned in only 15% of the reports, and the

laissez-faire theme of *avoiding* was mentioned in only 3% of the reports (p. 8). Even when these two themes were mentioned, they were often merely offered as a contrast to the transformational leadership behaviors which were deemed to be responsible for the exceptional organizational performance events being described.

Boehnke et al. (2003) noted few major differences in leadership themes across the six country clusters, concluding that transformational leadership themes could therefore be described as being universal. Exceptions to this pattern of universality included the following statistically significant results:

1. The America group reported more correcting behaviors than did the Latin America group ( $0.23 > 0.00$ ,  $t = 4.01$ ,  $p < .001$ ).
2. The Southern Europe group reported more recognizing behaviors than did the Far East and Latin America groups ( $1.17 > 0.31$ ,  $t = 2.22$ ,  $p < .05$ ;  $1.17 > 0.31$ ,  $t = 2.14$ ,  $p < .05$ ).
3. The America group reported more team-building behaviors than did the Far East group ( $2.20 > 0.92$ ,  $t = 3.37$ ,  $p < .01$ ).
4. The America group reported more stimulating behaviors than did the Southern Europe group ( $2.52 > 1.25$ ,  $t = 2.42$ ,  $p < .05$ ).
5. The Southern Europe, Northern Europe, and Commonwealth groups all reported more inspiring behavior than did the Latin America group ( $2.17 > 0.70$ ,  $t = 2.22$ ,  $p < .05$ ;  $1.56 > 0.70$ ,  $t = 2.39$ ,  $p < .05$ ;  $1.55 > 0.70$ ,  $t = 2.10$ ,  $p < .05$ ) (p. 9).

Turning their attention to the groupings based on corporate division, Boehnke et al. (2003) noted that anecdotal descriptions of the Petroleum Division as compared to the Chemical Division varied in terms of perceived differences in degrees of formality,

hierarchical organization, employee empowerment, managerial experimentation, and change methods, with the Chemical Division considered to be more “free-wheeling” than the “conservative” Petroleum Division (p. 9). These differences were echoed in the descriptive reports of successful performance within these divisions:

1. The Chemical Division group reported all five transformational behaviors and the recognizing transactional behavior more frequently than did the Petroleum Division group. The differences between the groups in inspiring behaviors ( $1.52 > 1.19$ ), coaching behaviors ( $1.92 > 1.73$ ), and visioning behaviors ( $2.55 > 2.30$ ) were positive but not statistically significant. The only statistically significant differences between these groups were in stimulating behaviors ( $2.56 > 1.88$ ,  $t = 1.96$ ,  $p < .05$ ), team-building behaviors ( $2.53 > 1.45$ ,  $t = 3.27$ ,  $p < .01$ ), and recognizing behaviors ( $0.98 > 0.34$ ,  $t = 3.95$ ,  $p < .001$ ).
2. The Chemical Division group reported transactional correcting behaviors less frequently than did the Petroleum Division group, although the differences were not statistically significant (pp. 10 & 12).

Boehnke et al. (2003) concluded that while descriptions of transformational leadership behavior appeared to be universal, there were some apparent differences across countries and across organizational divisions in terms of specific leadership behaviors, or themes. Of particular interest was their note concerning the importance of the transformational leadership behavior of visioning: “...corporate vision is not likely enough to create exceptional performance on new initiatives or projects. If a manager wants to generate exceptional performance, [he or she needs] a vision specific to the task at hand and related to their own business unit” (p. 12). They further noted that, based on their content analyses of

the managers' reports, "organizational performance is directly related to the manager's ability to communicate a viable and realistic vision in order to gain respect and trust" (p. 12).

Hallinger (2003): Transformational and Instructional Leadership

Hallinger (2003), in a review of educational leadership literature from 1978 through 2003, noted that the two styles of principal leadership most recommended and studied were instructional leadership (prevalent during the 1980s) and transformational leadership (prevalent during the 1990s), with the focus shifting during the late 1990s to a blend of the two styles (p. 329). Hallinger felt that instructional leadership dealt primarily with issues of curriculum and instruction at schools (denoted as "first-order effects," or those having a direct impact on students), as opposed to the less direct "second-order effects" resulting from transformational leadership (p. 338). For example, he observed that Leithwood and Jantzi's (1999) study had showed that transformational leadership "had strong direct effects on school conditions (.80) which, in turn, had strong direct effects on classroom conditions," while "the direct effects of transformational leadership on classroom conditions are negative and non significant [*sic*]" (p. 467). Comparing the vision and goal orientation of the two leadership styles, Hallinger noted that instructional leadership "emphasizes clarity and organizational nature of shared goals, set either by the principal or by and with staff and community," whereas transformational leadership "emphasizes linkage between personal goals and shared organizational goals" (p. 344). In his recommendations for future research, Hallinger noted, "The transformational leadership construct does not assume that leadership is located in a single individual. Developing valid measures, as well as integrating and interpreting

leadership that is distributed across a variety of people [*sic*] requires even greater sophistication” (p. 341).

Marks and Printy (2003): Transformational and Instructional Leadership: Principal Leadership and School Performance

As noted above, Bass et al. (2003), in their study of transformational and transactional leadership in military platoons, had concluded that “it would have been worthwhile to measure the collective leadership of the platoon leader and sergeant and to use this measure as an additional predictor of the platoon’s overall performance” (p. 217). Marks and Printy (2003) addressed this gap with their study of the collaborative leadership relationships between school principals and their teachers and the subsequent effects on school performance as measured by instructional quality and student performance. Much as Boehnke et al. (2003) had concluded that “corporate vision is not likely enough to create exceptional performance on new initiatives or projects” (p. 12), Marks and Printy felt that transformational leadership was a necessary but insufficient condition for successful school reform efforts. Their model, based on the transformational leadership theories of Bass and Avolio (1993) and Leithwood, Jantzi, and Steinbach (1999) (as cited in Marks and Printy, p. 375), was summarized as follows:

Although the importance transformational leadership places on vision building can create a fundamental and enduring sense of purpose in the organization, the model lacks an explicit focus on teaching and learning. Instructional leadership, emphasizing the technical core of instruction, curriculum, and assessment, provides direction and affects the day-to-day activities of teachers and students in the school. The action orientation of shared instructional leadership moves a school staff forward to

accomplish each goal and, in so doing, to enact the vision. Transformational leadership builds organizational capacity whereas instructional leadership builds individual and collective competence (p. 377).

Marks and Printy (2003) proposed three research questions:

1. What is the relationship between transformational and shared instructional leadership in restructuring elementary, middle, and high schools?
2. How do schools with varying approaches to leadership differ according to their demographics, organization, and performance?
3. What is the effect of transformational and shared instructional leadership on school performance as measured by the quality of pedagogy and the achievement of students (p. 378)?

To answer these questions, Marks and Printy (2003) administered several qualitative and quantitative instruments to principals and teachers at a sample of 24 public schools (8 elementary, 8 middle, and 8 high) that had been deemed by the Center for Organization and Restructuring of Schools to have made substantial school reform efforts (p. 378). These primarily urban schools represented 16 states and 22 school districts across the United States, with each school having an average student population of 777, a substantial proportion of which were economically disadvantaged and minority students (p. 378). Students at the elementary and middle schools in the sample had average NAEP achievement scores at or above the national average, while NAEP scores at the high schools tended to be lower than the national average (p. 378).

A total of 910 teachers returned usable responses to a questionnaire that asked each teacher to rate his or her instructional practices, professional activities, and perceptions of his

or her school and its organization (p. 378). In addition, for one week during the fall semester and another week during the spring semester, a team of three researchers conducted observations and interviews with teachers, school administrators, other school personnel, and district administrators (p. 378). Particular attention was paid to the instructional and assessment practices of 144 core-class teachers (3 math teachers and 3 social studies teachers from each of the 24 schools), and a content analysis was performed of over 5,000 completed student assignments (p. 379). For subsequent analyses, Marks and Printy then defined the following study variables: (a) pedagogical quality as the sum of classroom instruction scores and assessment task scores, (b) academic achievement as the sum of averaged student scores in mathematics and social studies, (c) leadership as a composite of scores from content analyses of 24 case studies, one per school studied (pp. 379-382).

School leadership was analyzed in terms of (a) its transformational components (idealized influence, intellectual stimulation, individualized consideration, and inspirational motivation) (Bass & Avolio, 1993, as cited in Marks & Printy, p. 382) and (b) its division into three broad clusters of transformational leadership in education (mission centered, performance centered, and culture centered) (Leithwood et al., 1999, as cited in Marks & Printy, p. 382). A scatterplot analysis of the 24 schools in terms of transformational and instructional leadership identified four quadrants, or general patterns of leadership:

1. *Empty* (low transformational leadership with high instructional leadership): This quadrant was empty, leading Marks and Printy to their observation that transformational leadership was a necessary but not sufficient condition for instructional leadership.



2. *Low* (low transformational leadership with low instructional leadership): The nine schools in this quadrant were characterized by one of three situations: (a) principal surrogate administrative teams or teacher-in-charge approaches, (b) interim or new principals, or (c) established but ineffective principals.
3. *Limited* (high transformational leadership with low instructional leadership): In these six schools, principals' change efforts were focused on areas other than instruction, such as coordinated social services, structural innovations, or linkages with school reform networks.
4. *Integrated* (high transformational leadership with high instructional leadership): In all but one of these six schools, teachers viewed their responsibilities as extending beyond their individual classrooms and therefore also served as instructional leaders in conjunction with their principals (pp. 385-387).

Marks and Printy (2003) found several interesting differences among schools in the three occupied quadrants. Low leadership schools were smaller than both other sets of schools by about 300 to 350 students (p. 387). They also had higher proportions of poor students (51%) than the integrated leadership schools (24%,  $p < .05$ ) (p. 387). African American students constituted about 25% of the enrollment at low leadership schools, 21% at integrated leadership schools, and 18% at limited leadership schools (p. 387). Similar differences in proportions of Hispanic students were also evident: almost 30% at the low leadership schools, 17% at the integrated leadership schools, and 11% at the limited leadership schools (p. 387).

The largest differences were found in measures of student achievement, pedagogical quality, and school achievement levels. Differences in NAEP scores averaged -0.36 SD at the

low leadership schools, 0.13 SD at the limited leadership schools, and 0.36 SD at the integrated leadership schools (Marks and Printy, 2003, p. 387). Differences in pedagogical quality measures averaged  $-0.67$  SD at the low leadership schools,  $1.00$  SD at the limited leadership schools, and  $0.86$  SD at the integrated leadership schools ( $p < .01$ ) (p. 388). Differences in school achievement levels averaged  $-0.83$  SD at the low leadership schools,  $0.21$  SD at the limited leadership schools, and  $0.85$  SD at the integrated leadership schools ( $p < .001$ ) (p. 388). In summary, Marks and Printy noted, “Low leadership tended to be found in smaller schools where students were poor, minority, and lower achieving. Integrated leadership, in contrast, typified larger schools enrolling the lowest proportion of poor, minority, and lower achieving students, whereas limited leadership schools occupied a middle ground in relation to these school and student characteristics” (p. 388).

Marks and Printy (2003) theorized that perhaps the early efforts at school reform required principals to shift their leadership styles from instructional/managerial to more transformational, change-oriented approaches. However, subsequent emphases on accountability and standardization resulted in the need for a more integrated approach, blending the best of both transformational and instructional leadership styles. Observing both that the “absence of shared instructional leadership in schools that lacked transformational leadership is an important finding” and that “transformational leadership does not imply instructional leadership,” they concluded that the most effective model of school leadership consisted of “*integrated leadership* – transformational leadership coupled with shared instructional leadership” (p. 392, italics in original). In particular, Marks and Printy noted that their study had highlighted the importance of teachers occupying instructional leadership roles alongside their principals. This integrated leadership, coupled with the principals’

transformational and instructional leadership behaviors, were critical conditions for school success as measured by both pedagogical quality and student achievement.

Avolio, Zhu, Koh, and Bhatia (2004): Transformational Leadership, Organizational Commitment, Psychological Empowerment, and Structural Distance

Avolio, Zhu, Koh, and Bhatia (2004) conducted a study of nurses and their supervisors at a large Singapore hospital to determine whether or not psychological empowerment mediated the relationship between transformational leadership and organizational commitment and whether or not structural distance, in terms of hierarchical organizational levels, moderated that same relationship. A total of 255 staff nurses completed the Multifactor Leadership Questionnaire Form 5X (MLQ-5X), on which they rated the leadership styles of 117 senior staff nurses (SSNs, direct immediate level) and 54 nursing officers (NOs, indirect senior level), and a total of 265 other staff nurses rated their levels of psychological empowerment from both the SSNs and the NOs, in addition to their own levels of organizational commitment (p. 956).

Questionnaire responses were analyzed using correlational and hierarchical linear modeling (HLM) techniques. Avolio et al. (2004) found that psychological empowerment mediated the relationship between transformational leadership and organizational commitment at the indirect level (NOs) of leadership ( $\chi^2(236) = 384.25, p < .05, R^2 = 0.40$ ), but not at the direct level (SSNs) of leadership ( $\chi^2(241) = 101.45, p > .05, R^2 = 0.05$ ) (p. 961). Also, contrary to their expectations, transformational leadership at the direct level (SSNs:  $t = 1.71, p > .05$ ) had a weaker relationship with organizational commitment than at the indirect level (NOs:  $t = 2.00, p < .05$ ) (pp. 961-962).

Avolio et al. (2004) theorized that perhaps this unexpectedly high relationship between transformational leadership and organizational commitment at the indirect level in their study could have been due to cultural differences, since the dimension of power distance was not as high in Singaporean culture as in Western culture (Hofstede, 1991, as cited in Avolio et al., p. 963). They noted:

In a high-power distance culture, lower-level leaders (e.g., SSN in this study) differ from middle-level leaders (e.g., NO in this study) on the sharing of vision, values, and inspiration. Lower-level leaders may feel that their job is to take care of the day-to-day routine management...and leave longer-term issues like sharing of vision and values to higher-level leaders, like the NOs. Furthermore, in a high-power distance culture, the top management would be more likely to share the vision of the organization with those who are structurally closer to them than those who are further away (p. 963).

#### Transformational Leadership Theory: The Theoretical Framework for the Study

Although all three leadership theories – transformational, charismatic, and visionary – have the concept of leadership vision at their core, transformational leadership theory has been chosen as the framework for this study for the following reasons:

1. Transformational leadership theory is more richly designed and comprehensive than either charismatic or visionary theory (Avolio et al., 2004; Bass, 1998; Bass & Avolio, 1990; Hater & Bass, 1988; Lowe, Kroek, & Sivasubramaniam, 1996; Pielstick, 1998).

2. There is rigorous empirical support for the constructs defined in transformational leadership theory, including the construct of leadership vision (Berson, Shamir, Avolio, & Popper, 2001; Boehnke, Bontis, DiStefano, & DiStefano, 2003; Chui, Sharpe, & McCormick, 1996; Geijssel, Slegers, Leithwood, & Jantzi, 2002; Leithwood, 1994; Leithwood & Jantzi, 1999; Leithwood, Tomlinson, & Genge, 1996; Lowe et al., 1996; Pielstick, 1998; Roueche, Baker, & Rose, 1989).
3. Transformational leadership theory is a recommended framework for other studies in the field of educational leadership (Bass, 1998; Chui et al., 1996; Dumdum, Lowe, & Avolio, 2002; Geijssel et al., 2002; Hallinger, 2003; Hallinger & Heck, 1998; Heck & Hallinger, 2005; Henderson, Huffman, Caram, & Kennedy, 2000; Kirby, Paradise, & King, 1992; Leithwood, 1994; Leithwood & Jantzi, 1999; Leithwood et al., 1996; Lowe et al., 1996; Marks & Printy, 2003; Pielstick, 1998; Roueche et al., 1989).
4. Transformational leadership constructs can be measured using a widely tested, reliable, valid, and robust survey instrument, the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) designed specifically to measure its central tenets (Bass, 1985; Bass, 1998; Bass & Avolio, 1990; Hater & Bass, 1988; Lowe et al., 1996; Pielstick, 1998). The MLQ-5X, in addition to being the product of continual refinement over the years, can also be used to measure follower perceptions of leadership styles other than transformational (Bass, 1998; Bass & Avolio, 1990).

5. The dimensions of transformational leadership include behaviors and activities that can be taught, as opposed to being inborn and therefore untrainable (Chui et al., 1996; Jung, 2001; Kirby, Paradise, & King, 1992; Leithwood, 1994).

The constructs of transformational leadership theory originally expounded by Bass (1985) and subsequently refined by Bass and his colleagues (Avolio, Bass, & Jung, 1999; Bass & Avolio, 1990, 2000; Hater & Bass, 1988) have been delineated into a stable structure of six leadership behavior factors in three broad categories:

1. Transformational Leadership
  - a. Charisma/Inspirational: The leader provides a clear, energizing vision and serves as a role model for ethical conduct,
  - b. Intellectual Stimulation: The leader encourages followers to question past ideas and to think of new ways to improve upon them, and
  - c. Individualized Consideration: The leader understands the needs of each follower and works to help each follower reach his or her full potential.
2. Transactional Leadership
  - a. Contingent Reward: The leader provides clear descriptions of expected behaviors and rewards for good performance, and
  - b. Active Management by Exception: The leader actively monitors followers' performance and intervenes when necessary to ensure maintenance of current performance levels.
3. Passive-Avoidant Leadership: The leader intervenes, if at all, only when things go seriously wrong.

As recommended by several researchers and theorists (Bass, 1998; Bass & Avolio, 1990; Geijsel, Sleegers, Leithwood, & Jantzi, 2002; Henderson, Huffman, Caram, & Kennedy, 2000; Leithwood, 1994), measures of all six leadership behavior factors in all three categories (i.e., the MLQ-5X in its entirety) were included in the current study. In addition to the MLQ-5X, a researcher designed questionnaire, the Florida Educational Vision Questionnaire (FEVQ) was administered. Both questionnaires, including possible alternatives which were reviewed and determined not to be feasible to the current study, will be discussed more thoroughly in Chapter 3 (Methods).

### Chapter 2 Summary

Chapter 2 contained a review of the literature related to the study. It began with a general discussion of leadership theories and proceeded to a more detailed description of transformational, charismatic, and visionary leadership theories. The concept of leadership vision, found in all three theories, was examined and further defined. Prior research pertaining to these theories was also reported. Chapter 2 ended with the presentation of a rationale for the selection of transformational leadership theory as the framework for the current study.

Chapter 3 will give a detailed account of the methods used in this study. After a review of the problem statement and research questions, this chapter will provide descriptions of the following activities:

1. Selection of the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) to measure leadership style,

2. Development of the Florida Educational Vision Questionnaire (FEVQ) to measure educational vision,
3. Development of an educational vision alignment index to measure differences between superintendents' and principals' educational visions, and
4. Research procedures, including research context, populations and samples, data collection methods, and data analysis techniques.



## CHAPTER 3: METHODS

### Introduction

As outlined in Chapter 1, the purpose of this study was to address a gap in the organizational leadership research related to the sharing, or alignment, of leadership vision across organizational levels, with a focus on educational vision alignment in Florida K-12 public school districts. Chapter 2 contained a review of the literature related to this study, including a discussion of transformational, charismatic, and visionary leadership theories and their common construct, leadership vision. Prior research pertaining to these theories and to the vision construct was also reported. A rationale was presented for the selection of transformational leadership theory as a framework to guide the study.

Chapter 3 presents the methods used in conducting the current research study. After a brief reiteration of the problem statement and research questions, general overviews of the research perspectives and procedures used in the study are given. The survey instruments selected and developed for the research are described in detail, including a discussion of the development of a new index to measure educational vision alignment. The research context, populations, samples, and sampling procedures are then outlined. The chapter concludes with a description of the data collection steps and of the statistical analyses performed on the collected data.

### Problem Statement and Research Questions

Despite the scope of previous studies on transformational, charismatic, and visionary leadership, there has been a general lack of organizational leadership research on the content

of the leadership vision to determine whether or not that content is shared, or aligned, across different levels in any organization, including educational organizations such as school districts. In addition, a gap has been noted in the research on the importance of such an alignment of vision in organizations. In the specific case of school districts, the belief in the importance of an educational vision shared by district superintendents and their subordinate principals has been noted, but the determination of an alignment of the contents of the two sets of educational visions had not yet been explored prior to the current study.

The broad question addressed by the current research was this: To what degree are the educational visions of superintendents and principals aligned within Florida K-12 public school districts? Additional research questions that guided the research were:

1. What common themes can be found in the published vision statements of the 67 Florida K-12 public school districts?
2. To what extent, if any, do Florida K-12 public school district superintendents and their respective principals agree with one another on the importance of the common themes found in Florida school districts' published vision statements?
3. What is the relationship, if any, between educational vision alignment levels in Florida K-12 public school districts and principals' perceptions of their superintendents' leadership styles?
4. To what extent, if any, are there differences among Florida K-12 public school districts exhibiting different levels of educational vision alignment?

### General Research Perspective

As a first step toward answering the research questions, the current study examined the degree of alignment, or lack thereof, of the educational visions of Florida K-12 public school district superintendents and their subordinate principals. Although the study was fundamentally quantitative in nature, it included some qualitative elements, most notably in the development of the new educational vision questionnaire and in the analysis of respondent comments and answers to optional open-ended questions contained in the questionnaire.

### Overview of Research Procedures

To develop a measure of vision alignment, the contents of the published vision statements and other published statements of the 67 Florida school districts were collected and examined. A condensed list of common themes was derived from these statements, using methodology suggested by Miles and Huberman (1994) for data coding and content analysis and by Ryan (2004) on the use of Microsoft Word tables to perform those two functions. A questionnaire for rating the relative importance of these common themes was developed, pre-tested, and then administered to Florida superintendents and a selected sample of their principals (see Appendixes C and D for the Florida Educational Vision Questionnaire Superintendent and Principal Forms). Based on these ratings, an index of educational vision alignment was calculated and compared on the following subsets of these respondents:

1. All Florida superintendents and the combined sample of all principals, and
2. Individual district superintendents and the samples of principals within their districts.

Districts were ranked by the strength of their vision alignment indexes and compared to determine if they differed from one another in significant ways, such as operating costs, per pupil expenditures, school staff composition, student membership, student turnover rates, teacher descriptors (Florida Department of Education [FLDOE], 2003a), school district grades (FLDOE, n.d.), and superintendent selection methods (FLDOE, 2005c).

In addition to the newly developed Florida Educational Vision Questionnaire (FEVQ), which was administered to both superintendents and a sample of their principals, a second questionnaire, the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) (Avolio, Bass, & Jung, 1999), was administered to the sample of principals to obtain ratings of the leadership styles of their superintendents. The MLQ-5X has been widely used to classify leadership style as transformational, transactional, or laissez-faire (Avolio et al.). It was expected that vision alignment would be stronger in those districts having superintendents who, on the average, were rated as transformational by their principals.

### Instrumentation

Two survey instruments were used to collect data for the current study. The Florida Educational Vision Questionnaire (FEVQ) was developed by the researcher as a measure of educational vision (see Appendixes C and D). The FEVQ was administered to superintendents (FEVQ-S) and to a sample of their principals (FEVQ-P), and responses were then used to compute an educational vision alignment index (EVAI) for each school district. Additional demographic data were obtained both from responses to the FEVQ and from independent published sources of data on Florida K-12 public school districts (FLDOE, n.d ; 2003a; 2003b; 2005). A second questionnaire, the Multifactor Leadership Questionnaire

Form 5X (MLQ-5X), was administered only to the principal samples to obtain measures of their superintendents' leadership styles (Bass, Avolio, & Jung, 1999).

### Selection of a Measure of Leadership Style

While the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) is the most commonly accepted instrument for use in research framed by transformational leadership theory (Avolio, Bass, & Jung, 1999), three other instruments were first evaluated for possible use in this study, primarily due to their focus on the leadership vision construct. Descriptions of the psychometric properties of all four instruments follow, concluding with a rationale for the selection of the MLQ-5X to measure principals' perceptions of their superintendents' leadership styles.

### Other Instruments Considered as Measures of Leadership Style

#### Conger-Kanungo (C-K) Scale

The Conger-Kanungo (C-K) Scale was originally developed as a 25-item, 6-factor measure of charismatic leadership (Conger & Kanungo, 1994). In 1997, Conger, Kanungo, Menon, and Mathur subjected the scale to additional testing, reducing it to a more parsimonious, valid, and stable 20-item, 5-factor structure (pp. 293 & 300). The five new factors and their associated Cronbach's alphas were identified as (a) *strategic vision and articulation* ( $\alpha = .87$ ), (b) *sensitivity to the environment* ( $\alpha = .77$ ), (c) *sensitivity to members' needs* ( $\alpha = .84$ ), (d) *personal risk* ( $\alpha = .85$ ), and (e) *unconventional behavior* ( $\alpha = .74$ ) (p. 294). As evidence of the validity of the C-K scale, Conger et al. reported that the overall C-K scale correlated .69 with the Bass (1985) charisma scale (Conger et al., p. 295). This finding

replicated results reported during the initial development of the C-K scale, which defined the Bass charisma scale as consisting of “the six items with the highest loading on the charisma factor in Bass’ (1985) study” (Conger & Kanungo, 1994, p. 443). In an additional validation of the scale, Conger et al. compared the five C-K subscales with the five subscales of Yukl’s Managerial Practices Survey (MPS), achieving alpha reliabilities between .75 and .87 (Conger et al., p. 296; Yukl, Wall, & Lepsinger, 1990).

Conger and Kanungo (1994) considered the C-K Scale to be a valid and reliable measure of the charismatic leadership style, including reliable measures of the leadership behaviors of strategic vision and vision articulation. They also felt that “the two formulations of charismatic and transformational in the organizational literature are highly complementary and study the same phenomenon only from different vantage points” (p. 442). However, the C-K Scale was not selected for the current study, since measures of additional leadership styles besides charismatic or transformational were desired.

#### Leadership Practices Inventory (LPI)

Another instrument considered for use in the current research was Kouzes and Posner’s (1995) Leadership Practices Inventory (LPI). Like the C-K Scale, the LPI was reported as having high internal reliability, as measured by Cronbach’s alpha, on its five subscales: (a) *challenging the process* ( $\alpha = .81$ ), (b) *inspiring a shared vision* ( $\alpha = .87$ ), (c) *enabling others to act* ( $\alpha = .85$ ), (d) *modeling the way* ( $\alpha = .81$ ), and (e) *encouraging the heart* ( $\alpha = .91$ ) (p. 343). In addition, Kouzes and Posner analyzed the validity of the LPI by correlating it with followers’ assessments of leader effectiveness, achieving a highly significant regression equation ( $F = 318.88$ , adjusted  $R^2 = .756$ ,  $p < .0001$ ) (pp. 349-350).

While the LPI was reported as having high reliability and validity, it was developed strictly as a measure of visionary leadership and was primarily recommended for use as “a management/leadership *development instrument*” (Kouzes & Posner, 1995, p. 351, italics in the original). Although the LPI could be quite useful as a feedback tool for helping managers and leaders improve their visionary leadership behaviors, it did not include the desired measures of alternate leadership styles and was therefore not selected for use in the current study. However, Posner and Kouzes (1990) had noted earlier that follower measures of leader behavior were more predictive of leader effectiveness than were leader measures of their own behavior, an idea that was used to guide the current research (see also Yukl, 1995, below).

#### Managerial Practices Survey (MPS)

The Managerial Practices Survey (MPS) was developed to assess a broad range of managerial and leadership behaviors in support of the Multiple Linkage Model (Yukl, 1989; Yukl, Wall, & Lepsinger, 1990). A revised form consisted of measures of 14 behavior categories: *networking, supporting, managing conflict/team-building, monitoring operations and environment, informing, clarifying roles and objectives, planning/organizing, problem solving, consulting, delegating, motivating/inspiring, recognizing, rewarding, and developing* (Kim & Yukl, 1995). Tracey and Hinkin (1998) later noted similarities between four of the MPS categories (*clarifying, inspiring, supporting, and team-building*) and the four elements of Bass and Avolio’s (1994) transformational leadership as measured by the Multifactor Leadership Questionnaire (MLQ) (*idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration*) (Tracey & Hinkin, p. 234). However, a

confirmatory factor analysis revealed that the four MPS scales and the four MLQ scales measured two different constructs of *managerial practices* and *transformational leadership* ( $\chi^2 = 105.47$ ;  $df = 19$ ;  $p < .01$ ) (p. 228). The goodness of fit index for the  $\chi^2$  test was 0.90, the comparative fit index was 0.97, the normed fit index was 0.96, the nonnormed fit index was 0.95, and the root mean square residual for the predicted minus observed correlation matrices was 0.02 (p. 228). A secondary finding was that the four MLQ scales were not supported as unique factors (i.e., fit indices not within the range of conventionally accepted values as defined by Bollen (1989)), instead loading into a single *transformational leadership* factor ( $\chi^2 = 1,738.37$ ;  $df = 703$ ;  $p < .01$ , goodness of fit index = 0.77, comparative fit index = 0.84, normed fit index = 0.77, nonnormed fit index = 0.83, root mean square residual for the predicted minus observed correlation matrices = 0.08) (Tracey & Hinkin, p. 228).

Due to its emphasis on specific managerial behaviors in lieu of broad leadership styles (Tracey & Hinkin, 1998), the MPS was not selected for use in the current study. However, two procedural findings documented by Kim and Yukl (1995) guided the data analysis phase:

1. Followers' responses can be effectively averaged into a single composite score per leader, and
2. Follower ratings of their leaders' behavior patterns can serve as more accurate predictors of leader effectiveness than leaders' self ratings of their own behaviors.

#### The Multifactor Leadership Questionnaire (MLQ)

The Multifactor Leadership Questionnaire Form 5X (MLQ-5X) (Avolio, Bass, & Jung, 1999), was selected for the current study to obtain principals' ratings of their



superintendents' leadership styles. The MLQ-5X is widely used to classify leadership style as transformational, transactional, or laissez-faire (Avolio et al.). In addition, the transformational leadership portion of the MLQ has been found to measure “a leadership construct that can be distinguished from the middle-range behaviors that are assessed by the MPS” (Tracey & Hinkin, 1998, p. 231). The Rater Form of the MLQ-5X was chosen instead of the Leader Form because of previous observations that follower ratings served as more accurate predictors of leader effectiveness than leaders' own ratings (Kim & Yukl, 1995). It was expected that vision alignment would be stronger in those districts having superintendents who, on the average, were rated as transformational by their principals.

As developed by Bass (1985), the MLQ represented “the initial conceptualization of the transactional and transformational leadership model” and included six leadership factors plus one non-leadership factor: (a) *charisma*, (b) *inspirational*, (c) *intellectual stimulation*, (d) *individualized consideration*, (e) *contingent reward*, (f) *management by exception*, and (g) *laissez-faire* or *non-leadership* (Bass & Avolio, 2000, p. 9). The MLQ has been repeatedly tested and refined by Bass and his colleagues (Avolio, Bass, & Jung, 1999; Bass & Avolio, 1990, 2000; Hater & Bass, 1988) into a more stable, valid, and reliable instrument. The MLQ-5X used in the current study consisted of nine leadership behavior factors divided into three broad categories:

1. Transformational Leadership:
  - a. Idealized Influence (Attributed) ( $\alpha = .86$ );
  - b. Idealized Influence (Behavior) ( $\alpha = .87$ );
  - c. Inspirational Motivation: The leader provides a clear, energizing vision and serves as a role model for ethical conduct ( $\alpha = .91$ );

- d. Intellectual Stimulation: The leader encourages followers to question past ideas and to think of new ways to improve upon them ( $\alpha = .90$ ); and
  - e. Individualized Consideration: The leader understands the needs of each follower and works to help each follower reach his or her full potential ( $\alpha = .90$ ).
2. Transactional Leadership:
- a. Contingent Reward: The leader provides clear descriptions of expected behaviors and rewards for good performance ( $\alpha = .87$ ); and
  - b. Active Management by Exception: The leader actively monitors followers' performance and intervenes when necessary to ensure maintenance of current performance levels ( $\alpha = .74$ ).
3. Passive-Avoidant Leadership:
- a. Passive Management by Exception: The leader intervenes, if at all, only when things go seriously wrong ( $\alpha = .82$ )
  - b. Laissez-Faire Leadership: The leader does not engage in any leadership behaviors ( $\alpha = .83$ ) (Bass & Avolio, 2000, p. 13).

As recommended by several researchers and theorists (Bass, 1998; Bass & Avolio, 1990; Geijssel, Slegers, Leithwood, & Jantzi, 2002; Henderson, Huffman, Caram, & Kennedy, 2000; Leithwood, 1994), measures of all nine of the leadership and non-leadership factors in all three categories (i.e., the MLQ-5X in its entirety) were included in the current study.

However, Bass and Avolio (2000), after consolidating and testing the results of three meta-analyses of research using the MLQ (Gaspar, 1992, as cited in Bass & Avolio, p. 2;

Patterson, Fuller, Kester, & Stringer, 1996, as cited in Bass & Avolio, p. 2; Lowe, Kroeck, & Sivasubramaniam, 1995), concluded that a more parsimonious measure of leadership style could be attained by using only six factors in three broad categories, which they defined as follows:

1. Transformational Leadership:
  - a. Charismatic/Inspirational: Provides followers with a clear sense of purpose that is energizing; a role model for ethical conduct which [*sic*] builds identification with the leader and his/her articulated vision ( $\alpha = .92$ ); and
  - b. Intellectual Stimulation: Gets followers to question the tried and true ways of solving problems, encourages them to question the methods they use to improve upon them ( $\alpha = .78$ ).
2. Developmental/Transactional:
  - a. Individualized Consideration: Focuses on understanding the needs of each follower and works continuously to get them to develop to their full potential ( $\alpha = .78$ ); and
  - b. Contingent Reward: Clarifies what is expected from followers and what they will receive if they meet expected levels of performance ( $\alpha = .74$ ).
3. Corrective Avoidant:
  - a. Management by Exception: Focuses on monitoring task execution for any problems that might arise and correcting those problems to maintain current performance levels ( $\alpha = .64$ ); and

- b. Laissez-Faire: Tends to react only after problems have become serious [enough] to take corrective action. Oftentimes will avoid making any decisions at all ( $\alpha = .86$ ) (pp. 29 & 38).

This six-factor model differed from the nine-model factor in several ways:

1. The two charismatic factors (Idealized Influence Attributed and Idealized Influence Behavior) and the Inspirational Motivation factor are merged into a single Charismatic/Inspirational factor,
2. The Transactional category is referred to as the Developmental/Transactional category,
3. The two Management by Exception factors are merged into one factor, and
4. The Management by Exception and Laissez-Faire factors are assigned to the category, Corrective Avoidant (pp. 28 & 38).

In developing this six-factor model, Bass and Avolio (2000) first tested eight alternative models using LISREL (p. 31). They determined that the six-factor model provided the best absolute fit, achieving “a significant improvement ( $p < .001$ ) in the chi-square [*sic*]value for the six-factor model as compared to each previous model” (p. 32). They noted, however, that results indicated the possible presence of higher level factors due especially to the smaller reliability alphas for the original Active Management by Exception scale ( $\alpha = .64$ ) and the Contingent Reward scale ( $\alpha = .74$ ) (p. 39). Upon further testing, they determined that the six factors fit best under the three higher order categories noted above (Transformational, Developmental/Transactional, and Corrective Avoidant), achieving a target coefficient of .91 (pp. 38-39).

Both the nine-factor and six-factor models described above were included in the data analysis for the current study. Calculating the nine factors will allow future researchers to compare the current study results with those of previous studies. Including the six-factor model analysis allowed additional testing of the model defined by Bass and Avolio (2000). As they noted, “Results of the current report potentially offer a more comprehensive survey tool for measuring leadership styles, which we anticipate can now be refined and improved upon in subsequent research” (p. 47).

The MLQ-5X Rater Form used in the current study contained 45 Likert-type items with responses ranging from “*Frequently, if not always*” to “*Not at all.*” Instructions on the MLQ-5X indicated that respondents (i.e., school principals) were to “[j]udge how frequently each statement fits the person you are describing” (Bass & Avolio, 2000, 55). The items included the following:

1. Leadership style measures (36 items),
2. Extra Effort measures (3 items),
3. Effectiveness measures (4 items), and
4. Satisfaction measures (2 items).

In addition to the leadership style measures discussed previously, and to allow comparison of the results of this study with those of previous studies, the Extra Effort, Effectiveness, and Satisfaction measures were included in the current data analysis.

Duplication permissions for a total of 650 copies of the MLQ-5X Rater Form were obtained from the publisher, Mind Garden, Inc. In addition, Mind Garden gave the researcher permission to remove those items at the top of the questionnaire that requested identifying

information (e.g., name, organization, and leader ID). Sample questionnaire items from the MLQ-5X can be found in Appendix E.

#### The Florida Educational Vision Questionnaire: A Measure of Educational Vision

Since no instruments existed to measure the content of educational visions, a questionnaire was developed by the researcher for use in the current study. Both the development of and the conceptual bases for the new Florida Educational Vision Questionnaire (FEVQ) are described in detail. Also, since the educational vision alignment index (EVAI) computed in this study was developed by the researcher, prior research using similar alignment indexes is reported.

#### Development of the Florida Educational Vision Questionnaire

The following process was used in the development of the Florida Educational Vision Questionnaire (FEVQ):

1. Vision, mission, values, beliefs, goals, strategy, slogan, and motto statements were collected from each school district's public web site (FLDOE, 2003b).
2. All published statements were entered into a Microsoft Word 2000 table.
3. All published educational vision statements were included in the search for common educational vision themes. For each district without an explicit published vision statement, that district's other collected statements were examined for elements of *educational vision*, defined by the researcher as a desirable, hopeful, and realistic future for the school district or for its stakeholders, including, but not necessarily limited to, students and their family

members, district administrative staff, school administrative and educational staff, and members of the general community.

4. Common educational vision themes were identified in the collection of selected statements, using coding methods recommended by Miles and Huberman (1994) in conjunction with Ryan's (2004) methodology for tagging and retrieving blocks of text in Microsoft Word.
5. The common themes identified in Step 4 were used to develop the Florida Educational Vision Questionnaire (FEVQ), which also included requests for standard demographic information and, in the case of the superintendents, a request for authorization to mail additional questionnaires to their subordinate principals.
6. The FEVQ was pretested, using an adaptation of the stages suggested by Dillman (2000) and detailed below:
  - a. Stage 1: Review by two knowledgeable colleagues and five university professors.
  - b. Stage 2: Cognitive interviews with two recently appointed district principals, one district guidance counselor, and one school district administrator. The two principals were excluded from their respective districts' population of principals for the final study.
  - c. Stage 3: Revision of the FEVQ and final review with a knowledgeable colleague and a university professor.

## Description of the Florida Educational Vision Questionnaire

The final versions of the FEVQ for superintendents (FEVQ-S) and the FEVQ for principals (FEVQ-P) can be found in Appendixes C and D. Each version consists of two main sections. Section I (Vision) contains the following items:

1. 31 district-centered vision themes, with a request to rate each theme on a 4-point Likert scale ranging from “*Extremely Important*” to “*Extremely Unimportant*,”
2. 31 student-centered vision themes, with a request to rate each theme on a 4-point Likert scale ranging from “*Extremely Important*” to “*Extremely Unimportant*,”
3. A request to rank the top three district-centered themes,
4. A request to rank the top three student-centered themes,
5. An optional area for respondents to share their personal educational vision statements, and
6. An optional area for any additional comments.

Section II (Demographic) contains requests for the following information:

1. Number of years in the school or district,
2. Grade levels taught at school (on FEVQ-P only),
3. Total years as a principal or superintendent,
4. Total years in the field of education,
5. Highest degree earned,
6. Gender,
7. Age,
8. Permission to send questionnaires to district principals (on FEVQ-S only),
9. Optional contact information, and



10. Optional areas for respondents to order copies of the final research report.

Development of the Educational Vision Alignment Index

The Educational Vision Alignment Index (EVAI) was developed by the researcher as a proxy measure of educational vision alignment in Florida school districts and was based on similar concepts of difference scores, variously called *goal congruence* (Jauch, Osborn, & Terpening, 1980), *job profile similarity* (Sparrow, 1989), *perceptual congruence similarity* (Hatfield & Huseman, 1982; Wexley, Alexander, Greenawalt, & Couch, 1980; White, Crino, & Hatfield, 1985), *profile similarity* (Edwards, 1993, 1994); *value congruence* (Cable & Edwards, 2004; Kalliath, Bluedorn, & Strube, 1999), and *work value congruence* (Meglino, Ravlin, & Adkins, 1992). Depending upon the research goals, the measurement instrument, and population and sample characteristics, one of several different equations can be used to quantify the degree of similarity or dissimilarity between variables. Table 4 contains a summary of equations used in prior difference score studies.

Table 4

Calculations of the Degree of Similarity or Dissimilarity

Equation	Description	Researcher(s)
1 $\Sigma(S-P)$	Sum of difference scores	Sparrow (1989, p. 338)
2 $\Sigma S-P $	Sum of absolute value of difference scores	Jauch, Osborn, & Terpening (1980, p. 545) Wexley, Alexander, Greenawalt, & Couch (1980, p. 324)
3 $\Sigma(S-P)^2$	Sum of squared difference scores	Meglino, Ravlin, & Adkins (1992, p. 35)
4 $\text{SQRT}[\Sigma(S-P)^2]$	Square root of the sum of squared difference scores	Hatfield & Huseman (1982, p. 352) White, Crino, & Hatfield (1985, p. 734)
5 Polynomial regression equations	Maps of self ratings, other ratings, and outcomes onto a 3-D surface	Cable & Edwards (2004) Edwards (1993, 1994) Kalliath, Bluedorn, & Strube (1999)

Edwards (1993) provided a comprehensive analysis of all five of these methods. Based on his guidelines, equations 3 and 4 in Table 4 were selected as possible candidates for the current study's data analysis. Equation 1 was not used, as the current study's focus was on the magnitude of vision alignment, without regard to the direction of any differences. Equation 2 was also not used, since the superintendent and principal scores on the FEVQ items were not normally distributed. And although Edwards favored the use of polynomial regression equations, he did note that if a large number of difference scores were being analyzed, its results could be difficult to interpret. Since 62 total difference scores per district were being analyzed, equation 5 was also not used for the current study. Preliminary data analyses performed on the SPSS 11.5 data file indicated that equation 3 was appropriate for detecting smaller amounts of absolute differences in item scores. However, equation 4 results had the benefit of being more similar to the original item scale and often easier to interpret. Therefore, both measures were compared and contrasted during the data analysis phase of the current study.

#### Reliability of the Florida Educational Vision Questionnaire

Since this was the first large scale use of the researcher developed Florida Educational Vision Questionnaire (FEVQ), several tests were performed using the collected responses to determine its reliability. Once all responses were imported into the SPSS 11.5 data file, a Cronbach's alpha test was done for each vision category on the FEVQ separately (31 district-centered items and 31 student-centered items) and for all vision responses as a group. Cronbach's alpha is used as "[a] measure of internal reliability or consistency of the items in an index" and "can be used for test items that have more than two answers, such as

Likert scales” (Vogt, 1999, p. 64). In addition, a factor analysis was performed to determine if the FEVQ vision-related items could be collapsed into a smaller number of items for future use (Vogt).

### Research Procedures

The current research study was conducted in the state of Florida during the year 2005 and encompassed all 67 Florida K-12 public school districts. Superintendent and principal respondents were given assurances of confidentiality, and hence no identifying information has been included in the report of the results. This section describes the populations and samples used in the study, including a detailed description of the steps taken for data collection. It concludes with a discussion of the data analyses that were used to answer the four research questions.

### Populations and Samples

Table 5 presents information on the composition of the Florida K-12 public school district superintendent and principal populations and samples used in the current study. These data are discussed further below.

Table 5

## Superintendent and Principal Summary Data

	Population/ Sampling Frame Totals (N)	Total Surveys Mailed (Sample)	Total Surveys Returned	Total Response Rates	Usable Surveys Returned	Usable Response Rates
Superintendents	$N_S = 67$	67	45	67.2%	$n_S = 23$	34.3%
Principals:						
Elementary	$N_E = 354$	93	35	37.6%	$n_E = 31$	33.3%
Middle	$N_M = 118$	73	32	43.8%	$n_M = 22$	30.1%
High	$N_H = 100$	76	38	50.0%	$n_H = 29$	38.2%
Total Principals	$N_P = 572$	242	105	43.4%	$n_P = 82$	33.9%

Superintendents

All 67 Florida K-12 public school district superintendents were surveyed ( $N_S = 67$ ) (FLDOE, 2003b). After the two follow-ups, a total of 45 superintendents had responded, with 23 superintendents granting the researcher permission to distribute questionnaires to principals in their districts. Thus the total response rate for superintendents was 67.2%, and the usable response rate for superintendents was 34.3%.

Principals

The sampling frame of principals for the current study consisted of a subset of principals in the 23 districts whose superintendents had given authorization to distribute additional surveys (FLDOE, 2003b). In those 23 districts, the total sampling frame of school

principals was 572 and consisted of 354 elementary, 118 middle, and 100 high school principals. The random selection process outlined in the Data Collection section below resulted in a total sample of 242 school principals ( $N_P = 242$ ) and consisted of 93 elementary ( $N_E = 93$ ), 73 middle ( $N_M = 73$ ), and 76 high school principals ( $N_H = 76$ ). A total of 103 principals from the 23 districts responded, representing a total response rate for principals of 43.4%. Principals in two of the districts elected not to participate in the study. Of the 103 principals responding, a total of 82 principals representing 21 districts completed the FEVQ-P and MLQ-5X ( $n_P = 82$ ,  $n_E = 31$ ,  $n_M = 22$ ,  $n_H = 29$ ). Thus the usable principal response rate for the 21 districts was 33.9%.

#### Data Collection

School district characteristics were obtained from the online Florida School Indicators Report (FSIR) (FLDOE, 2003a), the 2004 School Grades by District report (FLDOE, n.d.), and the online Florida Public School Superintendents report (FLDOE, 2005c). The FSIR contains data on district characteristics such as operating costs, per pupil expenditures (exceptional students, regular students, at-risk students, and vocational students), school staff composition (administrative, instructional, and support personnel), student membership, student mobility rates, student stability rates, and teacher descriptors (advanced degrees and average years of experience). The 2004 School Grades by District report contains both the school grades for each district and the total number of schools per district. The Florida Public School Superintendents report contains general school district information and superintendent status (i.e., elected or appointed) information.

Two survey instruments were used in the data collection for the current study. One was a new instrument developed for the study, and the other was an existing instrument. The Florida Educational Vision Questionnaire (FEVQ) was developed by the researcher as a measure of educational leadership vision (see Appendixes C and D). The FEVQ was administered to both superintendents and their subordinate principals to determine their degree of educational vision alignment. Superintendent and principal demographic information were also obtained as part of the FEVQ. In addition, each principal completed the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) to rate his or her superintendent's leadership style (Avolio, Bass, & Jung, 1999).

The data collection was conducted in three phases:

1. Phase I - Initial Preparations: For details, see the section above titled *Development of the Florida Educational Vision Questionnaire*.
2. Phase II – Superintendent Surveys:
  - a. In April 2005, the superintendent cover letter (see Appendix A) and the FEVQ Superintendent Form (FEVQ-S) (see Appendix C) were mailed to all 67 Florida public school district superintendents. District mailing addresses were obtained from the FLDOE's *School District Data* public web site (FLDOE, 2003b).
  - b. Three districts required the completion of additional permission requests, which were sent in April 2005. Permission to conduct the study was received by two of those districts, and those superintendent cover letters, permission forms, and FEVQ-S questionnaires were mailed in May 2005.

- c. In May 2005, reminder letters (see Appendix J) were sent to superintendent nonrespondents, and thank you letters (see Appendix H) were sent to all superintendent respondents. As a result of the reminder letters, additional copies of the FEVQ-S were mailed to two superintendents who requested them.
  - d. In August 2005, a second copy of the FEVQ-S with cover letter was mailed to 32 superintendent nonrespondents. As a result of the reminder letters, eight superintendents returned completed questionnaires during August and September 2005. Thank you letters were sent to these superintendents in September 2005.
3. Phase III – Principal Surveys:
- a. From May 2005 through October 2005, mailings were sent to district principals as soon as the superintendent responses and permissions were received. The principal cover letter (see Appendix B), the Florida Educational Vision Questionnaire Principal Form (FEVQ-P) (see Appendix D), and the MLQ-5X (Avolio et al., 1999) were mailed to at least 15 principals, including at least 5 per school level (elementary, middle, and high), in those districts whose superintendents returned usable responses to the FEVQ-S and also authorized the subsequent questionnaire mailings to their subordinate principals. The following guidelines were used to select the school principals to be surveyed in each district:
    - i. If a district contained a combined total of 15 or less schools at all 3 educational levels (FLDOE, n.d.), questionnaires were mailed to the

total population of district principals, using the school mailing addresses listed at the FLDOE's *Florida Districts & Schools* web site (FLDOE, 2004).

- ii. If a district contained more than 15 schools (FLDOE, n.d.), a random sample of at least 5 principals was selected from each level (elementary, middle, and high), using the school addresses listed at the FLDOE's *Florida Districts & Schools* web site (FLDOE, 2004). However, if any individual level (elementary, middle, or high) contained 5 or less schools, the total population of principals at that level was surveyed.
- iii. The following multistage algorithm was used for selecting the principals to survey at each educational level (elementary, middle, and high):
  1. The list of each district's schools by level (elementary, middle, or high), available at the FLDOE's *Florida Districts & Schools* web site (FLDOE, 2004), was used as a starting point.
  2. If any individual level (elementary, middle, or high) contained 5 or less schools, all district principals at that level were surveyed.
  3. If the district contained a combined total of 15 or less schools at all 3 levels, all principals in that district were surveyed.
  4. If any individual level (elementary, middle, or high) marked for sampling contained more than 5 schools, a random sample of 5 district principals at that level was selected, using a random seed number less than 5 generated in Microsoft Excel 2000 as a starting point on the alphabetical list of schools (FLDOE, 2004) and then



selecting every *n*th principal, where *n* equaled the total number of schools at that level divided by 5, until a sample of at least 5 schools was obtained. This may have required several iterations across the alphabetized list of schools at each level (Mertens, 1998, 259-261).

- b. Approximately four weeks after each set of principal mailings, reminder letters (see Appendix K) and additional copies of the FEVQ-P and MLQ-5X were sent to principal nonrespondents, and thank you letters (see Appendix I) were sent to all principal respondents.

### Data Analyses

All usable questionnaire responses (FEVQ-S, FEVQ-P, and MLQ-5X) were initially entered into a Microsoft Excel 2000 spreadsheet to perform computations for district averages, leadership style measures, and the Educational Vision Alignment Index (EVAI). Within each district, items on the FEVQ-P and the MLQ-5X were averaged into one composite score per item, following the procedure recommended by Kim and Yukl (1995). Once all the preliminary calculations were performed, the contents of the Microsoft Excel 2000 spreadsheet were uploaded into an SPSS 11.5 data file. Since descriptive statistics revealed non-normal distributions of variables, and because of the relatively small sample sizes, nonparametric SPSS statistical tests were selected to assist in determining the answers to the research questions as outlined below (Aron & Aron, 2002; Shavelson, 1996; SPSS, 2002; Vogt, 1999).

Research Question 1: What common themes can be found in the published vision statements of the 67 Florida K-12 public school districts?

The process of collecting district vision, mission, values, beliefs, goals, strategy, slogan, and motto statements to generate vision themes is discussed in detail above in the section titled *Development of the Florida Educational Vision Questionnaire*. Using data reduction techniques suggested by Ryan (2004) and Miles and Huberman (1994), these vision themes were reduced via an iterative process in which themes were grouped and collapsed into like categories. Following eight such iterations, the initial 20 pages of vision statements were condensed to two pages of vision themes, with each page related to one of two broad categories: district-centered themes and student-centered themes. These broad categories contained 31 themes apiece, which then became the basis for the vision-related items on the Florida Educational Vision Questionnaire (FEVQ).

Research Question 2: To what extent, if any, do Florida K-12 public school district superintendents and their respective principals agree with one another on the importance of the common themes found in Florida school districts' published vision statements?

The researcher developed the Educational Vision Alignment Index (EVAI) to assist in answering this question. All usable FEVQ-S, FEVQ-P, and MLQ-5X survey responses were first entered into a Microsoft Excel 2000 worksheet. Then the automated calculations of the EVAI were set up as formulas in that spreadsheet, based on responses to the first 62 items on the FEVQ (31 district-related items plus 31 student-related items). These calculations were based on difference score indexes recommended in the research on profile similarity and value congruence (Cable & Edwards, 2004; Edwards, 1993, 1994). For each of the 62 items within a single district, each principal's FEVQ-P item response was first subtracted from his or her superintendent's corresponding FEVQ-S item response, and that difference

was squared. The squared differences for each survey item were totaled across all principals in the district, and the square root of the average of this sum was defined as the Educational Vision Alignment Index (EVAI).

Also for each district, all principals' responses to each MLQ-5X item were averaged, as recommended by Kim and Yukl (1995). The scores for transformational, transactional, and laissez-faire leadership styles and the scores for extra effort, effectiveness, and satisfaction were computed from these averages and assigned to that district's superintendent (Bass & Avolio, 2000).

The contents of the Microsoft Excel 2000 spreadsheet, including all the calculations defined above, were imported into an SPSS 11.5 data file for further analysis. To determine whether or not the districts' EVAI value categories varied significantly by district, the SPSS Chi Square Goodness of Fit nonparametric function was used (Aron & Aron, 2002; Shavelson, 1996; SPSS, 2002; Vogt, 1999).

Research Question 3: What is the relationship, if any, between educational vision alignment levels in Florida K-12 public school districts and principals' perceptions of their superintendents' leadership styles?

The EVAI was compared to the MLQ-5X averages using the following nonparametric statistical tests available in SPSS 11.5 (Aron & Aron, 2002; Shavelson, 1996; SPSS, 2002; Vogt, 1999):

1. Kendall's tau c (to measure the association between two ordinal variables having different numbers of categories),
2. Chi Square Test of Independence (to measure differences between two variables),

3. Mann-Whitney U-Test (to measure differences between ordinal variables for two independent groups),
4. Kruskal-Wallis Analysis of Variance (to measure differences between more than two independent groups), and
5. Friedman Analysis of Variance (to measure differences in ordinal variables between more than two related groups such as superintendents and their principals).

Research Question 4: To what extent, if any, are there differences among Florida K-12 public school districts exhibiting different levels of educational vision alignment?

Additional district data were downloaded from the Florida Department of Education (FLDOE, n.d., 2003a, 2005) and copied into the SPSS 11.5 data file described previously. The Educational Vision Alignment Index (EVAI) was then compared to the FLDOE data using the following nonparametric statistical tests available in SPSS 11.5 (Aron & Aron, 2002; Shavelson, 1996; SPSS, 2002; Vogt, 1999).:

1. Kendall's tau c (to measure the association between two ordinal variables having different numbers of categories),
2. Chi Square Test of Independence (to measure differences between two variables),
3. Mann-Whitney U-Test (to measure differences between ordinal variables for two independent groups),
4. Kruskal-Wallis Analysis of Variance (to measure differences between more than two independent groups), and
5. Friedman Analysis of Variance (to measure differences in ordinal variables between more than two related groups).

### Chapter 3 Summary

Chapter 3 gave a detailed account of the methods used in this study. In addition to a review of the research questions and a description of the general research perspective, this chapter provided descriptions of:

1. Survey instruments:
  - a. Multifactor Leadership Questionnaire Form 5X (MLQ-5X)
  - b. Florida Educational Vision Questionnaire (FEVQ)
2. Vision Alignment Index (VAI)
3. Populations and samples
4. Data collection methods, and
5. Analytical tools

Since both the FEVQ and the VAI were developed by the researcher specifically for this study, their conceptual bases and development steps were described in detail.

Chapter 4 will report the findings of the current study. Detailed data analyses related to each research question will be presented.

## CHAPTER 4: DATA ANALYSIS

### Introduction

As outlined in Chapter 1, the purpose of this study was to address a gap in the organizational leadership research related to the sharing, or alignment, of leadership vision across organizational levels, with a focus on educational vision alignment in Florida K-12 public school districts. Chapter 2 contained a review of the literature related to this study, including a discussion of transformational, charismatic, and visionary leadership theories and their common construct, leadership vision. Prior research pertaining to these theories and to the vision construct was also reported. A rationale was presented for the selection of transformational leadership theory as a framework to guide the study. Chapter 3 presented the methods used in conducting the current research study. The two survey instruments selected and developed for the research were described in detail, including a discussion of the development of a new index to measure educational vision alignment. The research context, populations, samples, and sampling procedures were then outlined. The chapter concluded with a description of the data collection steps and of the statistical analyses performed on the collected data.

Chapter 4 contains the results of the statistical analyses described in the previous chapter. It begins with a comparison of school districts included in and omitted from the analyses. Factor analyses and reliability analyses are presented for the two survey instruments used in the current study, the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) and the newly created Florida Educational Vision Questionnaire (FEVQ). The

chapter concludes with descriptions of the statistical analyses performed to assist in answering each of the four research questions.

### Population and Sample Characteristics

Table 6 presents information on the composition of the Florida K-12 public school district superintendent and principal populations and samples used in the current study.

These data are discussed further below.

Table 6

#### Superintendent and Principal Response Rate Information

	Population/ Sampling Frame Totals ( <i>N</i> )	Total Surveys Mailed (Sample)	Total Surveys Returned	Total Response Rates	Usable Surveys Returned	Usable Response Rates
Superintendents	$N_S = 67$	67	45	67.2%	$n_{S1} = 23$ $n_S = 20$	34.3% 29.9%
Principals:						
Elementary	$N_{EP} = 354$	93	35	37.6%	$n_{EP} = 31$	33.3%
Middle	$N_{MP} = 118$	73	32	43.8%	$n_{MP1} = 22$ $n_{MP} = 21$	30.1% 28.8%
High	$N_{HP} = 100$	76	38	50.0%	$n_{HP} = 29$	38.2%
Total Principals	$N_P = 572$	242	105	43.4%	$n_{P1} = 82$ $n_P = 81$	33.9% 33.5%

#### Superintendent Response Rates

All 67 Florida K-12 public school district superintendents were surveyed ( $N_S = 67$ ) (Florida Department of Education [FLDOE], 2003b). After two follow-up contacts were made, a total of 45 superintendents responded, with 23 superintendents granting the

researcher permission to distribute questionnaires to principals in their districts. Thus the total response rate for superintendents was 67.2%, with an initial adjusted usable response rate for superintendents of 34.3% ( $n_{SI} = 23$ ). Two further adjustments of the superintendent response rate were later necessary. First, principals in two of the respondent superintendents' districts elected not to participate in the study at all. Second, the sole principal respondent in one of the districts elected not to complete the MLQ-5X survey. As a result, the final adjusted usable response rate for superintendents was 29.9% ( $n_S = 20$ ).

### Principal Response Rates

The sampling frame of principals for the current study consisted of a subset of principals in the 23 districts whose superintendents had given authorization to distribute additional surveys (FLDOE, 2003b). In those 23 districts, the total sampling frame of school principals was 572 and consisted of 354 elementary, 118 middle, and 100 high school principals. The random selection process resulted in a total sample of 242 school principals ( $N_P = 242$ ) and consisted of 93 elementary ( $N_{EP} = 93$ ), 73 middle ( $N_{MP} = 73$ ), and 76 high school principals ( $N_{HP} = 76$ ). A total of 103 principals from the 23 districts responded, representing a total response rate for principals of 43.4%. Principals in two of the districts elected not to participate in the study. Of the 103 principals responding, a total of 82 principals representing 21 districts completed both the FEVQ-P and MLQ-5X ( $n_{P1} = 82$ ,  $n_{EP} = 31$ ,  $n_{MP1} = 22$ ,  $n_{HP} = 29$ ). However, one of the middle school principals, who was also the sole principal respondent for that school district, elected not to complete the MLQ-5X, reducing the usable middle school principal responses by one ( $n_{MP} = 21$ ) and yielding a final adjusted usable principal response rate of 33.5% ( $n_P = 81$ ).



## Superintendent Demographic Data

Demographic data for the 20 superintendents with usable responses are summarized in Table 7. Most of the demographic data were obtained from superintendents' responses to items on the researcher developed Florida Educational Vision Questionnaire Superintendent Form (FEVQ-S). The superintendent elected or appointed status was obtained from the Florida Department of Education (FLDOE) web site (FLDOE, 2003b). Eighty percent ( $n_s = 16$ ) of the superintendent respondents had served as superintendents in their current school districts for less than 9 years, with 30% ( $n_s = 6$ ) serving for less than one year. Eighty-five percent ( $n_s = 17$ ) had served as superintendents either in their current district or in another school district for less than 12 years, and 25% ( $n_s = 5$ ) had been superintendents in their current or another school district for less than one year. All of the superintendents had accumulated at least 11 total years of experience in the field of education, with 85% ( $n_s = 17$ ) having more than 20 years of experience in education. Most of the superintendent respondents had either a master's degree (45%,  $n_s = 9$ ) or a doctoral degree (40%,  $n_s = 8$ ). Ten percent ( $n_s = 2$ ) had educational specialist's degrees, and only five percent ( $n_s = 1$ ) had a bachelor's degree. Eighty-five percent of the superintendents ( $n_s = 17$ ) were male, and most of the superintendents (70%,  $n_s = 14$ ) were 50 to 59 years old. Sixty-five percent of the superintendents ( $n_s = 13$ ) had been elected instead of appointed.

Table 7

## Superintendent Respondents' Demographic Information

Superintendent Responses ( $n_S = 20$ )		Frequency	Valid Percent	Cumulative Percent
Years as Superintendent in District:	Less than 1 year	6	30.0	30.0
	1-2 years	3	15.0	45.0
	3-5 years	5	25.0	70.0
	5-8 years	2	10.0	80.0
	9-11 years	3	15.0	95.0
	12-14 years	1	5.0	100.0
Total Years as Superintendent:	Less than 1 year	5	25.0	25.0
	1-2 years	1	5.0	30.0
	3-5 years	5	25.0	55.0
	5-8 years	3	15.0	70.0
	9-11 years	3	15.0	85.0
	12-14 years	2	10.0	95.0
	15-17 years	1	5.0	100.0
Years in Field of Education:	11-15 years	1	5.0	5.0
	16-20 years	2	10.0	15.0
	21 or more years	17	85.0	100.0
Highest Degree Earned:	Bachelor's	1	5.0	5.0
	Master's	9	45.0	50.0
	Education Specialist's	2	10.0	60.0
	Doctorate	8	40.0	100.0
Gender:	Female	3	15.0	15.0
	Male	17	85.0	100.0
Age:	30-39 years	1	5.0	5.0
	40-49 years	3	15.0	20.0
	50-59 years	14	70.0	90.0
	60-69 years	2	10.0	100.0
Elected or Appointed:	Elected	13	65.0	65.0
	Appointed	7	35.0	100.0

## Principal Demographic Data

Demographic data for the 81 principals with usable responses are summarized in Table 8. All of the demographic data were obtained from principals' responses to items on the researcher developed Florida Educational Vision Questionnaire Principal Form (FEVQ-P). There were 31 elementary school principals, 21 middle school principals, and 29 high school principals in the usable principal response pool. Most of the principal respondents (77.8%,  $n_P = 63$ ) had served as principals in their current schools for less than 9 years, with 21% ( $n_P = 17$ ) serving in their current schools for less than one year. A majority (58%,  $n_P = 47$ ) had served as principals either in their current school or in another school for less than 9 years. All of the principals had accumulated a total of at least 11 years of experience in the field of education. On the average, principals had higher levels of education than did the superintendents. More than 65% of the principals had attained their master's degrees, compared to only 45% of the superintendents. Another 16% of the principals had educational specialist's degrees, compared to 10% for the superintendents. The remaining 18.5% of the principals had doctoral degrees, compared to 40% for the superintendents. Unlike the superintendents, there were approximately equal number of male and female principals. But similar to the superintendents, most (60.5%,  $n_P = 49$ ) of the principals were 50 to 59 years old.

Table 8

## Principal Respondents' Demographic Information

Principal Responses ( $n_p = 81$ )		Frequency	Valid Percent	Cumulative Percent
Elementary/Middle/High School Principals	Elementary	31	38.3	38.3
	Middle	21	25.9	64.2
	High	29	35.8	100.0
Years as Principal in District:	Less than 1 year	17	21.0	21.0
	1-2 years	15	18.5	39.5
	3-5 years	16	19.8	59.3
	5-8 years	15	18.5	77.8
	9 or more years	18	22.2	100.0
Total Years as Principal:	Less than 1 year	10	12.3	12.3
	1-2 years	9	11.1	23.5
	3-5 years	16	19.8	43.2
	5-8 years	12	14.8	58.0
	9 or more years	34	42.0	100.0
Years in Field of Education:	11-15 years	7	8.6	8.6
	16-20 years	14	17.3	25.9
	21 or more years	60	74.1	100.0
Highest Degree Earned:	Master's	53	65.4	65.4
	Education Specialist's	13	16.0	81.5
	Doctorate	15	18.5	100.0
Gender:	Female	42	51.9	51.9
	Male	39	48.1	100.0
Age:	30-39 years	3	3.7	3.7
	40-49 years	21	25.9	29.6
	50-59 years	49	60.5	90.1
	60-69 years	8	9.9	100.0

## Comparison of Districts With Usable Responses to Districts With Unusable Responses

Numerical and categorical district data for all 67 school districts were compiled into an SPSS 11.5 data file and separated into two groups for comparison: (a) the 20 districts with fully usable responses and (b) the other 47 districts with either no responses or with unusable responses. All data compiled for these comparisons were obtained from Florida Department of Education (FLDOE) public web sites (FLDOE, n.d., 2003a, 2003b, 2005a, 2005c). Table 9 below contains the descriptive statistics of the numerical FLDOE data for the two groups of districts, and Table 10 contains the results of the independent  $t$  test conducted for the two groups. Tables 11 and 12 contain the descriptive statistics for the categorical FLDOE data for the two groups of districts. Of these, Table 11 summarizes the descriptive statistics for the 2004 and 2005 district grades, and Table 12 summarizes the descriptive statistics for the elected or appointed status of district superintendents for each of the two groups. Finally, Table 13 contains the results of the Pearson Chi-Square test for the three sets of categorical FLDOE data.

Table 9

Comparison of Districts With Usable Responses to Districts With Unusable Responses:  
Descriptive Statistics for Numerical FLDOE Data

Total Number of Districts = 67	Usable Response	<i>N</i>	Mean	Standard Deviation
Total Number of Schools in District (#)	Y	20	27.85	27.48
	N	47	44.43	67.29
Operating Expenses: Total Per Student (\$)	Y	20	5,508.80	290.10
	N	47	5,747.66	535.50
Operating Expenses: Per ESE Student (\$)	Y	20	8,332.55	693.71
	N	47	8,723.13	903.61
Operating Expenses: Per Regular Student (\$)	Y	20	4,707.60	331.83
	N	47	4,884.13	495.48
Operating Expenses: Per At-Risk Student (\$)	Y	20	5,042.10	2,491.18
	N	47	5,458.04	2,166.83
Operating Expenses: Per Vocational Student (\$)	Y	20	5,475.80	1,570.90
	N	47	6,094.53	1,556.49
Student Stability Rate (%)	Y	20	93.92	1.21
	N	47	93.80	1.08
School Staff: Administrative (#)	Y	20	71.27	70.48
	N	47	118.34	186.83
School Staff: Administrative (%)	Y	20	2.98	.61
	N	47	3.00	.49
School Staff: Instructional (#)	Y	20	1,596.03	1,565.23
	N	47	2,653.66	4,270.52
School Staff: Instructional (%)	Y	20	65.34	4.01
	N	47	63.66	5.19
School Staff: Support (#)	Y	20	737.08	728.49
	N	47	1,189.34	1,663.77

Table 9

Total Number of Districts = 67	Usable Response	<i>N</i>	Mean	Standard Deviation
School Staff: Support (%)	Y	20	31.67	3.96
	N	47	33.34	5.36
School Staff: Total (#)	Y	20	2,404.60	2,333.48
	N	47	3,961.15	6,099.39
Student Membership (#)	Y	20	24,428.70	23,878.36
	N	47	43,154.60	74,039.51
Teachers: Advanced Degrees (%)	Y	20	33.44	5.95
	N	47	30.45	7.57
Teachers: Average Years (#)	Y	20	12.02	3.77
	N	47	13.82	1.79
Student Dropout Rate (%)	Y	20	2.68	1.08
	N	47	3.46	1.75
Student Graduation Rate (%)	Y	20	77.18	6.33
	N	47	73.45	9.37

Table 10 below contains the results of an independent *t* test comparing the numeric data for the two groups of districts (FLDOE, n.d., 2003a). The only significant difference identified was with the average number of years experience of teachers in the two groups ( $t = -2.65$ ,  $df = 65$ ,  $p = .01$ ). On average, teachers in the usable response districts had 12.02 total years of teaching experience, compared with an average of 13.82 years for the other districts. Independent *t* test results were not significant for other numeric district variables such as total number of schools, operating expenses per pupil, student stability and mobility rates, student graduation and dropout rates, and total number of students and staff members.

Table 10

Comparison of Districts With Usable Responses to Districts With Unusable Responses:  
Independent *t* tests for Numerical FLDOE Data

	Levene's Test		<i>t</i>	<i>df</i>	Sig	Mean Diff	95% Confidence Interval of the Difference	
	<i>F</i>	Sig					Lower	Upper
Schools Total #	4.54	.04*	-1.43	64.96	.16	-16.58	-39.70	6.55
Op Exp Total \$	3.38	.07	-1.88	65.00	.07	-238.86	-493.19	15.47
Op Exp ESE \$	1.38	.24	-1.73	65.00	.09	-390.58	-842.53	61.38
Op Exp Reg \$	2.36	.13	-1.46	65.00	.15	-176.53	-418.48	65.43
Op Exp A-R \$	.89	.35	-.69	65.00	.49	-415.94	-1,624.39	792.50
Op Exp Voc \$	.06	.81	-1.48	65.00	.14	-618.73	-1,450.89	213.42
Student Stab %	1.62	.21	.40	65.00	.69	.12	-.48	.72
Staff Admin #	5.10	.03*	-1.49	64.46	.14	-47.06	-109.95	15.82
Staff Admin%	1.17	.28	-.20	65.00	.84	-.03	-.31	.25
Staff Instr #	5.06	.03*	-1.48	64.15	.14	-1,057.64	-2,484.97	369.70

\*  $p < .05$  (2-tailed).



Table 10

	Levene's Test		<i>t</i>	<i>df</i>	Sig	Mean Diff	95% Confidence Interval of the Difference	
	<i>F</i>	Sig					Lower	Upper
Staff Instr %	3.80	.06	1.29	65.00	.20	1.68	-.92	4.28
Staff Sup #	6.23	.02*	-1.55	64.90	.13	-452.26	-1,036.02	131.49
Staff Sup %	5.29	.02*	-1.42	48.17	.16	-1.67	-4.05	.70
Staff Total #	5.31	.02*	-1.51	64.59	.14	-1,556.55	-3,616.66	503.56
Students Total #	5.12	.03*	-1.55	62.23	.13	-18,725.90	-42,806.84	5,355.05
Tea Adv Deg %	1.06	.31	1.57	65.00	.12	2.99	-.81	6.79
Tea Avg Yrs #	3.41	.07	-2.65	65.00	.01*	-1.80	-3.15	-.45
Student Drop %	2.87	.10	-1.84	65.00	.07	-.78	-1.62	.07
Student Grad %	1.60	.21	1.63	65.00	.11	3.73	-.85	8.31

\*  $p < .05$  (2-tailed).

Tables 11 and 12 contain the descriptive statistics of the categorical FLDOE data for the two groups of districts – those with usable survey responses and all others. Table 11 summarizes the school district grades for 2004 and 2005, while Table 12 summarizes the elected or appointed status of district superintendents for each of the two groups.

Table 11

Comparison of Districts With Usable Responses to Districts With Unusable Responses: Descriptive Statistics for Categorical FLDOE Data (District Grades 2004-2005)

District Grades for 2004		A	B	C	D	Total	
Usable	N	Count	7	26	11	3	47
		% within 2004	46.7%	78.8%	68.8%	100.0%	70.1%
Y	Count	8	7	5	0	20	
	% within 2004	53.3%	21.2%	31.3%	.0%	29.9%	
Total 2004	Count	15	33	16	3	67	
	% within 2004	100.0%	100.0%	100.0%	100.0%	100.0%	
District Grades for 2005		A	B	C	D	Total	
Usable	N	Count	7	21	16	3	47
		% within 2005	46.7%	77.8%	72.7%	100.0%	70.1%
Y	Count	8	6	6	0	20	
	% within 2005	53.3%	22.2%	27.3%	.0%	29.9%	
Total 2005	Count	15	27	22	3	67	
	% within 2005	100.0%	100.0%	100.0%	100.0%	100.0%	

Table 12

Comparison of Districts With Usable Responses to Districts With Unusable Responses:  
Descriptive Statistics for Categorical FLDOE Data (Superintendent Elected or Appointed)

Superintendent Elected or Appointed		Appointed	Elected	Total	
Usable	N	Count	16	31	47
		% within Elected or Appointed	69.6%	70.5%	70.1%
Y		Count	7	13	20
		% within Elected or Appointed	30.4%	29.5%	29.9%
Total		Count	23	44	67
		% within Elected or Appointed	100.0%	100.0%	100.0%

Table 13 below contains the results of the Chi-Square Goodness of Fit analyses performed for the three categorical variables summarized in Tables 11 and 12 above: (a) 2004 district grades, (b) 2005 district grades, and (c) superintendent elected or appointed status (FLDOE, n.d., 2003b, 2005a, 2005c). There was a slightly significant difference in the 2004 district grades for the two groups ( $X^2 = 6.418$ ,  $df = 3$ ,  $p = .093$ ), but that difference was no longer apparent in the district grades for 2005 ( $X^2 = 6.047$ ,  $df = 3$ ,  $p = .109$ ). There were no significant differences in the superintendent elected or appointed statuses of the two groups of districts ( $X^2 = .217$ ,  $df = 1$ ,  $p = .642$ ).

Table 13

Comparison of Districts With Usable Responses to Districts With Unusable Responses:  
 Pearson Chi-Square Tests for Categorical FLDOE Data  
 (Grades for 2004, Grades for 2005, and Superintendent Status)

Grades for 2004	Value	<i>df</i>	Asymp Sig (2-sided)		
Pearson Chi-Square	6.418	3	.093		
Likelihood Ratio	6.977	3	.073		
<i>N</i> of Valid Cases	67				

Grades for 2005	Value	<i>df</i>	Asymp Sig (2-sided)		
Pearson Chi-Square	6.047	3	.109		
Likelihood Ratio	6.572	3	.087		
<i>N</i> of Valid Cases	67				

Superintendent Elected or Appointed	Value	<i>df</i>	Asymp Sig (2-sided)	Exact Sig (2-sided)	Exact Sig (1-sided)
Pearson Chi-Square	.217 <sup>b</sup>	1	.642		
Continuity Correction <sup>a</sup>	.035	1	.852		
Likelihood Ratio	.215	1	.643		
Fisher's Exact Test				.782	.422
<i>N</i> of Valid Cases	67				

a Computed only for a 2x2 table. b 0 cells (.0%) have expected count less than 5. The minimum expected count is 7.16.

## Factor Analyses and Reliability Analyses of Survey Instruments Used

Prior to performing statistical analyses on the data collected in the survey instruments, preliminary factor analyses and reliability analyses were performed on each, using all completed survey responses. Two survey instruments were distributed to collect primary data for the current study:

1. The Multifactor Leadership Questionnaire Form 5X (MLQ-5X) developed by Avolio, Bass, and Jung (1999) and fully completed by 80 principals, and
2. The Florida Educational Vision Questionnaire (FEVQ) developed by the researcher and completed by 23 superintendents and 80 principals.

Sample questionnaire items from the MLQ-5X can be found in Appendix E, and the results of the analyses for the MLQ-5X are summarized below. The results of the analyses for the FEVQ will be summarized in the subsequent section pertaining to Research Question 1.

### Factor Analysis and Reliability Analysis of the MLQ-5X

Factor and reliability analyses were first performed on the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) responses from 80 Florida K-12 public school principals, who rated their superintendents on each of 45 items using a 5-point Likert-type scale ranging from 0 (*not at all*) to 4 (*frequently, if not always*) (Avolio, Bass, & Jung, 1999, p. 31). The first factor analysis was done using all 45 items on the MLQ-5X, while the second was done using a subset of the 36 leadership style items on the survey instruments. In each case, a factor analysis using principal components extraction and varimax rotation was performed, and a Cronbach's alpha reliability coefficient and Hotelling's T-Squared were computed. Cronbach's alpha is used to indicate the internal consistency of the survey instrument, and

Hotelling's T-Squared is a test of the null hypothesis that all items on the instrument have the same mean score (SPSS, 2002).

Of the 45 total items on the MLQ-5X, six factors were extracted, accounting for 77.32% of the variance in the original item responses. Item 41 (related to satisfaction) had a factor loading of .91 on Factor 1. The remaining items all had factor loadings lower than .90. The alpha reliability of the total set of 45 items was high (Cronbach's  $\alpha = .98$ ), and the Hotelling's T-Squared test indicated that the items had significantly different means ( $T^2 = 692.06$ ,  $F = 7.17$ ,  $df_{\text{num}} = 44$ ,  $df_{\text{denom}} = 36$ ,  $p < .001$ ).

For the 36 leadership style items on the MLQ-5X, six factors were also extracted, in this case accounting for 75.91% of the variance in the original item responses. Item 26 (related to inspirational motivation) had a factor loading of .85 on Factor 1. The remaining items all had factor loadings lower than .85. The alpha reliability of the subset of 36 items was high (Cronbach's  $\alpha = .96$ ), and the Hotelling's T-Squared test indicated that the items had significantly different means ( $T^2 = 643.36$ ,  $F = 10.47$ ,  $df_{\text{num}} = 35$ ,  $df_{\text{denom}} = 45$ ,  $p < .001$ ).

Research Question 1: What common themes can be found in the published vision statements of the 67 Florida K-12 public school districts?

The process of collecting district vision, mission, values, beliefs, goals, strategy, slogan, and motto statements to generate common vision themes was discussed in detail in Chapter 3 in the section titled *Development of the Florida Educational Vision Questionnaire*. Using data reduction techniques suggested by Ryan (2004) and Miles and Huberman (1994), these vision themes were reduced via an iterative process in which themes were grouped and collapsed into like categories. Following eight such iterations, the initial 20 pages of vision

statements from all 67 districts were condensed to two pages of vision themes, with each page related to one of two broad categories: district-centered themes and student-centered themes. These broad categories contained 31 themes apiece, which then became the basis for the vision-related items on the Florida Educational Vision Questionnaire (FEVQ).

### Factor Analysis and Reliability Analysis of the FEVQ

Appendixes C and D contain full copies of the researcher developed Florida Educational Vision Questionnaire Superintendent Form (FEVQ-S) and Florida Educational Vision Questionnaire Principal Form (FEVQ-P). Since these survey forms both had the first 62 items in common (31 district-related and 31 student-related educational vision themes), the total set of 103 respondents was included in the factor and reliability analyses for the FEVQ. Separate analyses were done for the 31 district items, the 31 student items, and the 62 total items. Respondents rated each of the 62 themes using a 4-point Likert-type scale ranging from 1 (*extremely unimportant*) to 4 (*extremely important*). For each of the three sets of analyses, a factor analysis using principal components extraction and varimax rotation was performed, and a Cronbach's alpha reliability coefficient and Hotelling's T-Squared were computed. Cronbach's alpha is used to indicate the internal consistency of the survey instrument, and Hotelling's T-Squared is a test of the null hypothesis that all items on the instrument have the same mean score (SPSS, 2002). Selected results of the FEVQ factor and reliability analyses are summarized in Tables 14 and 15.

Of the 31 district items on the FEVQ, a total of 11 factors were extracted, accounting for 69.02% of the variance in the original item responses. Table 14 below lists the 11 district items that had the highest factor loadings for each of these 11 factors. The alpha reliability of the set of 31 district items was moderately high (Cronbach's  $\alpha = .75$ ), and the Hotelling's T-Squared test indicated that the items had significantly different means ( $T^2 = 346.56$ ,  $F = 8.03$ ,  $df_{\text{num}} = 30$ ,  $df_{\text{denom}} = 66$ ,  $p < .001$ ).

Table 14

District FEVQ Items With Highest Loadings on 11 Factors

District Factor	Factor Loading	District FEVQ Item
1	.851	<i>Schools as models for the rest of the nation</i>
2	.775	<i>Collaboration among multiple communities</i>
3	.808	<i>Family support for the district</i>
4	.766	<i>Competent staff</i>
5	.685	<i>High performing staff</i>
6	.805	<i>Respectful or caring environment</i>
7	.790	<i>Curriculum based on high standards</i>
8	.823	<i>Continuous improvement/transformation</i>
9	.800	<i>Visionary leadership</i>
10	.855	<i>Decisions based on what is best for students</i>
11	.882	<i>Highest caliber of service</i>



Of the 31 student items on the FEVQ, a total of 11 factors were extracted, accounting for 72.70% of the variance in the original item responses. Table 15 below lists the 11 student items that had the highest factor loadings for each of these 11 factors. The alpha reliability of the set of 31 student items was moderately high (Cronbach's  $\alpha = .81$ ), and the Hotelling's T-Squared test indicated that the items had significantly different means ( $T^2 = 229.08$ ,  $F = 5.18$ ,  $df_{\text{num}} = 30$ ,  $df_{\text{denom}} = 61$ ,  $p < .001$ ).

Table 15

Student FEVQ Items With Highest Loadings on 11 Factors

Student Factor	Factor Loading	Student FEVQ Item
1	.906	<i>Contributors to their state</i>
2	.774	<i>Desiring success</i>
3	.757	<i>Success in a changing world</i>
4	.767	<i>Ability to provide for selves and families</i>
5	.839	<i>Highest level of education they can attain</i>
6	.848	<i>Productive citizenship</i>
7	.641	<i>Skills necessary for a successful life</i>
8	.876	<i>High motivation</i>
9	.575	<i>Responsible citizenship</i>
10	.890	<i>Academic excellence</i>
11	.840	<i>Reaching their full potential of talents/abilities</i>

The preliminary steps of the separate factor analysis for the 62 total items on the FEVQ yielded a Kaiser-Meyer-Olkin (KMO) Measure of Sampling Adequacy of .44. Since this value was less than the recommended KMO of .50 or greater, the factor analysis was not done for this total response set (Corston & Colman, 2003, p. 152). The alpha reliability test for the 62 total items was moderately high (Cronbach's  $\alpha = .87$ ), and the Hotelling's T-Squared test indicated that the items had significantly different means ( $T^2 = 479.62$ ,  $F = 2.38$ ,  $df_{\text{num}} = 61$ ,  $df_{\text{denom}} = 26$ ,  $p < .01$ ).

Research Question 2: To what extent, if any, do Florida K-12 public school district superintendents and their respective principals agree with one another on the importance of the common themes found in Florida school districts' published vision statements?

The researcher developed the Educational Vision Alignment Index (EVAI) to assist in answering Research Question 2. All usable Florida Educational Vision Questionnaire Superintendent Form (FEVQ-S), Florida Educational Vision Questionnaire Principal Form (FEVQ-P), and Multifactor Leadership Questionnaire Form 5X (MLQ-5X) survey responses were first entered into a Microsoft Excel 2000 worksheet. Then the automated calculations of the EVAI were set up as formulas in that spreadsheet, based on responses to the first 62 items on the FEVQ (31 district-related items plus 31 student-related items). These calculations were modeled after difference score indexes recommended in the research on profile similarity and value congruence and described in detail in Chapter 3 (Cable & Edwards, 2004; Edwards, 1993, 1994). For each of the 62 items within a single district, each principal's FEVQ-P item response was first subtracted from his or her superintendent's corresponding FEVQ-S item response, and that difference was squared. The squared differences for each survey item were totaled across all principals in the district, and the

square root of the average of this sum was defined as the Educational Vision Alignment Index (EVAI). Thus, the final equation used to calculate EVAI was  $\text{SQRT}[\Sigma(S-P)^2/62]$ . Additional calculations were performed for the MLQ-5X responses, which will be described in more detail under Research Question 3 below.

The contents of the Microsoft Excel 2000 spreadsheet were then imported into an SPSS 11.5 data file for further analysis. To determine whether or not the EVAI values varied significantly by district, two groups of nonparametric functions available in SPSS 11.5 were used (Aron & Aron, 2002; Shavelson, 1996; SPSS, 2002; Vogt, 1999):

1. Chi-Square Goodness of Fit tests were performed by dividing the full range of EVAI values ( $\text{EVAI}_{\min} = 0.60$ ,  $\text{EVAI}_{\max} = 3.66$ ) into two, three, and four equal size numerical categories to provide summary measures of vision theme agreement levels, and
2. Kruskal-Wallis tests were performed on each of the 62 educational vision themes to provide more detailed measures of vision theme agreement levels.

The results of the Chi-Square Goodness of Fit tests are presented in Table 16 below. As seen in Table 16, when the EVAI values were split into three equal size numerical categories, the differences between superintendents and their principals within individual school districts were marginally significant ( $X^2 = 4.90$ ,  $df = 2$ ,  $p = .086$ ). Chi-Square results for other EVAI subranges were not significant.

Table 16

## Chi-Square Goodness of Fit Tests for Assorted EVAI Categories

EVAI – 2 Categories	Observed <i>N</i>	Expected <i>N</i>	Residual
EVAI Lower Half (EVAI ≤ 2.13)	9	10.0	-1.0
EVAI Upper Half (EVAI > 2.13)	11	10.0	1.0
Total	20		

EVAI – 3 Categories	Observed <i>N</i>	Expected <i>N</i>	Residual
EVAI Lower Third (EVAI ≤ 1.62)	6	6.7	-0.7
EVAI Middle Third (EVAI > 1.62 & ≤ 2.64)	11	6.7	4.3
EVAI Upper Third (EVAI > 2.64)	3	6.7	-3.7
Total	20		

EVAI – 4 Categories	Observed <i>N</i>	Expected <i>N</i>	Residual
EVAI Quartile 1 (EVAI ≤ 1.37)	5	5.0	0.0
EVAI Quartile 2 (EVAI > 1.37 & ≤ 2.13)	5	5.0	0.0
EVAI Quartile 3 (EVAI > 2.13 & ≤ 2.90)	8	5.0	3.0
EVAI Quartile 4 (EVAI > 2.90)	2	5.0	-3.0
Total	20		

## Summary of Chi-Square Goodness of Fit Statistics

Chi-Square Goodness of Fit Summary Statistics	EVAI 2 Categories	EVAI 3 Categories	EVAI 4 Categories
Chi-Square	0.200	4.900	3.600
<i>df</i>	1	2	3
Asymptotic Significance	.655	.086	.308

*Note.* Minimum EVAI value = 0.60, maximum EVAI value = 3.66, and EVAI value range = 3.07.

When examined at a more detailed item-by-item level using Kruskal-Wallis tests, several significant differences became apparent for individual educational vision themes across superintendents and principals as aggregated groups. These tests were performed for the following sets of respondents:

1. All superintendents, all elementary school principals, all middle school principals, and all high school principals; and
2. All superintendents and all principals.

Selected results of the Kruskal-Wallis tests are discussed below and summarized in Tables 17 and 18.

As seen in Table 17, seven FEVQ items were ranked significantly differently by superintendents, elementary school principals, middle school principals, and high school principals when considered as separate groups – three district items and four student items. The district item “*Recognition by others as a leader in education*” was ranked as significantly more important by superintendents than by any of the three groups of principals ( $X^2 = 9.72, df = 3, p = .021$ ). The district item “*Partnership with surrounding community*” was ranked as significantly more important by middle school principals than by superintendents, elementary school principals, or high school principals ( $X^2 = 9.27, df = 3, p = .026$ ), as was the district item “*Collaboration among multiple communities*” ( $X^2 = 6.68, df = 3, p = .083$ ). The student item “*Preparation for success*” was ranked as significantly more important by both elementary and middle school principals than by superintendents or high school principals ( $X^2 = 15.29, df = 3, p = .002$ ). The student item “*Vocational-technical and/or higher education*” was ranked as moderately more important by both elementary and middle school principals than by superintendents or high school principals ( $X^2 = 9.39, df = 3,$

$p = .025$ ). The student item “*Highest level of education they can attain*” was ranked as slightly more important by middle school principals than by superintendents, elementary school principals, or high school principals ( $X^2 = 6.63, df = 3, p = .085$ ). The student item “*Career success*” was ranked as slightly more important by elementary and middle school principals than by either superintendents or high school principals ( $X^2 = 6.30, df = 3, p = .098$ ). Superintendents rated the district item “*Visionary leadership*” as somewhat more important than did any of the three groups of principals, but that difference was not significant ( $X^2 = .79, df = 3, p = .723$ ).

Table 17

Kruskal-Wallis Tests for Selected FEVQ District and Student Items:  
Superintendents and Elementary, Middle, and High School Principals

	<i>N</i>	Mean Rank	$X^2$	<i>df</i>	Sig
<i>District: Recognition by others as a leader in education</i>					
Elementary School Principal	31	57.35			
Middle School Principal	21	49.90			
High School Principal	28	54.11			
Superintendent	20	35.45			
Total	100		9.72	3	.021*
<i>District: Visionary leadership</i>					
Elementary School Principal	31	55.18			
Middle School Principal	21	49.07			
High School Principal	29	50.38			
Superintendent	20	47.45			
Total	101		1.33	3	.723

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

Table 17

	<i>N</i>	Mean Rank	$X^2$	<i>df</i>	Sig
<i>District: Partnership with surrounding community</i>					
Elementary School Principal	31	56.47			
Middle School Principal	21	36.57			
High School Principal	29	56.26			
Superintendent	20	50.05			
Total	101		9.27	3	.026*
<i>District: Collaboration among multiple communities</i>					
Elementary School Principal	31	54.06			
Middle School Principal	20	37.17			
High School Principal	29	54.52			
Superintendent	20	52.48			
Total	100		6.68	3	.083
<i>Students: Preparation for success</i>					
Elementary School Principal	29	43.88			
Middle School Principal	21	36.33			
High School Principal	27	53.89			
Superintendent	19	61.34			
Total	96		15.29	3	.002**
<i>Students: Vocational-technical and/or higher education</i>					
Elementary School Principal	31	45.94			
Middle School Principal	20	38.67			
High School Principal	29	57.00			
Superintendent	19	57.87			
Total	99		9.39	3	.025*
<i>Students: Highest level of education they can attain</i>					
Elementary School Principal	31	47.42			
Middle School Principal	20	40.73			
High School Principal	29	55.91			
Superintendent	19	54.95			
Total	99		6.63	3	.085

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

Table 17

	<i>N</i>	Mean Rank	$X^2$	<i>df</i>	Sig
<i>Students: Career success</i>					
Elementary School Principal	31	47.87			
Middle School Principal	21	41.05			
High School Principal	29	54.79			
Superintendent	19	58.68			
Total	100		6.30	3	.098

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

As seen in Table 18, only three FEVQ items were ranked significantly differently by all superintendents as a group as compared to all principals as a group – one district item and two student items. The district item “*Recognition by others as a leader in education*” was ranked as much more important by superintendents than by principals ( $X^2 = 8.65$ ,  $df = 1$ ,  $p = .003$ ). The student item “*Preparation for learning each day*” was ranked as moderately more important by principals than by superintendents ( $X^2 = 4.18$ ,  $df = 1$ ,  $p = .041$ ). The student item “*Preparation for success*” was ranked as much more important by principals than by superintendents ( $X^2 = 7.81$ ,  $df = 1$ ,  $p = .005$ ). Superintendents rated the district item “*Visionary leadership*” as somewhat more important than did principals, but the difference was not significant ( $X^2 = .47$ ,  $df = 1$ ,  $p = .492$ ).



Table 18

Kruskal-Wallis Tests for Selected FEVQ District and Student Items:  
Superintendents and All Principals

	<i>N</i>	Mean Rank	$X^2$	<i>df</i>	Sig
<i>District: Recognition by others as a leader in education</i>					
Principal	80	54.26			
Superintendent	20	35.45			
Total	100		8.65	1	.003**
<i>District: Visionary leadership</i>					
Principal	80	51.88			
Superintendent	20	47.45			
Total	100		0.47	1	.492
<i>Student: Preparation for learning each day</i>					
Principal	79	47.35			
Superintendent	19	58.45			
Total	98		4.18	1	.041*
<i>Students: Preparation for success</i>					
Principal	77	45.33			
Superintendent	19	61.34			
Total	96		7.81	1	.005**

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

Research Question 3: What is the relationship, if any, between educational vision alignment levels in Florida K-12 public school districts and principals' perceptions of their superintendents' leadership styles?

As described under Research Question 2 above, preliminary calculations for Multifactor Leadership Questionnaire Form 5X (MLQ-5X) scores and subscores were done in a Microsoft Excel spreadsheet. For each school district, the principals' responses to each MLQ-5X item were first averaged and assigned to their corresponding superintendent, a

process recommended by Kim and Yukl (1995). The scores for transformational, transactional, and laissez-faire leadership styles and the subscores for idealized influence attributed (IIA), idealized influence behavior (IIB), inspirational motivation (IM), intellectual stimulation (IS), individualized consideration (IC), contingent reward (CR), management-by-exception active (MBEA), management-by-exception passive (MBEP), laissez-faire (LF), extra effort, effectiveness, and satisfaction were then computed from these averages and assigned to that district's superintendent (Bass & Avolio, 2000). The contents of the Microsoft Excel 2000 spreadsheet, including all the calculations defined above, were imported into an SPSS 11.5 data file for further analysis.

The Educational Vision Alignment Index (EVAI) values were compared to the MLQ-5X scores and subscores using the following nonparametric statistical tests available in SPSS 11.5 (Aron & Aron, 2002; Shavelson, 1996; SPSS, 2002; Vogt, 1999):

1. Wilcoxon Signed Ranks Test (to test the statistical significance of differences in ordinal variables between two related groups), and
2. Kendall's *tau b* (to measure the correlation between two ordinal variables when the ranks are not treated as interval scales, also taking tied ranks into account).

Results of these tests are displayed in Table 19 and summarized below.

For the Wilcoxon Signed Ranks Tests, the EVAI was paired individually with each of the MLQ-5X scores and subscores for each district. As seen in Table 19 below, all of the relationships except one (EVAI and transactional leadership style) were significant at the  $p < .01$  level. The relationships between the EVAI and IS, CR, and extra effort were each significant at the  $p = .001$  level. The relationships between the EVAI and transformational

leadership style, laissez-faire leadership style, IIA, IIB, IM, MBEP, LF, effectiveness, and satisfaction were each significant at the  $p < .001$  level.

Table 19

Wilcoxon Signed Ranks Tests and Kendall's *tau b*:  
Comparisons of EVAI with MLQ-5X Scores and Subscales for 20 Superintendents

EVAI ( $N_S = 20$ ) Compared With:	$Z^c$	Sig <sup>c</sup>	$tau\ b^d$	Sig <sup>d</sup>
Transformational Leadership Style	-3.73 <sup>***a</sup>	.000	-.385 <sup>*</sup>	.018
Transactional Leadership Style	-1.16 <sup>b</sup>	.247	-.063	.697
Laissez-Faire Leadership Style	-3.92 <sup>***b</sup>	.000	.458 <sup>**</sup>	.006
Idealized Influence Attributed (IIA)	-3.85 <sup>***a</sup>	.000	-.385 <sup>*</sup>	.019
Idealized Influence Behavior (IIB)	-3.92 <sup>***a</sup>	.000	-.241	.143
Inspirational Motivation (IM)	-3.92 <sup>***a</sup>	.000	-.233	.159
Intellectual Stimulation (IS)	-3.36 <sup>**a</sup>	.001	-.364 <sup>*</sup>	.027
Individualized Consideration (IC)	-2.61 <sup>**a</sup>	.009	-.521 <sup>***</sup>	.001
Contingent Reward (CR)	-3.44 <sup>**a</sup>	.001	-.453 <sup>**</sup>	.006
Management-by-Exception Active (MBEA)	-2.88 <sup>**b</sup>	.004	-.027	.871
Management-by-Exception Passive (MBEP)	-3.55 <sup>***b</sup>	.000	.196	.229
Laissez-Faire (LF)	-3.92 <sup>***b</sup>	.000	.458 <sup>**</sup>	.006
Extra Effort	-3.40 <sup>**a</sup>	.001	-.037	.820
Effectiveness	-3.66 <sup>***a</sup>	.000	-.515 <sup>**</sup>	.002
Satisfaction	-3.70 <sup>***a</sup>	.000	-.424 <sup>*</sup>	.012

<sup>a</sup> Based on negative ranks. <sup>b</sup> Based on positive ranks. <sup>c</sup> Wilcoxon Signed Rank Test. <sup>d</sup> Kendall's *tau b*.  
\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed). \*\*\*  $p < .001$  (2-tailed).

To examine the relationships under more conservative assumptions, Kendall's *tau b* was also computed for each of the same sets of EVAIs, MLQ-5X scores, and MLQ-5X subscores. As seen above in Table 19, all but six of these correlations (EVAI and transactional leadership style; EVAI and IIB; EVAI and IM; EVAI and MBEA; EVAI and MBEP; and EVAI and extra effort) were significant at the  $p < .05$  level. The relationships between the EVAI and laissez-faire leadership style, CR, LF, and effectiveness were each significant at the  $p < .01$  level. The relationships between the EVAI and IC were significant at the  $p = .001$  level.

Research Question 4: To what extent, if any, are there differences among Florida K-12 public school districts exhibiting different levels of educational vision alignment?

To assist in answering Research Question 4, additional district data were downloaded from the Florida Department of Education (FLDOE, n.d., 2003a, 2005) and copied into the SPSS 11.5 data file described previously. The Educational Vision Alignment Index (EVAI) was then compared to the FLDOE data and to the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) response data using the following nonparametric statistical tests available in SPSS 11.5 (Aron & Aron, 2002; Shavelson, 1996; SPSS, 2002; Vogt, 1999):

1. Kendall's *tau b* (to measure the correlation between two ordinal variables when the ranks are not treated as interval scales, also taking tied ranks into account),
2. Wilcoxon Signed Ranks test (to test the statistical significance of differences in ordinal variables between two related groups),
3. Mann-Whitney *U* test (to measure differences between ordinal variables for two independent groups), and

4. Kruskal-Wallis Analysis of Variance (to measure differences between more than two independent groups).

Selected results of these tests are displayed in Tables 20 through 25 and summarized below.

Table 20

Kendall's *tau b* Correlations Between EVAI and FLDOE Data for 20 Districts

EVAI ( <i>N</i> = 20) Correlated With:	<i>tau b</i>	Sig
Total Number of Schools in District (#)	.372*	.023
Operating Expenses: Total Per Student (\$)	-.084	.604
Operating Expenses: Per ESE Student (\$)	.253	.119
Operating Expenses: Per Regular Student (\$)	-.200	.218
Operating Expenses: Per At-Risk Student (\$)	.186	.255
Operating Expenses: Per Vocational Student (\$)	-.389*	.016
Student Stability Rate (%)	.011	.948
School Staff: Administrative (%)	.043	.795
School Staff: Instructional (%)	.016	.922
School Staff: Support (%)	-.042	.795
School Staff: Total (#)	.326*	.044
Student Membership	.379*	.018
Teachers: Advanced Degrees (%)	.116	.475
Teachers: Average Years (#)	-.005	.974
Student Dropout Rate (%)	.207	.205
Student Graduation Rate (%)	-.253	.119

<sup>a</sup> Based on negative ranks. <sup>b</sup> Based on positive ranks. <sup>c</sup> Wilcoxon Signed Rank Test. <sup>c</sup> Kendall's *tau b*.  
\* *p* < .05 (2-tailed).

Kendall's *tau b* was computed to examine the correlations between the EVAI and each of 16 FLDOE district-level data elements in the 20 participating school districts. As seen in Table 20 above, four of the correlations were significant at the  $p < .05$  level: total operating expenses per vocational student, (Kendall's *tau b* =  $-.389$ ,  $p = .016$ ), total student membership (Kendall's *tau b* =  $.379$ ,  $p = .018$ ), total number of schools (Kendall's *tau b* =  $.372$ ,  $p = .023$ ), and total number of school staff (Kendall's *tau b* =  $.326$ ,  $p = .044$ ).

Preliminary exploratory analyses of the data using the SPSS Crosstabs function had indicated that there might be differences between school districts based on the two primary methods of superintendent selection in Florida: elected and appointed. Therefore, additional statistical tests addressing Research Question 4 focused on a further examination of those possible differences.

Wilcoxon Signed Ranks tests were first performed to compare the MLQ-5X leadership style scores and subscores for the two groups of superintendents. The results for the 13 elected superintendents are shown in Table 21, and the results for the seven appointed superintendents are shown in Table 22. As Table 21 illustrates, 12 of the 15 relationships for the elected superintendents were significant, all at the  $p < .01$  level. For the appointed superintendents, as seen in Table 22, only nine of the same 15 relationships were significant, all at the  $p < .05$  level.

To explore the correlations between the EVAIs and the 15 MLQ-5X scores and subscores in more detail, additional sets of Kendall's *tau b* tests were run for each of the two groups of superintendents. These Kendall's *tau b* test results are shown in the last two columns of Table 21 for the group of 13 elected superintendents and in the last two columns of Table 22 for the group of seven appointed superintendents.

Table 21

Wilcoxon Signed Ranks Tests and Kendall's *tau b*: Comparisons of EVAI with MLQ-5X Data for 13 Districts (Superintendents Elected)

EVAI ( $N_{SE} = 13$ ) Compared With:	$Z^c$	Sig <sup>c</sup>	<i>tau b</i> <sup>d</sup>	Sig <sup>d</sup>
Transformational Leadership Style	-3.11 <sup>**a</sup>	.002	-.529 <sup>*</sup>	.012
Transactional Leadership Style	-0.52 <sup>b</sup>	.600	.013	.951
Laissez-Faire Leadership Style	-3.18 <sup>**b</sup>	.001	.487 <sup>*</sup>	.025
Idealized Influence Attributed (IIA)	-3.11 <sup>**a</sup>	.002	-.571 <sup>**</sup>	.007
Idealized Influence Behavior (IIB)	-3.18 <sup>**a</sup>	.001	-.369	.085
Inspirational Motivation (IM)	-3.18 <sup>**a</sup>	.001	-.282	.192
Intellectual Stimulation (IS)	-2.97 <sup>**a</sup>	.003	-.400	.064
Individualized Consideration (IC)	-2.83 <sup>**a</sup>	.005	-.431 <sup>*</sup>	.043
Contingent Reward (CR)	-3.11 <sup>**a</sup>	.002	-.458 <sup>*</sup>	.032
Management-by-Exception Active (MBEA)	-1.50 <sup>b</sup>	.133	.052	.806
Management-by-Exception Passive (MBEP)	-2.62 <sup>**b</sup>	.009	.234	.270
Laissez-Faire (LF)	-3.18 <sup>**b</sup>	.001	.487 <sup>*</sup>	.025
Extra Effort	-3.11 <sup>**a</sup>	.002	.184	.389
Effectiveness	-3.11 <sup>**a</sup>	.002	-.623 <sup>**</sup>	.003
Satisfaction	-3.11 <sup>**a</sup>	.002	-.486 <sup>*</sup>	.032

<sup>a</sup> Based on negative ranks. <sup>b</sup> Based on positive ranks. <sup>c</sup> Wilcoxon Signed Rank Test. <sup>d</sup> Kendall's *tau b*.  
<sup>\*</sup>  $p < .05$  (2-tailed). <sup>\*\*</sup>  $p < .01$  (2-tailed).

Table 22

Wilcoxon Signed Ranks Tests and Kendall's *tau b*:  
Comparisons of EVAI with MLQ-5X Data for 7 Districts (Superintendents Appointed)

EVAI ( $N_{SA} = 7$ ) Compared With:	$Z^c$	Sig <sup>c</sup>	$tau\ b^d$	Sig <sup>d</sup>
Transformational Leadership Style	-2.03 <sup>*a</sup>	.043	-.429	.176
Transactional Leadership Style	-2.20 <sup>*b</sup>	.028	-.524	.099
Laissez-Faire Leadership Style	-2.37 <sup>*b</sup>	.018	.195	.543
Idealized Influence Attributed (IIA)	-2.37 <sup>*a</sup>	.018	-.429	.176
Idealized Influence Behavior (IIB)	-2.37 <sup>*a</sup>	.018	-.429	.176
Inspirational Motivation (IM)	-2.37 <sup>*a</sup>	.018	-.143	.652
Intellectual Stimulation (IS)	-1.18 <sup>a</sup>	.237	-.143	.652
Individualized Consideration (IC)	-0.34 <sup>a</sup>	.735	-.714 <sup>*</sup>	.024
Contingent Reward (CR)	-1.35 <sup>a</sup>	.176	-.429	.176
Management-by-Exception Active (MBEA)	-2.37 <sup>*b</sup>	.018	-.195	.543
Management-by-Exception Passive (MBEP)	-2.37 <sup>*b</sup>	.018	-.293	.362
Laissez-Faire (LF)	-2.37 <sup>*b</sup>	.018	.195	.543
Extra Effort	-1.01 <sup>a</sup>	.310	-.143	.652
Effectiveness	-1.69 <sup>a</sup>	.091	-.238	.453
Satisfaction	-1.86 <sup>a</sup>	.063	-.238	.453

<sup>a</sup> Based on negative ranks. <sup>b</sup> Based on positive ranks. <sup>c</sup> Wilcoxon Signed Rank Test. <sup>d</sup> Kendall's *tau b*.  
\*  $p < .05$  (2-tailed).



For ease of comparison, Table 23 below contains a consolidation of all Kendall's *tau b* test results for the two groups of superintendents, plus the totals for the set of all 20 superintendents. Results for the group of 13 elected superintendents were extracted from Table 21 above, and results for the group of seven appointed superintendents were extracted from Table 22 above. Kendall's *tau b* test results for the total set of 20 superintendents were extracted from Table 19, discussed previously under Research Question 3.

As can be seen in Table 23, many of the previously discussed significant correlations between the EVAIs and the MLQ-5X scores and subscores for the set of all superintendents may be partially attributed to the differences between the two groups of elected and appointed superintendents. For example, the significant correlation between EVAI and transformational leadership style for all superintendents (Kendall's *tau b* =  $-.385$ ,  $p = .018$ ) was due mainly to the corresponding significant correlation between EVAI and transformational leadership style for the 13 elected superintendents (Kendall's *tau b* =  $-.529$ ,  $p = .012$ ), as opposed to the correlation for the seven appointed superintendents, which was not significant (Kendall's *tau b* =  $-.429$ ,  $p = .176$ ). Similar patterns may be found in the correlations of EVAI with laissez-faire leadership style, idealized influence attributed (IIA), effectiveness, and satisfaction.

In other cases, however, the pattern is less clear. For example, the correlation between EVAI and intellectual stimulation (IS) was significant for the 13 elected superintendents, but only at the  $p < .10$  level (Kendall's *tau b* =  $-.400$ ,  $p = .064$ ), and the correlation for the seven appointed superintendents was not significant at all (Kendall's *tau b* =  $-.143$ ,  $p = .652$ ). However, the correlation between EVAI and IS for the set of all 20 superintendents was significant at the  $p < .05$  level (Kendall's *tau b* =  $-.364$ ,  $p = .027$ ).

Table 23

Kendall's *tau b*: Consolidated Comparisons of EVAI with MLQ-5X Data for All Districts

EVAI Correlated With:	Superintendent Elected or Appointed	Kendall's <i>tau b</i>	Sig	<i>N</i>
Transformational Leadership Style	Elected	-.529*	.012	13
	Appointed	-.429	.176	7
	All Districts	-.385*	.018	20
Transactional Leadership Style	Elected	.013	.951	13
	Appointed	-.524	.099	7
	All Districts	-.063	.697	20
Laissez-Faire Leadership Style	Elected	.487*	.025	13
	Appointed	.195	.543	7
	All Districts	.458**	.006	20
Idealized Influence Attributed (IIA)	Elected	-.571**	.007	13
	Appointed	-.429	.176	7
	All Districts	-.385*	.019	20
Idealized Influence Behavior (IIB)	Elected	-.369	.085	13
	Appointed	-.429	.176	7
	All Districts	-.241	.143	20
Inspirational Motivation (IM)	Elected	-.282	.192	13
	Appointed	-.143	.652	7
	All Districts	-.233	.159	20
Intellectual Stimulation (IS)	Elected	-.400	.064	13
	Appointed	-.143	.652	7
	All Districts	-.364*	.027	20
Individualized Consideration (IC)	Elected	-.431*	.043	13
	Appointed	-.714*	.024	7
	All Districts	-.521*	.001	20

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

Table 23

EVAI Correlated With:	Superintendent Elected or Appointed	Kendall's <i>tau b</i>	Sig	<i>N</i>
Contingent Reward (CR)	Elected	-.458*	.032	13
	Appointed	-.429	.176	7
	All Districts	-.453**	.006	20
Management-by-Exception Active (MBEA)	Elected	.052	.806	13
	Appointed	-.195	.543	7
	All Districts	-.027	.871	20
Management-by-Exception Passive (MBEP)	Elected	.234	.270	13
	Appointed	-.293	.362	7
	All Districts	.196	.229	20
Laissez-Faire (LF)	Elected	.487*	.025	13
	Appointed	.195	.543	7
	All Districts	.458**	.006	20
Extra Effort	Elected	.184	.389	13
	Appointed	-.143	.652	7
	All Districts	-.037	.820	20
Effectiveness	Elected	-.623**	.003	13
	Appointed	-.238	.453	7
	All Districts	-.515**	.002	20
Satisfaction	Elected	-.486*	.032	13
	Appointed	-.238	.453	7
	All Districts	-.424*	.012	20

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

Mann-Whitney  $U$  tests were also performed to compare elected superintendents as a group with appointed superintendents as a group. As seen in Table 24, the 13 elected superintendents had significantly smaller EVAIs than did the seven appointed superintendents (Mann-Whitney  $U = 17.00$ ,  $z = -2.26$ ,  $p = .024$ ).

Table 24

Mann-Whitney  $U$  Tests of Elected vs Appointed Superintendents

$(N_{SE} = 13, N_{SA} = 7, \text{Total } N_S = 20)$	Mann-Whitney $U$	Wilcoxon $W$	$Z$	Sig
EVAI	17.0	108.0	-2.26	.024*
Transformational Leadership Style	41.0	69.0	-0.36	.721
Transactional Leadership Style	41.5	69.5	-0.32	.751
Laissez-Faire Leadership Style	34.0	125.0	-0.92	.360
Idealized Influence Attributed (IIA)	44.0	135.0	-0.12	.905
Idealized Influence Behavior (IIB)	44.5	135.5	-0.08	.937
Inspirational Motivation (IM)	45.0	73.0	-0.04	.968
Intellectual Stimulation (IS)	29.0	57.0	-1.31	.190
Individualized Consideration (IC)	31.5	59.5	-1.11	.267
Contingent Reward (CR)	27.0	55.0	-1.47	.142
Management-by-Exception Active (MBEA)	38.0	66.0	-0.60	.551
Management-by-Exception Passive (MBEP)	36.0	127.0	-0.75	.451
Laissez-Faire (LF)	34.0	125.0	-0.92	.360

\*  $p < .05$  (2-tailed).

Table 24

( $N_{SE} = 13, N_{SA} = 7, \text{Total } N_S = 20$ )	Mann-Whitney <i>U</i>	Wilcoxon <i>W</i>	<i>Z</i>	Sig
Extra Effort	33.5	61.5	-0.95	.341
Effectiveness	24.5	52.5	-1.67	.096
Satisfaction	27.0	55.0	-1.50	.133

\*  $p < .05$  (2-tailed).

To continue the exploration of the differences in EVAIs between the 13 elected and seven appointed superintendents in more detail, Kruskal-Wallis Analysis of Variance tests were then conducted to compare each group’s rankings of the 62 individual educational vision themes (31 district items and 31 student items) on the Florida Educational Vision Questionnaire Superintendent Form (FEVQ-S). Selected results of the Kruskal-Wallis tests are discussed below and summarized in Table 25.

As seen in Table 25, a total of 21 vision themes were ranked significantly differently by the two groups of superintendents. Of these 21 themes, six were district related and 15 were student related. The district theme “*Visionary leadership*” was not rated significantly differently by the two groups ( $X^2 = 0.79, df = 1, p = .375$ ) and is included for informational purposes only.

Nine theme rankings (3 district and 6 student) were significantly different at the  $p \leq .10$  level, nine (3 district and 6 student) at the  $p < .05$  level, and three (all student items) at the  $p < .01$  level. Also, in all significantly different rankings, regardless of level of significance, the elected superintendents as a group rated the associated vision themes as being more important than did the appointed superintendents.

Table 25

Kruskal-Wallis Tests for Selected FEVQ District and Student Items:  
Elected Superintendents and Appointed Superintendents

( $N_{SE} = 13, N_{SA} = 7, \text{Total } N_S = 20$ )	<i>N</i>	Mean Rank	$X^2$	<i>df</i>	Sig
<i>District: Continuous improvement/transformation</i>					
Elected	13	11.92			
Appointed	7	7.86	3.72	1	.054
<i>District: Best school district in Florida</i>					
Elected	13	11.73			
Appointed	7	8.21	3.34	1	.068
<i>District: Visionary leadership</i>					
Elected	13	11.23			
Appointed	7	9.14	0.79	1	.375
<i>District: District efficiency and effectiveness</i>					
Elected	13	12.04			
Appointed	7	7.64	3.86	1	.049*
<i>District: Cooperation of students, parents, community</i>					
Elected	13	12.04			
Appointed	7	7.64	3.87	1	.049*
<i>District: Respectful and caring environment</i>					
Elected	13	11.50			
Appointed	7	8.64	3.92	1	.048*
<i>District: Curriculum at the center of all district activities</i>					
Elected	13	12.08			
Appointed	7	7.57	3.77	1	.052
<i>Students: Academic Excellence</i>					
Elected	12	12.00			
Appointed	7	6.57	8.23	1	.004**

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

Table 25

<i>(N<sub>SE</sub> = 13, N<sub>SA</sub> = 7, Total N<sub>S</sub> = 20)</i>	<i>N</i>	<i>Mean Rank</i>	<i>X<sup>2</sup></i>	<i>df</i>	<i>Sig</i>
<i>Students: Preparation for graduation</i>					
Elected	12	11.42			
Appointed	7	7.57	3.18	1	.075
<i>Students: Desiring success</i>					
Elected	12	11.71			
Appointed	7	7.07	5.15	1	.023*
<i>Students: High motivation</i>					
Elected	12	11.67			
Appointed	7	7.14	5.66	1	.017*
<i>Students: Vo-tech and/or higher education</i>					
Elected	12	11.38			
Appointed	7	7.64	3.28	1	.070
<i>Students: Lifelong learning</i>					
Elected	12	11.75			
Appointed	7	7.00	3.44	1	.064
<i>Students: Desirable social attributes</i>					
Elected	12	11.73			
Appointed	7	8.21	3.18	1	.075
<i>Students: Skills necessary for a successful life</i>					
Elected	12	11.23			
Appointed	7	9.14	5.80	1	.016*
<i>Students: Productivity as workers</i>					
Elected	12	11.92			
Appointed	7	7.86	5.80	1	.016*
<i>Students: Ability to provide for selves and families</i>					
Elected	12	11.73			
Appointed	7	8.21	2.70	1	.100

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

Table 25

<i>(N<sub>SE</sub> = 13, N<sub>SA</sub> = 7, Total N<sub>S</sub> = 20)</i>	<i>N</i>	<i>Mean Rank</i>	<i>X<sup>2</sup></i>	<i>df</i>	<i>Sig</i>
<i>Students: Responsible citizenship</i>					
Elected	12	11.23			
Appointed	7	9.14	4.06	1	.044*
<i>Students: Productive citizenship</i>					
Elected	12	11.21			
Appointed	7	7.93	3.00	1	.083
<i>Students: Successful citizenship</i>					
Elected	12	11.71			
Appointed	7	7.07	5.15	1	.023*
<i>Students: Contributors to society in general</i>					
Elected	12	12.21			
Appointed	7	6.21	7.72	1	.005**
<i>Students: Contributors to their local community</i>					
Elected	12	12.00			
Appointed	7	6.57	8.23	1	.004**

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

#### Chapter 4 Summary

Chapter 4 reported the findings of the current study. Detailed data analyses related to each of the four research questions were presented. The results presented above indicate that:

1. Several common themes can be found in the published vision statements of the 67 Florida K-12 public school districts,
2. Florida K-12 public school district superintendents and their respective principals agree with one another on the importance of some of these common themes,



3. Several relationships exist between the educational vision alignment levels in Florida K-12 public school districts and principals' perceptions of their superintendents' leadership styles, and
4. There are differences among Florida K-12 public school districts exhibiting different levels of educational vision alignment.

Chapter 5 will provide a more detailed summary of these findings, including a discussion of the theoretical and practical implications of the study. Recommendations for future research will also be made.

## CHAPTER 5: CONCLUSIONS

### Introduction

On June 5, 2006, Florida Governor Jeb Bush signed into law House Bill 7087, *An Act Relating to Education*, more commonly known as the A++ Plan (Florida Department of Education [FLDOE], 2006a). The A++ Plan revised and expanded upon the school, district, and state composite measures of accountability previously established in the Florida A+ Plan (FLDOE, 2000-2001). While the Florida A++ Plan and the federal No Child Left Behind Act of 2001 (NCLB) contain many of the same accountability measures, the NCLB also includes more specific measures such as average standardized test scores of individual subgroups of traditionally at-risk students (FLDOE, 2006c; No Child Left Behind [NCLB], n.d.).

Complying with the dual mandates of the Florida A++ Plan for Education and the NCLB will require Florida's educational leaders to achieve an even stronger unity of purpose than has been needed in the past. A promising approach for achieving this unity may lie within the realm of transformational, charismatic, and visionary leadership theories. Such theories advocate the achievement of organizational unity through a strong leadership vision that permeates and is shared throughout all organizational levels and that serves as a mobilizing factor to enable an organization to reach its long-term goals (Bass, 1985; Baum, Locke, & Kirkpatrick, 1998; Bennis & Nanus, 1985; House, 1977; Larwood, Falbe, Kriger, & Miesing, 1995). In the United States, several programs have been developed to formalize this process, among them the Baldrige National Quality Program in the United States and the Florida Sterling Award program in the state of Florida (Baldrige National Quality Program, 2004; Florida Sterling Council, 2002; Florida Sterling Council, 2004).

However, while transformational, charismatic, and visionary leadership theories stress the importance of shared leadership vision, and while programs such as Baldrige and Sterling offer a vehicle for the dissemination of that shared vision, there is still a gap in the research related to the consistency or alignment of the leadership vision content throughout the various levels of organizations in general and educational organizations in particular. As outlined in Chapter 1, the purpose of this study was to address that gap, with a focus on educational vision alignment in Florida K-12 public school districts.

Chapter 2 contained a review of the literature related to this study, including a discussion of transformational, charismatic, and visionary leadership theories and their common construct, leadership vision. Prior research pertaining to these theories and to the vision construct was also reported, and a rationale was presented for the selection of transformational leadership theory as a framework to guide the study.

Chapter 3 presented the methods used in conducting the current research study. The two survey instruments selected and developed for the research were described in detail, including a discussion of the development of a new index to measure educational vision alignment. The research context, populations, samples, and sampling procedures were then outlined. The chapter concluded with a description of the data collection steps and of the statistical analyses performed on the collected data.

Chapter 4 contained the results of the statistical analyses described in Chapter 3. In addition, factor analyses and reliability analyses were presented for the two survey instruments used in the current study, the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) and the newly created Florida Educational Vision Questionnaire (FEVQ). The

chapter concluded with descriptions of the statistical analyses performed to assist in answering each of the four research questions.

After a restatement of the research problem and questions, Chapter 5 will review the major methods used in the current study. The chapter will include a summary of the results presented in Chapter 4 and a discussion of the implications of those results.

### Statement of the Problem

Despite the scope of previous studies on transformational and charismatic leadership, there is a general lack of organizational leadership research on the content of the leadership vision to determine whether or not that content is shared, or aligned, across different levels in any organization, including educational organizations such as school districts. In addition, there is a gap in the research on the importance of such an alignment of vision in organizations. In the specific case of school districts, the belief in the importance of an educational vision shared by district superintendents and their subordinate principals has been noted, but the determination of an actual alignment of the contents of the two sets of educational visions had not yet been explored prior to the current study.

### Research Questions

The broad question addressed by the current research is this: To what degree are the educational visions of superintendents and principals aligned within Florida K-12 public school districts? The following research questions further guided the study:

1. What common themes can be found in the published vision statements of the 67 Florida K-12 public school districts?

2. To what extent, if any, do Florida K-12 public school district superintendents and their respective principals agree with one another on the importance of the common themes found in Florida school districts' published vision statements?
3. What is the relationship, if any, between educational vision alignment levels in Florida K-12 public school districts and principals' perceptions of their superintendents' leadership styles?
4. To what extent, if any, are there differences among Florida K-12 public school districts exhibiting different levels of educational vision alignment?

### Review of Methods

As a first step toward answering the research questions, the current study examined the degree of alignment, or lack thereof, of the educational visions of Florida K-12 public school district superintendents and their subordinate principals. As explained in Chapter 3, the study was fundamentally quantitative in nature, relying mainly on questionnaires as primary data sources and electronic databases as secondary data sources. It also included some qualitative elements, most notably in the development of a new educational vision questionnaire and in the analysis of respondent comments and answers to optional open-ended questions contained in the questionnaire.

### Measures of Vision Alignment and Leadership Style

To develop a measure of vision alignment, the contents of the published vision statements and other published statements of the 67 Florida school districts were collected and examined for commonalities. A condensed list of 62 common themes (31 district related

and 31 student related) was derived from these statements and became the basis of a new survey instrument, the Florida Educational Vision Questionnaire (FEVQ). The FEVQ was pre-tested in January 2005 and then administered by postal mail from April through September 2005, first to Florida superintendents and then, with superintendent permission, to selected samples of principals. FEVQ respondents rated each of the 62 themes using a 4-point Likert-type scale ranging from 1 (*extremely unimportant*) to 4 (*extremely important*). Appendixes C and D contain complete copies of the FEVQ Superintendent Form (FEVQ-S) and Principal Form (FEVQ-P). Based on superintendent and principal ratings of the 62 common themes, an educational vision alignment index (EVAI) was calculated and compared on the following subsets of respondents:

1. All Florida superintendents and the combined sample of all principals, and
2. Individual district superintendents and the samples of principals within their districts.

Districts were ranked by the strength of their vision alignment indexes and compared to determine if they differed from one another in significant ways, such as operating costs, per pupil expenditures, school staff composition, student membership, student turnover rates, teacher descriptors (FLDOE, 2003a), school district grades (FLDOE, n.d.), and superintendent selection methods (FLDOE, 2005c).

In addition to the newly developed Florida Educational Vision Questionnaire, which was administered to both superintendents (FEVQ-S) and a sample of their principals (FEVQ-P), a second questionnaire, the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) (Avolio, Bass, & Jung, 1999), was administered to the sample of principals to obtain their ratings of the leadership styles of their superintendents. Principals rated their superintendents

on each of 45 items using a 5-point Likert-type scale ranging from 0 (*not at all*) to 4 (*frequently, if not always*) (Avolio, et al., p. 31). The MLQ-5X has been widely used to classify leadership style as transformational, transactional, or laissez-faire. It was expected that educational vision alignment would be stronger in those districts having superintendents who, on the average, were rated as transformational by their principals.

### Superintendent and Principal Demographic Data

Eighty percent ( $n_s = 16$ ) of the 20 superintendent respondents had served as superintendents in their current school districts for less than 9 years, with 30% ( $n_s = 6$ ) serving for less than one year. Eighty-five percent ( $n_s = 17$ ) had served as superintendents either in their current district or in another school district for less than 12 years, and 25% ( $n_s = 5$ ) had been superintendents in their current or another school district for less than one year. All of the superintendents had accumulated at least 11 total years of experience in the field of education, with 85% ( $n_s = 17$ ) having more than 20 years of experience in education. Most of the superintendent respondents had either a master's degree (45%,  $n_s = 9$ ) or a doctoral degree (40%,  $n_s = 8$ ). Ten percent ( $n_s = 2$ ) had educational specialist's degrees, and only five percent ( $n_s = 1$ ) had a bachelor's degree. Eighty-five percent of the superintendents ( $n_s = 17$ ) were male, and most of the superintendents (70%,  $n_s = 14$ ) were 50 to 59 years old. Sixty-five percent of the superintendents ( $n_s = 13$ ) had been elected instead of appointed.

There were 31 elementary school principals, 21 middle school principals, and 29 high school principals in the usable principal response pool. Most of the principal respondents (77.8%,  $n_p = 63$ ) had served as principals in their current schools for less than 9 years, with 21% ( $n_p = 17$ ) serving in their current schools for less than one year. A majority (58%,  $n_p =$

47) had served as principals either in their current school or in another school for less than 9 years. All of the principals had accumulated a total of at least 11 years of experience in the field of education. On the average, principals had higher levels of education than did the superintendents. More than 65% of the principals had attained their master's degrees, compared to only 45% of the superintendents. Another 16% of the principals had educational specialist's degrees, compared to 10% for the superintendents. The remaining 18.5% of the principals had doctoral degrees, compared to 40% for the superintendents. Unlike the superintendents, there were approximately equal number of male and female principals. But similar to the superintendents, most (60.5%,  $n_P = 49$ ) of the principals were 50 to 59 years old.

#### Limitations of the Current Study

The current study relied upon the common understanding of questionnaire terms and the accurate and truthful responses of superintendents who completed the FEVQ-S and principals who completed the FEVQ-P and the MLQ-5X. It should also be noted that at least one FEVQ-S was completed by a superintendent's designee and presumed to have been reviewed by the superintendent prior to being returned to the researcher.

Although the initial sample of 67 superintendents and 242 principals was adequate, the total number of usable responses was relatively small, consisting of 20 usable district superintendent responses and 81 usable school principal responses. It was determined that the districts of the 20 superintendent respondents were representative of all 67 Florida districts, but similar assurances could not be made for the principal respondents and their schools, as all comparative demographic data for principals were contained within the FEVQ-P



responses. The results of the study may therefore not be fully applicable to all school districts, superintendents, schools, and principals.

Since the FEVQ was a new survey instrument developed by the researcher, its contents and scales had only been subjected to a small pilot study and review prior to distribution to districts. The current study, especially given the small number of usable responses, might be viewed as a comprehensive pilot study. Suggestions for changes to the FEVQ based on the results of the current study are given below in the section titled *Recommendations for Future Research*.

### Summary of Results

Chapter 4 reported the findings of the current study, including detailed data analyses related to each of the four research questions.. The results presented indicated that:

1. Several common themes can be found in the published vision statements of the 67 Florida K-12 public school districts,
2. Florida K-12 public school district superintendents and their respective principals agree with one another on the importance of some of these common themes,
3. Several relationships exist between the educational vision alignment levels in Florida K-12 public school districts and principals' perceptions of their superintendents' leadership styles, and
4. There are differences among Florida K-12 public school districts exhibiting different levels of educational vision alignment.

## Discussion of Current Findings

Research Question 1: What common themes can be found in the published vision statements of the 67 Florida K-12 public school districts?

The current study uncovered 62 common themes in the published vision statements and other published statements of the 67 Florida K-12 public school districts. The process of collecting district vision, mission, values, beliefs, goals, strategy, slogan, and motto statements to generate common vision themes was discussed in detail in Chapter 3 in the section titled *Development of the Florida Educational Vision Questionnaire*. These vision themes were reduced via an iterative process in which themes were grouped and collapsed into like categories (Miles & Huberman, 1994; Ryan, 2004). Following eight such iterations, the initial 20 pages of vision statements from all districts were condensed to two pages of vision themes, with each page related to one of two broad categories: district-centered themes and student-centered themes. These broad categories contained 31 themes apiece, which then became the basis for the vision-related items on the Florida Educational Vision Questionnaire (FEVQ). Appendixes C and D contain complete copies of the FEVQ Superintendent Form (FEVQ-S) and Principal Form (FEVQ-P).

Since the FEVQ was a new survey instrument developed for the current study, factor and reliability analyses were conducted on all respondents' ratings of the 62 common educational vision themes. A Cronbach's alpha of .75 was achieved for the 31 district items, but subsequent factor analyses identified 11 primary underlying themes, accounting for 69.02% of the variance in the original item responses (see Table 14). A slightly higher Cronbach's alpha of .81 was achieved for the 31 student items, with factor analyses

identifying 11 underlying themes, accounting for 72.70% of the variance in the original item responses (see Table 15).

In summary, the initial development of the FEVQ identified 62 common educational themes across the 67 Florida school districts. These common themes (31 district and 31 student) yielded satisfactory reliabilities (Cronbach's  $\alpha = .75$  and  $.81$ , respectively). However, factor analyses revealed that the 62 original themes could have been further reduced to only 22 common themes (11 district and 11 student) without a loss of reliability (see Tables 14 and 15). While the reliability alphas of the current version of the FEVQ are acceptable, one of the recommendations in the section titled *Recommendations for Future Research* will be to reduce the number of common vision themes on the next version of the FEVQ to the 22 factors uncovered in the current study.

Research Question 2: To what extent, if any, do Florida K-12 public school district superintendents and their respective principals agree with one another on the importance of the common themes found in Florida school districts' published vision statements?

The researcher developed the Educational Vision Alignment Index (EVAI) to assist in answering Research Question 2. EVAI values were based on comparisons of superintendents' and principals' responses to the first 62 items (common vision themes) on the Florida Educational Vision Questionnaire (FEVQ). Calculations of the EVAI were modeled after difference score indexes recommended in the research on profile similarity and value congruence (Cable & Edwards, 2004; Edwards, 1993, 1994). The final equation used to calculate the EVAI for each district was  $\text{SQRT}[\Sigma(S-P)^2/62]$ . Additional calculations were performed for the principals' MLQ-5X responses and will be described in more detail under Research Question 3 below.

Because of the relatively small number of districts (20) having usable responses to all questionnaire items, two groups of nonparametric functions in SPSS 11.5 were used to compare districts' EVAIs with one another (Aron & Aron, 2002; Shavelson, 1996; SPSS, 2002; Vogt, 1999). When the EVAI values were split into three equal size numerical categories, the differences between superintendents and their principals within each individual school district were only marginally significant ( $p = .086$ ). However, when examined on a more detailed item-by-item level using Kruskal-Wallis tests, several significant differences became apparent for individual educational vision themes across superintendents and principals grouped as follows:

1. All superintendents, all elementary school principals, all middle school principals, and all high school principals (see Table 26); and
2. All superintendents and all principals (see Table 27).

As seen in Table 26 below, seven of the FEVQ vision themes were rated significantly differently by superintendents, elementary school principals, middle school principals, and high school principals when considered as separate groups – three district items and four student items. Also note that although the superintendents rated the district item “*Visionary leadership*” as more important than did any of the three groups of principals, the difference was not significant ( $p = .723$ ).

Table 26

Selected FEVQ District and Student Items: A Comparison of All Superintendents, All Elementary School Principals, All Middle Schools Principals, and All High School Principals

<i>(N<sub>S</sub> = 20, N<sub>EP</sub> = 31, N<sub>MP</sub> = 21, N<sub>HP</sub> = 29)</i>	Group(s) Rating Item as Relatively More Important	Sig.
District Items (3 significant differences):		
<i>Recognition by others as a leader in education</i>	Superintendents	.021*
<i>Partnership with surrounding community</i>	Middle school principals	.026*
<i>Collaboration among multiple communities</i>	Middle school principals	.083
<i>Visionary leadership</i>	Superintendents (not significant)	.723
Student Items (4 significant differences):		
<i>Preparation for success</i>	Elem. & middle school principals	.002**
<i>Vocational-technical or higher education</i>	Elem. & middle school principals	.025*
<i>Highest level of education they can attain</i>	Middle school principals	.085
<i>Career success</i>	Elem. & middle school principals	.098

Note. Results shown in Table 26 have been extracted from Table 17 in Chapter 4.

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

Table 27

Selected FEVQ District and Student Items:  
A Comparison of All Superintendents with All Principals

<i>(N<sub>S</sub> = 20, N<sub>P</sub> = 81)</i>	Group Rating Item as Relatively More Important	Sig.
District Items (1 significant difference):		
<i>Recognition by others as a leader in education</i>	Superintendents	.003**
<i>Visionary leadership</i>	Superintendents (not significant)	.492
Student Items (2 significant differences):		
<i>Preparation for learning each day</i>	Principals	.041*
<i>Preparation for success</i>	Principals	.005**

Note. Results shown in Table 27 have been extracted from Table 18 in Chapter 4.

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

As seen in Table 27 above, only three FEVQ items were rated significantly differently by all superintendents as a group as compared to all principals as a group – one district item and two student items. Also note that although the superintendents rated the district item “*Visionary leadership*” as more important than did the principals as a group, the difference was not significant ( $p = .492$ ).

The results above illustrate a general agreement between Florida superintendents and principals about the importance of the 62 educational vision themes appearing on the FEVQ. Superintendents rated the district theme “*Recognition by others as a leader in education*” as being significantly more important than did the principals. The principals, in turn, rated the student theme “*Preparation for success*” as significantly more important than did the superintendents. These differences were apparent when comparing superintendents as a group to all principals as a group and when comparing the respondents to one another in the four subgroups of all superintendents, all high school principals, all middle school principals, and all elementary school principals, although the middle and elementary school principals rated the student success theme as more important than did the high school principals. The two sets of analyses also showed that the superintendents and principals did not differ significantly in their ratings of the importance of the district item “*Visionary leadership*.”

Research Question 3: What is the relationship, if any, between educational vision alignment levels in Florida K-12 public school districts and principals’ perceptions of their superintendents’ leadership styles?

To assist in answering Research Question 3, several calculations were performed on principals’ responses to the Multifactor Leadership Questionnaire Form 5X (MLQ-5X), in which they rated their superintendents’ leadership styles. Each superintendent’s scores for

transformational, transactional, and laissez-faire leadership styles and the subscores for idealized influence attributed (IIA), idealized influence behavior (IIB), inspirational motivation (IM), intellectual stimulation (IS), individualized consideration (IC), contingent reward (CR), management-by-exception active (MBEA), management-by-exception passive (MBEP), laissez-faire (LF), extra effort, effectiveness, and satisfaction were computed from the average scores of the superintendent's principals (Bass & Avolio, 2000). The Educational Vision Alignment Index (EVAI) values were then compared to the MLQ-5X scores and subscores using nonparametric statistical tests in SPSS 11.5 (Aron & Aron, 2002; Shavelson, 1996; SPSS, 2002; Vogt, 1999). Detailed test results using both non-conservative and conservative assumptions can be found in Table 19 in Chapter 4.

Table 28 displays only the more conservative Kendall's *tau b* results. All but six correlations were significant at the  $p < .05$  level. The relationships between the EVAI and laissez-faire leadership style, CR, LF, and effectiveness were significant at the  $p < .01$  level. The relationships between the EVAI and IC were the most significant ( $p = .001$ ). Note that a negative correlation means that as the MLQ-5X score or subscore increases, the EVAI value decreases, indicating a closer alignment of the educational vision between the superintendent and principals. Conversely, a positive correlation means that as the MLQ-5X score of subscore decreases, the EVAI value increases, indicating less alignment of the educational vision between the superintendent and principals.

Table 28

Comparisons of EVAI with MLQ-5X Scores and Subscores for 20 Superintendents:  
Kendall's *tau b* Values and Significance Levels (Conservative Assumptions)

Relationship Between EVAI and MLQ-5x:	not sig.	$p < .05$	$p < .01$	$p = .001$
Transformational Leadership Style Score and Subscores:				
Transformational Leadership Style Score		-.385*		
Idealized Influence Attributed (IIA)		-.385*		
Idealized Influence Behavior (IIB)	-.241			
Inspirational Motivation (IM)	-.233			
Intellectual Stimulation (IS)		-.364*		
Individualized Consideration (IC)				-.521***
Transactional Leadership Style Score and Subscores:				
Transactional Leadership Style Score	-.063			
Contingent Reward (CR)			-.453**	
Management-by-Exception Active (MBEA)	-.027			
Passive-Avoidant Leadership Style Subscores:				
Laissez-Faire Leadership Style Score (LF)			.458**	
Management-by-Exception Passive (MBEP)	.196			
Additional Subscores:				
Extra Effort	-.037			
Effectiveness			-.515**	
Satisfaction		-.424*		

Note. Results shown in Table 28 have been extracted from Table 19 in Chapter 4.

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed). \*\*\*  $p = .001$  (2-tailed).

Table 29 below contains five sample MLQ-5X items grouped by leadership style score and subscore. Four of the items, listed under the Transformational Leadership Style's IIA and IC subscores and the Transactional Leadership Style's CR subscore, are samples of questionnaire items comprising those subscores with the highest correlations to the EVAI values. The negative Kendall's tau b values indicate that higher values on those subscores is associated with closer vision alignment. Note that although the relationship between the EVAI and the IM item, "*Articulates a compelling vision of the future*," is negative, indicating that a higher IM subscore is associated with a closer vision alignment, the relationship is not significant.



Table 29

## Sample MLQ-5X Items (5) With Notes

Relationship Between EVAI and MLQ-5x:	Kendall's <i>tau b</i>
Transformational Leadership Style Subscores:	
Idealized Influence Attributed (IIA) <i>Acts in ways that build my respect</i>	-.385*
Inspirational Motivation (IM) <i>Articulates a compelling vision of the future (negative, but not significant)</i>	-.233
Individualized Consideration (IC) <i>Spends time teaching and coaching</i> <i>Treats me as an individual rather than just as a member of a group</i>	-.521***
Transactional Leadership Style Subscore:	
Contingent Reward (CR) <i>Discusses in specific terms who is responsible for achieving performance targets</i>	-.453**

*Note.* Five sample items from the Multifactor Leadership Questionnaire 3<sup>rd</sup> Edition reprinted with permission from the publisher, Mind Garden, Inc. Copyright 1995, 2000, 2004 by Bernard Bass and Bruce Avolio. Kendall's *tau b* results shown in Table 29 have been extracted from Table 19 in Chapter 4.  
\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed). \*\*\*  $p = .001$  (2-tailed).

In general, these results are in agreement with the tenets of transformational leadership theory, which would have predicted the following patterns:

1. Transformational superintendents and their principals would have highly aligned educational visions,
2. Laissez-faire superintendents and their principals would have weakly aligned educational visions, and
3. Transactional superintendents and their principals would have either no alignment or a weak alignment of educational visions.

All of these patterns were borne out in the current study. In addition, a high alignment of educational vision was associated with perceived principal satisfaction and perceived superintendent effectiveness, which would have also been predicted by transformational leadership theory.

Note that although transactional superintendents and their principals did not have a significant alignment of educational vision, one transactional component, contingent reward (CR), did have a significant relationship to vision alignment. This supports findings by other researchers who found a strong correlation between transformational leadership style and the CR transactional leadership style element (Bass, Avolio, Jung, & Berson, 2003; Dumdum, Lowe, & Avolio, 2002; Kirby, Paradise, & King, 1992; Lowe, Kroeck, & Sivasubramaniam, 1996). Referring to this *augmentation effect*, Bass (1985) wrote that, in some situations, a combination of transformational and transactional leadership style was preferable. According to Bass (1998), “Transactional leadership, particularly contingent reward, provides a broad basis for effective leadership, but a greater amount of effort, effectiveness, and satisfaction is possible from transactional leadership if augmented by transformational leadership” (p. 10). Although the element of extra effort was not found in the current study, it did support Bass’ predicted combination of transformational leadership, contingent reward, effectiveness, and satisfaction.

Research Question 4: To what extent, if any, are there differences among Florida K-12 public school districts exhibiting different levels of educational vision alignment?

To assist in answering Research Question 4, additional school district summary data were downloaded from the Florida Department of Education (FLDOE, n.d., 2003a, 2005) and copied into the SPSS 11.5 data file described previously. The Educational Vision

Alignment Index (EVAI) values, calculated from the responses in the Florida Educational Vision Questionnaires (FEVQ) were then compared to the FLDOE data and to the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) response data using nonparametric statistical tests in SPSS (Aron & Aron, 2002; Shavelson, 1996; SPSS, 2002; Vogt, 1999). Detailed test results can be seen in Tables 20 through 25 in Chapter 4.

Correlations were first calculated between the EVAI values and each of 16 FLDOE district summary data elements for the 20 participating school districts. Four of these correlations were significant at the  $p < .05$  level. A negative correlation was found between the EVAI values and total operating expenses per vocational student, while positive correlations were found between the EVAI values and total student membership, total number of schools, and total number of school staff, respectively. Note that a positive correlation means that as a FLDOE value (in this case, student membership, number of schools, or number of school staff) decreases, the EVAI value also decreases, indicating a closer alignment of the educational vision between the superintendent and principals. Thus, as might be expected, vision alignment was closer in districts that had fewer schools, fewer students, or fewer school staff members. This supported the finding by Berson, Shamir, Avolio, and Popper (2001) of a strong negative correlation between organizational size and the strength of the leader's vision. Berson, et al., concluded that the size of the organization mediated the relationship between the leader's transformational style and the inspirational strength of the leader's vision. Avolio, Zhu, Koh, and Bhatia (2004) had also noted the importance of structural closeness in facilitating the sharing of the vision.

When districts were grouped according to whether their superintendents were elected or appointed, several interesting and significant relationships were revealed. For the 13

districts with elected superintendents, the relationships between the EVAI values and 12 of the 15 MLQ-5X scores and subscores were significant at the  $p < .01$  level. For the seven districts with appointed superintendents, only nine of the same 15 relationships were significant, all at the lower  $p < .05$  level.

In fact, many of the significant correlations between the EVAIs and the MLQ-5X scores and subscores that were revealed previously in answers to Research Question 3 may be partially attributed to the differences between the two groups of school districts with elected versus appointed superintendents. For example, the significant correlation between EVAI and transformational leadership style for all superintendents ( $p = .018$ ) was due mainly to the corresponding significant correlation between EVAI and transformational leadership style for the 13 elected superintendents ( $p = .012$ ), as opposed to the correlation for the seven appointed superintendents, which was not significant ( $p = .176$ ). Similar patterns may be found in the correlations of EVAI with laissez-faire leadership style, idealized influence attributed (IIA), effectiveness, and satisfaction. In other cases, however, the pattern is less clear. For example, the correlation between EVAI and intellectual stimulation (IS) was significant for the 13 elected superintendents, but only at the  $p < .10$  level, and the correlation for the seven appointed superintendents was not significant at all ( $p = .652$ ). However, the correlation between EVAI and IS for the set of all 20 superintendents was significant at the  $p < .05$  level, indicating the possible presence of one or more other mediating variables.

Overall, the 13 districts with elected superintendents exhibited significantly smaller EVAIs (indicating closer vision alignment) than did the seven districts with appointed superintendents ( $p = .024$ ). To explore these differences in more detail, Kruskal-Wallis Analysis of Variance tests were conducted to compare each group's superintendent ratings of

the 62 individual educational vision themes (31 district items and 31 student items) on the FEVQ-S. As shown in Table 30 on the next page, a total of 21 of the 62 vision themes were rated significantly differently by the two groups of superintendents. Of these 21 themes, six were district related and 15 were student related. In all significantly different ratings, regardless of level of significance, the elected superintendents as a group rated the associated vision themes as being more important than did the appointed superintendents. However, the district theme “*Visionary leadership*” was not rated significantly differently by the two groups ( $p = .375$ ).

Table 30

Selected FEVQ District and Student Items:  
A Comparison of Districts With Elected and Appointed Superintendents

( $N_{SE} = 13, N_{SA} = 7$ )	Group Rating Item as Relatively More Important	Sig.
District Items (6 significant differences, in order from most to least significant):		
<i>Respectful and caring environment</i>	Elected superintendents	.048*
<i>Cooperation of students, parents, community</i>	Elected superintendents	.049*
<i>District efficiency and effectiveness</i>	Elected superintendents	.049*
<i>Curriculum at center of all district activities</i>	Elected superintendents	.052
<i>Continuous improvement/transformation</i>	Elected superintendents	.054
<i>Best school district in Florida</i>	Elected superintendents	.068
<i>Visionary leadership</i>	Neither (not significant)	.723
Student Items (15 significant differences, in order from most to least significant):		
<i>Academic excellence</i>	Elected superintendents	.004**
<i>Contributors to their local community</i>	Elected superintendents	.004**
<i>Contributors to society in general</i>	Elected superintendents	.005*
<i>Productivity as workers</i>	Elected superintendents	.016*
<i>Skills necessary for a successful life</i>	Elected superintendents	.016*
<i>High motivation</i>	Elected superintendents	.017*
<i>Desiring success</i>	Elected superintendents	.023*
<i>Successful citizenship</i>	Elected superintendents	.023*
<i>Responsible citizenship</i>	Elected superintendents	.044*
<i>Lifelong learning</i>	Elected superintendents	.064
<i>Vocational-technical and/or higher education</i>	Elected superintendents	.070
<i>Desirable social attributes</i>	Elected superintendents	.075
<i>Preparation for graduation</i>	Elected superintendents	.075
<i>Productive citizenship</i>	Elected superintendents	.083
<i>Ability to provide for selves and families</i>	Elected superintendents	.100

Note. Results shown in Table 30 have been extracted from Table 25 in Chapter 4.

\*  $p < .05$  (2-tailed). \*\*  $p < .01$  (2-tailed).

### Discussion of Respondent Comments

Several respondents took the time to provide additional comments, some unsolicited and some in response to specific open-ended questions on the Florida Educational Vision

Questionnaire (FEVQ). All respondent comments were interesting and helpful to the researcher and provided additional insights into the current study's findings. Comments written on completed questionnaires were divided into broad categories. The total number of comments in each category (listed in parentheses below) is approximate, as some comments could have been classified into more than one category:

1. Personal educational vision statements (12),
2. Additional comments related to educational vision (5),
3. Comments related to specific topics on one or both questionnaires (22), and
4. Comments and suggestions related to one or both questionnaires (15).

Five elementary school principals, five middle school principals, and nine high school principals offered additional comments, as did seven superintendents. Many respondents offered more than one type of comment, resulting in a total of 54 additional comments, summarized in Appendix F. Comments related to educational vision (categories 1 and 2) will be discussed here and in the section titled *Implications for Florida's Educational Leaders and Policy Makers*. Selected comments and suggestions related to the questionnaires (categories 3 and 4) will be discussed later in the section titled *Recommendations for Future Research*.

#### Personal Educational Visions and Related Comments

Four superintendents and 10 principals, representing a total of 10 Florida school districts, offered their personal educational visions in response to open-ended items on the Florida Educational Vision Questionnaire (FEVQ). In one instance in which both the superintendent and one or more principals within the same district shared their personal

educational visions, commonalities were readily apparent. The superintendent wrote, “We believe that we will become a world-class school system when we direct our varied resources – talents, dollars, and skills – in a manner which is consistent with our beliefs,” while an elementary school principal wrote, “We will become a world class school district when we direct our time, talents, and dollars in a manner that is consistent with our beliefs that all students can be successful learners.” Another elementary school principal in the same district wrote, “The school system needs to build capacity to sustain academic excellence, [and] time for teacher planning, collaboration and reflection is essential,” adding later that “extended time in the week and through the summer is necessary.”

In another district in which both the superintendent and some principals offered their personal educational visions and additional comments, an interesting dilemma was brought to light. The superintendent’s vision was, “The school district will perform at a level that consistently places the district in the top half of the state, leaving no student behind, and moving all students toward excellence.” However, a middle school principal expressed the following concern: “It is increasingly difficult to keep these [the principal’s top ranked FEVQ items] as most important. Pressure from the state and high stakes testing are not always what is best for students. All children are not average. There are many level 1 adults walking around in the world. The challenge is that they all go as far as possible within their ability range.”

In line with the previously stated concern, respondents in other districts discussed the necessity of an agreed upon and realistic plan for working towards the ideals expressed in the shared vision. “Unfortunately, visions do not always come with a plan,” one high school principal noted. However, even where such a plan exists, another danger lurks – that of the



plan not being perceived as being in alignment with the underlying vision. As a high school principal in a different district observed, “The real concern that I have about education in Florida is the lack of input that the districts and schools have into the overall state education plan. It is very top heavy with plans made at DOE and by the governor’s staff and passed down to the districts and schools.”

As can be seen in several statements already cited above, resources such as time, money, personnel, and talents were often mentioned as critical elements in personal educational vision statements. One superintendent offered as a personal vision: “Highest individual student achievement that is objective and measurable, best and most effective professional educational delivery by staff that is well qualified and well paid, economic and financial stability for [the] district to achieve these goals through an educational system that is supportive.” However, a high school principal in another district cautioned, “Education is demanding more and more of educators, and money is not always the answer. If everyone can just make a positive difference with his/her life, visions will become realities.”

Many of the personal educational vision statements were brief, yet filled with meaning. One middle school principal noted that three of the Florida Educational Vision Questionnaire’s vision themes (*high performing staff, engaging curriculum, and safe environment*) were, quite simply, “Our Mission & Philosophy.” An elementary school principal’s personal educational vision was, “Ensure that all students acquire the knowledge, skills, and attitudes to be successful in adult life.” A high school principal, in a statement that could apply to realms beyond education, wrote, “I feel success is a direct result in knowing you made the effort to do your very best.”

Elements contained within the personal educational vision statements ranged from general to specific. A high school principal described the school as a “highly effective educational institution that trains/educates students for enrollment in higher education and/or vocational occupations,” but also included a more general vision for the school as “an educational center intent upon developing an insatiable desire for lifelong learning.” A high school principal in another district had a similar personal vision “to instill in each student a hope for tomorrow based upon the foundation received at the school for a successful, productive, and happy future.” The following personal vision statement, written by an elementary school principal, included both general and specific elements:

As principal... I envision an educational environment that brings together all of the key components of an effective school. My goal is to build a learning community in which: students achieve success; teachers work together; and parents and the general public are actively involved. My commitment to parents, staff and community is that I will work collaboratively to: develop a school that fosters a love of learning; provide character education; ensure that students are taught in ways that spark their interest in learning; emphasize the teaching of subject content and skills through themes that make learning meaningful; focus on best practices that work and seek to make them available to every child; and make school a lively and exciting place.

#### Relationship of the Current Study to Prior Transformational Leadership Research

As noted in the research question sections above, the current study confirmed much of the prior research on transformational leadership theory. Transformational leadership is evident in Florida K-12 public school districts, validating an earlier observation by Lowe,

Kroeck, and Sivasubramaniam (1996) concerning high levels of transformational leadership in the public sector. Vision was rated as an important element of transformational leadership (Pielstick, 1998; Roueche, Baker, & Rose, 1989). In addition, vision was deemed important regardless of school district characteristics (Chui, Sharpe, & McCormick, 1996), with the exception of the those districts having higher total numbers of students, schools, and staff members (Berson, Shamir, Avolio, & Popper, 2001). Superintendents who were rated as transformational by their principals were also rated higher in some transactional leadership qualities, most notably the element of contingent reward (Bass, 1998; Bass, Avolio, Jung, & Berson, 2003; Dumdum, Lowe, & Avolio, 2002; Kirby, Paradise, & King, 1992), supporting Lowe, et al.'s observation of the complementarity of the two leadership styles. Transformational leadership style was also associated with superintendent effectiveness as perceived by principals (Bass, et al.; Dumdum, et al.).

### Theoretical Implications of the Current Study

In addition to confirming the tenets of transformational leadership theory, the current study builds upon the knowledge base of prior research and of transformational leadership theory by providing two new research tools:

1. The Florida Educational Leadership Questionnaire (FEVQ) and
2. The Educational Vision Alignment Index (EVAI).

Although both tools are geared toward research in the Florida K-12 public school environment, they may be modified for applications to other settings.

The development of the FEVQ illustrated that educational vision themes could be found across Florida K-12 public school districts. It also proved to be a reliable tool for

measuring the construct of educational leadership vision. Improvements for the next version of the FEVQ will be presented in the section titled *Recommendations for Future Research*.

By administering the FEVQ to both superintendents and their subordinate principals and comparing the individual vision theme ratings through the use of the EVAI, a measure of educational vision alignment is now possible. Prior studies of vision alignment, operationalized as *shared vision*, have relied upon respondents' perceptions of such alignments. The FEVQ and the EVAI allow this alignment to be calculated independently of, or in addition to, respondents' perceptions of vision alignment.

#### Implications for Florida's Educational Leaders and Policy Makers

As demonstrated in the current study, a close alignment of the educational visions of Florida K-12 public school district superintendents and their respective principals was apparent in districts whose superintendents were also rated as transformational leaders by their principals, most particularly in those districts with elected superintendents. This would lend credence to the emphasis in the state of Florida on the importance of transformational educational leadership and the development of shared vision in Florida school districts. Such emphasis is apparent in several areas, including leadership certification requirements, published leadership standards, and Florida public education law.

According to the Florida State Board of Education Administrative Rule 6A-4, certification in Educational Leadership in Florida requires a passing score on the Florida Educational Leadership Exam (FELE) (FLDOE, 2005b). The Educational Leadership Standards for the FELE, adopted by the Florida State Board of Education in January 2005, include an emphasis on leadership vision (FLDOE, 2005d). The publication, *Competencies*

*and Skills Required for Certification in Educational Leadership in Florida, Fourth Edition*, is available in electronic format at the main FELE web page and includes the following School Leadership and Management competency areas:

1. Basic leadership theories: Apply current concepts of leadership (e.g., systems theory, change theory, situational leadership, *visionary leadership*, *transformational leadership* [italics added], learning organizations),
2. Organizing and planning: Identify the purpose of *vision and the shared visioning process* [italics added] in planning and organizational development, and
3. Decision-making processes: Determine appropriate action that is sensitive to the *shared visions* [italics added] and values of the school community (FLDOE, 2005b).

Thus, transformational and visionary leadership, together with concept of shared vision, are important components in the training and certification of Florida’s educational leaders.

On May 24, 2005, Florida State Board of Education Administrative Rule 6B-5.0012 was approved as a further definition of those skills and abilities expected of all school leaders in Florida (FLDOE, 2005e). The Florida Principal Leadership Standards (FPLS) described in this rule specifically address the school leadership competency of vision. According to the FPLS, “High performing leaders have a personal vision for their school and the knowledge, skills, and dispositions to develop, articulate and implement a shared vision that is supported by the larger organization and the school community” (§ 3a).

In an extension of Florida’s A+ Plan, on June 5, 2006, Florida Governor Jeb Bush signed into law House Bill 7087, *An Act Relating to Education*, more commonly known as the A++ Plan (FLDOE, 2006a). In a June 8, 2006, memorandum from the Florida Chancellor

of K-12 Public Schools, district school superintendents and assistant superintendents were advised that the provisions of the A++ Plan addressed “numerous areas, including secondary reform, differential pay for teachers, *school leadership development* [italics added], school improvement, paperwork reduction, and school start date” (FLDOE, 2006b, p. 1). The attachment to the June 8 memorandum listed several provisions and initiatives designed to improve school leadership in Florida (FLDOE, 2006c). For example, the Professional Development System “requires the DOE, public postsecondary educational institutions, public school districts, public schools, state education foundations, consortia, and professional organizations in Florida to work collaboratively to establish a coordinated system of professional development” (p. 4). In addition, the A++ Plan established the William Cecil Golden Professional Development Plan for School Leaders “to provide high standards and sustained support for principals as instructional leaders...using the framework of leadership standards adopted by the State Board of Education, the Southern Regional Education Board, and the National Staff Development Council” (p. 5). The A++ Plan thus expanded the standards for Florida’s educational leaders beyond the previously stated Educational Leadership Standards and the Florida Principal Leadership Standards.

Transformational leadership has been described as a trainable skill, as have the processes of creating and building shared visions (Bennis & Nanus, 1985; Chui, Sharpe, & McCormick, 1996; Conger, Kanungo, & Menon, 2000; Frese, Beigel, & Schoenborn, 2003; Jung, 2001; Kirby, Paradise, & King, 1992; Leithwood, 1994). The current study indicated that the shared vision should consist of closely aligned common themes, or underlying values. The heavy emphasis in Florida on transformational leadership, shared visions, and professional development for its educational leaders would appear to be supported by the

results of the current study. However, additional research is recommended to determine whether or not the current results for superintendents and their principals are also applicable to other types of educational leaders and their subordinates.

Another finding in the current study was that as the size of the school district increased, the strength of vision alignment tended to diminish. While this finding will need to be explored in more detail to determine its underlying dynamics, it does indicate that leaders of large school districts should be sensitive to the need for proper communication of educational vision throughout their districts. One possible way of facilitating such communication would be through the introduction of intermediate layers of leadership within these large districts, thereby reducing the span of leadership control.

#### Recommendations for Future Research

Since the Florida Educational Vision Questionnaire (FEVQ) was designed specifically for the current study, the first recommendations for future research to be discussed will concern changes to that research instrument. Although the FEVQ was initially pilot tested and reviewed, the current study constituted a much more thorough test of the instrument, resulting in several recommended improvements. Following a discussion of these improvements, additional suggestions for future research will be offered.

#### Improvements to the Florida Educational Vision Questionnaire

Several improvements will be made to the next version of the Florida Educational Vision Questionnaire (FEVQ), which was developed by the researcher for use in the current

study. Some of these improvements will be discussed here for the benefit of those researchers who may choose to develop their own questionnaires for related research.

Although content analyses in the initial phases of the FEVQ's development resulted in the reduction of 20 pages of vision statements to two pages of individual vision theme content items, the list could have been shortened even further. As one superintendent wrote, "Your vision statement items are not mutually exclusive. Some are overarching statements which include many other statements directly or by inference." This observation was confirmed by the factor analysis of the FEVQ responses in the current study, which suggested that the 62 vision themes (31 district related and 31 student related) listed in the Vision Section of the FEVQ could be reduced to 11 district related themes and 11 student related themes, or a total of 22 vision themes (see Tables 14 and 15). In addition to decreasing the burden on the respondents, this reduction of items could also simplify the subsequent statistical analyses of the responses.

The four-point Likert scale for the vision themes, with rating options of *Extremely Important*, *Somewhat Important*, *Somewhat Unimportant*, and *Extremely Unimportant*, was insufficient. Many respondents tended to rate all of the vision themes as *Extremely Important* or *Somewhat Important*, thus decreasing the value of the scale in detecting slight variations in the relative importance of the individual themes. The Likert scale will thus be expanded to provide additional options. Also, several respondents wrote brief explanations of the ratings given to some of the items (see Appendix G), indicating that perhaps an area should have been allotted for such explanations to allow a more systematic analysis of the responses. For example, one middle school principal rated each of the district items, *family involvement in the educational process* and *family support for the district*, as *Somewhat Unimportant*, but



“only because we can have limited impact on this.” Likewise, “difficult to guarantee/insure” was given by the same principal as a reason for rating the student item, *career success*, as *Somewhat Unimportant*.

While ranking of a subset of the vision themes was also attempted in the current version of the FEVQ by asking respondents to rank their top three vision themes in each of the district and student categories, that request was unreasonable in retrospect. The instructions were confusing and therefore often misinterpreted or ignored. Combined with the smaller number of vision themes on the revised FEVQ, this ranking request may be deemed more reasonable. Since the Educational Value Alignment Index (EVAI) calculations are based upon Likert ratings, complete rankings were not necessary in the current study. However, some researchers may prefer to include them due to the expanded choice of statistical analyses made possible by ranked data.

Other improvements to the FEVQ will correspond to the rules of good questionnaire construction (Dillman, 2000). For example, some of the demographic response choices will be expanded, particularly those relating to years of tenure in the current position. In addition, despite those expansions, the total number of pages will be substantially reduced, due to the fewer number of vision themes to be rated, thereby allowing the questionnaire to be printed in a more user friendly format.

A final improvement to the FEVQ will be the addition of an item asking the principals if they think that their own educational vision aligns with that of their superintendent, and conversely, asking superintendents if they think that their principals' educational visions align with their own. While this question of perception was purposefully

omitted from the FEVQ, it would have been interesting to see if districts with strong educational vision alignment scores also rated highly on perceptions of vision alignment.

### Additional Suggestions for Future Research

Despite the use of recommended strategies for improving survey response rates (Dillman, 2000), the current study resulted in a relatively small set of usable responses – only 20 superintendent responses and 81 principal responses. While nonparametric statistics allowed satisfactory analyses to be performed, future studies should be conducted using larger sample sizes. In particular, future studies should include a higher proportion of principals to superintendents than was attained in the current study.

Other recommendations for future research can be deduced from comments made by respondents in the current study. For example, one high school principal expressed concern on the Multifactor Leadership Questionnaire (MLQ) that “[my] superintendent is in his 2<sup>nd</sup> year. I wanted to answer ‘don’t know’ on many of the questions.” While it was acceptable in this instance to leave blank responses on the MLQ, the principal’s comment pointed to at least one important avenue for future research on superintendents and principals. As verified in the current study, superintendent tenure is often relatively short, particularly in comparison to that of leaders in organizations outside of the field of education. Future studies of vision alignment in school districts should include a survey of the methods of vision communication from the superintendent’s office to the schools. This would provide valuable insight, particularly in those districts with both new superintendents and high degrees of vision alignment.

To refine the study of vision communication even further, future researchers may wish to study the two-way development and communication of vision. Leithwood and Jantzi (1999) defined leadership, especially transformational leadership, as a multi-directional, multi-faceted process. Future research could determine whether or not similar dynamics occurred with vision communication.

One middle school principal commented on the MLQ that “I don’t work closely enough with the Superintendent to answer some of these questions. I don’t see him very often, and don’t work with him on ‘assignments.’ I work with my Director.” This comment indicates that in the superintendent-principal relationship, there could be several intermediary leader-follower relationships worthy of study. It is also possible that research instruments other than, or in addition to, the MLQ-5X could be used to study principals’ perceptions of their superintendents’ leadership styles. In many school districts, particularly large ones, it is physically impossible for superintendents to be in direct daily face-to-face contact with their principals, so it would be difficult for those principals to provide accurate first-hand assessments of their superintendents’ leadership styles.

The current study did indicate that the educational visions of superintendents and principals in smaller districts, as measured by student population and total number of teachers, were indeed more closely aligned than those of larger districts. While such an alignment could be explained by the close physical proximity between the leaders and their followers, this was not explicitly studied in the current research and is therefore recommended for examination in future research studies. On the other hand, there were some larger districts that did exhibit close vision alignment, and future research is needed to examine how this alignment was attained against the apparent odds.

As alluded to above, there are also many other leader-follower relationships that could be studied within school districts – school board members and superintendents, superintendents and their central office department administrators, principals and their teachers, even teachers and their students. In each of these instances, vision alignment indicators could be calculated and compared with leadership styles, among other measures. In their meta-analysis of transformational leadership research, Lowe, Kroeck, and Sivasubramaniam (1996) found evidence that transformational leadership styles were more abundant in the public sector than anticipated, and also that leaders at lower levels of all organizations were also often transformational. Studies of the leader-follower pairs suggested above could help determine if transformational leadership styles were apparent under both of those conditions simultaneously.

Although the association between strong vision alignment and transformational leadership was an important finding in the current study, it would have also been interesting to include questions about respondents' perceptions of vision alignment. The inclusion of such questions would allow future researchers to determine whether or not a strong vision alignment, as measured by the Educational Vision Alignment Index (EVAI), was also accompanied by the perception of such alignment, both by the leaders and by their subordinates.

Unexpectedly, the current study uncovered significant differences between districts having elected and appointed superintendents. Districts with elected superintendents exhibited significantly stronger educational vision alignment indices, and elected superintendents were rated as significantly more transformational than their appointed counterparts. While there may have been intervening variables causing these differences,

further exploration is still warranted. Hollander (1977) had found in his research that “the source of a leader’s authority, in appointment or election, has distinctive consequences for leader-follower relations” (p. 290). Ben-Yoav, Hollander, and Carnevale (1983) later reported similar findings, attributing those consequences to a “greater investment in, and higher expectations for, an elected leader than an appointed one” (p. 111). Whether such an exchange relationship would account for the higher contingent reward subscores for elected superintendents remains to be seen. As Bryman (1989) noted, transformational leadership has often been studied to the exclusion of transactional leadership. Hollander’s research on elected and appointed leaders had already emphasized the necessity of studying both. Future educational researchers may wish to include the theories and findings of Hollander et al. as frameworks for more in-depth studies of the differences between elected and appointed superintendents.

### Conclusion

“There is no room for debate on the question of *whether* the school superintendency in America has changed during the past decade” (Marland, 1970, italics in original). Although Marland was alluding in part to changes brought about as a result of the Elementary and Secondary Education Act of 1965 (ESEA), his words are just as applicable 40 years later to changes brought about by the ESEA’s descendant, the No Child Left Behind Act of 2001 (NCLB, n.d.). In Florida, the new A++ Plan underscores and refines the requirements of NCLB (FLDOE, 2006a). Florida’s educational leaders are expected to be transformational and visionary leaders, capable of crafting and communicating strong visions for education in their schools and school districts. The ability to share, or align, their

educational visions is considered to be a critical knowledge and skill area for all educational leaders in Florida, as evidenced by the standards tested in the Florida Educational Leadership Exam (FLDOE, 2005b, 2005d).

The current study illustrated that in Florida K-12 public school districts whose superintendents were perceived to be transformational leaders, a strong alignment of educational vision between the superintendents and their principals was also apparent, particularly in those districts having elected superintendents. Using two researcher developed tools, the Florida Educational Vision Questionnaire (FEVQ) and the Educational Vision Alignment Index (EVAI), it was shown that this alignment pertained to specific content items, or themes, derived from an analysis of the educational vision statements of the 67 Florida school districts. These results indicate that the current emphasis in Florida on the development of transformational leaders who are knowledgeable in techniques for developing and communicating shared visions is therefore warranted.

The importance of a strong educational vision cannot be understated. In 1998, Maslow wrote:

It seems very clear to me that in an enterprise, if everybody concerned is absolutely clear about the goals and directives and far purposes of an organization, practically all other questions then become simple technical questions of fitting means to ends. But it is also true that to the extent that these far goals are confused or conflicting or ambivalent or only partially understood, then all the discussion of techniques and methods and means in the world will be of little use (p. 50).

A basic premise of quality initiatives such as the Baldrige National Quality Program and the Florida Sterling Award program is that an organization's activities should all be

aligned with one another (Baldrige National Quality Program, 2004; Florida Sterling Council, 2002; Florida Sterling Council, 2004). In line with Maslow's observation, a necessary prerequisite for attaining such an alignment is first to ensure that the underlying leadership vision is also aligned across all levels of the organization. In Florida K-12 public school districts, an alignment of educational vision between transformational superintendents and their principals is already evident. Rigorous training in transformational leadership behaviors, including the processes of building and communicating shared visions, could lead to the necessary alignment referred to by Maslow and could, in turn, lead to a better chance of attaining the goals and directives mandated by the No Child Left Behind Act and the Florida A++ Plan. Even more important, a strong alignment of both educational vision and activities could allow educational leaders and educators to spend less time and energy focusing on district procedural issues and more valuable time and energy attending directly to the education of their students.

APPENDIX A: SUPERINTENDENT COVER LETTER



Superintendent «Last»  
School District of «District\_Name» County  
«Address»  
«City», «State» «Zip»

April 11, 2005

Dear Superintendent «Last»:

I am conducting research for my dissertation titled “Florida School Districts: Vision Alignment and Leadership Style.” The study involves the distribution of questionnaires to district superintendents and a sample of their principals. It will seek to determine whether or not there is an alignment of educational vision between superintendents and principals and whether or not such an alignment is associated with the superintendents’ leadership styles.

A researcher developed survey, the Florida Educational Vision Questionnaire (FEVQ) will be administered first to superintendents and later, with superintendent permission, to a sample of their subordinate principals. Superintendent and principal FEVQ scores will then be used to determine a vision alignment index. In addition, and also with superintendent permission, principals will complete the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) to rate their superintendents’ leadership styles.

Please note that the FEVQ and the return envelope for the FEVQ are each coded with a three-digit number. This random number will be used for matching purposes only and will allow pairing the superintendent and principal responses for the calculation of the vision alignment index and subsequent statistical analyses. All responses will be kept confidential and will be reported in aggregate form only. Neither you nor your school district will be identified in the final dissertation. Principals in your district will not be surveyed without your express permission indicated on the FEVQ, and your principals’ survey responses will also be kept confidential and reported in aggregate form.

Please consider assisting me with this research by completing the enclosed FEVQ and returning it to me in the self addressed, stamped envelope within **14 days**. If you do not wish to complete the questionnaire, please return the blank FEVQ, and I will omit your district from any follow-up or reminder mailings.

Thank you very much for your time and consideration.

Cindy F. Sikkenga  
Doctoral Candidate  
University of Central Florida  
1651 Cushman Circle  
Fort Myers, FL 33901-8905

APPENDIX B: PRINCIPAL COVER LETTER

[Principal Name]  
[Address]  
[City, State, Zip]

[Date]

Dear [Principal Name]:

I am conducting research for my dissertation titled “Florida School Districts: Vision Alignment and Leadership Style.” The study involves the distribution of questionnaires to district superintendents and a sample of their principals. It will seek to determine whether or not there is an alignment of educational vision between superintendents and principals and whether or not such an alignment is associated with the superintendents’ leadership styles.

A researcher developed survey, the Florida Educational Vision Questionnaire (FEVQ) was administered first to superintendents and later, with superintendent permission, is now being administered to a sample of their principals. Superintendent and principal FEVQ scores will be used to determine a vision alignment index. In addition, and also with superintendent permission, principals are being administered the Multifactor Leadership Questionnaire Form 5X (MLQ-5X) to rate their superintendents’ leadership styles.

Please note that the FEVQ, the MLQ-5X, and the return envelope are coded with a number. This number is a random number that will be used for matching purposes only and will allow pairing the superintendent and principal responses for the calculation of the vision alignment index and for subsequent statistical analyses. Neither you nor your school will be identified in the final dissertation. Superintendent authorization has been received to distribute the FEVQ and MLQ-5X to a sample of principals in your district, with the understanding that all answers will be kept in strictest confidence, and results will be reported in aggregate form only.

Please consider assisting me with this research by completing the two enclosed questionnaires:

- FEVQ (about your own educational vision)
- MLQ-5X (about your rating of your superintendent’s leadership style)

and returning them to me in the self addressed, stamped envelope within **14 days**. If you do not wish to complete the questionnaires, please return the blank FEVQ and MLQ-5X, and I will omit your school from any follow-up or reminder mailings.

Thank you very much for your time and consideration.

Cindy F. Sikkenga  
Doctoral Candidate  
University of Central Florida  
1651 Cushman Circle  
Fort Myers, FL 33901-8905

APPENDIX C: FLORIDA EDUCATIONAL VISION QUESTIONNAIRE  
SUPERINTENDENT FORM (FEVQ-S)

## Florida Educational Vision Questionnaire Superintendent Form (FEVQ-S)

### I. Vision Section (Items Describing the Future of Your School District)

Some common items extracted from the published vision statements of Florida school districts are listed in the chart below. Next to each item, please check the one box that best represents how important that item is to any vision for the future of *your school district*. Answers range from “extremely important” to “extremely unimportant”.

<b>THE FUTURE OF MY SCHOOL DISTRICT</b>	Importance ( <i>check one box per item</i> )			
	Extremely Important	Somewhat Important	Somewhat Unimportant	Extremely Unimportant
highest caliber of service				
recognition of students as customers				
continuous improvement/transformation				
decisions based on what is best for students				
recognition by others as a leader in education				
world class school system/education				
best education in the nation				
schools as models for the rest of the nation				
best school district in Florida				
visionary leadership				
responsible stewardship of public resources				
district efficiency and effectiveness				
meeting all or most required objectives				
partnership with surrounding community				
collaboration among multiple communities				
cooperation of students, parents, community				
family support for the district				
family involvement in the educational process				
safe environment				
respectful or caring environment				
competent staff				
high performing staff				
continual professional staff development				
staff as models of lifelong learning				
engaging curriculum				
curriculum at the center of all district activities				
comprehensive curriculum				
curriculum tailored to each student				
carefully planned curriculum				
innovative curriculum				
curriculum based on high standards				

## Florida Educational Vision Questionnaire Superintendent Form (FEVQ-S)

### I. Vision Section (Items Describing the Future of Your Students)

Some common items extracted from the published vision statements of Florida school districts are listed in the chart below. Next to each item, please check the one box that best represents how important that item is to any vision for the future of *your students*. Answers range from “extremely important” to “extremely unimportant”.

<b>THE FUTURE OF MY STUDENTS</b>	<i>Importance (check one box per item)</i>			
	Extremely Important	Somewhat Important	Somewhat Unimportant	Extremely Unimportant
reaching their full potential of talents/abilities				
reaching their full emotional potential				
reaching their full physical potential				
reaching their full intellectual potential				
preparation for learning each day				
preparation for success				
academic excellence				
self-direction				
preparation for graduation				
desiring success				
high motivation				
vocational-technical and/or higher education				
highest level of education they can attain				
lifelong learning				
lifelong problem-solving				
desirable social attributes				
skills necessary for a successful life				
productivity as workers				
career success				
ability to provide for selves and families				
success in a culturally diverse world				
success in a technologically sophisticated world				
success in a changing world				
responsible citizenship				
productive citizenship				
successful citizenship				
contributors to the world				
contributors to society in general				
contributors to their country				
contributors to their state				
contributors to their local community				

## Florida Educational Vision Questionnaire Superintendent Form (FEVQ-S)

Of the educational vision statement items listed on pages 1 and 2, please select:

- **three items on page 1** (items describing the future of *your school district*) and
- **three items on page 2** (items describing the future of *your students*)

that you consider to be the **most important** elements in any educational vision statement and rank them in the far left column, using the following numeric codes on each page:

- 1 = most important
- 2 = second most important
- 3 = third most important

(Optional) If you wish to share your personal educational vision for your school or district, please write it in the space provided below (*use back of survey if needed*):

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(Optional) If you have any additional comments related to educational vision, please write them in the space provided below (*use back of survey if needed*):

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### II. Demographic Section

1. How many years have you been a superintendent in your district? (*check one box*)

- Less than 1 year
- 1-2 years
- 3-5 years
- 5-8 years
- More than 8 years (*please specify*) \_\_\_\_\_

2. How many total years have you been a superintendent? (*check one box*)

- Less than 1 year
- 1-2 years
- 3-5 years
- 5-8 years
- More than 8 years (*please specify*) \_\_\_\_\_

3. How many total years have you worked in the field of education? (*check one box*)

- 1-5 years
- 6-10 years
- 11-15 years
- 16-20 years
- More than 20 years (*please specify*) \_\_\_\_\_

**Florida Educational Vision Questionnaire  
Superintendent Form (FEVQ-S)**

4. What is your highest degree earned? *(check one box)*

Bachelor's

Master's

Educational Specialist

Doctorate

Other *(please specify)* \_\_\_\_\_

5. What is your gender? *(check one box)*

Male

Female

6. What is your age? *(check one box)*

18-29

30-39

40-49

50-59

60-69

70 or above

7. As described in the cover letter, the next phase of this research will involve sending both the Florida Educational Vision Questionnaire and the Multifactor Leadership Questionnaire to your district principals. Do you give authorization to send these two questionnaires to a sample of principals in your district? *(check one box)*

Yes, questionnaires may be sent to principals in my district.

No, questionnaires may not be sent to principals in my district.

Optional:

*(will be used only for follow-up clarification if desired)*

Name of person completing form: \_\_\_\_\_

Phone number: \_\_\_\_\_

E-mail address: \_\_\_\_\_



**Florida Educational Vision Questionnaire  
Superintendent Form (FEVQ-S)**

**Thank you very much for taking the time to complete this questionnaire!**

Please mail the completed questionnaire in the enclosed self addressed, stamped envelope **within 2 weeks of receipt.**

Mail to:           Cindy Sikkenga  
                      1651 Cushman Circle  
                      Fort Myers, FL 33901-8905

If you would like to receive a copy of the final research report, please check the appropriate boxes below:

Format:

- Summary of the final research report
- Copy of the entire dissertation (approximately 150 to 200 pages)
- Other (*please specify*) \_\_\_\_\_

Medium:

- Postal mail (*please provide your name and mailing address on page 4*)
  - Paper Copy – Bound
  - Paper Copy – Unbound
  - CD Copy
- E-mail (*please provide your e-mail address on page 4*)
- Other (*please specify*) \_\_\_\_\_

If you have any questions or need clarification on any of the questionnaire items, please leave a message at phone number (239) 936-6602, and I will return your call on or before the following school day. You may also reach me by postal mail at the address above or by e-mail at [cfsikk@comcast.net](mailto:cfsikk@comcast.net).

**Thank you again for your help!**

APPENDIX D: FLORIDA EDUCATIONAL VISION QUESTIONNAIRE  
PRINCIPAL FORM (FEVQ-P)

## Florida Educational Vision Questionnaire Principal Form (FEVQ-P)

### I. Vision Section (Items Describing the Future of Your School District)

Some common items extracted from the published vision statements of Florida school districts are listed in the chart below. Next to each item, please check the one box that best represents how important that item is to any vision for the future of *your school district*. Answers range from “extremely important” to “extremely unimportant”.

<b>THE FUTURE OF MY SCHOOL DISTRICT</b>	<i>Importance (check one box per item)</i>			
	Extremely Important	Somewhat Important	Somewhat Unimportant	Extremely Unimportant
highest caliber of service				
recognition of students as customers				
continuous improvement/transformation				
decisions based on what is best for students				
recognition by others as a leader in education				
world class school system/education				
best education in the nation				
schools as models for the rest of the nation				
best school district in Florida				
visionary leadership				
responsible stewardship of public resources				
district efficiency and effectiveness				
meeting all or most required objectives				
partnership with surrounding community				
collaboration among multiple communities				
cooperation of students, parents, community				
family support for the district				
family involvement in the educational process				
safe environment				
respectful or caring environment				
competent staff				
high performing staff				
continual professional staff development				
staff as models of lifelong learning				
engaging curriculum				
curriculum at the center of all district activities				
comprehensive curriculum				
curriculum tailored to each student				
carefully planned curriculum				
innovative curriculum				
curriculum based on high standards				

## Florida Educational Vision Questionnaire Principal Form (FEVQ-P)

### I. Vision Section (Items Describing the Future of Your Students)

Some common items extracted from the published vision statements of Florida school districts are listed in the chart below. Next to each item, please check the one box that best represents how important that item is to any vision for the future of *your students*. Answers range from “extremely important” to “extremely unimportant”.

<b>THE FUTURE OF MY STUDENTS</b>	<i>Importance (check one box per item)</i>			
	Extremely Important	Somewhat Important	Somewhat Unimportant	Extremely Unimportant
reaching their full potential of talents/abilities				
reaching their full emotional potential				
reaching their full physical potential				
reaching their full intellectual potential				
preparation for learning each day				
preparation for success				
academic excellence				
self-direction				
preparation for graduation				
desiring success				
high motivation				
vocational-technical and/or higher education				
highest level of education they can attain				
lifelong learning				
lifelong problem-solving				
desirable social attributes				
skills necessary for a successful life				
productivity as workers				
career success				
ability to provide for selves and families				
success in a culturally diverse world				
success in a technologically sophisticated world				
success in a changing world				
responsible citizenship				
productive citizenship				
successful citizenship				
contributors to the world				
contributors to society in general				
contributors to their country				
contributors to their state				
contributors to their local community				

## Florida Educational Vision Questionnaire Principal Form (FEVQ-P)

Of the educational vision statement items listed on pages 1 and 2, please select:

- **three items on page 1** (items describing the future of *your school district*) and
- **three items on page 2** (items describing the future of *your students*)

that you consider to be the **most important** elements in any educational vision statement and rank them in the far left column, using the following numeric codes on each page:

- 4 = most important
- 5 = second most important
- 6 = third most important

(Optional) If you wish to share your personal educational vision for your school or district, please write it in the space provided below (*use back of survey if needed*):

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(Optional) If you have any additional comments related to educational vision, please write them in the space provided below (*use back of survey if needed*):

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### II. Demographic Section

1a. How many years have you been a principal] in your school? (*check one box*)

- Less than 1 year
- 1-2 years
- 3-5 years
- 5-8 years
- More than 8 years (*please specify*) \_\_\_\_\_

1b. What grade levels are taught at your school? (*check all that apply*)

- |                             |  |                             |                             |                             |                             |
|-----------------------------|--|-----------------------------|-----------------------------|-----------------------------|-----------------------------|
| <input type="checkbox"/> KG | <input type="checkbox"/> 01                                    | <input type="checkbox"/> 02 | <input type="checkbox"/> 03 | <input type="checkbox"/> 04 | <input type="checkbox"/> 05 |
| <input type="checkbox"/> 06 | <input type="checkbox"/> 07                                    | <input type="checkbox"/> 08 | <input type="checkbox"/> 09 | <input type="checkbox"/> 10 | <input type="checkbox"/> 11 |
| <input type="checkbox"/> 12 | <input type="checkbox"/> Other ( <i>please specify</i> ) _____ |                             |                             |                             |                             |

2. How many total years have you been a principal? (*check one box*)

- Less than 1 year
- 1-2 years
- 3-5 years
- 5-8 years
- More than 8 years (*please specify*) \_\_\_\_\_

**Florida Educational Vision Questionnaire  
Principal Form (FEVQ-P)**

3. How many total years have you worked in the field of education? *(check one box)*

- 1-5 years
- 6-10 years
- 11-15 years
- 16-20 years
- More than 20 years *(please specify)* \_\_\_\_\_

4. What is your highest degree earned? *(check one box)*

- Bachelor's
- Master's
- Educational Specialist
- Doctorate
- Other *(please specify)* \_\_\_\_\_

5. What is your gender? *(check one box)*

- Male
- Female

6. What is your age? *(check one box)*

- 18-29
- 30-39
- 40-49
- 50-59
- 60-69
- 70 or above

Optional:

*(will be used only for follow-up clarification if desired)*

Name of person completing form: \_\_\_\_\_

Phone number: \_\_\_\_\_

E-mail address: \_\_\_\_\_

**Florida Educational Vision Questionnaire  
Principal Form (FEVQ-P)**

**Thank you very much for taking the time to complete this questionnaire!**

Please mail the completed questionnaire in the enclosed self addressed, stamped envelope **within 2 weeks.**

Mail to: Cindy Sikkenga  
1651 Cushman Circle  
Fort Myers, FL 33901-8905

If you would like to receive a copy of the final research report, please check the appropriate boxes below:

Format:

- Summary of the final research report
- Copy of the entire dissertation (approximately 150 to 200 pages)
- Other *(please specify)* \_\_\_\_\_

Medium:

- Postal mail *(please provide your name and mailing address on page 4)*
  - Paper Copy – Bound
  - Paper Copy – Unbound
  - CD Copy
- E-mail *(please provide your e-mail address on page 4)*
- Other *(please specify)* \_\_\_\_\_

If you have any questions or need clarification on any of the questionnaire items, please leave a message at phone number (239) 936-6602, and I will return your call on or before the following school day. You may also reach me by postal mail at the address above or by e-mail at [cfsikk@comcast.net](mailto:cfsikk@comcast.net).

**Thank you again for your help!**

APPENDIX E: MULTIFACTOR LEADERSHIP QUESTIONNAIRE FORM 5X RATER  
(MLQ-5X) SAMPLE ITEMS



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**MULTIFACTOR LEADERSHIP QUESTIONNAIRE FORM 5X RATER  
(MLQ-5X) SAMPLE ITEMS**

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Transformational Leadership Style Subscores:

Idealized Influence Attributed (IIA)

*Acts in ways that build my respect*

Inspirational Motivation (IM)

*Articulates a compelling vision of the future*

Individualized Consideration (IC)

*Spends time teaching and coaching*

*Treats me as an individual rather than just as a member of a group*

Transactional Leadership Style Subscore:

Contingent Reward (CR)

*Discusses in specific terms who is responsible for achieving performance targets*

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*Note.* Five sample items from the Multifactor Leadership Questionnaire 3<sup>rd</sup> Edition reprinted with permission from the publisher, Mind Garden, Inc. Copyright 1995, 2000, 2004 by Bernard Bass and Bruce Avolio.

APPENDIX F: PERSONAL VISION STATEMENTS AND OTHER STATEMENTS  
RELATED TO VISION

S/P	Type	Personal Vision Statements & Additional FEVQ Statements Related to Vision
P	PV	Highly effective educational institution that trains/educates students for enrollment in higher education and/or vocational occupations. An educational center intent on developing an insatiable desire for lifelong learning.
P	PV	To instill in each student a hope for tomorrow based upon the foundation received at school for a successful, productive, and happy future.
	AC	Unfortunately, visions do not always come with a plan. Education is demanding more and more of educators, and money is not always the answer. If everyone can just make a positive difference with his/her life, visions will become realities.
S	PV	We believe that we will become a world-class school system when we direct our varied resources – talents, dollars, and skills – in a manner which is consistent with our beliefs.
P	PV	We will become a World Class school district when we direct our time, talents, and dollars in a manner that is consistent with our beliefs that all students can be successful learners.
P	PV	The school system needs to build capacity to sustain academic excellence, time for teacher planning, collaboration and reflection is essential.
	AC	Extended time in the week and through the summer is necessary.
S	PV	The School District will perform at a level that consistently places the District in the top half of the state, leaving no student behind, and moving all students toward excellence.
P	PV	It is increasingly difficult to keep these [top ranked FEVQ items] as most important. Pressure from the state & high stakes testing are not always what is best for students. [District: 1 = <i>curriculum based on high standards</i> , 2 = <i>decisions based on what is best for students</i> , 3 = <i>visionary leadership</i> ] [Student: 1 = <i>preparation for graduation</i> , 2 = <i>responsible citizenship</i> , 3 = <i>success in a culturally diverse world</i> ]
	AC	All children are not average. There are many level 1 adults walking around in the world. The challenge is that they all go as far as possible within their ability range.
<p>Note. S/P: S = Superintendent, P = Principal. Type: PV = Personal Educational Vision Statement, AC = Additional Comment Related to Educational Vision.</p>		

S/P	Type	Personal Vision Statements & Additional FEVQ Statements Related to Vision
S	PV	Highest individual student achievement that is objective & measurable, best and most professional educational delivery by staff that is well qualified and well paid, economic and financial stability for district to achieve these goals through an educational system that is supportive.
P	PV	As principal ... I envision an educational environment that brings together all of the key components of an effective school. My goal is to build a learning community in which: students achieve success; teachers work together; and parents and the general public are actively involved. My commitment to parents, staff and community is that I will work collaboratively to: develop a school that fosters a love of learning; provide character education; ensure that students are taught in ways that spark their interest in learning; emphasize the teaching of subject content and skills through themes that make learning meaningful; focus on best practices that work and seek to make them available to every child; and make school a lively and exciting place.
P	AC	Top leadership, specifically Superintendent and Assistant Superintendents, should not express criticism to an entire group of principals when only one, a couple, or a few have erred. Those principals should be spoken to individually. This is a core philosophy of mine. I don't reprimand teachers or students as a whole group, but deal with individuals who had the problem.
P	PV	I feel success is a direct result in knowing you made the effort to do your very best.
S	PV	Ensure that all students acquire the knowledge, skills and attitudes to be successful in adult life.
P	PV	High performing staff Engaging curriculum Safe environment Our Mission & Philosophy [referring to all 3 items above]
P	AC	The real concern that I have about education in Florida is the lack of input that the districts and schools have into the overall state education plan. It is very top heavy with plans made at DOE and by the governor's staff and passed down to the districts and schools.
Note. S/P: S = Superintendent, P = Principal. Type: PV = Personal Educational Vision Statement, AC = Additional Comment Related to Educational Vision.		

APPENDIX G: RESPONDENT QUESTIONNAIRE RATINGS COMMENTS

FEVQ Comments

S/P	Type	Comment	Item(s) [Researcher Notes]
P	D	'A' District	<i>Best school district in Florida</i> [Rated <i>Extremely Important</i> ]
P	D	Education	<i>Decisions based on what is best for students</i> [Rated <i>Somewhat Important</i> ]
P	D	Only because we can have limited impact on this.	<i>Family involvement in the educational process</i> [Rated <i>Somewhat Unimportant</i> ]
P	D	Only because we can have limited impact on this.	<i>Family support for the district</i> [Rated <i>Somewhat Unimportant</i> ]
P	S	Difficult to guarantee/insure	<i>Career success</i> [Rated <i>Somewhat Unimportant</i> ]
P	S	Too nebulous	<i>Contributors to the world, to society in general, to their country, to their state, and to their local community</i> [All five items rated <i>Somewhat Unimportant</i> ]
P	S	This is a result?	<i>Preparation for success</i> [Not rated]
P	S	"Full" for their "age"	<i>Reaching their full potential of talents/abilities, their full emotional potential, their full physical potential, and their full intellectual potential</i> [All four items rated <i>Extremely Important</i> ]
P	S	Ambiguous	<i>Skills necessary for a successful life</i> [Rated <i>Somewhat Unimportant</i> ]
P	S	Unmeasurable [sic], nebulous	<i>Successful citizenship</i> [Rated <i>Somewhat Unimportant</i> ]
S	O	Your vision statement items are not mutually exclusive. Some are overarching statements which include many other statements directly or by inference.	[Refers to both district and student items]
P	O	The superintendent is in his 2 <sup>nd</sup> year. I wanted to answer "don't know" on many of questions."	[Noted on FEVQ, could apply to both FEVQ and MLQ.]
P	O	Interim principal beginning July '05 until Jan '06	[Additional comment]
P	O	Working on it now ☺	[Re: Highest degree earned item – doctorate]
S	O	Post Doctoral Work	[Re: Highest degree earned item – doctorate]
S	O	Honorary Doctor of Law	[Re: Highest degree earned question – master's]

Note. S/P: P = Principal, S = Superintendent. Type: D = District Item, S = Student Item, O = Other

### MLQ-5X Comments

#	Style	Comment
01	CR	Just gives assistance when needed [not necessarily in exchange for efforts]
01	CR	Don't understand this? [concept of exchanging assistance for efforts]
35	CR	? [satisfaction when I meet expectations]
40	EFF	N/A [representing me to higher authority]
15	IC	Not sure – can't imagine he'd ever have time to do this! [teaching and coaching]
29	IC	“unique school” [treats as an individual]
31	IC	? [helps develop my strengths]
10	IIA	*** [pride by association]
34	IIB	Very accessible! [relating to collective sense of mission]
30	IS	? [look at problems from different angles]
32	IS	? [suggests new ways of looking at how to complete assignments]
05	LF	Only when appropriate [getting involved]
07	LF	Not “absent,” really – just very busy and not visible at some meetings where his presence would be beneficial [absent when needed]
33	LF	Answers immediately emails & queries [delays responding to urgent questions]
04	MBEA	? [focuses attention on mistakes]
24	MBEA	Impossible! [tracks all my mistakes]
24	MBEA	? [tracks all my mistakes]
27	MBEA	? [directs attention to failure to meet standards]
03	MBEP	? [fails to interfere until problem is serious]
all	ALL	I don't work closely enough with the Superintendent to answer some of these questions. I don't see him very often, and don't work with him on “assignments.” I work with my Director.
all	ALL	He focuses more on our successes, not mistakes or failures – unless quite serious or ongoing. He's phenomenally talented superintendent.
all	ALL	The superintendent is in his 2 <sup>nd</sup> year. I wanted to answer “don't know” on many of questions.” [Noted on FEVQ, could apply to both FEVQ and MLQ.]
<p>Note. IC = Individualized Consideration, IIA = Idealized Influence Attributed, IIB = Idealized Influence Behavior, IM = Inspirational Motivation, IS = Intellectual Stimulation, CR = Contingent Reward, MBEA = Management-by-Exception Active, MBEP = Management-by-Exception Passive, LF = Laissez-Faire, EFF = Effectiveness, ALL = all styles or general comment</p>		

APPENDIX H: SUPERINTENDENT THANK YOU LETTER



Date:            «Date»

Subject:        **A Thank You Note to All Florida District School Superintendents:**

In April, I distributed copies of a questionnaire to all Florida District Superintendents for use in my dissertation titled “Florida School Districts: Vision Alignment and Leadership Style.” I have attached a sample of the original Superintendent cover letter for your reference.

**If you have already completed and returned the Florida Educational Vision Questionnaire for Superintendents (FEVQ-S):**

- **For those of you who have given me the permission to survey your School Principals (i.e., checked “Yes” on Item 7 of the FEVQ-S),** my next step will be to send two questionnaires to a sample of your Principals. I will sample a minimum of 15 Principals wherever possible. Additional details are in the Superintendent cover letter sample. A sample of the Principal cover letter is also attached here for your information. You may keep the enclosed stamped envelope, as it does not apply to you. Thank you very much for your participation in this study and for agreeing to allow me to continue this research study in your District.
- **For those of you who have asked me not to contact their School Principals (i.e., checked “No” on Item 7 of the FEVQ-S),** this letter will be the final communication from me to your District regarding this study unless you contact me for additional information. You may keep the enclosed stamped envelope, as it does not apply to you. Thank you very much for your participation in this study.

**If you have chosen not to participate in the study, and you have already mailed the blank survey back to me,** this letter will be my final communication to your District regarding this study unless you contact me for additional information. You may keep the enclosed stamped envelope, as it does not apply to you. Thank you for the time you have spent to return all the materials to me.

**If you have not responded to the FEVQ-S yet and would like another copy mailed to you,** please complete the information below and return it to me in the enclosed self-addressed stamped envelope. I will send you another FEVQ-S survey packet to you as soon as possible.

- Please send me another copy of the FEVQ-S and Informed Consent so that I may participate in this research on behalf of my School District now.
- I have already received a copy of the research materials and will complete and return them at this time.
- I do not wish to respond at this time. Please remove my School District from your reminder mailing list.
- Other: \_\_\_\_\_

**To all of you, thank you again for your time and assistance with this research study. If you have any questions or wish to receive additional information aside from what you have already requested via the FEVQ-S response, please feel free to contact me by phone, e-mail, or postal mail.**

Cindy F. Sikkenga, Doctoral Candidate  
University of Central Florida  
Home Phone: (239) 936-6602  
Home E-Mail: [cfsikk@comcast.net](mailto:cfsikk@comcast.net)  
1651 Cushman Circle  
Fort Myers, FL 33901-8905

APPENDIX I: PRINCIPAL THANK YOU LETTER

Date:            «Date»

Subject:         **A Thank You Note to Florida School Principals:**

Last month, I distributed copies of a questionnaire to a sample of Principals in your School District for use in my dissertation titled “Florida School Districts: Vision Alignment and Leadership Style.” I have attached a sample of the original Principal cover letter for your reference.

**If you have already completed and returned the Florida Educational Vision Questionnaire for Principals (FEVQ-P),** you may keep the enclosed stamped envelope, as it does not apply to you. Thank you very much for your participation in this study.

**If you have chosen not to participate in the study, and you have already mailed the blank survey back to me,** this letter will be my final communication to your school regarding this study unless you contact me for additional information. You may keep the enclosed stamped envelope, as it does not apply to you. Thank you for the time you have spent to return all the materials to me.

**If you have not responded to the FEVQ-P yet and would like another copy mailed to you,** please complete the information on the enclosed card and return it to me in the stamped envelope. The return mailing label is attached to the card and envelope. I will send you another FEVQ-P survey packet to you as soon as possible.

**If you have not responded to the FEVQ-P yet and would like another copy mailed to you,** please complete the information below and return it to me in the enclosed self-addressed stamped envelope. I will send you another FEVQ-P survey packet to you as soon as possible.

- Please send me another copy of the FEVQ-P and Informed Consent so that I may participate in this research on behalf of my School now.
- I have already received a copy of the research materials and will complete and return them at this time.
- I do not wish to respond at this time. Please remove my School from your reminder mailing list.
- Other: \_\_\_\_\_

**To all of you, thank you again for your time and assistance with this research study. If you have any questions or wish to receive additional information aside from what you have already requested via the FEVQ-P response, please feel free to contact me by phone, e-mail, or postal mail.**

Cindy F. Sikkenga, Doctoral Candidate  
University of Central Florida  
Home Phone: (239) 936-6602  
Home E-Mail: [cfsikk@comcast.net](mailto:cfsikk@comcast.net)  
1651 Cushman Circle  
Fort Myers, FL 33901-8905

APPENDIX J: SUPERINTENDENT REMINDER LETTER

Superintendent «Last»  
School District of «District\_Name» County  
«Address»  
«City», «State» «Zip»

«Date»

Dear Superintendent «Last»:

Hello, my name is Cindy Sikkenga, and I am a University of Central Florida student who is conducting research for her doctoral dissertation. Approximately one month ago, you should have received a package of research materials from me containing the following items:

- Cover Letter (***additional copy is attached here for your reference***)
- Florida Educational Vision Questionnaire Superintendent Form (FEVQ-S)
- Informed Consent
- Self Addressed, Stamped Envelope for the FEVQ-S
- Self Addressed, Stamped Envelope for the Informed Consent

Although the original target due date has passed, I have not yet achieved a high enough response rate to complete the research for my doctoral dissertation. I am therefore attempting to determine the status of the questionnaire responses from all Districts.

I am well aware that this school year has been a particularly trying one for all Florida School Districts and will understand completely if you do not have time to assist me with this study.

If you have already received and returned the FEVQ-S and Informed Consent to me (either completed or blank), please accept my apologies for this reminder notice, and thank you very much for your time and your responses. You may keep the enclosed stamped envelope for your own use.

Otherwise, could you please check one or more of the boxes below and return a copy of this letter to me in the ***enclosed stamped envelope, affixing the attached mailing label***:

- Please send me another copy of the FEVQ-S and Informed Consent so that I may participate in this research on behalf of my School District now.
- I have already received a copy of the research materials and will complete and return them at this time.
- I do not wish to respond at this time. Please remove my School District from your reminder mailing list.
- Other:

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Thank you very much in advance for your assistance.

Cindy F. Sikkenga  
Doctoral Candidate  
University of Central Florida  
1651 Cushman Circle  
Fort Myers, FL 33901-8905

APPENDIX K: PRINCIPAL REMINDER LETTER

Principal «Last»  
«School\_Name»  
«Address»  
«City», «State» «Zip»

«Date»

Dear Principal «Last»:

Approximately one month ago, your superintendent approved the distribution of the following two questionnaires to a sample of principals in «District\_Name» County:

1. Florida Educational Vision Questionnaire for Principals (FEVQ-P) to determine your personal vision for education for both your district and your students
2. Multifactor Leadership Questionnaire Form 5X (MLQ-5X) to determine your rating of your superintendent's leadership style

These surveys are being used to gather data for a dissertation study titled "Florida School Districts: Vision Alignment and Leadership Style," which seeks to determine whether or not there is an alignment of educational vision between superintendents and their principals and whether or not such an alignment is associated with the superintendents' leadership styles.

Your school was selected to participate in this study last year, and copies of these questionnaires were sent to you at your school. I would still greatly appreciate your valuable input for this study and have enclosed a second of questionnaires for your completion. If you have already mailed back the first set, our correspondence have crossed in the mail, in which case you may ignore this second request.

Please note that the two questionnaires and the return envelope are each marked with a random code that will be used for matching purposes only and will allow pairing the superintendent and principal responses. Your superintendent's authorization to distribute these questionnaires was given to me with the understanding that participation in this research would be voluntary, that all answers would be kept confidential, and that all results would be reported in aggregate form only. Therefore, neither you nor your school will be identified in the final report.

Please consider assisting me with this important educational vision research by completing the two enclosed questionnaires and returning them to me in the self addressed, stamped envelope within **14 days**. If you do not wish to participate in the study, you may simply return the blank FEVQ and MLQ-5X, and I will omit your school from any follow-up or reminder mailings.

Thank you very much in advance for your time and consideration.

Cindy F. Sikkenga, Doctoral Candidate  
University of Central Florida  
1651 Cushman Circle  
Fort Myers, FL 33901-8905

APPENDIX L: UCFIRB APPROVAL LETTER





March 28, 2005

Cindy Sikkenga  
1651 Cushman Circle  
Fort Myers, FL 33901-8905

Dear Ms. Sikkenga:

With reference to your protocol #05-2378 entitled, "Educational Vision in Florida School Districts: Vision Alignment and Leadership Style" I am enclosing for your records the approved, expedited document of the UCFIRB Form you had submitted to our office. **The expiration date for this study will be 3/06/06 based upon 365 days from the contingent approval date.** Should there be a need to extend this study, a Continuing Review form must be submitted to the IRB Office for review by the Chairman or full IRB at least one month prior to the expiration date. This is the responsibility of the investigator. **Please notify the IRB when you have completed this study.**

Please be advised that this approval is given for one year. Should there be any addendums or administrative changes to the already approved protocol, they must also be submitted to the Board through use of the Addendum/Modification Request form. Changes should not be initiated until written IRB approval is received. Adverse events should be reported to the IRB as they occur.

Should you have any questions, please do not hesitate to call me at 407-823-2901.

Please accept our best wishes for the success of your endeavors.

Cordially,

*Barbara Ward*

Barbara Ward, CIM  
IRB Coordinator

Copy: IRB file

APPENDIX M: INFORMED CONSENT

## *Informed Consent*

Please read this consent document carefully before you decide to participate in this study.  
Two (2) copies of this document are included – one to return to the researcher and one for your records.

**Project title:** Educational Vision in Florida School Districts: Vision Alignment and Leadership Style

**Purpose of this research study:** This research study will investigate whether or not the educational visions of Florida K-12 public school superintendents and their subordinate principals are in close alignment. It will also investigate whether or not the degree of vision alignment is associated with superintendents' leadership styles and with demographic data obtained from the research questionnaires and from public data sources (e.g., DOE and district web sites).

**What you will be asked to do in this study:**

1. *Superintendents:* You will be asked to complete the researcher developed Florida Educational Vision Questionnaire Superintendent Form (FEVO-S), which also includes a request for permission to mail subsequent questionnaires to a sample of principals in your district. You will be asked to return your FEVO-S responses and a copy of this signed consent form to the researcher in the enclosed self-addressed, stamped envelope.
2. *Principals:* If authorization is granted by your superintendent, you will be asked to complete two questionnaires, the Florida Educational Vision Questionnaire Principal Form (FEVQ-P) and the Multifactor Leadership Questionnaire Form 5X Rater (MLQ-5X). You will be asked to return both sets of questionnaire responses and a copy of this signed consent form to the researcher in the enclosed self-addressed, stamped envelope.

**Time required:** One half (1/2) hour for superintendents and less than one (1) hour for principals.

**Risks:** There are no anticipated risks to you. Participants' names, schools, and school districts will not be reported in the final report, and results will be reported in aggregate form with no identifying information. The *dd-ssss* code on the questionnaires will be used for matching purposes only. Questionnaire responses will be accessible only to the researcher.

**Benefits / Compensation:** There will be no compensation or other direct benefit to you for participation, but potential benefits of the research are expected to include both theoretical insights and practical leadership training applications. You will be given the option of receiving copies of the final research report if you wish.

**Confidentiality:** Your identity will be kept confidential. Your information will be assigned a code number based on the *dd-ssss* code on the questionnaire pages. The list connecting your name to this number will be kept in a locked file. When the study has been completed and the data have been analyzed, this list will be destroyed. Your name, your school district name, and your school name (if applicable) will not be used in any report.

**Voluntary participation:** Your participation in this study is voluntary. There is no penalty for not participating. On the questionnaire(s), you do not have to answer any question you do not wish to answer.

**Right to withdraw from study:** You have the right to withdraw from this study at any time without consequence.

**Whom to contact if you have questions about this study:**

Cindy F. Sikkenga, UCF Doctoral Candidate, 1651 Cushman Circle, Fort Myers, FL 33901-8905 (239) 936-6602

Dr. Jess House, UCF Faculty Supervisor, Department of Educational Research, Technology and Leadership, office located on FGCU campus at 10501 FGCU Boulevard South, Fort Myers, FL 33965-6565 (239) 590-7810

**Whom to contact about your rights in this study:**

UCFIRB Office, University of Central Florida Office of Research, Orlando Tech Center, 12443 Research Parkway, Suite 207, Orlando, FL 32826. The phone number is (407) 823-2901.

I have read the procedure described above (If you agree, please check this item).

I voluntarily agree to participate in the research (If you agree, please check this item and sign below).

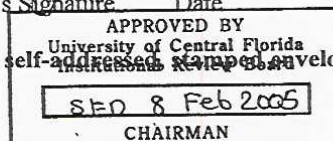
\_\_\_\_\_  
Participant's Signature

\_\_\_\_\_  
Date

Cindy F. Sikkenga  
Principal Investigator's Signature

4/11/05  
Date

Please return the completed form and questionnaire(s) in the enclosed self-addressed stamped envelope.



APPENDIX N: MIND GARDEN MLQ-5X PERMISSION LETTERS

# **MLQ Multifactor Leadership Questionnaire**

## **Duplication Set**

(Leader and Rater Forms, and scoring  
for MLQ 5x-Short)

Permission to reproduce either leader or rater forms for  
up to 150 copies in one year from date of purchase:  
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by **Bernard Bass and Bruce Avolio**

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## **MLQ Multifactor Leadership Questionnaire**

### **Permission Set**

Leader Form, Rater Form, and Scoring Key for  
MLQ Form 5x-Short

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855 Oak Grove Avenue, Suite 215 Menlo  
650-322-6300 fax 650-322-6398 www.rr

Date: March 7, 2006

To whom it may concern,

This letter is to grant permission for:     Cindy F. Sikkenga      
to use the following copyright material;

Instrument: *Multifactor Leadership Questionnaire 3<sup>rd</sup> Edition*

Author: *Bruce J. Avolio and Bernard M. Bass*

Copyright: *1995, 2000, 2004 by Bernard Bass and Bruce Avolio*  
for her/his thesis research.

In addition, five (5) sample items from the instrument may be reproduced for inclusion in a proposal, thesis or dissertation.

The entire measure may not at any time be included or reproduced in other published material.

Sincerely,

A handwritten signature in black ink, appearing to read 'SDarrow', is written in a cursive style.

Sandra Darrow  
Director of Customer Service

APPENDIX O: SCHOOL BOARD OF BROWARD COUNTY APPROVAL LETTER





## THE SCHOOL BOARD OF BROWARD COUNTY, FLORIDA

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RESEARCH SERVICES  
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ROBERT D. PARKS, Ed.D.  
MARTY RUBINSTEIN

DR. FRANK TILL  
Superintendent of Schools

September 8, 2005

Ms. Cindy Sikkenga  
1651 Cushman Circle  
Fort Myers, Florida 33901-8905

Dear Ms. Sikkenga:

Thank you for submitting your proposal *Educational Vision in Florida School Districts: Vision Alignment and Leadership Style* for consideration by the Broward County Public Schools (BCPS). Staff has reviewed your research proposal, and approval has been granted.

This approval means that we have found your proposed research methods to be compatible with a public school setting and your research questions of interest to the school district. Based on the information you have supplied, your approval to conduct research will expire on **December 31, 2005**. If you are unable to complete your research by the date indicated, you must contact the Research Services Department in writing and request an extension.

Implementing your research, however, is a decision to be reached by the affected principals on a strictly voluntary basis. To assist principals in their decision, please outline the operational steps to be performed by staff at their schools. You are asked to share this information at the same time you provide principals with the attached memorandum. The **Approval Memorandum** includes the Area Superintendent's signature and must be provided to each principal of each selected research site. These principals will not cooperate unless you provide the **Approval Memorandum** to them.

Per your proposal, the anticipated date for submitting an electronic copy of the research findings is **April 30, 2006**. If additional assistance is needed from our staff, **please contact me at (754) 321-2500**.

Thank you for your request.

Sincerely,

Cary Sutton, Ed.D., Director  
Research Services

CS:bt  
Attachments

APPENDIX P: SCHOOL DISTRICT OF HILLSBOROUGH COUNTY  
APPROVAL LETTER

**School District of Hillsborough County**  
**Department of Assessment and Accountability**

**School Board**

Candy Olson, Chairman  
Carolyn Brickleyer, Vice Chairman  
Doretha W. Edgecomb  
Jennifer Faliero  
Carol W. Kurdell  
Jack R. Lamb, Ed.D.  
Susan L. Valdes



**Superintendent of Schools**

Earl J. Lennard  
**Chief of Staff**

James P. Hamilton, Ph.D.

**Deputy Superintendent for Administration**

Randolph Poindexter

**Chief Information and Technology Officer**

Jack Davis

**Director, Assessment and Accountability**

John A. Hilderbrand, Ph.D.

May 18, 2005

Cindy F. Sikkenga  
1651 Cushman Circle  
Ft. Myers, FL 33901-8905

Dear Ms. Sikkenga:

The School District of Hillsborough County has agreed to participate in your project, *Educational Vision in Florida School Districts: Vision Alignment and Leadership Style*. A copy of this letter should be presented to your participants to assure them that your request has been reviewed and approved by the district. It is understood that you will survey an assistant superintendent and a sample of principals in the district. **Approval is given, however, under the following conditions:**

- 1) Participation by any individual **is to be on a voluntary basis**. That is, **participation is not** mandatory and you must advise your participants that they are not obligated to participate in your study.
- 2) Confidentiality must be assured for all participants. That is, all data must be aggregated such that the district cannot be identified as well as any other participant including parents, students, and administrators.

Please forward one copy of your completed study for our files.

Good luck with your endeavor. If you have any questions, please advise.

Sincerely,

John A. Hilderbrand, Ph.D., Director  
Assessment and Accountability

JAH/dsr

APPENDIX Q: SCHOOL DISTRICT OF LEE COUNTY APPROVAL LETTER

**From:** Itzen, Dr. Richard  
**Sent:** Tuesday, May 24, 2005 1:13 PM  
**To:** Sikkenga, Cindy  
**Subject:** Research Study  
**Importance:** High

Cindy,

The District Research Committee has reviewed your project, "Educational Vision in Florida School Districts: Vision Alignment and Leadership Style," and approved it.

I will inform Dr. Browder that you will be contacting him first. Once you have done that and are ready to move on to principals, let me know, and I will send out a note to principals letting them know you will be contacting them.

Good luck and we will look forward to receiving the results of your study!

Sincerely,

***Richard Itzen***

**Dept. of Evaluation, Testing, and Research**

**School District of Lee County**

**(239) 335-1448**

**From:** Sikkenga, Cindy  
**To:** Itzen, Dr. Richard  
**Sent:** Friday, June 03, 2005 8:08 AM  
**Subject:** RE: Research Study

Richard,

I received Dr. Browder's responses yesterday afternoon and will get the principal mailings ready this weekend to send out on Monday June 6.

I will survey a random sample of 15 principals:

- 5 elementary school principals (K-5)
- 5 middle school principals (6-8)
- 5 high school principals (9-12)

Thanks again for all your help with this!

*Cindy Sikkenga*

*Applications Manager*

*Information Systems*

*School District of Lee County*

*(239) 936-0108 x212*

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